

# Humanitarian evidence systems mapping in East Africa

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In November 2014, Development Initiatives was commissioned by the UK's Department for International Development (DFID) to conduct a mapping and political economy study on the production and utilisation of humanitarian evidence in Kenya, Uganda and within relevant East African institutions.

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This is an independent report. The analysis presented and views expressed are the responsibility of Development Initiatives.

## List of acronyms

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ACTED	Agency for Technical Cooperation and Development
ADESO	African Development Solutions
AFIDEP	African Institute for Development Policy
ALDEF	Arid Lands Development Focus
ALNAP	Active Learning Network for Accountability and Performance in Humanitarian Action
ANIE	African Network for Internalisation of Education
APHRC	African Population and Health Research Centre
ASALs	Arid and Semi Arid Lands
BBRC	Biochemical and Biophysical Research Communications
CaLP	Cash Learning Partnership
CDC	Centre for Disease Control
CHRIPS	Centre for Human Rights and Policy Studies
CGIAR	Consultative Group on International Agricultural Research
COP	Communities of Practice
DFID	Department For International Development
DAI	Development Alternatives Incorporated
DEC	Disaster Emergency Committee
DI	Development Initiatives
DLCI	Drylands Learning and Capacity Building Initiative for Improved Policy and Practice in the Horn of Africa
DRC	Democratic Republic of Congo
DRT	Development Research and Training (DI's research partner in Uganda)
DRUSSA	Development Research Uptake in Sub Saharan Africa
ECHO	European Commission's Humanitarian aid and Civil Protection department
EDE	Ending Drought Emergencies
ELRHA	Enhance Learning and Research for Humanitarian Assistance
EPRC	Economic Policy Research Centre
ESRC	Economic and Social Research Council (UK)
EU	European Union
EWS	Early Warning Systems
FAO-RAU	Food and Agriculture Organization – Resilience Analysis Unit
FEWS NET	Famine Early Warning Systems Network

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FGD	Focus group discussion
FSNAU	Food Security and Nutrition Analysis Unit
FSNWG	Food Security and Nutrition Working Group
GHA	Global Humanitarian Assistance
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GoK	Government of Kenya
HDX	Humanitarian Data Exchange
HEA	Household Economic Analysis
HIP	Humanitarian Innovation Project
HIV/AIDS	Human Immune Virus / Acquired Immune Disease Syndrome
HQs	Headquarters
HSNP	Hunger Safety Net Programme
IATI	International Aid Transparency Initiative
IAWG	Inter Agency Working Group
ICHA	International Centre for Humanitarian Affairs
ICRC	International Committee of the Red Cross
INASP	International Network for the Availability of Scientific Publications
IBP	International Budget Partnership
IDPs	Internally displaced persons
IDRC	International Development Research Centre
IDS	Institute of Development Studies
IFPRI	International Food Policy Research Institute
IFRC	International Federation of the Red Cross and Red Crescent Societies
IGAD	Intergovernmental Authority on Development
IGAD-ICPAC	IGAD Climate Prediction and Application Centre
IGAD-ICPALD	IGAD Centre for Pastoral Areas and Livestock Development
IGAD – IDDRISI	IGAD Drought Disaster Resilience and Sustainability Initiative
IHub	Technology Innovation Community
ILRI	International Livestock Research Institute
INGO	International non-governmental organisation
IRIN	Integrated Regional Information Networks
JAM	Joint Assessment Mission
KADDAN	Katakwi District Development Network
KADENET	Kasese District Development Network

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KALIP	Karamoja Livelihood Programme
KEMRI	Kenya Medical Research Institute
KII	Key informant interview
KIPPRA	Kenya Institute for Public Policy Research and Analysis
KPMG	Klynveld Peat Marwick Goerdeler
KRC	Kenya Red Cross
LANSA	Leveraging Agriculture for Nutrition in South Asia
LC	Local Council
LEGS	Livestock Emergency Guidelines and Standards
LWF	Lutheran World Federation
M&E	Monitoring and evaluation
MONARLIP	Moroto-Nakapiripirit Religious Leaders for Peace
MPs	Members of Parliament
MSF	Médecins Sans Frontières
NACOSTI	National Commission for Science, Technology and Innovation (in Kenya)
NDMA	National Drought Management Authority
NECOC	National Emergency Coordination and Operations Centre
NGO	Non-governmental organisation
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
ODA	Official development assistance
ODI	Overseas Development Institute
OECD DAC CRS	Organisation for Economic Co-operation and Development, Development Assistance Committee Creditor Reporting System
OFDA	Office of US Foreign Disaster Assistance
OSSREA	Organisation for Social Science Research in Eastern and Southern Africa
OT	Organisation type
PASGR	Partnership for African Social and Governance Research
PATH	Program for Appropriate Technology in Health
PRRO	Protracted Relief and Recovery Operation
PwC	Pricewaterhouse Coopers
R&E	Research and evaluation
R4D	Research for Development
RECs	Regional Economic Commissions
RPM	Remote Program Management

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RSC	Refugee Studies Centre
RTE	Real Time Evaluations
SECURE	Strengthening Capacity to Use Research Evidence in Health Policy
SIDA	Swedish International Development Cooperation Agency
TANGO	Technical Assistance to NGOs
3iE	International Initiative for Impact Evaluation
UK	United Kingdom
UN	United Nations
UNDESA	United Nations Department for Economic and Social Affairs
UNDP	United Nations Development Programme
UNEP HQ	United Nations Environmental Programme Head Quarters (in Nairobi)
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNICEF–ESARO	UNICEF – Eastern and Southern Africa Regional Office
UoN	University of Nairobi
US	United States
USAID	United States Agency for International Development
USD	United States dollars
WFP	World Food Programme
ZARDI	Zonal Agricultural Research and Development Institute

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## Definitions used

The term **humanitarian action** is based on the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) definition and covers a range of interventions from immediate life-saving response to longer term livelihoods investments and interventions. It incorporates the unique humanitarian context in East Africa as well as globally agreed definitions, and covers four pillars:

- emergency response
- reconstruction relief and rehabilitation
- disaster prevention, preparedness and disaster risk reduction/management/financing
- resilience building including education provision and climate adaptation and mitigation.

Conflict-related responses and mitigation actions are outside the scope of this study.

The definition of research was developed by Development Initiatives to mean ‘performing a systematic, documented investigation into, and study of sources and/or data to test a hypothesis, or to answer a specific question, or to assess the effectiveness of an existing programme, or to find ways of improving a method or approach’. This definition is intentionally broad, to allow the study to take account of the wide range and standard of research/evidence outputs. The term ‘evidence’ was understood more readily by respondents in the region.<sup>1</sup>

For evaluation, the study used the OECD definition: ‘the systematic and objective assessment of an ongoing or completed project, programme, policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability.’

## Executive summary

In November 2014, Development Initiatives was commissioned by DFID to conduct a mapping and political economy study on the production and utilisation of humanitarian evidence in Kenya, Uganda and within relevant East African institutions. Based on interviews, literature sampling and financial analysis, this report presents a summary of a year's work. It describes the humanitarian research landscape and which factors affect the production and uptake of research outputs. It makes recommendations for linkages that can be strengthened and for interventions that would strengthen national and regional research capacity on both the user and producer side.

Research and evaluation (R&E) appears to have a limited strategic function and value within the humanitarian landscape in the East Africa region. The R&E system tends to operate independently of host governments and local actors at all levels and is driven by donors. However, there are signs that this is changing and that responsibilities for delivering long-term humanitarian response may be shifting towards regional and national governments and local actors.<sup>2</sup>

The limited extent to which national and local policy makers and practitioners value and can engage with R&E outputs and are willing and able to act on their findings, as well as the limited linkages between research and policy and practice communities, are significant impediments to the use of evidence by decision makers in the East Africa region. The lack of a common and shared research agenda for humanitarian R&E in the region, combined with little shared analysis of data/evidence collected over the long term on cyclical causes and responses to repeated humanitarian crises, limits the potential for a strategic and future-focused body of R&E work in this region.

Going forward, there is a need for a locally owned, more strategically coherent research agenda which is broader than the current focus on resilience and which links vulnerability to issues such as energy, water, transport infrastructure, digital communications, climate change adaptation and human security.<sup>3</sup> This will more likely gain the attention of governments and prove useful in the longer term for tackling humanitarian crises.

The study's key findings are:

1. In practice the governance and coordination of research and evaluation in the humanitarian sector in East Africa is almost non-existent, with multiple, ad hoc, small, short-term initiatives performed by multiple actors. These do not seem to be contributing to a widely recognised body of learning or innovation which is owned or led within the region. Innovations such as the satellite-supported livestock insurance and cash transfers developed in this region five years ago came from donors, research institutions and business.
2. The dominant factors determining how the R&E environment operates in the humanitarian sector in East Africa are the needs to i) describe and ii) provide some evidence for outcomes and impact, within relatively short timeframes, of specific interventions, as required by head offices of donor governments, UN or INGOs – in order to secure further funding, which in turn perpetuates continued humanitarian action or research activities. These requirements lead to intensive internal monitoring and evaluation (M&E) activities conducted alongside programmes which account for 72% of reported evidence output from humanitarian actors, much of which is not publicly available, and to which 0.26% (totalling US\$5 million) of humanitarian financial flows<sup>4</sup> is allocated.
3. Alongside these are a few longer term R&E activities, usually funded by centrally held, specific research budgets of donors. This amounted to US\$62 million for all research activities in Kenya and Uganda in 2013 (of which US\$28 million was for malaria research).<sup>5</sup> United States and European research producers, based outside the region, tend to dominate the longer-term humanitarian R&E, generally producing better- quality outputs, albeit in isolation from the humanitarian implementing community in East Africa.

4. There is limited coordination between donors on R&E activities in the region, in some cases leading to duplication and questionable value added. In addition, donor procedures and funding cycle practices present a number of constraints to improving the quality and transparency of R&E processes.
5. There is no widespread application of ethical or technical protocols/research standards in use, neither are there common standards for research and evaluation, reliable and quality longitudinal datasets, or common indicators for resilience. This prevents comparisons across R&E outputs and aggregation of findings, limits enquiry and thus limits learning to improve humanitarian action.
6. Three-quarters of all respondents (and 61% of regional respondents) said that they thought the quality of humanitarian R&E in the region was poor. Only about one-eighth of all (research for development (R4D)) studies on East Africa were peer-reviewed, compared with one quarter of all East Asian studies. Much is self-published, based on small samples and short timeframes, with limited methodological diversity or rigour. Choice of methodology was only explained in half of studies and limitations were pointed out in one-third of studies sampled. Less than half of sampled studies included some kind of social inclusion, vulnerability or gender analysis. This study found no highly critical evaluations.
7. There is very limited involvement of local actors in R&E activities beyond enumeration functions and less than 10% of research grants seem to go direct to local institutions. This is a source of considerable frustration for NGOs and local researchers. Poorly performing local research institutions including universities and weak analytical skills among researchers were seen by donors and research institutions as key barriers to joint R&E activities. While local actors acknowledged the need to build analytical skills, they valued acquired practical experience over training programmes or qualifications as a way of improving their skills. They also wanted research syntheses, including systematic reviews, research tools and standards.
8. More is written than read in the region. The majority of respondents (51% online, 68% of key informant interviews (KIIs)) based in East Africa described themselves as both producing and consuming evidence. Host government respondents tended to describe themselves as consumers only. One-third of regional KII respondents and 63% of regional online responses reported that demand for evidence came equally from two sources: from within their own organisations and from donors. This was most likely centred on situation updates and evidence of effectiveness. Responding to this, two-thirds of respondents consequently wanted data and data-gathering tools, and examples of successful programme approaches and impact. One-third expressed varied, deeper and broader interests in understanding the root causes of humanitarian crises and in issues such as conflict, corruption, climate change and urbanisation.
9. Lack of time, information being too scattered and lack of summaries were the main reasons for not reading R&E studies. The second biggest reason was lack of trust in the quality and credibility of the research. Barriers to research uptake exist at two levels; 1) around the ability of decision makers to both value and understand research outputs (and the consequent responsibility imposed on producers to better target and package their outputs); 2) the limited engagement and trust between humanitarian researchers and government policy makers to date.
10. Aside from GIS and satellite data gathering/mapping and a few mobile text response mechanisms, the study found remarkably little evidence of digital data in communications driving change in humanitarian response.<sup>6</sup> The study found relatively few political economy studies or longitudinal/retrospective analyses of crises and patterns of humanitarian response and few cost-effectiveness studies.

## Recommendations

### ***Improve the coordination and build host government ownership of humanitarian R&E***

Support the establishment of an R&E coordination hub and clearing house at country level (include humanitarian and resilience, and broader development-related research), within existing coordination mechanisms within government e.g. the Ending Drought Emergencies

(EDE) secretariat within the National Drought Management Authority (NDMA) in Kenya. This should be supported with an R&E online search engine and mapping facility (such as [data.hdx.rwlab.org](https://data.hdx.rwlab.org)). Donors could introduce incentives to check with the clearing house before planning R&E activities.

Support government investment in upgrading and making use of longitudinal datasets.

Conduct outreach with local media on coverage of humanitarian programmes, encouraging local journalists to draw on and include humanitarian stories and evidence as regular features.

Commission studies by East African institutions on the political economy of how research is done and the impacts of research processes and outputs on accountability between governments and citizens; and cost-effectiveness studies on the scaling-up of appropriate humanitarian interventions.

### ***Improve research quality***

Encourage a process whereby government and non-government actors professionalise the management of R&E. This could be done by developing a basic, voluntary protocol for the conduct and management of humanitarian R&E drawing on ethical social science research principles<sup>7</sup> and including requirements to co-fund, involve local researchers, privacy and data protection requirements for beneficiaries, requirements for review and post publication requirements for the end-user to respond to findings.

Suggest that the Inter-Agency Working Group (IAWG) and experienced humanitarian actors develop a basic R&E methodological protocol or checklist, based on existing research standards and guidelines, to improve the quality of R&E, with a roll-out plan with implementing agencies.

Encourage academics, donors and governments to agree and use an initial basic set of common indicators for assessing outcomes in resilience which can be revised after a period of time.

Mandate requirements for all evaluations, including those which are critical, to be published in the national or regional clearing house (starting with NDMA clearing house) and to the International Aid Transparency Initiative (IATI). This would make evaluations more meaningful and consequential exercises and would mean evaluation reports would be more likely to be read and acted upon by decision makers.

### ***Incentivise local content in research activities***

Establish an accreditation scheme for local researchers to get early career experience and recognition, and encourage key actors such as government, UN and IAWG member agencies to support it.

Build a requirement into all R&E tenders which stipulates that providers should include local researchers during the design and analysis stages of the work, and allow sufficient funding within tenders for local partner organisation capacity and skill development.

### ***Improve research uptake and strengthen R&E culture and understanding at local level***

Encourage a consensus-building exercise on common barriers to research uptake, building on the findings of this study and others.<sup>8</sup> Support this with the application of tools to evaluate willingness and capacity to access, understand and use research evidence, amongst a variety of humanitarian actors including government.

Establish commissioning and financing procedures which require R&E plans to include evidence of the links between producer and end-user demand, and an understanding of the system which evidence should inform. Complement this with training on communication strategies for research aimed at better targeting of end-users and complementary social media strategies.



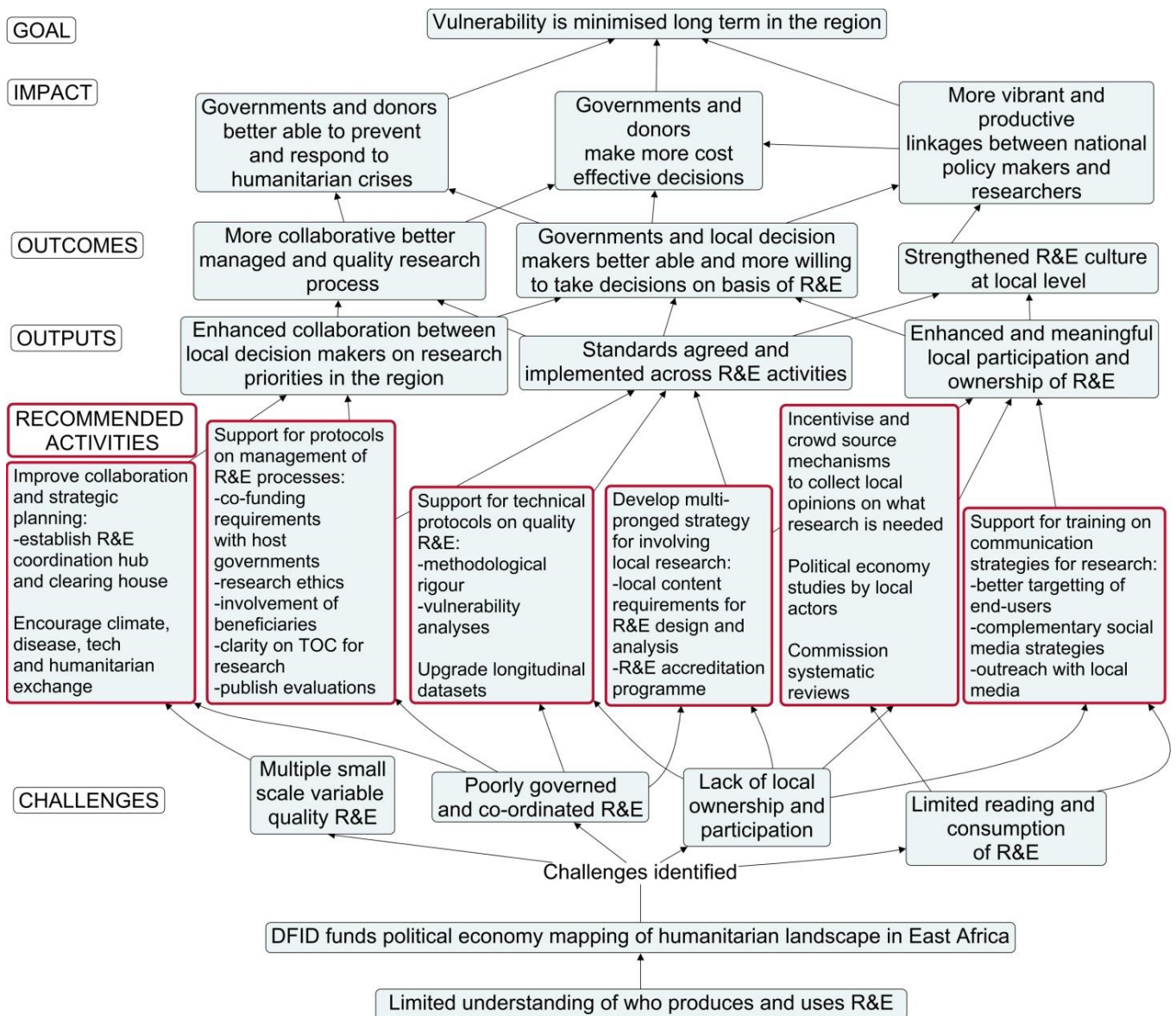
Incentivise 'crowd sourcing' mechanisms to collect local opinions on what research is needed. Share findings with media and the local tech entrepreneur communities in Nairobi and Kampala. Identify local funders to support areas of research that meet clearly identified needs.

Commission systematic reviews of topics of regional interest such as corruption, climate change, urbanisation and mental health.

Support more online discussion forums and live learning at short, hospitable after-work forums where practitioners from different organisations can and share experience and learn about useful programming tools and success stories. Offer live streaming and live radio coverage of these events.

Establish information exchange and research presentations between humanitarian actors (such as the IAWG) and climate change scientists, medical-veterinary epidemiologists and tech entrepreneurs to enrich the quality and relevance of humanitarian R&E.

**Figure 1: Theory of change – how the study's proposed recommendations could lead to more vibrant and productive linkages between national policy makers and researchers and thus minimise vulnerability in the region**



Theory of Change developed by Fiona Napier

## Background context of humanitarian action in East Africa

The term East Africa in this study is taken to apply to the IGAD membership countries.<sup>9</sup> This region is also commonly referred to as the Horn of Africa. It has experienced decades of man-made and natural disasters – many of which are recurring such as conflicts and drought. It is estimated that 112.8 million (44% of the total population) live in perpetually vulnerable conditions that are prone to food shortages, making this one of the world's most food-insecure regions.<sup>10</sup> An estimated 20 million people (8% of the total population) were in need of humanitarian assistance in 2015.<sup>11</sup> As of 31 December 2014, the region was host to seven million internally displaced people and 2.3 million refugees. The region is a major hub for humanitarian activity involving diverse responses from a plethora of actors and funders.

The features of this regional crisis bring into question the validity of distinguishing between development and humanitarian response.<sup>12</sup> In March 2015, the IGAD draft report presented to the General Assembly Meeting in Addis Ababa called for “joint humanitarian/development action in border areas to be recognised as a strategic priority”.<sup>13</sup> ‘Resilience’ programming is seen to bridge this divide in some ways and forms part of the scope of this study. While parts of Kenya and Uganda have not borne the brunt of humanitarian crises in the region (compared with South Sudan and Somalia), levels of vulnerability are particularly high in the border areas of these countries, which include the Karamoja region in Uganda and the four northern counties of Kenya.<sup>14</sup>

There are eight regional intergovernmental bodies in East Africa, of which IGAD is one. There are divergent attitudes within the countries towards such groups.<sup>15</sup> Since the establishment of the EDE initiative in late 2011, IGAD has shown limited capacity to coordinate or lead a humanitarian R&E agenda. The departure of a representation of the United Nations Office for the Coordination of Humanitarian Affairs (OCHA) from Kenya in 2012 and from Uganda in 2010 means that the humanitarian sector has been largely without clear international humanitarian leadership in country. In Kenya, this, together with the EDE summit in 2011 and a longstanding and large refugee population within Kenya, has led the government to take more of a lead on humanitarian affairs than it perhaps otherwise would have. In Uganda, the structures to handle humanitarian crises are less organised, although the government's handling of long-staying refugees from South Sudan and Eastern DRC has been hailed as commendable.<sup>16</sup> More information on government mandates on humanitarian action can be found in Annex 1.

