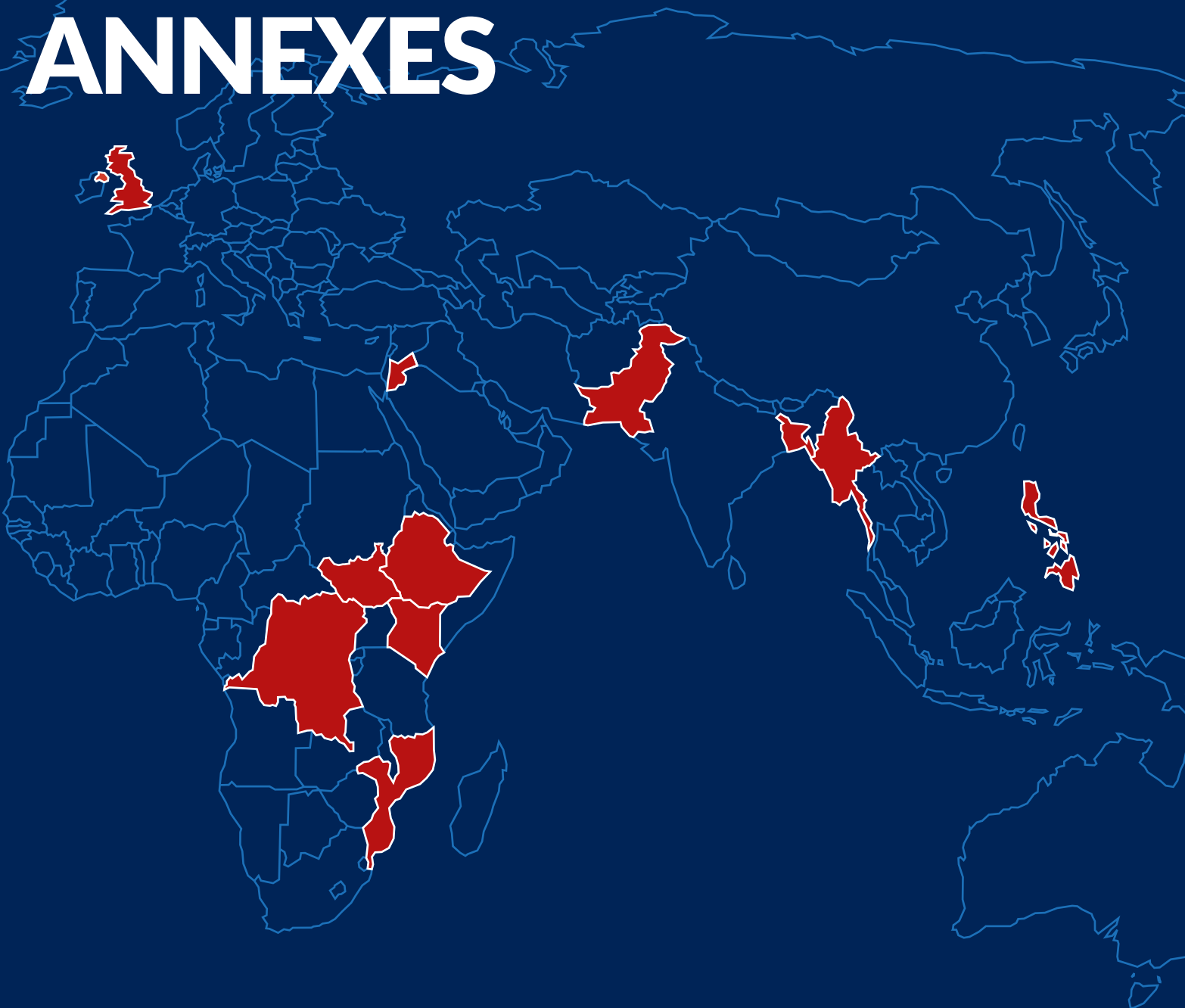




HARVARD
HUMANITARIAN
INITIATIVE

THE DISASTERS & EMERGENCIES PREPAREDNESS PROGRAMME
EVALUATION

SUMMATIVE PHASE REPORT ANNEXES



3 MAY 2018



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TABLE OF CONTENTS

ANNEX 1	
BUSINESS CASE	3
ANNEX 2	
KEY EVALUATION TEAM MEMBERS	73
ANNEX 3	
THEORY OF CHANGE (DFID/PROGRAMME)	75
ANNEX 4	
EVALUATION OF THE DEPP PROGRAMME: TERMS OF REFERENCE	77
ANNEX 5	
EVALUATION CRITERIA AND QUESTIONS	112
ANNEX 6	
DATA COLLECTION TOOLS	114
T1: IN-DEPTH INTERVIEW GUIDE	115
T1: ORGANISATIONAL SURVEY	120
T1: KNOWLEDGE, ATTITUDES AND PRACTICES (KAP) SURVEY	147
T1: NETWORK SURVEY (STANDALONE)	172
T1: HOUSEHOLD SURVEY	177
T1: COMMUNITY SURVEY	201
T2: IN-DEPTH INTERVIEW GUIDE FOR MINIMUM SET EVALUATION ACTIVITIES	217
T2: FOLLOW UP QUESTIONNAIRE	223
T2: IN-DEPTH INTERVIEW GUIDE	226
T2: KAP SURVEY	230
T2: MINIMUM SET QUESTIONNAIRE - KAP	255
T2: MINIMUM SET QUESTIONNAIRE - ORG	261
T2: NETWORK SURVEY	265
T2: ORGANIZATIONAL CHECKLIST	269
T2: ORGANIZATIONAL LEVEL QUANTITATIVE SURVEY	276
ANNEX 7	
LIST OF DOCUMENTS CONSULTED	302
ANNEX 8	
DISSEMINATION AND COMMUNICATION PLAN	316
ANNEX 9	
DEMOGRAPHIC TABLES	319
ANNEX 10	
CONTRIBUTION TO DEPP TO HUMANITARIAN RESPONSES	329
ANNEX 11	
BEST PRACTICES MATRIX	334
ANNEX 12	
ROOT CHANGE REPORT	337
I. EXECUTIVE SUMMARY	339
II. DATA COLLECTION	344
III. RESULTS	346
IV. UNDERSTANDING THE COUNTRY-LEVEL NETWORKS	353
V. TREATMENT AND CONTROL GROUPS	374
VI. LEARNINGS AND CHALLENGES	376
V. ANNEX	378

ANNEX 1

BUSINESS CASE

Annex 1: Business Case

Business Case Intervention Summary: *Disasters and Emergencies Preparedness Programme*

Intervention Summary

What support will the UK provide?

The Disasters and Emergencies Preparedness Programme (DEPP) is a three year programme worth £40m which will significantly improve the quality and speed of humanitarian response in countries at risk of natural disaster or conflict related humanitarian emergencies. It will do this by increasing and strengthening the capacity of the humanitarian system at all levels, although support will be weighted towards training and development for local humanitarian workers at national level. National preparedness systems will also be strengthened.

The Consortium of British Humanitarian Agencies (CBHA) and the Communicating with Disaster-affected Communities (CDAC) Network have been pre-selected to deliver the majority of the programme. A quarter of the funding will be made available to other NGOs and private sector organisations to deliver more innovative, potentially higher risk initiatives in priority areas. DEPP will be managed by DFID's Conflict, Humanitarian and Security Department.

Why is UK support required?