## A. Study methodology and limitations

The objectives for this research project were to:

- Carry out a mapping exercise that describes and analyses the humanitarian research and evaluation (R&E) landscape in East Africa (jointly agreed to mean Kenya, Uganda and East African regional institutions, specifically IGAD)
- Perform an analysis of the political economy that conditions the commissioning, undertaking and uptake of the humanitarian R&E in East Africa
- Make recommendations on the opportunities to support the strengthening of regional or national R&E capacity on both the user and producer sides.

The study frame sampled across seven organisational types:

- regional/national governments
- donors including multilateral organisations
- UN agencies
- INGOs and NGOs
- private sector, including consultancies
- the media
- academics/research/think tanks.

In order to balance breadth with depth in the study, there is a purposive sampling of a selection of organisations, respondents and literature, without delving into detail for each organisation and presenting findings and inferences where they reveal themselves. Compiling comprehensive databases of research organisations active within particular geographies or sectors or undertaking skills or training needs assessments was not an objective of this study.<sup>17</sup>

It was agreed at the inception phase to treat conflict-related studies as cross-cutting and therefore these are not specifically included in the scope of humanitarian action used in this study. That said, conflict issues do appear through the visit to Karamoja, Uganda and also in some of the literature recommended and featured in this study. The study should not, therefore, be read as an authority on R&E in conflict-related work.

This is a political economy study focusing primarily on self-reported behaviours and attitudes, supplemented with a literature and funding analysis which shows key features of the system, and helps validate findings. The study tries to be clear about what informants have reported and what inferences and conclusions the team has drawn.

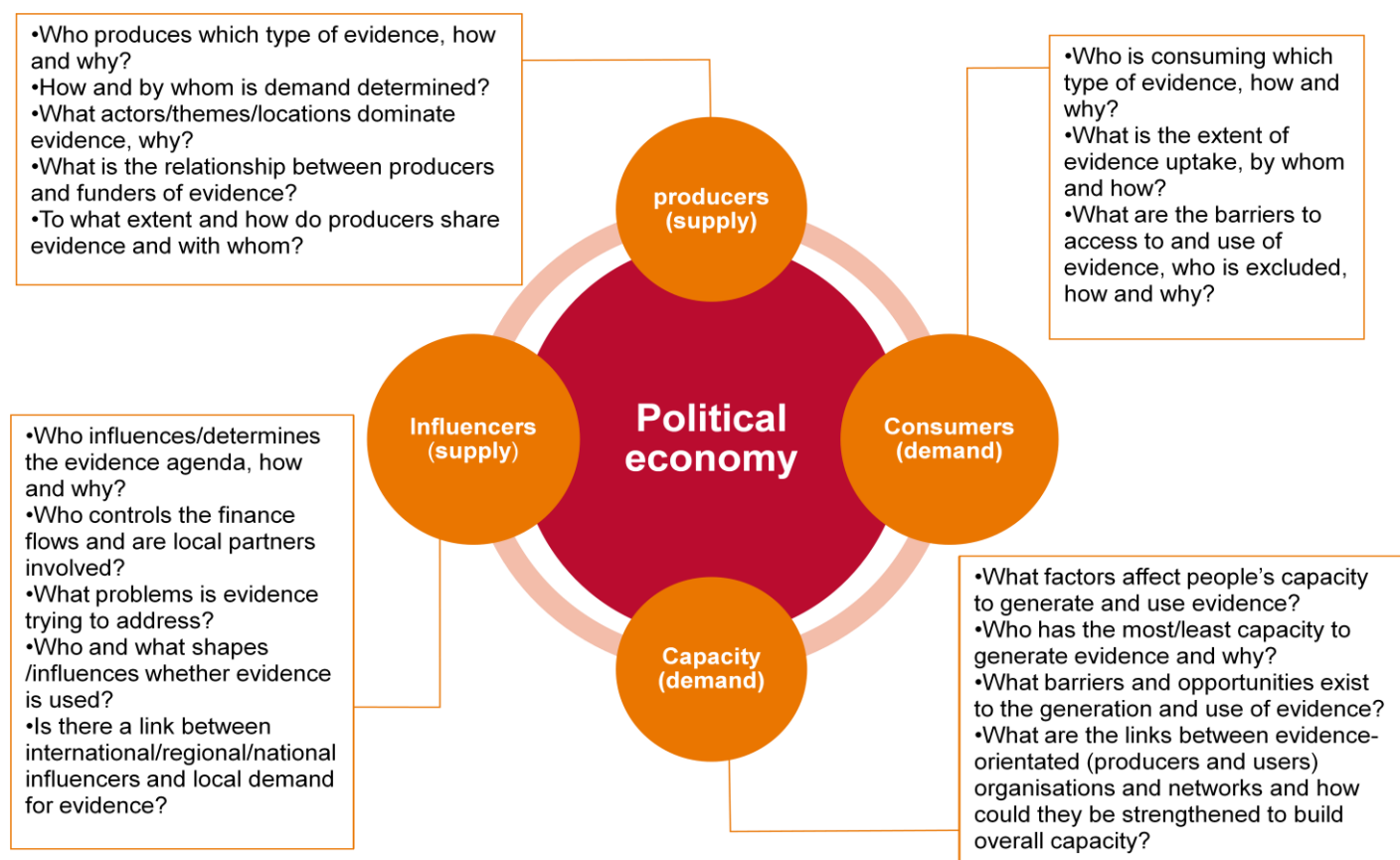
### A.1 Framework of analysis

In this study we attempt to answer two overarching questions:

1	<b>What factors determine the ways in which the current humanitarian research and evaluation environment operates?</b> Sub-question: What are the socio-political, behavioural and economic factors governing the commissioning, undertaking and uptake of humanitarian research and evaluation in East Africa? <i>Section B of this report</i>
2	<b>What and where are the opportunities to support the strengthening of regional and national research and evaluation production and uptake?</b> <i>Section C of this report</i>

The following framework of analysis drawn up by Development Initiatives guides the study (Annex 2 provides additional detailed questions and sources of evidence). This takes a market-based approach to research, looking at demand and supply of evidence and the associated behaviours and incentives.

Figure 2: Framework of analysis



Cross cutting issues: gender, social inclusion, accountability to people affected by crises, and research quality, access and use

## A.2 Primary data samples

The table below summarises the methodologies and data sources used.

Data source	Total number conducted/ respondents	Kenya and Uganda	Regional	Global	Inception target	Details and limitations
Key informant interviews (KIIs)	66	43	16	7	48	More KIIs conducted to compensate for fewer focus group discussions (FGDs)
FGDs	5	One in Kenya (INGOs, NGOs and academia) and three in Uganda (INGOs, media and research organisations)	One regional INGOs, with one consultancy company	0	15	FGDs difficult to organise – people unwilling to travel to attend meetings; this was mitigated by attending pre-arranged meetings and garnering feedback. FGDs predominantly groups of the same organisation type. In Uganda three FGDs respectively with local INGOs, local media, government research institute staff



Online survey	69	36		33	50–100	48% of the online survey respondents described themselves as globally based i.e. not within East Africa
Literature analysis	33	20	9	4	35	Purposive sampling of studies published from January 2011 onwards
Financial analysis	OECD Creditor Reporting System (CRS) for 2012 and 2013, as well as DFID, USAID and International Development Research Centre (IDRC) for spend on R&E in the humanitarian sector in the region.					

### A.3 Methodology and limitations

This section presents a brief overview of methodology and some additional challenges encountered to those mentioned in the inception report<sup>18</sup> and how the study managed, or did not manage, to mitigate them.

#### A.3.1 Interviewing stakeholders

Stakeholders were interviewed through KIIs, an online survey and FGDs. Questions for each method are found in the Annexes 6–8 of the inception report. KIIs lasted between 1 and 1.5 hours and used a questionnaire to guide a semi-structured interview, which included options to explore producer/consumer or donor/influencer behaviour. This methodology was also used in the online survey, which applied more closed-ended questions (e.g. top three sources used). FGDs were conducted using a participatory force field exercise<sup>19</sup> for two hours, and recorded in note form, voice recording and photo capture. In addition, we had opportunities to talk about this study at various global, regional and country forums and used these opportunities to garner feedback (Annex 9).

Responses were obtained from a mix of senior and middle-ranking staff from across organisation types, though responses have not been differentiated on this basis. Categorisation on the basis of location and organisation type (Annex 4) allowed some segmented analysis of dominant behaviours. Findings from the interviews were triangulated using feedback from the online survey, but it was not possible to check to what extent the same people interviewed through KIIs also participated in the online survey.

***LIMITATIONS: there was a sampling bias – skewed towards INGO sector, under-representation of the private sector and community-based perspectives***

In total 66 KIIs were performed – these were weighted towards INGOs who accounted for one quarter of the sample (17); donors comprised one-fifth (13) and the UN (8) and government (8) roughly one-eighth each (see Annex 4).

About half of the online respondents (48%) described themselves as globally based, and in this sample, 40% said they worked for INGOs. Only three online respondents were from government (IGAD, KALIP Uganda and Kenya Pastoralist Parliamentary Group secretariat).

The study did not target the big four consultancy firms in the region (KPMG, Deloitte, Ernst and Young, Pricewaterhouse Coopers (PwC)) through which much of DFID and other donor funding, including pre-designated research funding is channelled. While these organisations appear to play more of a role of managing funding on behalf of donors, as opposed to actively designing, commissioning or undertaking R&E in the region, it would be important to understand the extent to which research managed by these organisations serves to open up opportunities or stifle evidence uptake by the wider humanitarian community.

Businesses involved in delivering humanitarian assistance are under-represented. Only one company – Takaful Insurance – was interviewed.

The view of field workers, whose role in humanitarian research is considerable, yet often overlooked, was captured to a limited extent in Uganda. This was through additional budget which was secured to visit Karamoja and speak directly with field workers. Feedback from beneficiary communities was not obtained due to budgetary constraints.

### **A.3.2 Literature review**

A purposive sampling of 33 publicly available pieces of literature (Annex 5b) published from 1 January 2011 onwards was organised by three geographical levels (national, regional and global) and across the four categories of humanitarian action. The literature which fits under the study's definition of research and evaluations is broad and varied and includes self-published scoping and mapping studies, best practice accounts, assessments, situation analyses, operational reviews, comparative reviews, systematic reviews, evaluations and policy analyses.

Purposive sampling was based on recommendations (excluding self-recommended reports) through KIIs and online survey, for significant/valuable reports which candidates have read and word searches through a range of international online databases (see Annex 5c). The quality of research methodologies was assessed using the criteria adapted from DFID<sup>20</sup> (see Annex 5a).

***LIMITATIONS: intentionally broad definition of 'research'; questions of representativeness of sample and a reporting bias***

The vast and varied body of literature available and the deliberately broad definition of humanitarian research meant that purposive sampling was akin to using a very small net in a large ocean. To what extent the small and diverse sample of 33 studies reviewed (out of some 7,626 studies on East Africa hosted by DFID R4D, for example) is representative of the body of work in the region is an open question.

At least one-fifth (21% online survey and 23% of KIIs) of respondents recommended their own material or that of their organisation (in response to online question 4: *Please name one good research or evaluation that you remember* and KII question 15: *What R&E findings have been particularly useful?*) These self-recommendations were disregarded unless they were mentioned by respondent(s), from other organisation(s).

### **A.3.3 Financial analysis**

Starting with the hypotheses that i) absolute and relative proportions of budget allocated to a particular activity/organisation are a strong indicator of the value and strategic importance of that activity or organisation ii) access to and controlling budgets is important for ownership and gives a good indication of where power and influence lies, the study analysed financial flows to R&E activities within the humanitarian system in East Africa. It used publicly available data from the Organisation for Economic Co-operation and Development (OECD) Creditor Reporting System (CRS).

Using organisation project online databases, this study prepared case studies on organisational funding to humanitarian R&E. Three case studies were prepared, namely: DFID, USAID and IDRC (Annex 7).

***LIMITATIONS: sampled only government donors, lack of transparency, challenges in direct comparisons and disaggregation***

The financial data obtained and analysed was only from donor governments, extracted by using word searches of the OECD data. However, word searches (example of key words; Kenya, Uganda, humanitarian, reports, research, evaluation) only yield results if donors have reported detailed project descriptions. Not all donors report their R&E projects in detail and so these contributions are not captured and included in our findings. In addition, obtaining data for additional case studies – particularly on philanthropic allocation to R&E – were unsuccessful, despite making several attempts to contact relevant organisations.

The case studies approach proved to be time-consuming and generated only context-specific findings, particularly as organisation budget structures vary and research is not always presented as a standalone budget item. Comparison of data across different organisations was limited. A further challenge was the lack of transparency on data of research budget share between local organisations (sub-contractors) and the lead contractor. KII respondents were either unable or unwilling to provide estimates of research budget share between international and local partners.

#### ***A.3.4 Uganda field visit***

At the behest of DFID, a field visit was made to Karamoja, which is reflected in the weight of evidence from there. In contrast to the rest of the study, the Uganda sample includes field worker perspectives and conflict-related R&E activities.<sup>21</sup>

## B. Research findings

**What factors determine the ways in which the current humanitarian research and evaluation environment operates? What are the socio-political factors governing the commissioning, undertaking and uptake of humanitarian R&E in East Africa?**

### B.1 The nature and quality of humanitarian R&E in the region

Much evidence appears to be self-published by donors, UN organisations, INGOs or researchers and found online. Only about one-eighth of all studies on East Africa were peer-reviewed compared with one quarter of all East Asian studies found on the [r4d.dfid.gov.uk/research](http://r4d.dfid.gov.uk/research) database. In line with international findings,<sup>22</sup> the quality of R&E in the region is variable. Some three-quarters of online survey respondents based in the region felt that the quality of R&E was ‘not good’.

*“Research done lacks depth, most of the available research is project based and carried out by researchers who are not independent.”* – FAO Uganda, KII 17 March 2015.

#### B.1.1 Primary datasets are available but rarely used

Demographic data is scant and more patchy than climate and environmental data (captured by geo-spatial mapping and satellite) across the region. However the **International Livestock Research Institute (ILRI) Datasets portal** ([data.ilri.org](http://data.ilri.org)) now has publicly available and downloadable country datasets across the whole IGAD region and on multiple indicators covering environmental, natural resources, social, developmental, economic and cultural components.

In July 2014, OCHA launched the **Humanitarian Data Exchange-HDX**<sup>23</sup> which, at the time of writing, hosts a total of 2,241 datasets with 127 indicators (including railway networks, food security livelihoods map). This includes 159 datasets for Kenya (e.g. prevalence of under-nourished from FAO 2011, Under 5 Mortality Rates from UN DESA 2013), including those from the Kenya National Bureau of Statistics, and 42 datasets for Uganda. The site also allows for shared data and for contributions of datasets from other organisations). The online audience for HDX online appears limited for the moment (16 September 2015) with only 3,048 Twitter followers, but this may change as more people become aware of its actual and potential usefulness.

The Kenya National Bureau of Statistics holds datasets from population censuses (most recent 2009) and demographic health surveys which are reported to be publicly available but rarely used<sup>24</sup> and there are limitations in the data. Likewise for the Uganda Bureau of Statistics, which has just concluded its latest national census.

The primary datasets on Kenya pastoralists in arid and semi-arid lands (ASALs) are reported to be:<sup>25</sup>

- the Hunger Safety Net Programme (HSNP) – a census-like survey in four ASAL counties
- the Index Based Livestock Insurance sample surveys in Marsabit (2009-2013)
- the household economic analysis (HEA) sample surveys in Marsabit and Turkana
- NDMA household monthly data (2006-2013) based on monthly sample collection.

The quality of these datasets, the extent to which they are used and by whom was not investigated, however, the need for reliable longitudinal datasets of good quality was cited by several researchers in the region.

*“Many research networks work on resilience and the major impediment to doing research is lack of longitudinal datasets. Any that exist in Kenya or the region on previous decades are poor or unusable due to a lack of harmonisation of data and the resultant problems with interoperability. Donors should encourage governments to invest in building these and make use of them as opposed to being forced to invest in primary survey data collection each time they want to review the progress or impact of their investments.”* – Dr. Katharine Downie, Senior Scientist and Coordinator for the Technical Consortium for Building Resilience in the Horn of Africa, a USAID-funded project of the Consultative Group on International Agricultural Research (CGIAR), KII 30 January 2015.

### **B.1.2 Dominant topics and types of evidence produced by implementing agencies**

Within the vast amount of literature available on a few selected online database since 2011 (and excluding conflict-related, peace and stability-related R&E, which seems to represent an increasing component of R&E studies), studies on the following topics seem relatively common: drought-related resilience and cash transfers, Early Warning Systems (EWS), and climate change adaptation (Annex 5c). Studies on peace, reconstruction and health feature more predominantly in Uganda.

*“...a lot of research around resilience, but there seems to be repetition.”* – Mark Bradbury, Rift Valley Institute (RVI), KII 30 June 2015.

Since 2012 (i.e. after the 2011 drought), there has been an increasing focus on **building resilience, effective early response<sup>26</sup> and scaling up** in the humanitarian literature produced by INGOs and the UN in the region. These have largely taken an operational angle, including advocacy calling for improved coordination, early action and common framework for all agencies<sup>27</sup> how to expand surge models of response<sup>28</sup> and the need to standardise early warning systems within national governments.

The study could not discern a commonly used nomenclature and associated research protocols at regional level which define and distinguish between ‘reviews’, ‘evaluations’, ‘impact studies’ and various other terms used to describe studies.

The dominant type of evidence which is published by implementing agencies, in particular some UN bodies and INGOs, appears to be self-produced narrative descriptions of programme approaches, with largely qualitative methodologies leading to indications of effectiveness and beneficiary feedback, generally collated over a short time period around the intervention itself. R&E outputs from research consortia (funded by centrally held research budgets) tended to be better quality than those conducted by operational agencies, with greater methodological rigour, larger sample sizes and conducted over longer timeframes.

The following characteristics of 33 studies (Annex 5b) which were sampled are noted below. The studies comprise a diverse portfolio which includes ‘lessons learned’, comparative reviews, operational reviews and evaluations, and INGO crisis advocacy reports. These were performed at either local, country, regional or global level:

- All the documents reviewed are publicly available on websites. Only two did not have executive summaries. More than half of the studies (18) did not include a detailed description or rationale for the research methodology used.
- Seven studies (which include INGO crisis advocacy type reports) did not pose research questions. For the 26 studies where research questions were posed, 13 tended to be focused on checking or proving the effectiveness of an intervention mainly for the commissioners or programme implementers, in one instance for government policy makers in Uganda. In 19 out of 33 of the studies the potential use of the research was not clear. Where use was mentioned it was either for submission to a conference, or to be shared with concerned commissioners or stakeholders.

- More than half of the studies (19) consulted beneficiaries. Sampling of respondents was predominantly selective or purposive, and ranged widely in sample size (from 20 to 1,185 respondents) for interviews (with individuals or heads of households) or focus group discussions in situ. With the exception of two studies, there was no clear explanation on how respondents had been selected for interview and by whom.
- The dominant methodology in 17 out of the 33 literature sampled appears to be mixed research methods, with a predominance of qualitative methodologies – FGDs, KIs, community dialogues and desk-based literature reviews. Studies on resilience (cash transfers) and nutrition, which were performed by international academia/consultants, were the most methodologically diverse.<sup>29</sup>
- Three impact studies/evaluations included control/non-treatment groups or comparisons between pre- and post-intervention<sup>30</sup> (these methods are suitable only for certain types of research). Thirteen studies stated they used some degree of randomised sampling or design (more of these were found in Uganda).
- Limitations of R&E studies were pointed out in 11 of 33 studies.
- Gender or social inclusion analysis featured in 12 out of the 33 studies.
- Nearly all sampled studies cited references and other research, except for two studies which did not include any citations or reference lists.

### **B.1.3 Limitations and biases in programme evaluations**

With the exception of multi-country, comparative evaluations of resilience (usually cash transfer) and early response programmes, the programme-specific evaluations used fairly small samples<sup>31</sup> and only one of the four evaluations reviewed clearly listed the limitations of their methodology and findings.<sup>32</sup>

Published evaluations and ongoing assessments seem vulnerable to a number of limitations<sup>33</sup> and biases – from access limitations in constrained environments (e.g. insecure refugee settings,<sup>34</sup> short single field visits), to possible biases introduced by purposive selection of beneficiaries for interviews, to poorly interpreted data.<sup>35</sup> The study was unable to easily locate critical programme evaluations through a quick web search of well-known INGOs and UN organisations suggesting publication bias. It seems that critical evaluations are not published except in rare instances.<sup>36</sup> As noted in a previous study, aid agencies lack incentives within the humanitarian system to highlight weaknesses.<sup>37</sup>

*“We don’t make it compulsory for partners to publish the monitoring and evaluation reports they produce.”* – Isabelle D’Haudt, Technical Adviser Kenya and Uganda, ECHO, KII 13 March 2015.

### **B.1.4 Outstanding gaps in research in the region**

The following four gaps in the body of research in this region have become apparent through this study:

- There appears to be limited R&E in the region and at country level on the political economy of host government responses to (non-conflict-related) crises and humanitarian need. There were none in the study sample of literature, nor on websites visited, although the study participated in two discussions on political economy studies. Reasons for this may lie with “limited humanitarian interest and expertise until recently in the political economy of crises” – Professor Kenneth Menkhaus speaking at the Rift Valley Institute Horn of Africa course, Lamu, Kenya June 2014. For Kenya one unpublished study notes, “there is no single study that empirically investigates the public policy process since the adoption of the 2010 Constitution”.<sup>38</sup>

*“We need research on why does the crisis persist? Look at it as an anthropological aspect.”*  
– Dr. Truphena Mukuna, OSSREA KII 23 March 2015.



- Cost-effectiveness studies outside of a few cash transfer resilience programme studies seem rare.<sup>39</sup> Given that cost-effectiveness ought to be a key consideration in the adoption, scaling-up and consideration of programmes by policy makers this seems surprising.<sup>40</sup> It perhaps indicates the lack of concern for long-term resourcing and sustainability of humanitarian interventions by humanitarian actors and possibly also indicates the lack of inclusion of host government interests. KII did not give a perspective on this.

*“...the Ministry of Health will, in the coming months, review how it conducts business starting with assessing the impact of its current policies such as the free maternity health services policy; is this the best value for KES 4 billion every year? How effective is the implementation of the free maternity services?”* – Dr. Muraguri, Kenya’s Director of Medical Services speaking at an African Institute for Development Policy (AFIDEP) hosted breakfast in Nairobi 5 August 2015.

- Despite the availability of datasets spanning several decades, there seem to be few longitudinal studies of root causes and interactions of recurring crises with demography, vulnerability and environmental factors over time; nor are there retrospective studies on programme evolution which document the history of a programme and why changes in direction and design occurred.<sup>41</sup> This seems to be due to limitations and lack of confidence in the datasets, and/or lack of funding for longitudinal studies on recurring crises. Retrospective exercises are valued by some respondents.

*“...there was a useful event, I think convened by NDMA, where they brought together learning from the past 30 years, including people from Oxfam, EU, government agencies – all the speakers spoke about what the situation was like then and how policies and trends along the way affected where are now.”* – Dr. Zinta Zommers, Climwarn UNEP, KII 2 June 2015.

- Assessments seem poor at representing the specific needs of the marginalised and vulnerable groups<sup>42</sup> such as the elderly, people living with HIV/AIDS, disabled people or female-headed households. While study respondents voiced awareness of and the understood the importance of a gender and vulnerability focus and analysis, it would appear that skills and capacity may be more limited than awareness levels. Sampling of community perspectives when it occurs tends to be selective and/or in focus groups with relatively few studies concerned with representing or analysing vulnerability or marginalised voices (10 out of 33 studies) or gender (12 out of 33 studies), in either their methodology or in setting out their limitations. Interestingly, 22 out of 59 respondents (37%) in the region said they had a gender specialist/analyst in their organisation – of which more than half were donor organisations. While several respondents (IAWG INGO FGD 29 January 2015), voiced an awareness of the need for social inclusion and gender considerations, it is not clear that this is followed through with current R&E outputs.

There appears to be a greater body of conflict-related research involving and representing the specific needs of marginalised and vulnerable social groups.<sup>43</sup> The Uganda literature sample showed more sampling of vulnerable people and community perspectives (including peace building programmes and areas affected by conflict) than the Kenya sample showed. The study did however find two Kenya based pieces of research<sup>44</sup> on interactions between insecurity/violence/conflict and food insecurity and natural resources. These specifically sought the input of conflict-affected communities, inviting them to attend research inception and feedback meetings in Nairobi.

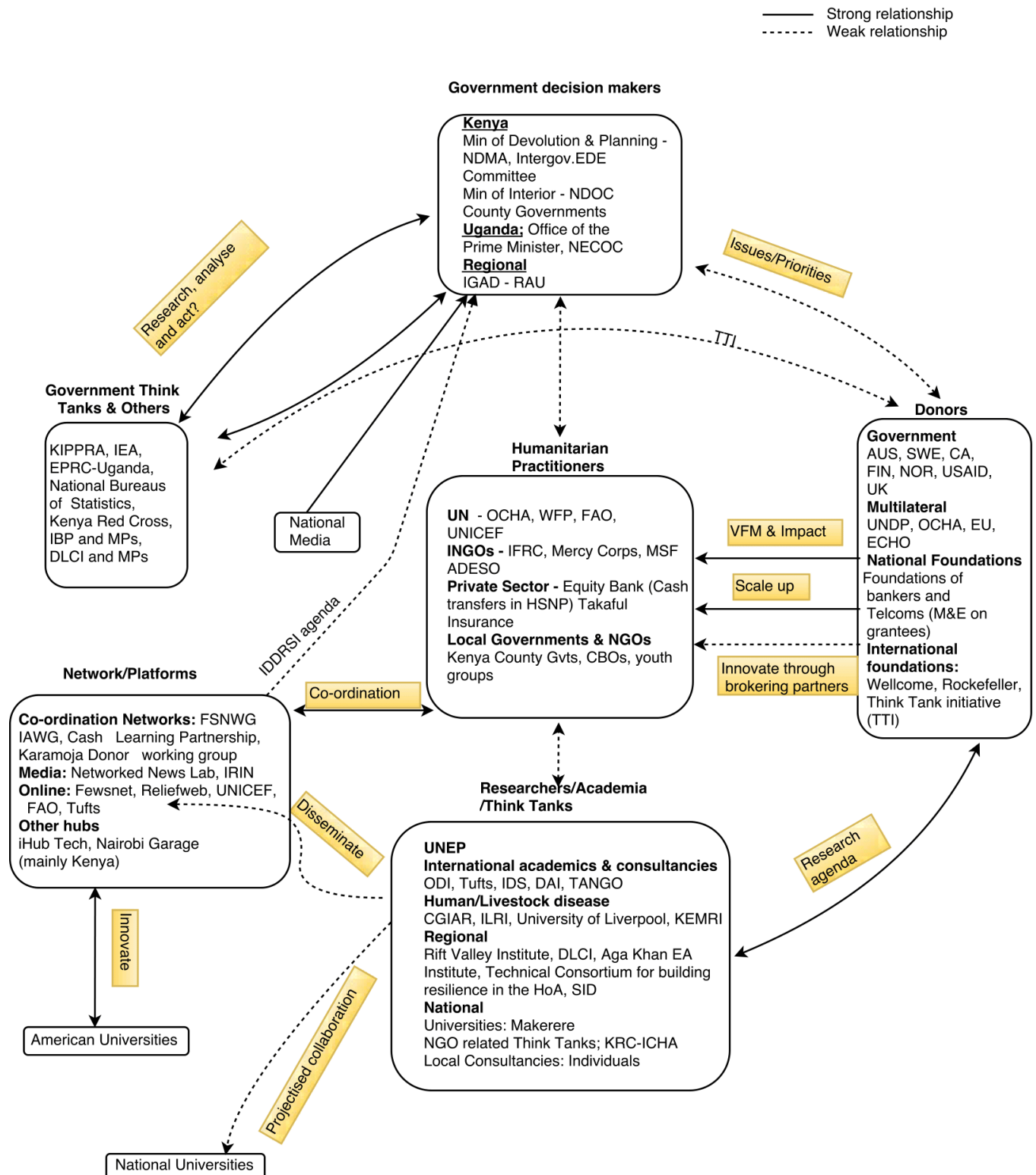
The advent of digital and mobile technology can allow for more marginalised voices or those from remote communities to be heard. Annex 1 describes some digital tools used by humanitarian actors. But apart from these examples, the study did not find reports of routine use of mobile or digital data in the wider humanitarian R&E community<sup>45 46</sup> as a whole, including in the longer term research studies by research consortia.

## B.2 Who produces and who uses R&E in East Africa?

Adapting DFID's mapping model of the humanitarian research/evidence system,<sup>47</sup> Figure 3 shows the landscape of humanitarian actors, researchers and decision-makers and the relationships between them. This may be useful to refer to from this point in the report onwards. Not all organisations are presented here, ones which are named participated in the study and are indicative of organisational type. Dotted arrows represent weak relationships and non-dotted arrows demonstrate strong relationships. The direction of the arrows also indicates in which direction influence (occasionally associated with funding such as between donors and humanitarian practitioners, donors and researchers, government and government think tanks) is exerted. Based on the study findings, the mapping shows weak links between government decision-makers and most of the humanitarian actors, with the exception of government think tanks. National media was acknowledged to be influential by government respondents. There are fairly strong connections between the donors and humanitarian practitioners and donors and researchers. However, the links between humanitarian researchers<sup>48</sup> and other actors in the region seem weak. Section C4 illustrates on the same map, recommendations for which linkages could be strengthened and for appropriate interventions to improve R&E quality and uptake.



Figure 3: Mapping of humanitarian evidence system actors and relationships in the East Africa region



Developed by Fiona Napier

### **B.2.1 Producers: routine internal monitoring and external situation updates by operational agencies within the region**

While our study sought to distinguish between producer and consumer behaviour in regard to research and evaluation, a significant proportion of respondents based in East Africa, most notably INGO and UN respondents (51% 18/35 of regional online responses; 68% 40/59 KII respondents in the region) described themselves as *both producers and consumers* of humanitarian evidence and said they used evidence daily or weekly to inform their work. The findings below indicate that these respondents appear to be involved primarily in producing internal programme monitoring reports and consuming humanitarian situation updates. Indeed 42 out of 66 KII respondents described themselves as producers, consumers and influencers combined. Not surprisingly, respondents feel they play a number of different roles in the evidence cycle, although very few (three respondents in total from UN, donor organisations) described their role as influencing the R&E cycle.

#### **Who produces evidence?**

In addition to the majority of respondents who say they both produce and consume evidence, a minority (6/35 online and 11/59 KIIs) said they only produced evidence. These respondents hailed from INGOs, some private consultancies, universities and international researchers based in the East Africa region, who describe themselves as producers of evidence. The second major group which produces evidence are US and European researchers based outside the region who are described in more detail in section B4.

Government representatives (except for the National Emergency Coordination and Operations Centre (NECOC) in Uganda) within the region tended *not* to describe themselves as producers of evidence.

The extent to which stakeholders said they were involved in producing evidence is probably a reflection of the reporting processes required in the humanitarian system. Evidence production is less research based and more routine monitoring. This is discussed below.

#### **What type of evidence is produced in the region?**

Evidence is produced in three forms:

- The majority (72%) of online survey responses in East Africa cited internal evaluations as the most common type of R&E produced. Few of these seem to be published or made externally available, judging from the relatively low proportion (8%) of East Africa region studies which are described specifically as evaluations on the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) database.
- Situation updates/analyses and forecasts at country and regional level such as food security, drought risk updates and analyses.
- A varied body of outputs including illustrative programme descriptions/case studies, best practice accounts, operational reviews, comparative research studies and evaluations/reviews, which are often self-published or sometimes externally commissioned.

#### **Why do they produce evidence?**

One third of regional KII respondents<sup>49</sup> and 63% of regional online responses reported that demand for evidence came equally from within their own organisations and from donors. This suggests that evidence is primarily around monitoring inputs, outcomes and describing programme effectiveness directly for donor consumption or for internal reporting purposes to head offices. Much of this evidence may not be publicly shared or available. Two respondents in Uganda (government and an NGO) mentioned a preference for internal evaluations for reasons of cost.

*"We've moved from being doers to being thinkers as well... We're weak as a sector on quality research and evaluation... We're locked into a data gathering process, not the wider context."* – IAWG INGO, FGD 29 January 2015.

*“...in fact these are written for a variety of readers including potential donors out there, like private donors – to catch their interest.” – IAWG INGO. FGD 29 January 2015.*

*“Data is not easily available in a standardised format. Would be helpful if there is a data/research repository. This will be a one-stop shop but needs to be more than a database, it has to be user friendly - easy to navigate, interactive, filterable over sector and time. OCHA would be a possible host of this repository.” – Dirk-Jan Omtzigt, Analyst/Humanitarian Affairs Officer, OCHA East Africa Regional Office, KII 16 April 2015.*

## Who are the consumers of evidence?

What are the main sources of evidence which they consume?

When this same question was posed to government respondents in Kenya, they pointed to government think tanks such as the Kenya Institute for Public Policy Research and Analysis (KIPPRA). Several government respondents were not aware of websites such as Reliefweb, OCHA etc.

[illegible]Development Initiatives [www.devinit.org](http://www.devinit.org)

Consumers take recommendations for what to read from colleagues, those they follow on social media, the reputation of authors and institutions and the relevance and utility of a study to their interests.

### Why are they consuming evidence?

- **Routine external and internal monitoring by humanitarian implementers**

Many ‘humanitarians’ sampled in the region are involved in routine situation surveillance and programme monitoring in order to respond to the demand for evidence from donors and their own internal organisational needs. The findings suggest that many of these respondents invest more time in producing monitoring type evidence than in reading externally produced research. When they go to external sources it is either to get situation updates/forecasts/data for humanitarian response considerations or to find advice on effective interventions.

- **Government respondents want baseline data on resources and services**

Interviews with government respondents in both Uganda and Kenya revealed they rarely used the sites above, and had unmet basic information needs relating to mapping of resources, services, population requirements, urban risk assessments and climate predictions. Government respondents conveyed an opportunistic approach rather than planned pathways to meeting these needs. In general – with the exception of the Kenya NDMA and the e-ProMIS-Kenya electronic Project Monitoring Information System which is gearing up at Ministry level – government respondents’ working environment did not include easy access to online information or clear research processes to monitor situations or solve problems.

*“We were finding difficulties with locating water points in places that would not run dry in Karamoja. We wanted research that would tell us exactly where water points should be located. We could not find any until an Israeli firm gave us aerial maps of the area with the exact information we needed.”* – Johnson Owaro, Coordinator Food Security Programmes, Office of the Prime Minister, Uganda, KII 3 March 2015.

A European donor expressed frustration with a perceived lack of mobilisation and interest within government on routine collection of basic data:

*“...we have supported the Ministry to set up an M&E system, now we are waiting to see what happens. There is never any national funding allocated to M&E in the sector - if you don't know what you are doing now how will you know what to invest in?”* – Elisabeth Folkunger, Senior Programme Manager Water and Humanitarian Assistance, Embassy of Sweden, Kenya, KII 18 August 2015.

*“Often research doesn't mention baseline data ..... we need more projections and forward looking research to aid planning, more climate change research in all sectors so we can plan for the future....”* – Respondent from National Treasury Kenya, KII 22 June 2015.

Other research and evidence needs include:

- More advanced requirements for evidence as part of a strategic research or knowledge management strategy. UNICEF Africa region and Kenya Red Cross - International Centre for Humanitarian Affairs (KRC-ICHA) are each developing a research strategy. Significantly, given the potentially valuable ramifications for the wider humanitarian sector in Kenya, the NDMA are coordinating a knowledge management initiative and the EDE Secretariat in Kenya has plans to go one step further and establish an R&E clearing house.

- Some organisation types such as INGOs reported internal demand, usually driven by headquarters, for evidence:
  - To remain ahead in their thinking (Darius Radcliffe, Regional Programme Director, Mercy Corps, KII 11 March 2015).
  - To compare and illustrate cost-effectiveness across programme interventions (IRC).<sup>50</sup>
  - To - in part - to support critical advocacy work (Niamh Brannigan, Communications and Advocacy Manager African Development Solutions (ADESO), KII 08 July 2015).
  - To identify grey areas in terms of evidence which require greater investment in research (Niamh Brannigan, Communications and Advocacy Manager ADESO, KII 08 July 2015).

Some UN organisations (UNEP in particular and UNICEF) have a well developed R&E agenda as part of their core business. Discussions with UNEP stakeholders<sup>51</sup> conveyed immediate clarity over R&E purpose and relevance for strategic public interest challenges such as developing decadal climate projections which are valid at local level. For example, what will the climate be like at Lake Naivasha in 10 years time and how will this affect flower production and the local economy? Humanitarian policymakers and practitioners have much to learn from the accomplished and well governed scientific research profession based in Nairobi.

### What type of evidence do consumers want to see more of?

When asked an open question in the online survey and KIIs: 'what information would you like to see more of?', about two thirds said planning and programming tools for data and situation analyses and examples of impactful interventions and operational good practice.

One third of demand was for broader enquiry around systemic issues and root causes (corruption, political factors, conflict) and reflected emergent interests in mental health, urbanisation and epidemiology (see Annex 6).

In various fora<sup>52</sup> people have welcomed the increasing availability of systematic reviews. These products would, if targeted to the kinds of topics mentioned, help meet the demand on systemic issues and on effective methodologies.

### What evidence was recalled as useful?

Over a quarter (28% of KIIs, 21% of online) of all respondents, when asked to recall evidence they thought was particularly useful/significant defaulted to promoting only their organisation's research/evidence products. This could be for reasons of self-promotion, or because the respondent was involved in the production of evidence, or another reason. It is not clear.

Online respondents (global and regional), when asked to recall at least one useful piece of humanitarian evidence tended not to recall specific reports but focused on topics. These centred on **cash transfers, food security and nutrition**. Recalled studies on nutrition included more global analyses (e.g. the Global Nutrition Report) compared with cash transfers and food security which tended to be more regionally or country based. Perhaps this reflects the well developed scoping, evidence and analysis frameworks now in use for nutrition.

When asked in a group setting which reports were valued by INGOs, the following studies were mentioned as being significant and useful:

- *Milk Matters* study on livestock milk and children's nutrition in Ethiopia by Tufts and Save the Children (2012) which had a fairly thorough methodology;
- *Refugee Economies; rethinking popular assumptions* by A Betts et al (2014), Humanitarian Innovation Project, University of Oxford.

Both studies were appreciated for the significant enlightenment, clear presentation and cross sectoral opportunities opened up to existing bodies of work. Refugee Economies was valued more for its policy implications than its practical application by the INGOs at the FGD 29 January 2015.



In addition the *Early Warning Early Action and Dangerous Delays*<sup>53</sup> reports were noted for their cogent and frank retrospective operational reviews of the humanitarian response during the 2011/2012 drought and the commitments to do better. However, practical follow up from these reports within the humanitarian community seems to be less forthcoming (section B.7.1.).

#### What limits the consumption of evidence?

Within East Africa, 44% (the majority) of respondents ticked the following reasons for not consuming humanitarian evidence (they could tick up to three out of 14 options):

- limited time
- abundance of scattered information in different places
- studies being too long with no summaries.

*“...the only time I read a report is when I go to the dentist.”* – FGD INGO Respondent 29 January 2015.

After these reasons, questionable credibility of research was the next strongest reason for not reading a report. Interviewees in the region were critical of the quality of R&E which their ‘system’ produced. Three quarters (49/66) of all respondents (and 61% of respondents based in the region) said that they felt that the quality of R&E from the region was *not* good. 15% of regional respondents could not give an opinion on the quality of R&E outputs overall.

Responses clustered around the following:

- evidence lacks data: guestimations or small samples being used
- repetition of evidence: too much copy and paste, too many, too disparate R&E activities
- narrow and short-term focus: evidence is quite specific so you don’t get a good picture of the region
- ‘voices of locals not seen’.

These judgments resonate with the study’s own gap analysis and observations on the quality of research produced in the region (section B1).

A level of ‘mistrust of INGO generated reports’ was reported in FGDs and KIIs with INGOs, by one IGAD representative, one Uganda government representative and a journalist. They felt that the evidence may be biased in some way to impress potential donors (inflating the crisis or impact of NGO programme), or that findings are generalised implausibly from small samples to represent a misleading ‘big picture’.

Media suspicion of INGO reports was based on, in their view, failure to analyse and report on the root causes/political problems of a crisis such as competition for resources and corruption to avoid displeasing host governments and instead focusing on the human cost of such a crisis.

*“Same old ways of doing things and calling attention to a crisis... INGOs don’t give the complexity of the situation.”* – Katy Migiro Thomson Reuters Foundation, KII 1 April 2015.

*“...media has more trust in government evidence over INGO evidence...”* – East African Newspaper, KII 17 June 2015

### **B.3 Donors who are the major funders (and influencers) of R&E and the consequences of their dominance**

Remarkably few respondents in the region (three in total - the UN Department of Security and Safety in Uganda, FEWS NET and EU respondents) saw themselves as playing a role in influencing the research agenda. Donors drive the R&E agenda, and their funding tends to flow to humanitarian R&E through two routes:

i) To operational agencies (UN, INGOs, occasionally government such as NDMA in Kenya) as a percentage requirement of programme budget, normally designated for monitoring and evaluation. This represents around 0.26% (i.e. US\$5.1 million) of humanitarian spend in the region in 2013. A significant amount of R&E funding from the OECD (Creditor Reporting System all funding channels) to Kenya and Uganda in 2012 and 2013 (US\$0.9 million) was for conflict and peace building studies, much of this came from Finland.

ii) To Northern based research consortia as part of centrally (more often) and/or regionally held (as in the case of DFID) research budgets by donor headquarters. OECD Donors hold specific research budgets at headquarter level for development and humanitarian purposes totalling US\$62 million for Kenya and Uganda in 2013, of which US\$28 million was for health (malaria research) and US\$11 million for agriculture. DFID is channelling US\$353 million to development and humanitarian research in East Africa which includes spend in Kenya. Ongoing DFID research funding to Kenya only is US\$21.7 million. USAID is channelling US\$27.7 million specifically for humanitarian research projects in both Kenya and Uganda.<sup>54</sup>

Host governments allocate a much smaller figure to humanitarian R&E, with Uganda for example allocating approximately US\$21,000 to 'short-term consultancies' in 2013. The Government of Kenya's funding for research focuses on science and technology<sup>55</sup> and is framed within the National Research and Development Agenda (2013-2018). It includes a commitment of 2% of national GDP to be allocated to research; however the study understands that funding has yet to flow.

### **B.3.1 R&E demand and activity is driven and also constrained by donors and implementing agency HQs**

One third of regional KII respondents and 63% of regional online responses reported that demand for evidence came equally from within their own organisations and from donors. Findings outlined previously indicate that this demand is for evidence and illustrations of effectiveness and impact from funded programmes, normally generated by routine monitoring and internal evaluation type activities. Government donors interviewed in the region required R&E to report to headquarters and/or national parliaments on effectiveness (with an implicit value for money agenda).

*"Demand coming from headquarters as justification of progress...there is also some demand for research coming from the district leaders but not much."* – UNDP Uganda, KII 22nd April 2015.

Of all the online respondents, 19% - the highest proportion - reported that lack of funding was the biggest impediment they faced in commissioning, planning or implementing research. The same challenge was expressed within the Uganda FGD with the Nabuin Research Centre (FGD, 23 April 2015).

The second challenge cited by online responses was fitting in R&E activities alongside other humanitarian activities. Two European donors and two UN respondents in the KIIs also reported that by the time evaluation findings came out, due to the funding cycle, the next programme had already started so...

*"More often than not utilisation of evaluation findings by our partners is not forthcoming, and what remains a real problem is the inability of research to impact on poverty alleviation and food insecurity."* – Stephen Wathome, Programme Manager, Agriculture and Rural Development, Delegation of the EU to Kenya, KII 20 February 2015.

### **B.3.2 Limited coordination between donors on R&E plans**

There is little evidence to suggest that donors regularly share or coordinate plans for R&E in the humanitarian sector in the region between themselves. Despite references being made to various donor coordination meetings such as the informal donor coordination group, the donor partner group, and the ASAL donor group in Nairobi, one donor respondent said:

*“...there is a sort of gentlemen’s agreement that we will share plans and outcomes from R&E but in practice this doesn’t happen.”* – Dominique Davoux Head of Rural Development and Agriculture, European Union Delegation to the Republic of Kenya, KII 13 March 2015

In Uganda, the Karamoja Donor Working Group share operational information and studies undertaken by the members, but do not routinely share research plans.

The study found one instance where lack of coordination at several levels (government donors, national and local government and implementers/consultants) appeared to lead to some duplication and questionable value added. In 2014, an Office of US Foreign Disaster Assistance (OFDA) funded study on the capacity of county actors to implement cash transfers in emergencies was undertaken in the same area as the long standing DFID/AusAID/Government of Kenya funded Hunger Safety Net Programme (HSNP). There appeared to be a lack of consultation and coordination at all phases from development of the terms of reference through to implementation on the ground.

### **B.3.3 R&E can be seen as a way of using up unspent funds**

The study also received off-the-record feedback that spending on R&E is sometimes a convenient way to disburse unspent funds by both donors and operational agencies (KII INGO, Uganda), thereby avoiding the inconvenience of justifying, handling and returning funding. This is simply noted here as anecdotal feedback and it is difficult to estimate the overall extent of this practice and generalise about its possible impact on the quality of R&E in the region.

The findings outlined in this section point towards the conclusion that R&E funding within the humanitarian system is not only small, but not managed strategically. These administrative and procedural issues appear to be responsible for multiple, usually small-scale, disparate and uncoordinated R&E investments which in aggregate often fail to claim the attention of humanitarian actors in the region, including host governments.

## **B.4 R&E is dominated by Northern-based producers, local actors are rarely involved in research design and planning**

### **B.4.1 Types of producers**

There are four main organisation types that produce humanitarian evidence in the region. First and second are the **INGOs** and **UN organisations**,<sup>56</sup> who also directly implement humanitarian operations in the region. They generally undertake or commission research or evaluations, either to a small pool of locally based consultants, or via organisational networks and established arrangements with existing service providers.

The third organisation type is the **US or Europe based academics** such as the Institute of Development Studies (IDS), Overseas Development Institute (ODI), the Feinstein International Centre, Tufts University and Tulane University. Institutions in this group tend to act as intermediaries through which research funding flows, in addition to being active research implementers themselves.

Occasionally actors, mainly from **US or Europe based think tanks** such as the International Food Policy Research Institute (IFPRI) or **consultancy institutions** including Development Alternatives Incorporated (DAI) and Technical Assistance to NGOs (TANGO International) undertake research, also with funding from humanitarian donors. With this last group, the research tends to be broader and deeper in scope, and comparative (e.g. comparing similar programme approaches across different countries<sup>57</sup>), using a variety of more complex methodologies than research done/commissioned by UN organisations or INGOs.



#### **B.4.2 Barriers are high to secure R&E funding – lack of local content**

Respondents from the donor and NGO community cited donor requirements<sup>58</sup> for high quality research bids which favoured well established and leading academic organisations with expertise in writing bids and delivering quality research outputs such as Tufts, Tulane and ODI. This was perceived as a barrier to entry and a significant problem by local actors.

*“We lack the expertise to write research bids so we don’t get them.”* – IAWG INGO, FGD 29 January 2015.

In general, research bidding processes initiated by donors do not seem to require local research partners or co-authors in any meaningful way i.e. involvement in the design of the research and not just during enumeration/data collection. In contrast, the few political economy studies which the study was aware of<sup>59</sup> seemed to have local partnership well integrated into study requirements.

While Kenya and Uganda have a large number of universities, they are rarely involved in humanitarian R&E beyond a few projectised activities. This is particularly the case for Kenyan universities (where governance and research performance challenges are reported) who seem to be involved in fewer international research programme partnerships than their Ugandan counterparts. See Annex 1 for more detailed context and background.

*“...a problem here is institutionalised non-performing research bodies.”* – Dominique Davoux Head of Rural Development and Agriculture, European Union Delegation to the Republic of Kenya, KII 13 March 2015

*“Foreign universities are filling the gap by working with individual researchers not local universities... we get approached when the research is already designed.”* – Okwach Abagi, Independent Consultant, KII 19 February 2015.

*“... there exist nocturnal academics who seek opportunities with INGOs as individual consultants.”* – Dr. Olungah, University of Nairobi, FGD 11 June 2015.

The system as perceived by local stakeholders is perhaps best summarised by Omeno Suji, an independent development consultant in Kenya (KII 17 March 2015):

*“...when a donor wants evidence they will go for a researcher. But you then get an international armchair academic review without the experience on the ground. Consultants don’t have the patience to sit down and go through thoughtful research evidence, only if it pops out to answer a specific question. So the practitioner loses out, and overall, we are poorer intellectually and as beneficiaries.”*

In contrast, there are multiple internationally funded<sup>60</sup> partnerships between international research institutions (e.g. CGIAR, ILRI) with northern based veterinary, medical, bioscience and agro-research institutions on applied research. This research tends to be planned closely with Kenyan, Ugandan government, regional and national research institutions around longer time frames than those used within the humanitarian community, adheres to internationally accepted standards on research methodology and, increasingly, includes a donor-driven focus on local capacity building.<sup>61</sup>

#### **B.4.3 Budget share to local partners in R&E contracts tends to be small**

In contrast with mainstream development ethos, there does not seem to be a widespread practice of building local participation and involvement with R&E activities. The nature and extent to which western academic and consultancy engage local actors, share budget, skills and other resources is unclear, but appears to be on the low side. Several respondents (Kenya Red Cross, Caritas, Karamoja Development Forum) expressed concern over the lack of (donor-driven) incentives to build local capacity.

*“There are these ‘hit and run’ international researchers who land here, extract the information and publish. They don’t care about localising research, just seeing their name in publications. And nowhere do donors focus on building the local capacity for research.... Why are indigenous institutions and government institutions sidelined? Research and evaluation as an activity is getting monopolised by western headquarters, well away from theatres of humanitarian action.”*  
– Idris Ahmed, Kenya Red Cross, KII 19 February 2015.

The funding breakdowns (Annex 7) indicate contrasting donor funding patterns on budget share between international and local researchers. IDRC’s funding reflects its policy of specifically supporting local research capacity, nearly half (47%) of IDRC’s budget was directed to the local NGOs for R&E activities (Cam Do, IDRC Programme Leader – Governance, Security and Justice, KII 8 July 2015). Analysis of USAID funding on the other hand shows that 94% of its funding goes to international (particularly US-based) research organisations and international NGOs and consultancy firms; with only around 6% allocated to local organisations.<sup>62</sup> It is not clear whether this is a deliberate policy within USAID to fund research with links to US based institutions. Analysis of lead organisations in current DFID research projects (R4D database) which include a focus in Kenya, show that of the US\$353 million allocated, US\$296 million (84%) appears to be channelled to leads who are international actors (media, academia, NGO and research) predominantly based outside Kenya. US\$29.7 million (8%) goes to the private sector (international consultancy firms with bases in Kenya) and an estimated US\$27.3 million (8%) goes to organisations headquartered in Kenya.

#### ***B.4.4 Local research capacity tends not to be engaged beyond enumeration functions***

In the humanitarian sector in East Africa (with few exceptions such as IDRC) there is little evidence of meaningful engagement on R&E with local actors including the affected or beneficiary communities,<sup>63</sup> nor with national academics on R&E, particularly during the design and analysis phases.

This is perhaps best exemplified by the authorship of humanitarian related literature. With the exception of the African Network for Internationalisation of Education (ANIE) mapping study and Gulu District NGO Forum<sup>64</sup> our research found no studies produced by Kenyan or Ugandan or other African research institutions. However, some research did acknowledge the contribution of Kenyan institutions.<sup>65</sup> Of the 33 reports reviewed, only seven were authored or co-authored by Ethiopians, Kenyans or Ugandans based in organisations in these countries. In Uganda we found more examples of local researchers as lead authors than in Kenya. The remainder were written by researchers based in US, UK or Canada.

One of the few examples of research that included affected communities in the oversight and design of the research process is the IDS and University of Nairobi School of Law’s research on the political economy of food security in Kenya. Representatives of the affected communities in Kibwezi, and representatives of the ‘Unga movement’ were on the oversight panel. They also participated in the research findings seminar,<sup>66</sup> where women and men presented some of the findings themselves, and engaged in a robust discussion with attending representatives from NDMA and the Ministry of Agriculture.

*“Research Institutions have varying practices of involving affected communities/beneficiaries in the research process. For example, IFPRI compensates respondents but does not go back to the respondents and communities with the study’s findings.”* – Bart Minten IFPRI, KII 25 March 2015.

At the field level, while enumerators from local communities or local NGOs are deployed, they are rarely involved in research design or analysis. This is a cause for concern for local actors for a number of reasons:

*“Most researchers don’t have interface with beneficiaries/communities – they participate minimally – they need to think differently on how they engage communities.”* – UNDP Head of Office Karamoja, Uganda, KII April 2015.

*“Evidence generation should be identified at the community level.”* – Paul Obunde, Planning and Policy Manager. NDMA, KII 24 June 2015.

*“There is too much generalisation for the research undertaken as the situation portrayed is not a true reflection of what is on the ground.”* – World Food Programme field worker Karamoja, Uganda, KII 22 April 2015.

*“...local people need to own research, there is need to build capacity to conduct rigorous research, there is a strong bias towards Northern research standards on how research ought to be done.”* – Niamh Brannigan, Communications and Advocacy Manager ADESO, KII 08 July 2015.

#### **B.4.5 Is the problem lack of qualifications, skills or experience?**

More than half of donor respondents (EU, ECHO, Netherlands, GIZ and Irish Aid) and research and policy institutions (IGAD-ICPAC, UNEP, PATH, UNDP in Uganda, Disaster Preparedness and Management, Office of the Prime Minister in Uganda, Resilience Analysis Unit, Technical Consortium for Building Resilience in the Horn of Africa) in the region were concerned with two skills gaps:

- the lack of analytical skills among researchers
- the lack of research uptake skills amongst decision makers.

A few respondents (e.g. UNDP Uganda) cited lack of qualifications as a reason for not employing local consultants. However in the main, respondents framed the barrier in terms of skills rather than qualifications, though clearly the two are linked.

The East African based producers in their KIIs (38 KIIs responded to the question *What capacity gaps exist to produce evidence?*) cited different reasons and descriptions clustered around:

- lack of tools and standards: including lack of reliable, accessible and inter-operable data, lack of research standards and limited harmonisation/standardisation of tools. 10/38
- lack of analytical skills: including probing, more research knowledge, ability to identify gaps, judging credibility of evidence. 9/38
- problems with turning R&E into policy or operational decision making/dissemination, no clear findings or recommendations. 8/38
- time and funding constraints. 5/38
- lack of local experience and exposure in the R&E process. 4/38

Interestingly, the lack of research resources (data, tools, standards) was seen by many in the region as a major constraint, more so than skills/capacity gaps.

Regional and country based humanitarian actors (KIIs) strongly valued acquired experience as a way of building skills and saw this as more important than training courses. Local researchers and Kenyan consultants cited difficulties in entering the research arena, having their work considered credible and gaining access to R&E experience and employment opportunities. Independent development consultants interviewed in the study had left teaching positions in universities. The barrier as they saw it was less a lack of qualifications and more a lack of on the job experience to persuade future employers in the INGO and UN sector of their suitability and reliability in R&E type roles.

*“Our members get a lot of training opportunities in Kenya and internationally, so they tend to have the theory but they don’t get practice opportunities. Evaluation jobs are hard to come by; our members need to get opportunities for experience, say doing field work with INGOs on evaluations.”* – Jennifer Mutua, Chair of Evaluation Society of Kenya, KII 3 April 2015.

*“What exists is a knowledge gap. We need more partnerships that are out of the box. We need to open ourselves. We need to provide shadowing experience/coaching experience. We need to*

*transfer soft skills.*” – Sheila Waruhiu, Strategic Partnerships Manager, Save the Children Humanitarian Partnership Conference Secretariat, KII 29 June 2015.

INGOs cited their own high staff turnover in regional and national offices as limiting their organisations’ capacity to do quality R&E and said this means they tend to outsource rather than build internal capacity.

*“We keep using the same small pool of local consultants, we’re not refreshing ourselves.”* – IAWG INGO, FGD 29 January 2015.

*“It’s the individual and their experience, less their organisational affiliation, that I look for in hiring for research or evaluation.”* – INGO respondent referring to searches for consultants, KII 10 March 2015.

*“It’s about CVs, this is a major barrier for the small guys.”* Idris Ahmed, Kenya Red Cross KII 19 February 2015.

## **B.5 Research is not designed with or for national government policymakers but this may be changing**

There is little evidence of research being designed with or for national governments. Some indications are that more strategic cooperation between host governments and humanitarian actors on R&E is developing, with emerging regional, national and potentially local government leadership on humanitarian coordination and action.

From discussions with government stakeholders, UN, donors and INGO actors and studies sampled, it appears that government policymakers are not a priority for humanitarian R&E uptake. Just two out of 33 studies sampled, (ODI policy briefs on cash transfers, Kenya and Uganda country studies; and the Joint Assessment Mission in Uganda 2014), was explicitly aimed at national government policy makers, offering brief, fairly general top-line findings. Government respondents were generally skeptical of humanitarian R&E feeling that they were not involved in designing the research and/or that research did not meet their needs.

*“Many reports can be excellent and cost a lot of money but they lack the specificity to guide our decision making. Therefore, we prefer (internally) generated studies and other reports that inform us on the issues we want to address.”* – Johnson Owaro, Coordinator Food Security Programmes, Ministry of Karamoja, KII 3 March 2015.

*“There’s no involvement of the local government officials, joint research is limited.”* – Moroto-Nakapiripirit Religious Leaders for Peace (MONARLIP), KII 20 April 2015 Uganda.

The DFID/AusAID/GoK funded and implemented Hunger Safety Net Programme (HSNP) which is jointly implemented with government in four counties in northern Kenya, appears to include a fairly well established partnership between government and humanitarian R&E actors focused in the main on monitoring the impact of cash transfers (this includes the consultancy firm DAI, the NDMA and county governments). Apart from this, and major research programmes run by the agriculture/livestock/medical and veterinary research institutions in country, this study did not come across evidence of research that was planned with host governments at the national or local level on humanitarian related work. Some INGO and government respondents in Kenya reported on real and potential opportunities to build useful, collaborative relationships with county government at local level to collect and monitor humanitarian relevant data which may have more traction than at national level.

### **B.5.1 Barriers to uptake of R&E by government policy makers**

*“There is always a mismatch between evidence and uptake, as policy makers are not feeling the research is a reality to what is on the ground.”* – Kenya Institute of Public Policy Research and Analysis, KIPPRA respondent, KII 11 August 2015.

Dr. Rose Oronje, Senior Policy and Communications Specialist at AFIDEP outlined key barriers to access and use of research evidence by health policy makers in Kenya.<sup>67</sup> The following barriers appear to be the most significant in the humanitarian sector:

#### Weak relationships and trust between policy makers and researchers

Various discussion fora in Nairobi (International Research Uptake Seminar 9 February 2015, UNICEF regional lunchtime presentation 10 March 2015, INGO FGD 29 January 2015) indicate that there is no routine consultation on research plans by humanitarian actors with government decision makers, nor with government think tanks, at national or local levels.

*"In government I have to bridge the know-do gap. When I meet a researcher I have three questions in my mind; what is the immediate objective of this research? Is it lobbying for accreditation or funding? Is it the generation of new knowledge which we actually need?"* – Dr. James Nyikal, Member of Parliamentary Committee on Health Kenya, Speaking at the Research Uptake seminar, Nairobi 9 February 2015.

*"Whoever believed that evidence drives policy? It's much more about establishing relationships and trust."* – Eugenie Reidy Programme Specialist Disaster Risk Reduction UNICEF ESARO, Lunchtime presentation at UNICEF regional office, 10 March 2015.

#### Poor packaging of research evidence hampers its usability for policy makers

It is well known that policy makers are distracted and busy people who will not read long research reports. Regional respondents in this study complain about lack of appropriate packaging (reports too long with no summaries) as a barrier to consuming research studies. Research dissemination strategies need to focus on better targeting of end-users using a variety of strategies including relationship building and social media strategies.

*"In my experience there are only a handful of MPs and decision makers that read research and formulate ideas on what kind of research they need to help them, although there are few research organisations that are able to respond... For most MPs in Kenya communication needs to be short and direct and social media such as whatsapp and twitter are much more likely to have wide reach than policy briefs and reports. Relations and trust are essential in uptake."* – Personal observation by Vanessa Tilstone, Monitoring, Communications and Learning Manager, Drylands Learning and Capacity Building Initiative (DLCI).

#### Lack of skills to access, use and interpret evidence amongst policy makers

There appear to be two main barriers to the use of research by government policy makers:

- Lack of appreciation of the value of research findings. This is due to a number of possible factors, ranging from a lack of familiarity with the humanitarian sector; lack of trust of the source (if for example the data was produced by a non-governmental agency) and a widely held view that the quality of R&E outputs is poor (an opinion held by 61% of regional respondents). Interestingly, research from elsewhere<sup>68</sup> (Ghana, Sierra Leone, Uganda and Zambia) suggests that lack of capacity to understand research was sometimes perceived as beneficial to policy makers since it 'allowed' them to ignore evidence and instead follow their own agenda. Thus there may not only be a lack of capacity but also a disincentive to build capacity.

*"The quality of policy makers we have in the East African Community contributes to this. They do not have a sound understanding of what the humanitarian sector is in the region and therefore do not put in place policies as recommended by research."* – Personal opinion of Caroline Kirungu, Agro climatologist at IGAD-ICPALD, KII 15 April 2015.

- Lack of technical skills in sourcing, synthesising and analysing research outputs. Kenya government respondents in this study did not seem to have access to or be aware of which websites might be useful for researching humanitarian related questions, such as risks related to urbanisation.



## B.5.2 Strategies to involve government

### Making judicious use of the media and public opinion

National and local media coverage of humanitarian issues in the region is variable and seems to be dependent on the political stance of media<sup>69</sup> as well as access to evidence and material to put together a story. Journalists have cited two challenges: problems with transport and independent access to humanitarian work in remote areas and political pressure on them or their media company to cover stories in a certain way. However the media, including social media (e.g. Kenyans on Twitter), is influential and has the attention of politicians and policy makers. The humanitarian response 'Kenyans for Kenya' (2011 after the drought, and again in 2013 after the Westgate terrorist attack) was cited by several Kenyan respondents in government, foundations and NGOs as a significant mobiliser of public support for humanitarian action.

*"If media is involved in the research in terms of dissemination there is a higher chance of influencing policy."* – Media representative Uganda, FGD 5 June 2015.

*"Local journalists are young and inexperienced, under much more pressure than I am. It's not so much training that they need but EXPOSURE to humanitarian situations and field trips. It's good to give someone a trip to see what interventions are working on the ground."* – KII Katy Migiro Thomson Reuters Foundation, KII 31 March 2015.

*"We have to consider public opinion and the media..."* – Respondent from the Government of Kenya.

Where interest has been observed from host government actors, it tends to be in evidence which has immediate utility in formulating a communications response, or to back up pre-existing political decisions/opinions and a favourable report. As the example in Box 1 shows, a positive report is more likely to spark interest within government than a critical report. This is an unusual example of a favourable INGO research and advocacy report which was then cited in government and donor circles.

#### **Box 1: Case study of government use of humanitarian evidence**

*"Uganda's handling of the refugees it hosts from the region has been hailed by development partners in a recent report [International Rescue Committee, November 2014, 'Uprooted by Conflict: South Sudan's displacement crisis'] as exemplary and a best practice which other countries should learn from."* – Head of DFID Uganda, 28 October 2014 at the GHA report launch in Kampala.

At a public event, the head of DFID used the findings of this report to assure the Minister for Disaster that Uganda "would be assisted to put a financial cost to its long tradition of providing asylum and generous policy for the refugees which allows for peaceful co-existence with the host communities, access to services and freedom of movement. For example the majority of South Sudanese refugees in the North and West Nile regions and Congolese refugees in the west are being hosted on communal land." Case cited in The Republic of Uganda 4th APRM Annual Progress Report on the Implementation of the Africa Peer Review Mechanism Programme of Action for July 2011 to June 2014, published May 2015.

### Develop shared agendas and programmes with policy makers

The DLCI is unusual among non-government actors, in that it has explicit activities targeting government and parliamentary policy makers in Kenya, on changing policy and practice in the drylands, through discussion and dissemination of evidence and knowledge management. In a similar vein the International Budget Partnership (IBP) has engaged with the parliamentary budget office in Kenya to promote budget transparency and public participation. Technical expertise and information (if packaged well) on issues of political importance, such as budget allocations, can elicit interest and secure the attention of policy makers.

## B.6 Few effective platforms and linkages between organisations for sharing evidence/research findings

While the INGOs, and to some extent the UN organisations, regularly convene information sharing meetings on humanitarian issues, and have conducted joint operational reviews of their humanitarian responses,<sup>70</sup> there are few regularly convened groups where different organisation types shared plans for R&E, or coordinated joint R&E activities (see Annex 8).

*“We’re locked into a dialogue with ourselves, exaggerating the importance of what we’re doing.”*  
– IAWG INGO, FGD 29 January 2015.

*“We are engaged in the most shameful orgy of incest, we don’t care about the community outside. Until we have organisations that are oriented to public engagement and research, donors are wasting their funding into data gathering.”* – Dr. Alex Awiti, Director East African Institute Aga Khan University KII 2 April 2015.

Some groupings are more active than others and the importance of committed and dynamic leadership of knowledge sharing platforms was acknowledged by several respondents. Those convened by INGOs such as the IAWG tend to be dynamic. The IAWG has seven active sub groups,<sup>71</sup> though none on research and evaluation specifically. The group appears to engender a strong degree of trust and cooperation and encourage a culture of information sharing and learning.

At the regional level, non-INGO convened information sharing platforms appear to be weaker. The Food Security and Nutrition Working Group (FSNWG) used to be a well attended and mixed community forum where the latest humanitarian evidence from countries in the Horn of Africa was shared. FSNWG has now been reconstituted to feed into the IGAD (IDRISSI) agenda, and is chaired by FAO and IGAD. Attendance at their meetings is reported to be waning and there is a need for dynamic leadership and clearer linkages to IDRISSI (IGAD’s research agenda).

Outside the fora described in Annex 8 there are some less well established, but vibrant discourses:

- Some ‘delicate conversations’ (Alex Awiti Director East Africa Institute KII 2 April 2015) are happening in Nairobi between survey companies (GIS, mobile) and startups. The Africa Research Network is a recently established affiliation of market survey businesses operating across East Africa), and there are partnerships developing between Africa’s Voices Foundation and some humanitarian actors (local NGOs, UN bodies) on data gathering on perceptions and attitudes which has application to humanitarian settings.
- Dynamic discussions and networking events which have application to humanitarian R&E, but with no intended R&E coordination function per se, can be found in Nairobi. The iHub Technology Innovation Community ([ihub.co.ke](http://ihub.co.ke)), and now also Nairobi Garage ([nairobigarage.com](http://nairobigarage.com)), convene events where new startups and technology are profiled and introduced to tech entrepreneurs, NGOs and anyone who wants to attend. The presence of US University graduates who are creating or piloting pro-poor innovations in for example sanitation, in populous areas of Kenya is strong. Traditional humanitarian actors rarely attend iHub.

Some valuable opportunities for strategic engagement between different communities of practice seem to be missed in this region. While there seems to be some regular interaction between the climate change scientists and policy makers in the humanitarian sectors (e.g. UNEP Climwarn expert meetings, and Regional Climate Outlook Forums), these have limited representation from the humanitarian community. Similarly, we found no reports of interactions between the medical-veterinary disease epidemiology scientists<sup>72</sup> working in Nairobi and humanitarian colleagues in the INGOs or UN humanitarian organisations on, for example, the research programme ‘Living with Environmental Change’<sup>73</sup> which includes disease surveillance capacity building at local level. Finally, there would seem to be value in closer engagement between humanitarian R&E actors and the tech entrepreneurs and social/beneficiary survey sector.

## B.7 R&E is not well governed nor coordinated

In contrast to the medical and scientific research community in the region which is in general highly regulated, centrally governed, peer reviewed<sup>74</sup> and internationally funded, the study found that in contrast, the governance and coordination of research and evaluation in the humanitarian sector in East Africa is almost non-existent.

There is no effective coordination or clearing house for humanitarian R&E in the region. Humanitarian actors are not obliged to share their plans for external review locally or to partner with similar research activities to strengthen methodological and datasets (as is the case for example in cancer research).

There is no widely shared code of ethics or research protocols governing research or evaluations in the humanitarian sector in East Africa.<sup>75</sup> Within the R&E ecosystem there is enough experience and resources to develop one. Several organisations included in the study (including UNEP, CGIAR and DFID) have their own well developed and advanced research protocols, Médecins Sans Frontières has protocols for health related research as do ELRHA.<sup>76</sup> Oxfam Regional Office is developing a Responsible Data Policy on data security, including mobile data and ethical methodology, as is the Cash Learning Partnership.<sup>77</sup>

*"I think ethics in non-medical humanitarian research is a gap that needs addressing."* – A personal observation by Robin Vincent-Smith, Programme, Change and Knowledge Manager, General Directorate MSF.

An indication of the lack of coordination and collective ownership of R&E in the region is the lack of a regional repository of humanitarian related research. Only two out of 59 KII respondents based in the region mentioned the need for one place/a repository where all R&E studies in the region could be posted.

### B.7.1 Unclear pathways from R&E findings to changing practice or policy

R&E appears to play a limited role in informing policy or practice change amongst players in the humanitarian sector. In 19 out of 33 of the studies reviewed (excluding evaluations) the use of the research was not clear. Where purpose was revealed, it was either for submission to a conference, or to be shared with concerned commissioners or stakeholders.

Despite the operational focus within INGOs (and some UN actors) on improving the effectiveness of early response and scale up following the 2011 drought, it is not clear what lasting impact these studies<sup>78</sup> and stated commitments have had on humanitarian action and coordination going forward. *"...you know I don't believe we have followed up on our commitments in the Early Warning Early Action report."* – Comment by representative of one of the authoring agencies, IAWG INGO, FGD 29 January 2015.

At an institutional level, with the exception of the HSNP in northern Kenya, it seems that host governments in the region do not yet have the willingness or the capacity to respond to humanitarian research findings, and there does not appear to be substantial investment in routine evidence collection or monitoring. With the exception of the NDMA in Kenya, there is a perceived lack of effective leadership and coordination within government of formulating a useful R&E agenda which is directed towards the humanitarian sector.

Discussions with INGOs (IAWG INGO, FGD 29 January 2015) on how evidence informs change revealed the following barriers:

- Funding cycles and operational imperatives, which either push R&E to the margins of ongoing programmes and/or squeeze timeframes for planning and executing R&E (section B.3.1.)
- Lack of research and analysis skills (including language) amongst staff recruited to operational agencies.



- Organisational constraints which lock in ‘project cycles’ and don’t allow for interrogation of how things are done, or the questioning of conventional wisdom on the basis of evidence and/or changing direction as a result.
- Technical concerns over the validity of some methodologies including skepticism about the accuracy and utility of retrospective evaluations of crisis response.
- Lack of an organisational culture which values beneficiary perspectives and includes mechanisms for responding to them.<sup>79</sup>

Programme evaluations in some circumstances have limited rigour and consequences. This derives from two main factors: 1) funding cycle timeframes that force decisions to be made on the next programme phase before the evaluation findings are available; and 2), methodological limitations especially concerning access (such as short field visits, challenges of insecure environments) and potentially biased sampling frames (purposive selection of beneficiaries and lack of clarity over such selection), all of which undermines findings.

Accountability for evaluation findings may be strengthening within the system. In three out of the four evaluations reviewed, the purpose of the evaluation was explicitly to inform the next phase of a programme. In two of these in the past year, a management response is published alongside the evaluations.<sup>80</sup> However the study was unable to find published examples of highly critical evaluations. Through KII, a follow up question revealed one instance of a programme being closed as a result of a critical evaluation: a DFID-funded agricultural education outreach programme.<sup>81</sup>

It was also unclear as to whether and how R&E currently leads to innovation. According to a recent funders’ meeting in London: “It is rare for a research output/paper to have a direct and immediate impact and it may take five to 10 years for impact to be felt”.<sup>82</sup> The East African region has hosted well known innovations on mobile money (M-Pesa launched April 2007), satellite supported livestock insurance and cash transfers (HSNP) to manage drought related threats to livelihood. These developments came about through the initiation of pilots by donors and research institutions, attracting business service providers as implementers. However this study did not uncover recent or recalled examples of adoption or scaling up of innovations directly attributable to regionally generated R&E findings. None were reported by respondents, except from an index based livestock insurance scheme run by an insurance company in drought prone areas of Kenya. In line with international findings,<sup>83</sup> this innovation came about through partnership with a research organisation (ILRI) which brought know-how and donor funding for the piloting phase which began in 2009.

*“The weather insurance is something to watch. There is lots of interest from various organisations including the private sector.” – Cathy Watson, Livestock Emergency Guidelines and Standards-LEGS, KII 25 March 2015.*

## C. Opportunities and recommendations

### What and where are the opportunities to support the strengthening of regional and national research and evaluation production and uptake?

The study's findings are summarised under the four main behaviours identified in the 'marketplace' of R&E (Fig 2 Framework of analysis). Recommendations are addressed to the different behaviour related components and given in more detail than those in the Executive Summary.

The findings reveal that the ecosystem of R&E in East Africa is not creating the right incentives either to strengthen local capacity or to improve humanitarian outcomes through the use of sound research. Our recommendations are for changes that will drive different behaviours and create different incentives. Although there are quick wins and procedural recommendations, we also focus on longer term systemic change and make recommendations for standards and protocols, the use of networking, communications and new partnerships. Taken together, these recommendations should be conducive to a more locally owned and strategically coherent research agenda.

### C.1 Donors are the influencers – there is poor coordination and limited government ownership

- The system is funded by donors who are the major influencers. However, there is limited coordination between them, resulting in multiple, small scale, disparate, uncoordinated R&E efforts and risks of duplication.
- Remarkably few respondents in the region (three in total UN Department of Security and Safety in Uganda, FEWS NET and EU Country Delegation respondents) saw themselves as playing a role to influence the research agenda.
- The R&E system operates largely independently of local actors, including host governments and regional intergovernmental bodies at all levels. However, there are signs this is changing, and responsibilities for overseeing and delivering long-term humanitarian response, including R&E, may be shifting towards host governments and local actors.<sup>84</sup>
- The dominant factor determining how the R&E environment operates in the East Africa region is the need to i) describe and ii) provide some evidence for outcomes and impact of specific interventions, within relatively short time frames, in order to reassure donors/donor governments/head offices of international organisations about effectiveness and impact and thus secure funding to perpetuate further humanitarian action.
- Funding cycles and donor procedures for humanitarian programmes and associated R&E and are not conducive to promoting strategic, objective research enquiry. There appear to be in-built biases in the system, in particular the incentives to show effectiveness and impact of interventions to donors in order to secure further funding, which potentially undermine objective assessment and reporting.

### **Recommendation: improve coordination and build host government ownership of humanitarian R&E**

#### **1. Invest in coordination and strategic development of R&E for humanitarian outcomes in East Africa by supporting the establishment of an R&E coordination hub and clearing house at country level.**

This R&E coordination hub and clearing house should be part of an existing coordination mechanism (e.g. the EDE secretariat within the NDMA in Kenya). This would be a forum where host government, donors, and government think tanks meet regularly to share, co-fund and review humanitarian R&E plans. The hub would aim to both change the current environment of multiple, small scale and uncoordinated studies, and develop a collaborative strategic approach to R&E for humanitarian outcomes at country level, which could in turn inform a regional R&E

strategy developed by IGAD. An early task of the R&E Hub should be to review the recommendations in this report and allocate responsibilities for carrying them forward within a common plan and timetable.

The coordination hub and clearing house should have an online search and mapping facility (such as [data.hdx.rwlab.org](http://data.hdx.rwlab.org)) for all planned and current R&E activities, including contact details for R&E leads, donors, geographical location and findings. Donors should improve coordination and reduce duplication by requiring R&E actors to demonstrate that they have reviewed the online information and published their data as a standard requirement for all new R&E proposals. Donors should consider co-funding the proposed knowledge management post within NDMA in Kenya.

## **2. Make procedural changes that can increase the application and value of research and meet current priorities by:**

- a) ensuring that funding and evaluation cycles are coherent, allowing time for evaluation findings to inform future phases, revised programme design, behaviours and strategies. Timelines for programmes should explicitly incorporate learning from evaluation.
- b) publishing all evaluations that meet quality standards to the regional R&E hub clearing house and IATI, including those which are self-critical.

## **3. Set a target and timetable for commissioning local actors and build in sufficient funding within R&E tenders for local partner organisation capacity skills and development.**

Local actors should be identified, commissioned and supported to do:

- Political economy studies on how current research practices in humanitarian and development programmes affect the empowerment and agency of beneficiaries, and what role different R&E methodologies and dissemination strategies could play in building more accountability between government and citizens
- cost-effectiveness studies in collaboration with host governments on the scaling up of appropriate humanitarian interventions.

## **C.2 Producers and consumers are the same people in the region. More research is written than read and research uptake pathways appear weak**

The majority of respondents in East Africa said they both produced and consumed humanitarian evidence. Less than a quarter claim to be consumers only, of which the majority are from donor organisations and host governments.

Production takes place in two ways:

- large scale R&E activities which tend to be centrally funded and dominated by US and European researchers based outside the region with limited involvement of local actors
- routine monitoring type activities performed within implementing agencies for internal and external reporting purposes. Given that 63% of regional online responses say that demand for evidence comes from their own organisations and from donors, and that 72% of online responses from the region cited internal evaluations as the most common product, this would imply that respondents in the region are involved primarily in routine monitoring activities rather than in-depth research enquiry.

The main demand amongst actors in the region is for relevant and accessible data, mapping tools and examples of successful programming approaches and impacts. They look for information from a variety of sources, Reliefweb is a popular site, journals were only cited by two respondents. One third of demand within the region was for a deeper and broader body of knowledge on issues such as conflict, corruption, climate change and urbanisation.

The top three reasons for not consuming/reading R&E are: 'too much information' and/or 'it's scattered'; 'not enough time' and 'too long with no summary'. Barriers to the uptake of R&E by government decision makers include weak engagement with and trust of researchers (outside the government think tanks which they do trust and rely on) and lack of technical skills in sourcing, synthesising and analysing research outputs.

There are signs of more strategic R&E purpose within the region. Some UN agencies and INGOs, one NGO (Kenya Red Cross) and the NDMA in Kenya, have developed, or are developing, research or knowledge management strategies which inform programme development and policy agendas.

***Recommendation: improve research uptake and strengthen R&E culture and understanding at local level***

**1. Understand demand**

A good understanding of demand is likely to make R&E investments more effective, both in terms of tailoring research content to the priorities of users, and in designing research processes to optimise use. A consensus needs to be developed about the common barriers to better uptake of research by decision makers already identified in this and other studies. The R&E coordination hub and clearing house is one place where consensus could be found and a set of tools developed and applied to the humanitarian sector using learning from existing programmes such as Strengthening Capacity to Use Research Evidence in Health Policy (SECURE) and Leveraging Agriculture for Nutrition in South Asia (LANSA).<sup>85</sup>

Procedures for commissioning and financing research need to require evidence of links between producers and end-user from the start and demonstrate appropriate communication strategies to maximise research uptake, as well as requirements to show understanding of the systems which evidence is supposed to inform.

**2. Seek out new partnerships with the scientific community and use the R&E coordination hub and clearing house to encourage information sharing and research discussion.** This would improve and enrich humanitarian research agendas and potentially develop strategic cooperation on issues of public importance. Cooperation is particularly required between humanitarian actors (e.g. the IAWG) and:

- i) scientists based in UNEP on short and long-term climate change outlooks
- ii) medical-veterinary epidemiologists on epidemics and disease surveillance
- iii) tech entrepreneurs (in Nairobi) on digital communication and data handling.

**3. Encourage government to invest in and upgrade longitudinal datasets** to meet the demand from a majority of producers and consumers, including those within government, for improved and reliable sources of data. This would improve the quality of research and strengthen local ownership of research.

**4. Incentivise and crowd-source mechanisms to collect local opinions on what research is needed.** These should be shared with tech entrepreneurs, who could develop and manipulate datasets as needed, and local media. Local funders need to be identified who could reward local research activities to meet these needs

**5. Support systematic review exercises on topics of regional interest such as corruption, climate change, urbanisation and mental health.**

**6. Support training on communication strategies for research, drawing on the experience of institutions** such as AFIDEP, APHRC, DLCI and experienced local opinion formers and journalists. This should focus in particular on better targeting of end-users who, in some cases should be individuals and not institutions, and on complementary social media strategies.

**7. Initiate and encourage mixed organisational-type live learning interactions in the form of short, after-work events in central locations in cities** such as Nairobi and offer live streaming and radio coverage of these events. Secure sponsorship from companies, such as Equity Bank or insurance companies, involved in humanitarian action. These could adapt the IHub model of five-minute presentations and Q&As, attracting middle level humanitarian professionals and enable more dynamic and interactive sharing of experience and information. Radio coverage would enable humanitarian workers in remote areas to participate and benefit.

### **C.3. Local capacity is unrecognised and research quality by implementing agencies in the region is weak**

There is no widely shared code of ethics governing R&E in humanitarian situations in East Africa. There are no technical protocols/research standards in common use, nor are there common standards for research and evaluations. These limitations, plus a lack of reliable and quality longitudinal datasets and a lack of common indicators for resilience (which is large and developing programme topic), prevent comparisons across R&E outputs and aggregation of findings. This in turn limits learning on how to improve humanitarian action or generate innovation.

Global and regional level institutional respondents perceived lack of analytical skills as major gap within the region (also acknowledged by researchers themselves). The perceived barrier is gaining on-the-job experience with either large R&E exercises or with implementing R&E agencies. Beyond enumeration there are few opportunities for local research capacity and skills to be used and developed, especially during research design and analysis. Local actors may be stuck in a catch 22 situation: they are unable to get experience with international research actors or humanitarian agencies because they do not already have experience.

Three quarters of all respondents (61% of regional respondents) said they think the quality of research in the region is 'not good'. Research quality of operational agencies is variable and lacks methodological rigour and proper attention to social inclusion and disaggregation. The dominant R&E methodologies are largely qualitative assessments of recent intervention outputs and effectiveness through interviews with selected beneficiaries. Choice of methodology was only explained in half of the literature sampled and limitations were pointed out in one third of the studies sampled. Less than half of the studies included some kind of social inclusion, vulnerability or gender analysis. R&E outputs from centrally held research budgets and research consortia tended to be of better quality than those conducted by operational agencies, with stronger methodological rigour, larger samples and conducted over longer timeframes.

While the INGOs, and to some extent the UN organisations, regularly convene information sharing meetings on humanitarian issues and have conducted joint operational reviews of humanitarian responses, there are few regularly convened mixed communities of practice where different organisational types can share plans and/or lessons learned from R&E. Opportunities for exchange and learning are therefore missed. There is a large professional scientific and medical research community working in East Africa who appear to have limited interaction with humanitarian colleagues.

#### **Recommendation: improve research quality**

- 1. Recognise that local providers of R&E require sustained investment in capacity building.** More specifically, build a requirement into all R&E tenders that providers should include local researchers in the design and analysis stage and allow sufficient funding for organisational capacity building and skills development within R&E tenders.
- 2. Establish an accreditation scheme for local researchers to acquire practical experience and recognition,** and encourage government, UN actors and IAWG member agencies to participate in the scheme.

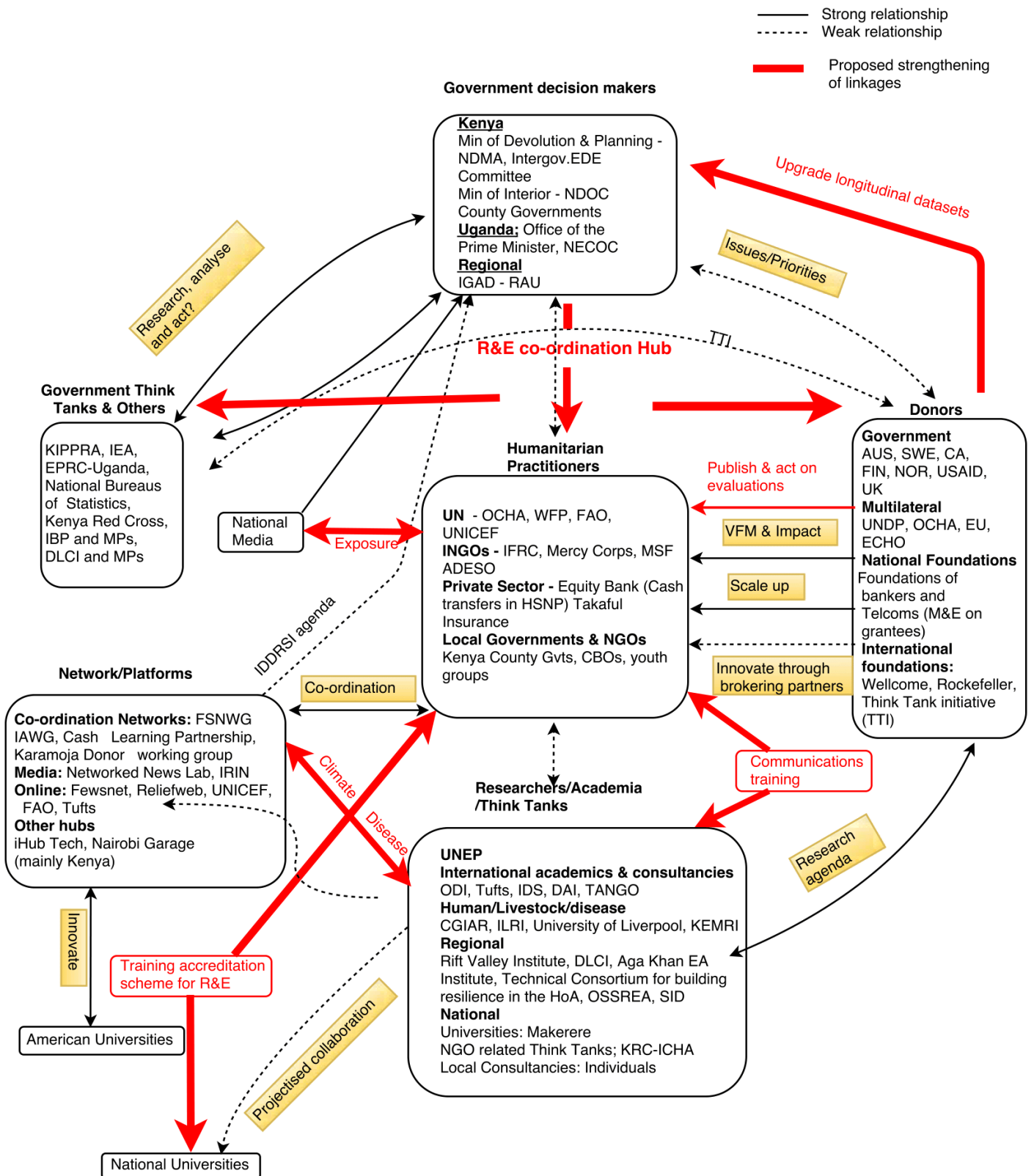
3. **Design a process, including government and non-government actors in the region, of developing a basic protocol for the management of humanitarian R&E.** This should include social science research ethics, co-funding requirements with government; clarity on the purpose of research and clear targeting of the end-user; local content; requirements to involve local researchers in the design and analysis phases; involvement and accountability to local beneficiaries; privacy and data protection requirements for beneficiaries; requirements for review and publication; and post-publication requirements on the part of the end-user to respond to findings.
4. **Encourage the IAWG, in consultation with experienced humanitarian actors such as Médecins Sans Frontières (MSF), ALNAP and others, to use and/or adapt existing academic and donor research standards to develop basic R&E quality principles and a checklist for humanitarian actors in the region.** These would include considerations such as which method to adopt, sample size, how to develop a framework of analysis, and social inclusion analyses.
5. **Develop a basic, short training on R&E quality principles and checklist for humanitarian actors.** These could be made available online and training conducted in a rolling cycle through different training enablers or providers (e.g. Kenya Red Cross - International Centre for Humanitarian Affairs, the Humanitarian Leadership Academy, NECOC) across different locations in the region, and especially in highly crisis-affected/prone areas.

#### **C.4 Where and how linkages in the humanitarian evidence system mapping can be strengthened**

Based on the above findings and recommendations, Figure 5 presents a visual map of where and how to strengthen linkages in the humanitarian R&E system. Existing relationships, both strong and weak are represented by black solid and dotted arrows respectively. The key opportunities to strengthen linkages by implementing the interventions recommended in this report are shown as bold (red) arrows.



Figure 5: Proposed strengthening of linkages and interventions to build local ownership of R&E in the East Africa region



Developed by Fiona Napier

## Annexes

### Annex 1: The R&E landscape in East Africa

#### *Government mandates on humanitarian response and R&E in East Africa*

The 2010-2011 drought crisis in the Horn of Africa propelled governments in the region to improve their response and address future challenges of increasing vulnerabilities. The Summit of Heads of State and Government in September 2011 coined the phrase 'Ending Drought Emergencies' (EDE). This signalled a shift from reacting to effects of drought as they arise to one that actively seeks to reduce vulnerability and risk through longer term developmental approaches.

This led to increased regional prominence of IGAD - the Intergovernmental Authority on Development and the IGAD Drought Disaster Resilience and Sustainability-IDDRSI strategy was developed with the aim of informing the country specific ending drought strategies. There is now substantial donor assistance and UN engagement with IGAD to help this body take on a greater leadership, coordination and R&E role. However respondents have stated concerns over gaps in leadership (the current head of IGAD's term expires in June 2016) and off-the-record concerns with organisational dysfunctionality. At IDDRSI level, IGAD has entered into a memo of understanding with OCHA to analyse, visualise and disseminate humanitarian information. UNDP are rolling out a US\$5 million research and operational capacity building project in building resilience in the Horn of Africa.

In response to the EDE agenda, Kenya developed what has now become the Common Framework to End Drought Emergencies which is enshrined in Vision 2030. It has three areas of emphasis:

- i) eliminate the conditions that perpetuate vulnerability
- ii) enhance the productive potential of the region
- iii) strengthen institutional capacity for effective risk management.

In November 2011 the National Drought Management Authority Kenya (NDMA) was created as the permanent and specialist institution of government to manage drought and climate change risks, and deals with County EDE teams on monitoring and response. The NDMA chairs the National EDE Steering Committee, and oversees various thematic committees including the Kenya Food Security Group which sets methodology for the twice yearly food security assessment. NDMA's own work plan includes a knowledge management and learning activity (Pillar 6) which is co-chaired by DLCI (Drylands Learning and Capacity Building Initiative for Improved Policy and Practice in the Horn of Africa).

For non-drought-related crises the GoK response pathway is less clear. The Disaster Response Bill has yet to be passed. Looking ahead, the Kenyan government's agenda for the ASALs (Arid and Semi Arid Lands) is moving to longer term resilience measures and economic development plans as a means of averting humanitarian crises. The Hunger Safety Net Programme funded by DFID, AusAID and GoK is part of the National Safety Net Programme, and distributes cash transfers to the most vulnerable households in the ASALs. The establishment of monitoring systems for this programme could form the underpinning of a nationwide vulnerability monitoring system.

Uganda's response to the EDE agenda has been less clear. There are still multiple government institutions responsible for disaster management in Uganda and the government has set up a National Emergency Coordination and Operation Centre (NECOC) to help improve coordination. Uganda has a Ministry for disaster preparedness and refugees and district disaster management committees which are not well coordinated and are poorly resourced.<sup>86</sup>

While in Uganda the Office of the Prime Minister has been involved in overseeing and in one case conducting research in Karamoja region (largely for political reasons). It has been observed by several respondents (INGOs, UN, donors, private sector consultants) that the involvement of, and ownership by host government policy makers in the region, in humanitarian R&E has been minimal to date.

The dominant government researchers that respondents referred to are Kenya Institute of Public Policy Research and Analysis (KIPPRA) (the public policy think tank for the GoK), the Institute of Economic Analysis (Kenya) and the Economic Policy Research Centre (EPRC) for Uganda. These entities have predominant expertise in economics but also perform social policy work. KIPPRA is well known for producing the flagship annual publication Kenya Economic Report. KIPPRA has also produced research of relevance to the humanitarian agenda.<sup>87</sup> In terms of interaction with the humanitarian community these think tanks tend to engage with UN bodies in country and some international think tanks such as Brookings Institute and ODI. They have limited engagement with the operational humanitarian actors in country.

Kenya has a National Research and Development Agenda (2013-2018) developed by National Commission for Science, Technology and Innovation (NACOSTI). One of the nine specific objectives of the agenda (objective h) is *to improve the quality of life and poverty eradication by utilisation of local resources, value addition and innovation*. Research priority areas are: energy, agricultural sciences and technology, environment and natural resources, health sciences and social sciences, ICT, physical and biological sciences and engineering technology. The National Research and Development Agenda is supposed to enable national level funding (2% of GDP) to be allocated to research but the study understands that the committee that will make these decisions has not yet been formed.

Ministries such as the Department of Health in Kenya are increasingly concerned with an evidence-based policy approach. Dr Muraguri, Director of Medical Services, Kenya speaking at AFIDEP SECURE health programme breakfast meeting in Nairobi 5 August 2014, announced the formation of advisory teams that would, every year synthesise emerging research evidence on the different health policy issues and advise him on the policy options that the Ministry needs to take in order to tackle the issues. He announced that the Ministry of Health will, in the coming months, review how it conducts business starting with assessing the impact of its current policies such as the free maternity health services policy; *is this the best value for KES 4 billion every year? How effective is the implementation of the free maternity services?*

### **Local academic institutions involved in research in Kenya and Uganda**

While Kenya has 22 public universities with 50,000 students enrolled per year, the academia sector is rarely involved in humanitarian R&E. It was reported that Masinde Muliro and Moi University are starting a humanitarian affairs course 'but the practitioners are not there' Kenyan NGO, KII respondent. University of Nairobi (UoN) is the country's top research producing institute<sup>88</sup> and has carried out some short-term and projectised international research collaborations.<sup>89</sup> UoN has recently helped Save the Children host meetings on the Humanitarian Leadership Programme.<sup>90</sup>

Uganda has eight public universities, of which Makerere University has several humanitarian research projects on conflict and post-conflict reconciliation, gender, health and nutrition.<sup>91</sup> USAID funds a five year programme of partnerships between Tulane and Stanford universities and the Centre for Strategic and International Studies (based in Washington DC) to work with 20 universities in 16 countries across Africa to support the development of research design and capacities in resilience (including education and food security), and in particular with the Eastern African Resilience Innovation Lab. The RILab is headquartered in Makerere University and includes Gulu University in Northern Uganda but Kenyan universities do not appear to be part of this initiative.

Governance and performance problems in East African universities were cited by several international academic, UN, INGO and consultancy respondents as a notable challenge to developing research capacity and partnerships. Kenyan academics and researchers cite

problems with funding, difficulties in engaging policy makers and weak national research councils who provide little leadership on research agenda.<sup>92</sup> In this context it is not surprising that international funded research or collaboration may be sought after but seems to lead to fragmented and piecemeal outcomes which serve specific short-term donor or academic interests but leave little of lasting value to embed quality research practice at an institutional level.<sup>93</sup> Another observation is that Kenyan universities activities are weighted towards teaching rather than research.<sup>94</sup> Whether for these or other reasons, universities in East Africa do not seem to be regarded by donors as strong long-term research partners on non-scientific, humanitarian related work.<sup>95</sup> Rather, western consultancy firms or academics seem to be the preferred primary research partner.<sup>96</sup>

### ***Examples of use of digital communication tools***

OCHA routinely uses Geographic Information System (GIS) data ("GIS is our bread and butter, Dirk-Jan Omtzigt Analyst/Humanitarian Affairs Officer OCHA KII 16 April 2015) and a SMS platform for communicating with affected communities and have started partnering with telecoms companies. UNICEF is piloting radio and mobile applications as part of remote programme monitoring.<sup>97</sup> A beneficiary's registration and tracking system is in use by NECOC in Uganda which uses finger print data for tracking vulnerable beneficiaries and linking them to interventions. ICPALD uses GIS and are about to begin SMS based research. ACTED have used a Nokia data gathering system.

## Annex 2: Framework of analysis, questions and data sources

The Framework of analysis comprises four behaviour related components (producer, consumer, influencer and, capacity) which enable the development of a political economy analysis of the supply and demand side of the humanitarian evidence system.

- Producers/production – the providers and suppliers of humanitarian evidence
- Consumers/consumption – the users of humanitarian evidence
- Influencers – the people and institutions that influence the research and evidence agenda including donors, communicators and brokers (such as think tanks)
- Capacity – the ability and skills within organisation types to produce, consume or influence humanitarian evidence.

The four components are explored through key questions – see table and evidence sources of detailed questions, which guided the research. An evidence analysis framework was then developed and populated which is stored with Development Initiatives and available separate from this report.

Questions and sub-questions guiding the study, with our sources of evidence in italics (the detailed evidence assessment framework on excel can be obtained from the DI website)

Production	Consumption	Influencers	Capacity
<b>1. What factors determine the ways in which the current humanitarian research and evaluation environment operates?</b>			
<b>Sub-question: What are the socio-political and economic factors governing the commissioning, undertaking and uptake of humanitarian research and evaluation in East Africa?</b>			
Who produces evidence? What is their geographical location?  <i>KII, online</i>	Who are the consumers of evidence?  <i>KIIs, FGD, online</i>	Who are the major influencers?  Who are the major funders?  Who is setting the evidence agenda? Why?  <i>KIIs, FGD, online, literature review</i>	To what extent are governments and policy makers defining their own agenda in country?  <i>KII, FGD, online</i>
Why do they produce evidence? <i>KII, FGD, Online</i> What questions are producers of evidence trying to answer? Whose problems are they trying to address? <i>Lit survey, KII</i>	Why is evidence being used, for what and for whom? How do consumers hear about humanitarian evidence? <i>KII, Online, FGD</i>	What and where is the demand for evidence coming from?  <i>KII, FGD, Online</i>	Who has the most/least capacity to generate and use evidence, why? What factors affect the capacity to generate and use evidence?  <i>KII, FGD, Online</i>
What are the dominant methods and types of evidence that is generated? What sectors and thematic areas dominate evidence in the region? <i>KII, FGD, Online</i>	Where do consumers go to get evidence? <i>Online, KII</i>	What questions are influencers trying to answer?  <i>KII</i>	

Are the producers the same as the users? Does research routinely adopt a gender or vulnerability analysis? <i>KII, literature review</i>	How do consumers judge the quality of evidence? <i>KII</i>		To what extent are national partners involved in the production and consumption of evidence? <i>KII</i>
Is the demand for evidence coming from the international /regional/national/local level? <i>KII, FGD, Online</i>	Is demand for evidence coming from the international/regional/national/local level? <i>KII, Online, FGD</i>		
What share of the budget do local partners get, and are they sub-contracted or lead? <i>KII, financial analysis</i>	What barriers prevent research uptake? <i>KII, FGD, Online</i>	What share of the budget do local partners get, and are they sub-contracted or lead? <i>KII</i>	What share of the budget do local partners get, and are they sub-contracted or lead? <i>KII, financial analysis</i>
Who is the key lead in terms of the relationship between producer and funder? <i>KII, FGD</i>	When was the last time consumers sought out evidence? What were the circumstances, who needed the information and why? <i>KII, FGD, Online</i>	Is funding flexible to allow for producers to develop and respond to local demand for evidence? <i>KII</i>	

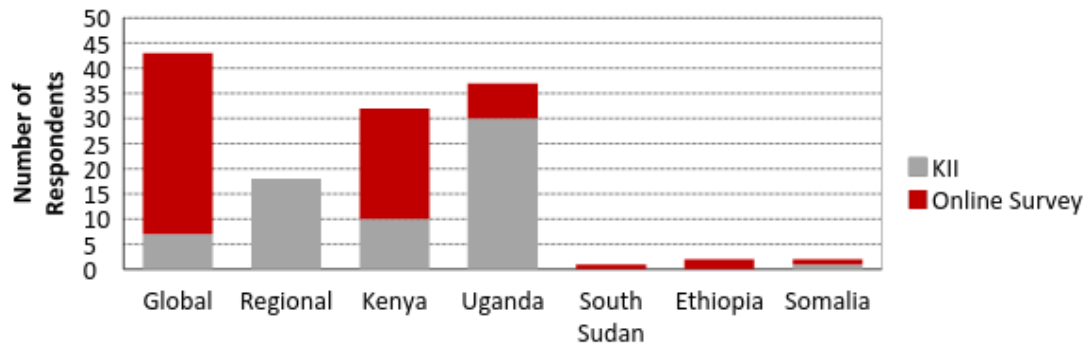
## 2. What, and where, are the opportunities to support the strengthening of regional and national research and evaluation capacity on both the user (demand) and producer (supply) side?

Is evidence produced collectively as a public good? <i>KII, FGD, Online, lit survey</i>	Is the evidence easily accessible in one place? <i>KII, FGD, Online</i>	Are lessons learnt, tools and approaches being shared with producers and consumers of evidence in the region? If so how? <i>KII, Online</i>	What barriers exist that limit the ability of individuals/organisations to generate and use evidence? <i>KII, FGD</i>
Is the evidence publically available? <i>KII, FGD, Online, lit survey</i>	Is the evidence publically available? <i>KIIs, FGD, online, lit survey</i>		What linkages exist between humanitarian organisation types or communities of practice that could usefully be strengthened? <i>KII, FGD</i>
Are there generalised limitations in evidence quality in the region? <i>KII and Literature survey</i>			
What platforms exist to share evidence findings and learnings? <i>KII, FGD</i>	What platforms exist to share evidence findings and learnings? <i>KII, FGD</i>		
Are lessons learnt, tools and approaches being shared with producers and consumers of evidence in the region? If so how? <i>KII, FGD, Online</i>	Are lessons learnt, tools and approaches being shared with producers and consumers of evidence in the region? If so how? <i>KII, FGD</i>		

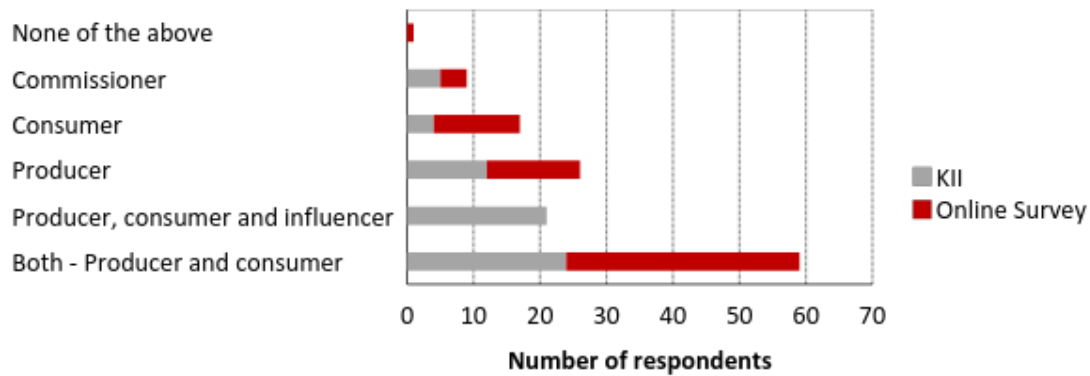


### Annex 3: Categorisation of online and KII respondents

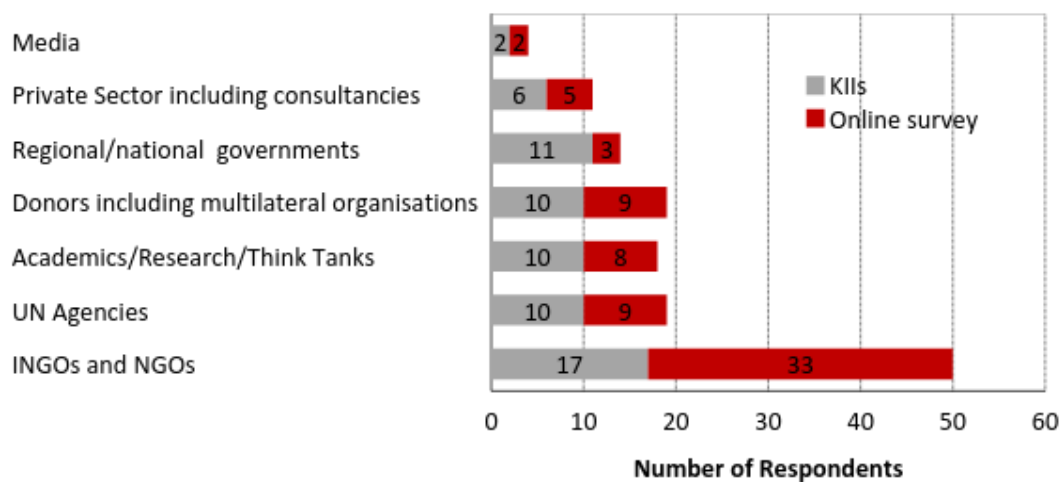
Geographic location of respondents (Global contains all countries not in East Africa)



#### Respondents by behaviour type



#### Respondents by organisation type



## Annex 4: Stakeholders interviewed

Organisation type	Global	Regional	Kenya	Uganda	Uganda-Karamoja
National and regional government bodies	Research Uptake Conference- AFIDEP	IGAD-ICPAC, IGAD-ICPALD	NDMA-Pillar 6 meeting, Ministry of Planning, Ministry of Finance, KIPPRA	NECOC, Ministry of Karamoja, Ministry of Disaster Preparedness and Refugees, Office of the Prime Minister, Uganda National Council for Science and Technology (UNCST)	Nabuin Zonal Agricultural Research and Development Institute (ZARDI), Moroto District Local Govt- LC5 chairperson
Donors including multilateral organisations	IDRC	Sweden, Netherlands Embassy, ICHA-IFRC presentation and discussion on Hum. Research and evidence	EU, ECHO, Safaricom Foundation, SIDA	EU, Irish Aid, GIZ	
UN agencies	UNEP (HQ in Nairobi)	UNICEF, OCHA, FAO-RAU	UNEP Climwarn project	FAO, UNDP	UN Office of Resident Coordinator, UNICEF, UNDP, UNDSS, WFP, UNOHCHR
INGOs and NGOs	Humanitarian Partnership Conference	IAWG, LEGS, Mercy Corps, ADESO, Humanitarian Partnership Conference Secretariat	Kenya Red Cross -ICHA, Mercy Corps, MSF	MSF – French Section, Lutheran World Federation (LWF), Mercy Corps, FEWSNET, PATH, African Youth Peace Initiative (AYPI), CECORE FGD with INGOs	Caritas, ACDI-VOCA, ACTED, MONARLIP Karamoja Development Forum (KDF)
Private sector/ consultancies		Benyl Consult, Centre for Research and Development	Evaluation Society of Kenya, Independent Consultants; Okwach Abagi, Omeno Suji Takaful Insurance	Gomakk Consult Ltd	
Media		Thomson Reuters Foundation, East African Newspaper		FGD with media reporters	
Think tanks/ academia, researchers	ALNAP, Ben Ramalingam, ELRHA, 3iE, Humanitarian Innovation Conference (Oxford)	East Africa Institute-Aga Khan, IDRC, Rift Valley Institute, OSSREA, IFPRI, Technical Consortium for Building Resilience in the Horn of Africa	FGD with mixed stakeholders (DLCI), Academia, Samuel Hall, Impact Research, Private Consultants, CBO-ALDEF)	Refugee Law Project, School of Law - Makerere University, Peace, and Conflict Resolution Studies, School of Arts- Makerere University, Resilient Africa Network (RAN), School of Public Health – Makerere University	

KEY: FGD, KII, External presentations/workshop

## Annex 5a: Literature review – criteria used to assess study quality, transparency and social inclusion

Principles of quality	Associated questions
<b>Conceptual framing</b>	Does the study have an executive summary?
	Does the study acknowledge existing research?
	Does the study construct a conceptual framework?
	Does the study pose a research question or outline a hypothesis?
<b>Transparency</b>	What is the geography/context in which the study was conducted?
	Does the study declare sources of support/funding?
<b>Appropriateness</b>	Does the study identify a research design?
	Does the study demonstrate why the chosen design and method are well suited to the research question?
<b>Beneficiary involvement</b>	Does the study include beneficiary participation or feedback? At what stage in the study are beneficiaries involved?
<b>Cogency</b>	To what extent does the author consider the study's limitations and/or alternative interpretations of the analysis?
	To what extent is a gender analysis included?
	Are the conclusions clearly based on the study's results?
	Does the study identify areas for further study?

## Annex 5b: Studies sampled for the literature analysis

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## Annex 5c: Comparison of four different search databases: amount of literature available online

By search words: country – Uganda, Kenya, East Africa region; subject/theme: humanitarian, type: reports. The cut off date of January 2011 was not possible in the search engines;

Online search engine	Global	East Africa region	Kenya	Uganda
<b>R4D only stores DFID funded research; advanced Search word: humanitarian. literature type: documents</b>	10, 363 total global documents on R4D (3,141 peer reviewed)  But only 176 under humanitarian; 4 most common topics  disasters, building peace and stability, adaptation to climate change, communicable diseases	7,626 Eastern Africa documents on R4D (1,412 peer reviewed)  But only 49 under humanitarian; 4 most common topics  Building peace and stability, disasters, adaptation to climate change, research communication uptake	1,865 total Kenya documents on R4D (298 peer reviewed)  But only 12 under humanitarian.  4 most common topics  Disasters, adaptation to climate change, building peace and stability, economic growth	1,752 total Uganda documents on R4D (335 peer reviewed)  But only 5 under humanitarian.  4 most common topics:  Disasters, conflict prevention, social change, adaptation to climate change
<b>ALNAP Humanitarian Evaluation and Learning HELP Portal. Combines development and humanitarian aid.</b>	54; most common topics-  Global Humanitarian Assistance	160; Majority - 46% are evaluations. 4 Most common topics:  Cash transfers, Drought, Children, Aid flows	22; Most common 3 topics:  Cash transfers, aid flows, Drought	20; Most common 3 topics:  evaluation of Organisation strategy, Northern Uganda, Health: cholera, Ebola
<b>ALNAP (Horn of Africa Learning and Accountability Platform)</b>	1; Global Food index report	40; Most common topic is Droughts	8; most common topic: Droughts	1; Pastoral communities resilience
<b>3iE Impact evaluation repository. Sectors: climate change, resettlement, disaster relief, conflict prevention, post conflict reconstruction and conditional cash transfers</b>	104; most common topic: Cash transfers	10; (Ethiopia, Burundi, Rwanda and Tanzania) Common topics:  Mental health  Children	2; Civic education following election violence, impact of cash transfers	3; Northern Uganda-youth and children



## Annex 6: East Africa online and KII respondents – what humanitarian evidence you would like to see more of?

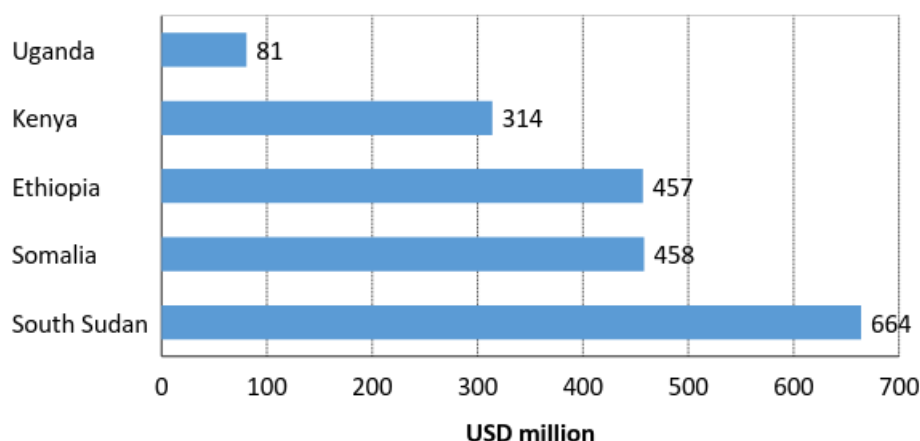
<b>Data and situation analyses/forecasts (25)</b>	<p>Quantified data and evidence, Disaster mapping, Early Warning Systems, Information forecasts on humanitarian situations, Affected populations, Weather and drought forecast data (4), Household Economic Survey data, Nutrition data (2), Market data (2), Food price markets</p> <p>Sub national data, budget data, school age population, cost of secondary school education data,</p> <p>Regional analysis of Climate risk, Regional analysis of Conflict Risk, Regional analysis of Food Security Risk, livelihood status in the region – dynamics, resources, service access</p> <p>epidemiology, mental health trends and predictions</p>
<b>Impact, Evaluations and Methodologies (23)</b>	<p>humanitarian response methods and Impact (4), Livelihood impact studies, South Sudan Evaluations, Humanitarian Health Impact, Peace building Impact, Alternative delivery models, Cash transfer versus direct inputs programming, Involvement of Beneficiaries in setting priorities</p> <p>Global Humanitarian principles, Chronic Emergency Impact, Proven Good Practice, Nutrition Interventions Impact, Shelter case studies, How to scale cash transfers, Recovery Success Stories, Efficient methods to reach beneficiaries, methods of Rapid Information release in crisis, programming for children in various sectors, who is most impacted by our work,</p> <p>Age, gender and diversity mainstreaming</p>
<b>Other (26)</b>	<p>Linking political issues to humanitarian, Growth and inequality</p> <p>urban dynamics and urbanization (2), Youth (2), women opportunities,</p> <p>Health Rights for Children &amp; Adolescents, health promotion</p> <p>Complex Emergencies, policy legislation on DRR, Climate Change DRR, Transient Populations, IDP Camps, War &amp; conflict, peace and co-existence, transition from emergency to post-conflict.</p> <p>Anthropological studies on persistence of crises, studies defining resilience</p> <p>How to work efficiently and ethically in an environment of systematic corruption, Studies on corruption involving - humanitarian aid and government (3), governance, accountability,</p> <p>Extractive Industry (2)</p>

## Annex 7: Financial analysis

### Overview of humanitarian assistance to the region

Countries in the East Africa region were among the top 20 recipients of humanitarian assistance in 2013. Drawing on data from the GHA Report 2015, these countries received a total of US\$ 1.97 billion of international humanitarian assistance, with the largest amount received by South Sudan.<sup>98</sup>

Figure 6: Humanitarian Assistance to East African Countries in 2013

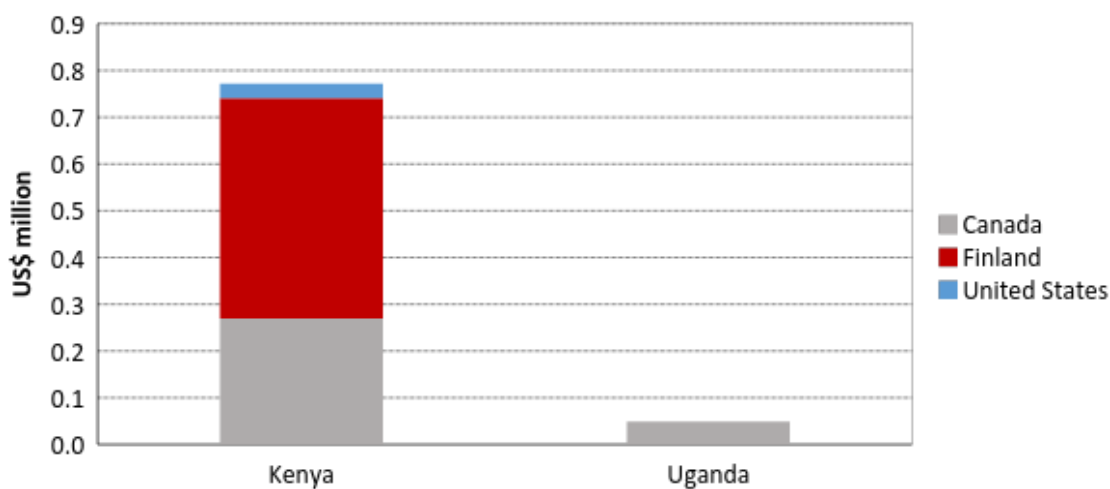


Source: Development Initiatives GHA report, 2015

### Funding to research and evaluation

Focusing on Kenya and Uganda, Finland provided a large proportion of Kenya's funding through Saferworld's study on Community driven approaches to security. In Uganda, the funding was channelled through academia (Makerere University), think tank (The Consulting House Kenya) and through donor agency (USAID).<sup>99</sup>

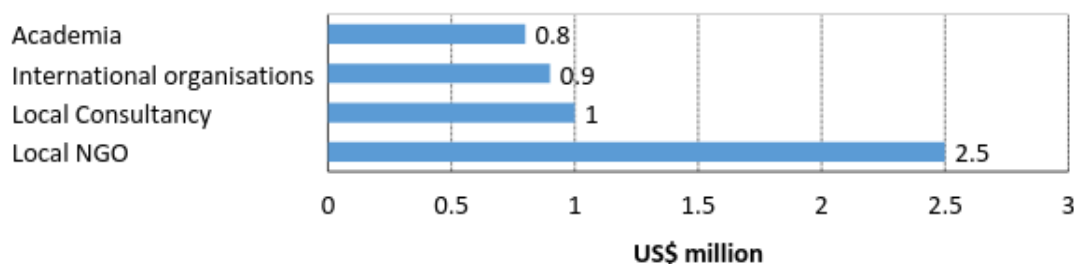
Figure 7: Research and evaluation Funding for Humanitarian Assistance to Kenya and Uganda in 2012 and 2013



Source: Development Initiatives based on OECD-CRS database

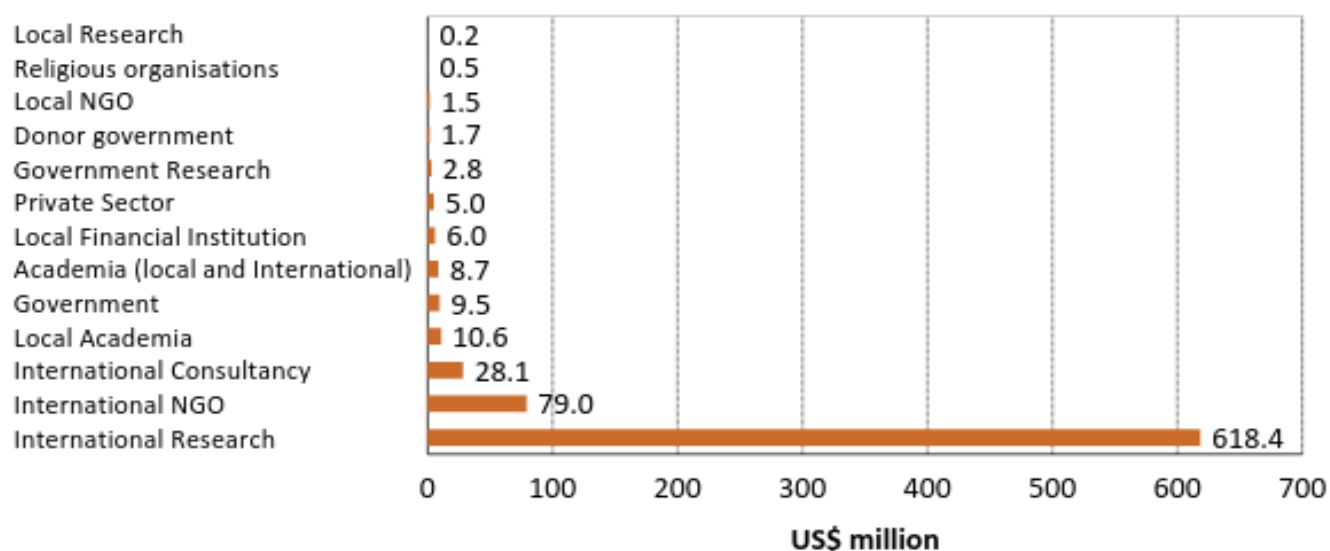
## Case studies<sup>100</sup>

Figure 8: IDRC Funding to Governance, Security and Justice to Kenya and Uganda



Source: Development Initiatives based on IDRIS

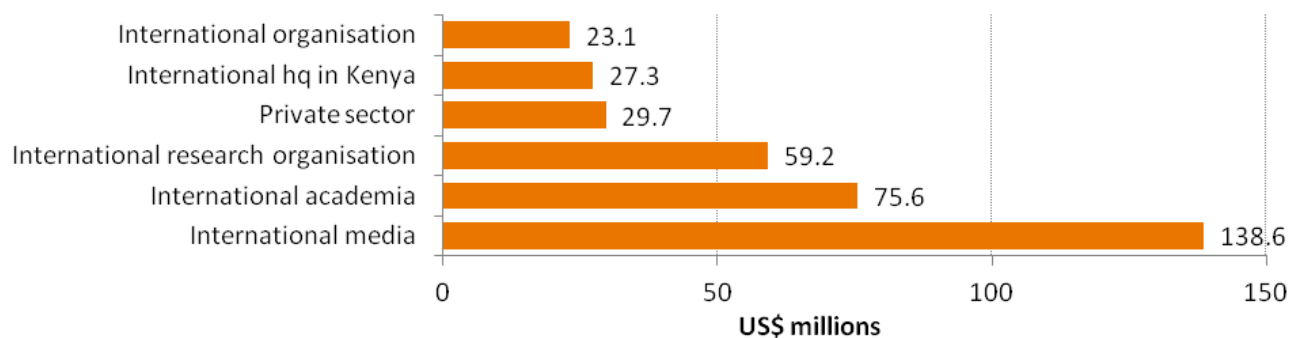
Figure 9: USAID funding to agriculture food security, environment, global climate change to Kenya and Uganda<sup>101</sup>



Source: Development Initiatives based on USAID Public Project Map

**DFID:** Our analysis obtained information from R4D on ongoing research projects that include Kenya as part of the focus countries.<sup>102</sup> Financing to Kenya only research was US\$21.7 million.

Figure 10: DFID funding to ongoing research projects in East Africa



Source: Development Initiatives based on DFID Research for Development (R4D) website

## Annex 8: Existing platforms for sharing plans and evidence – noted by respondents

Single organisation types (tend to be donors)	Mixed organisation types (tend to be INGO and UN led and dominated)	Mixed organisation types including government decision makers
Regional; INGO thematic groups such as the group sharing best practice on protection convened by IRC and Oxfam; the Africa Climate Change Resilience Alliance consisting of INGO and NGO membership (Ethiopia, Mozambique, Uganda)	Regional; Interagency Working Group – an active regional network of professionals (and a secretariat) working to strengthen effective humanitarian and development outcomes in East and Central Africa; membership of NGOs, Red Cross and UN agencies; affiliated with the recently reconstituted Food Security and Nutrition Working Group which is mandated to conduct regional food and nutrition security situation and response updates now chaired by FAO and IGAD; and the Cash Learning Partnership which has a new coorcoordinator.  Ongoing technical discussions about measuring resilience between UN (WFP), academics and consultants	Kenya Food Security Meeting – held every 2 months, chaired by WFP and NDMA and well attended by government, UN, donors, INGOs, consultants. The meeting also seems to perform a limited, albeit not explicit, coordination role, in hosting various programme presentations and findings from R&E exercises. This forum does not have an explicit R&E agenda, beyond reporting updates from around the country on food security.  Kenya the EDE Strategy Pillar 6 co-chaired by NDMA and DLCI is focused on knowledge sharing and learning with diverse participation from parliamentarians, UN, INGOs, NGOs and researchers and active discussions around shared R&E interests. The government think tank KIPPRA does not seem to attend these meetings.
Kenya – Donors; Banks and telecoms foundations meet every quarter to discuss strategy, and share updates - convened by DFID. ASALs Donor Group now chaired by WFP which is an information sharing group. Informal Donor Coordination group, Donor Partner group –no information was garnered about these two groups.	Karamoja Donor Working Group meets quarterly alternating between exclusively donor attendance and opening up discussions with other actors on various topics	In Uganda NECOC is supposed to be the GoU coordinating agency but a few considered it effective (FGD with INGO, UN agencies, 02 May 2015). Other fora involving government are those coordinated by UNHCR for refugee issues, FAO for food security and nutrition, WHO for disease outbreaks.

## Annex 9: Dissemination and communication activities to date and forward-looking plan

Date	Group/network name	Geographical focus	Host org	Contact	Number of attendees	Purpose/outcome
03/12/2014	IAWG Regional advocacy and policy meeting: WHS feedback session	East Africa region	World Vision	Kathy Evans (CARE)	15	Introducing the study to stakeholders in the region
05/12/2014	Institute of infection and global health	Kenya Zoonoses and Emerging Livestock Systems	University of Liverpool	Professor Eric Fevre	one on one with Professor Fevre	Introduction to the study
07/11/2014	IDS, University of Nairobi Law school	Kenya food riots	UoN	Dr Musembi	30	Introduction to study
26/02/2015	Present evidence gaps at IGAD regional meeting in March 2015	Regional	IGAD	Tesfaye Asfaw	over 50	Share evidence findings on research uptake and use to regional bodies GA/IGAD
10/03/2015	UNICEF regional plus other UN Orgs lunchtime presentation and consultation	Regional	UNICEF	Eugenie Reidy	12	Awareness of our research and some insights into UN research perceptions and processes
20/03/2015	UNEP breakfast presentation	Global	UNEP	Dr. Jacqueline McGlade	10	Awareness of our work, insights into UNEP engagement with humanitarian issues
10/04/2015	IFRC/ICHA seminar on humanitarian research & evidence	Regional Nairobi	IFRC	Aude Galli	20	Awareness of our work, insights for our research
08/06/2015	Operationalising the Data Revolution in Uganda	Uganda	UNFPA	Florence Tagoola	22	Reference was made to the HUM study Interest in the findings was expressed particularly by UNFPA

<b>15/06/2015</b>	Nairobi Forum for Research, Policy and Local Knowledge	Regional	Rift Valley Institute and Secure Livelihoods Research Consortium	Paul Harvey Ramsey Beck	35	Dissemination seminar for Secure Livelihoods Consortia feedback on research in Uganda, networking and talking about our study in coffee break, getting useful references from Paul Harvey
<b>07/06/2015</b>	IDS	Regional	IDS	Jeremy Lind	20	IDS midpoint presentation on DFID-funded research on changes in ASALs in East Africa
<b>22/06/2015</b>	Ministry of Devolution and Planning- Kenya	Kenya	Department of Rural Development	Ministry of Devolution and Planning staff	6	Group discussion
<b>25/06/2015</b>	5th National CSO Fair 2015	Uganda	Uganda National NGO Forum	Bernard Sabiti (DRT)	50	Shared the study with Uganda's open data community
<b>18/07/2015</b>	Humanitarian Innovation Project Conference	Global	Oxford University HIP	Professor Alexander Betts	20	Presentation of study to conference participants, Validation of findings, promotion of study, two-pager on their website



Type of platform	Details	When?
<b>Conference Presentation</b>	Humanitarian Partnership Conference	September 2015
<b>Organisation presentation</b>	UNICEF Uganda speaker series	November 2015
	IGAD IDRSSI Steering Committee	November 2015
	Donor groups led by DFID and ECHO e.g. Karamoja Donor Partners Group (KDPG), Local Development Partners Group (LDPG)	Date to be confirmed
	Sector Working Groups (Health, education, water and agriculture)	Date to be confirmed
	Rift Valley Institute	Date to be confirmed
	Regional IAWG research group including universities led by ICHA and NDMA and Masinde Muliro University, invite speakers such as Dr Rose Oronje of Afidep to comment on findings from an evidence based health policy perspective	Date to be confirmed
	Africa Climate Change Alliance (ACCA) hosted by World Vision Uganda	Date to be confirmed
	Food Security and Nutrition Working Group led by FAO	Date to be confirmed
<b>Paper submission</b>	Humanitarian Policy Group (Humanitarian Exchange Magazine)	November 2015
	Resilience Focus Magazine (an IGAD publication)	October 2015
<b>Internal presentation</b>	DI and DRT staff	October 2015
<b>World Humanitarian Summit discussions</b>	Presentation/promotion in Geneva and Istanbul	Dates to be confirmed
<b>DI website</b>	Host the findings in the DI website and have a blog to follow the report sign off (will also include social media promotion)	October 2015
<b>Mailing lists</b>	Acholi, Karamoja and Gulu Google groups	October 2015
	IGAD Platform for sharing resilience data	
	OCHA regional	
	WHS regional and global lists	
	Higher Education Solution Network	
	Geneva lists	
	GHA mailing list	
	National and Regional DRR platform	

# Endnotes

- <sup>1</sup> Aude Galli, Regional Humanitarian Diplomacy Adviser, International Federation of the Red Cross (IFRC), who was on the steering committee for this study, prefers the term 'evidence' to 'research'.
- <sup>2</sup> Ending Drought Emergencies (EDE) framework agreed by IGAD members in 2011, UNOCHA streamlined its presence into a regional office to coordinate humanitarian affairs and withdrew country offices from Uganda in 2010 and from Kenya in 2012.
- <sup>3</sup> Regional Integration Strategy Paper 2011 – 2015, African Development Bank September 2011; and personal observation by Ben Ramalingam of ODI, KII 11 March 2015.
- <sup>4</sup> Data from 2012 and 2013 obtained from the OECD Creditor Reporting Systems database for Kenya, Uganda, South Sudan, Ethiopia and Somalia. This is funding to research and evaluation for: Development food aid, Emergency response, Disaster prevention, Conflict peace & security and Reconstruction relief & rehabilitation sectors. Proportion comparison to the total humanitarian funding to these countries in 2013-obtained from the GHA 2015 report.
- <sup>5</sup> Data from the OECD Creditor Reporting System for 2013 research in Kenya and Uganda, all sectors.
- <sup>6</sup> Srinivasan, S., 'The 2025 communicator; the future of digital communications and humanitarian response' Available at <http://www.politicsinspires.org>
- <sup>7</sup> Drawing on, for example, the 'ESRC Framework for Research Ethics' (2006).
- <sup>8</sup> For example the SECURE programme which is working on evidence based health policy; DRUSSA which is looking at higher education policy; experts in the region such as Professor Nelson Ssengankambo in Uganda.
- <sup>9</sup> The Intergovernmental Authority on Development (IGAD), established in 1986, is an eight country trading bloc consisting of Djibouti, Eritrea, Ethiopia, Somalia, Sudan, South Sudan, Kenya and Uganda.
- <sup>10</sup> [http://na.unep.net/geas/getUNEPPageWithArticleIDScript.php?article\\_id=72](http://na.unep.net/geas/getUNEPPageWithArticleIDScript.php?article_id=72)
- <sup>11</sup> (2015) IGAD regional analysis for the Horn of Africa and recommendations for collective action'. Not available online. Horn of Africa population is a summation of each country's 2015 population which according to the World Bank data is 256.4 million.
- <sup>12</sup> Valid International Ltd, (January 2012) 'DEC East Africa Crisis RTE' notes "*Crisis is part of a recurrent pattern, made worse by both short term economic factors and longer term pressure of demographics, climate and resource scarcity. For that reason it is as much a matter of developmental as of humanitarian concern*".
- <sup>13</sup> IGAD Drought Disaster Resilience and Sustainability Initiative (March 2015), 'Regional Analysis for the Horn of Africa and recommendations for collective action Draft for Review'.
- <sup>14</sup> IGAD sub-national coping capacity and vulnerability models.
- <sup>15</sup> African Development Bank (September 2011), 'East African Regional Integration Strategy Paper 2011-2015'.
- <sup>16</sup> IRC (November 2014), 'Uprooted by conflict; South Sudan's displacement crisis'.
- <sup>17</sup> The terms of reference for humanitarian evidence systems mapping in East Africa are available at [http://r4d.dfid.gov.uk/pdf/outputs/Hum\\_Response/TOR\\_P1-3.pdf](http://r4d.dfid.gov.uk/pdf/outputs/Hum_Response/TOR_P1-3.pdf). The study inception report is available at [http://r4d.dfid.gov.uk/pdf/outputs/Hum\\_Response/61295-DFID-inception-report-final-revised.pdf](http://r4d.dfid.gov.uk/pdf/outputs/Hum_Response/61295-DFID-inception-report-final-revised.pdf)
- <sup>18</sup> See Inception report: 'Section 5 - constraints, limitations and risks to the study'. [http://r4d.dfid.gov.uk/pdf/outputs/Hum\\_Response/61295-DFID-inception-report-final-revised.pdf](http://r4d.dfid.gov.uk/pdf/outputs/Hum_Response/61295-DFID-inception-report-final-revised.pdf)
- <sup>19</sup> The force field analysis, adapted from Ramalingam, B., [ODI, \(2006\)](#) 'RAPID Tools for Knowledge and Learning'. This aims to identify the factors and influences that enable (enablers) and prevent (barriers) humanitarian research generation and use in East Africa and draw out competing and conflicting viewpoints on any particular variable.
- <sup>20</sup> DFID, (March 2014), 'Assessing the Strength of Evidence: How to Note – Table 1 principles of research quality.'
- <sup>21</sup> R&E in conflict prevention/mitigation/peace-building and stabilisation is growing especially in Kenya and the region as a whole (reflected in the studies available online see Annex 4b) and receives the bulk of R&E funding US\$0.9 million-which is all of the funding to R&E in Kenya and Uganda.
- <sup>22</sup> Knox Clarke P. & Darcy J. ALNAP (2014). 'Insufficient evidence? The quality and use of evidence in humanitarian action'.
- <sup>23</sup> Available at <http://www.data.hdx.rwlab.org>
- <sup>24</sup> Personal observation by a representative of the Kenya Bureau of Statistics making an intervention at the Open Data seminar Hilton Hotel, Nairobi, (19 June 2014).
- <sup>25</sup> S. Kratli, J. Swift DLCL (April 2014), 'Counting Pastoralists; data collection on pastoralism in Kenya'.
- <sup>26</sup> Venton C, Fitzgibbon C et al DFID (June 2012), 'The Economics of Early Response and Disaster Resilience; Lessons from Kenya and Ethiopia' which includes cost-effectiveness arguments for early action.
- <sup>27</sup> Save the Children and Oxfam (18 January 2012), 'Dangerous Delay, the cost of late response to early warnings in the 2011 drought in the Horn of Africa'; IFRC with Save the Children, Oxfam, FAO, WFP (July 2014), 'Early Warning Early Action; mechanisms for rapid decision making'.
- <sup>28</sup> McClure D. and Gray I. Humanitarian Innovation Conference, Oxford (July 2014), 'Scaling; Innovation's missing middle'.
- <sup>29</sup> In line with findings by Bailey S. and Harvey P., ODI (March 2015) in 'State of evidence on humanitarian cash transfers; background note for the high level panel on humanitarian cash'.
- <sup>30</sup> Columbia University, Save the Children, UNICEF, World Vision, (August 2012), 'Evaluation of child friendly space; Uganda Field Study which forms part of Child Friendly Spaces; A structured review of the current evidence base'. ; Sadler K, Mitchard E, Abdi A, Shiferaw Y, Bekele G, Catley A USAID, Save the Children, Tufts (2012), 'Milk Matters; the impact of dry season livestock support on milk supply and child nutrition in Somali region, Ethiopia'. ; Kenya Country Case Study report FAO (2014), 'Qualitative research and analyses of the economic impacts of cash transfer programmes in sub-Saharan Africa'.
- <sup>31</sup> One notable exception which sought beneficiaries' perspective (by mobile phone), and sampled 633 children/care givers in Uganda was by World Vision, Columbia University (July 2013), 'Evaluation of child friendly spaces'.
- <sup>32</sup> Integrity Research & Consultancy, (January 2015), 'Cross Cutting Evaluation of DFID's Approach to Remote Management in Somalia and NE Kenya'
- <sup>33</sup> 3ie Working Paper 22, (December 2014), 'What methods may be used in impact evaluations of humanitarian assistance?'
- <sup>34</sup> WFP Kenya PRRO 200174 Food Assistance to Refugees (2011-2013); an operation evaluation TANGO 2014
- <sup>35</sup> Joint Assessment Mission Uganda October 2014 conducted by UNHCR, WFP and the Office of the Prime Minister's Refugees Department seemed to overlook gathering evidence for a possible correlation between a reduction in ration and the deterioration in nutritional status
- <sup>36</sup> Engineers without Borders (2013), 'Striving for humility, living our values; 2013 Failure report.' Available at [www.blogs.ewb.ca](http://www.blogs.ewb.ca)
- <sup>37</sup> Knox Clarke P. and Darcy J., ALNAP (2013), 'Insufficient evidence? The quality and use of evidence in humanitarian action'.
- <sup>38</sup> Benequista, N., Audi, Z., Awuor, B., unpublished report prepared for Institute for Economic Affairs, Nairobi (April 2014), 'Kenya's changing public policy process; a desk review.'

<sup>39</sup> Professor Mike English, KEMRI (9 February 2015), '*Surely cost-effectiveness is a key part of a public interest research agenda?*' Speech at ResUp Seminar, Nairobi. For example, Murray S. Hove F. Mercy Corps, with Mastercard and Oxford Policy Management (Nov 2014) study 'Cheaper, faster, better? Cash Assistance in Emergencies' is a study determining which methods of distributing cash are most efficient and cost-effective.

<sup>40</sup> as an example of an early mover on the cost-effectiveness agenda, the INGO International Rescue Committee is establishing cost-effectiveness measures across the 'supply side' of its programmes - presentation at Humanitarian Innovation Conference, Oxford UK July 2015

<sup>41</sup> DLCI draft funded by ECHO (April 2014), 'Reflections on ECHO's regional drought preparedness decisions 2006-2013.'

<sup>42</sup> In line with global level findings in ALNAP research cited above

<sup>43</sup> A finding also noted at global level in Knox Clarke P. and Darcy J., ALNAP (2013), 'Insufficient evidence? The quality and use of evidence in humanitarian action.'

<sup>44</sup> ESRC/DFID funded research by IDS/Centre for Human Rights and Policy Studies CHRIPS/Saferworld, 'Critical Issues in Peace Building; oil, devolution, and the Emerging Politics of Security at the Margins' forum 19<sup>th</sup> November 2014, Nairobi; and University of Nairobi Law School and Think Tank Initiative, 'Politics of Food Prices' forum 2<sup>nd</sup> October 2014, Nairobi.

<sup>45</sup> One exception used mobile phones to reach caregivers and children; multiple authors from World Vision, Mailman School of Public Health, 'Evaluation of child friendly spaces; Uganda Field Study Summary Report 2013'. This point was also acknowledged by Safaricom Foundation which is contracting a company to advise on mobile data solutions.

<sup>46</sup> Integrity Research and Consultancy (2015), 'Cross Cutting Review of DFID's approach to remote programme management in Somalia and NE Kenya'

<sup>47</sup> ANNEX B of DFID TORs for the Mapping Study.

<sup>48</sup> Relationships between medical/veterinary/agro researchers and local government and local research institutions appear to be stronger.

<sup>49</sup> Feedback from Inter Agency Working Group on Disaster Preparedness for East and Central Africa-IAWG Focus Group Discussion (FGD), Key Informant Interviews with: Mercy Corps, International Food Policy Research Institute-IFPRI, Save the Children, Netherlands Embassy, Consultative Group for International Agriculture Research-CGIAR on USAID requirements, European Union-EU Kenya Country office, Government of Kenya National Treasury, Beryl Consult Limited-Kenya and Rift Valley Institute

<sup>50</sup> IRC presentation on their cost-effectiveness and impact system at Humanitarian Innovation Conference Oxford July 2015.

<sup>51</sup> Meeting hosted by Dr. Jacqueline McGlade, Chief Scientist, UNEP, 20 March 2015.

<sup>52</sup> IAWG INGO FGD (Jan 2015), ResUp seminar Nairobi, February 2015.

<sup>53</sup> Save the Children and Oxfam (18 January 2012), 'Dangerous Delay, the cost of late response to early warnings in the 2011 drought in the Horn of Africa'; IFRC with Save the Children, Oxfam, FAO, WFP (July 2014), 'Early Warning Early Action; mechanisms for rapid decision making'.

<sup>54</sup> DFID figures obtained from R4D website. Ongoing current projects were selected. For the Kenya figure Kenya only projects were selected that are ongoing in all sectors. USAID figures from USAID and Feed the Future websites. Word search on: Kenya, Uganda, for ongoing and completed projects on environment and food security related projects.

<sup>55</sup> Africa Network for Internationalisation of Education (2014), 'Mapping the social science landscape in Kenya'.

<sup>56</sup> UNICEF is drafting its first regional (Africa wide) research strategy.

<sup>57</sup> Margolies A and Hoddinott JF, (2014), 'Costing alternative transfer modalities'. IFPRI Discussion Paper 1375;

<sup>58</sup> DFID Standard Terms and Conditions; Service Contracts Version 2 March 2015 contains the following requirements; "efficiency and economy to satisfy generally accepted professional standards from experts; all members of the Supplier's Personnel shall be appropriately qualified, regulatory approved, experienced."

<sup>59</sup> Seminar held 20 October 2014 Silver Springs Hotel, Nairobi: 'Political Economy of Food Security', study conducted by Dr. Patta Scott-Villiers of IDS, Dr. Celestine Musembi of University of Nairobi School of Law; Nicholas Benequista then at Think Tank Initiative had active participation from representatives from grassroots movements and food insecure communities. Representatives from northern county governments and civil society organisations in Kenya attended the ESRC/DFID funded research by IDS/Centre for Human Rights and Policy Studies CHRIPS/Saferworld, 'Critical Issues in Peace Building; oil, devolution, and the Emerging Politics of Security at the Margins' forum 19<sup>th</sup> November 2014, Nairobi

<sup>60</sup> Donors include the Centre for Disease Control-CDC, DFID, Economic and Social Research Council-ESRC, Biochemical and Biophysical Research Communications-BBRC, Wellcome Trust and USAID.

<sup>61</sup> Personal observation by Professor Eric Fevre, Chair of Veterinary Infectious Diseases, University of Liverpool, KII Dr Katharine Downie Senior Scientist, CGIAR.

<sup>62</sup> Data for these case studies were obtained from the respective organisations' research portals. These include both ongoing and closed projects. IDRC funding is to governance, security and justice to Kenya and Uganda while USAID funding is to agriculture, food security and environment, global climate change to Kenya and Uganda.

<sup>63</sup> A point well recognised by the IAWG INGO FGD January 2015 who noted that they often failed to view the community as active participants.

<sup>64</sup> Africa Network for Internationalisation of Education (2014), 'Mapping the social science landscape in Kenya'; and Gulu District NGO Forum (2013) 'Shortfalls in the Implementation Processes of Peace, Recovery and Development Plan (PRDPP) II in Northern Uganda Unmasked Survey Report'

<sup>65</sup> 'Enhancing Resilience to Food Security Shocks in Africa'. TANGO International (November 2012) acknowledged the contribution of Centre for Drylands Ecosystems and Societies at University of Nairobi,

<sup>66</sup> Seminar held 20 October 2014 Silver Springs Hotel, Nairobi; 'Political Economy of Food Security' study conducted by Dr. Patta Scott-Villiers of IDS, Dr. Celestine Musembi of University of Nairobi School of Law; Nicholas Benequista then at Think Tank Initiative.

<sup>67</sup> Oronje R., (11 February 2015), 'Barriers to research use in the public sector'. Available at <http://www.researchtoaction.org/2015/02/barriers-research-use-public-health-sector/>

<sup>68</sup> Broadbent E. (June 2012) 'Politics of research-based evidence in African Policy debates – synthesis of case study findings'. EDPN and Mwananchi

<sup>69</sup> Drummond J and Crawford N, HPG and ODI, (January 2014), 'Humanitarian crises, emergency preparedness and response; the role of business and the private sector; Kenya Case study'. See page 24 for commentary on the media in Kenya.

<sup>70</sup> IFRC, Save the Children, Oxfam, FAO, WFP (2014), 'Early Warning, Early Action; mechanisms for rapid decision making'; Oxfam and Save the Children, (2012), 'Dangerous Delay'.

<sup>71</sup> The seven sub groups of the IAWG are; humanitarian human resources, training and capacity building, DRR and climate change, policy and advocacy, quality and accountability, HIV mainstreaming, and information, communications and technology.

- <sup>72</sup> *New Scientist*. 30 August 2014 'Mapping Nairobi's Disease Flashpoints' referring to the Zoonotic and Emerging Livestock Systems project in Nairobi
- <sup>73</sup> Personal observation by Professor Eric Fèvre of University of Liverpool at ILRI who directs the the Zoonotic and Emerging Livestock Systems project inception interview 24 Nov 2014
- <sup>74</sup> Professor Mike English KEMRI and Wellcome Trust Senior Research Fellow speaking at ResUp Seminar Nairobi, 10 Feb 2015.
- <sup>75</sup> Personal observation by Nigel Tricks, Regional Director, Oxfam, January 2015; 'The need for ethics and principles in research on innovation'. Professor Alexander Betts speaking at Humanitarian Innovation Conference, Oxford, UK, July 2015.
- <sup>76</sup> Schopper D., Upshur R, Matthys F, Singh J, Bandwar S, Ahmad A et al., PLOS., (28 July 2009), 'Research ethics review in humanitarian contexts; the experience of the Independent Ethics Review Board of MSF'; Curry D, Waldman R and Coplan A ELRHA R2HC programme, (January. 2014), 'An ethical framework for the development and review of health research proposals involving humanitarian contexts'.
- <sup>77</sup> CaLP., (2013), 'Protecting Beneficiary privacy; principles and operational standards for the secure use of personal data in cash and e-transfer programmes.'
- <sup>78</sup> For example studies like Save the Children and Oxfam, (18 January 2012), 'Dangerous Delay, the cost of late response to early warnings in the 2011 drought in the Horn of Africa.'; IFRC with Save the Children, Oxfam, FAO, WFP., (July 2014), 'Early Warning Early Action; mechanisms for rapid decision making'.
- <sup>79</sup> Save the Children is piloting a mobile phone complaint service where beneficiaries, including children can call in with complaints or alerts about its programmes.
- <sup>80</sup> TANGO International, (2014), 'Operation Evaluation; Kenya PRRO 200174 Food assistance to refugees; an evaluation of WFP's operation 2011-2013', is accompanied by a management response from the WFP Country Director to each of the recommendations in July 2014. Integrity Research & Consultancy, (January 2015), 'Cross Cutting Evaluation of DFID's Approach to Remote Management in Somalia and NE Kenya', contains a management response from DFID Kenya and DFID Somalia outlining actions which
- <sup>81</sup> Cited by another donor- not DFID
- <sup>82</sup> Wellcome Trust, London, 'How can funders encourage more effective research uptake?' Summary report on an exploratory workshop 16 December 2014.
- <sup>83</sup> Deloitte, (March 2015). 'The humanitarian R&D imperative; How other sectors overcome impediments to innovation.'
- <sup>84</sup> Ending Drought Emergencies Framework agreed by IGAD members in 2011. Host governments are increasingly allocating budgets to humanitarian assistance. According to GHA 2014 report Kenya allocated US\$38 million in 2012, the Kenya Red Cross is a major humanitarian actor and the devolution process within Kenya leading to county government requirements for local information.
- <sup>85</sup> Research uptake self-assessment tool available at [www.lansasouthasia.org](http://www.lansasouthasia.org)
- <sup>86</sup> Development Research and Training and Global Humanitarian Assistance (2010).
- <sup>87</sup> Chris Shimba Ochieng, KIPPRA Discussion Paper 156, (2013) 'Effects of Household Food Expenditure on Child Nutritional Status in Kenya'.
- <sup>88</sup> Data from 2002 - 2011, International Network for the Availability of Scientific Publications-INASP Kenya Country Profile notes - draft 2014.
- <sup>89</sup> Such as the University of Nairobi Law Department and IDS Sussex research on political economy of food prices in Kenya (funded by ESRC); M. Mendenhall and M.Tangelder (2014), 'Faculty Development for education in emergencies; a university NGO partnership in Kenya'. Draft not for circulation.
- <sup>90</sup> <http://www.humanitarianleaders.org/about-the-programme/>
- <sup>91</sup> Funded by a number of donors including Rockefeller Foundation, Norwegians, DFID, British Council, the Swedish International Development Agency (SIDA), John Hopkins University, Resilient Africa Network, Global Human Rights and the Government of Uganda. More information available at <http://caes.mak.ac.ug/research/research-funding.html>
- <sup>92</sup> Partnership for African Social and Governance Research (PASGR), (February 2014), 'Capacity building for research leadership'.
- <sup>93</sup> Save the Children IRIS, (June 2014), 'The power of love; why capacity building initiatives may fail; lessons from Kenya'.
- <sup>94</sup> Observed by two Kenyan development consultants who left university teaching jobs to pursue research as consultants.
- <sup>95</sup> SIDA is funding collaboration with African universities on bioscience research which has relevance for food security, and research climate change mitigation.
- <sup>96</sup> A point also observed by Think Tank Initiative; 'Think tanks at work; influencing policy through research 2014'.
- <sup>97</sup> [www.africasvoices.org](http://www.africasvoices.org)
- <sup>98</sup> [http://www.globalhumanitarianassistance.org/wp-content/uploads/2015/06/GHA-Report-2015-Interactive\\_Online.pdf](http://www.globalhumanitarianassistance.org/wp-content/uploads/2015/06/GHA-Report-2015-Interactive_Online.pdf)
- <sup>99</sup> Analysing humanitarian R&E aid to East Africa in general: (Kenya, Uganda, South Sudan and Somalia), Australia, Canada, Sweden and Finland were the top five donors in both years. Australia stands as an outlier as all its funding went to South Sudan to finance its Food Security Information systems for Households. This is the same pattern observed for Sweden- all its funding went to South Sudan to finance an INGO-ACCORD. Canada's funding on the other hand is spread across the East African countries.
- <sup>100</sup> Data for the case studies is obtained from organisation websites and annual reports, this is augmented with the KII where we obtained information on funding. This was not always accurate but gave an indication of funding
- <sup>101</sup> List of projects obtained from USAID website and Feed the Future website. Word search on: Kenya, Uganda, East Africa, Research. Search for only projects on USAID website filtering sectors and countries, These are ongoing and completed projects by USAID with focus on Kenya and Uganda. It excludes projects included under global health hence these are environment and food security related projects.
- <sup>102</sup> Figures obtained from R4D website word search on: Kenya, East Africa Search for only projects that are ongoing projects (all sectors) with DFID allocations made. 21 results, omits one which has no DFID contribution. It excludes 'documents' as named in R4D website. The 20 projects are further classified based on the type of organisation leading the research e.g. international academia, international research etc.