The types of event that lead to humanitarian disasters are increasing in number and complexity every year and this trend is expected to continue. Those countries prepared for the worst can reduce the impact of such disasters substantially. Current global investment in emergency preparedness is however extremely low. Less than 5% of all humanitarian funding in 2009, constituting less than 1% of Official Development Assistance (ODA), was spent on projects working to prepare countries for potential disasters. This means there is currently a shortage of people and systems with sufficient capacity to assist countries in preparing for and responding to disasters, particularly at the national level.

The UK Government Response to the Humanitarian Emergency Response Review (HERR) identified the lack of global humanitarian capacity as a key issue to be addressed and committed DFID to increase funding to build skills in the humanitarian sector. By providing funding to countries at high risk of disaster to increase their readiness to respond, we not only minimise the suffering of the affected population but also reduce the cost of response to the UK, and other donors.

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<i>What are the expected results?</i>
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DEPP will result in a significant improvement in the speed and delivery of humanitarian assistance to disaster affected communities in high risk countries.

It will do this by: improving the knowledge and understanding of national staff of civil society organisations and their counterparts so they can be better prepared for emergencies and better able to deliver an effective response when disasters strike; improving the institutional and policy environments for building humanitarian capacity; and in those countries where DEPP is being implemented, it will improve the hazard, risk and early warning systems.

DEPP will work through and further develop existing networks and coalitions of INGOs and their partners¹ at sub-national, national and international levels to increase humanitarian capacity.

Ultimately, DEPP will help to ensure that the right people are in the right place at the right time doing the right things to assist disaster affected communities.

The programme will be independently evaluated allowing lessons to be learned and evidence gathered on the value for money of preparedness and capacity building interventions, which will help to take programme results to scale.

¹ Partners may include other INGOs, private sector companies, academia, national NGOs, local government, national government, the Red Cross Red Crescent Movement, UN agencies, and other civil society groups.

Business Case

Title: Disasters and Emergencies Preparedness Programme

A. Context and need for a DFID intervention

Introduction

1. The Disasters and Emergencies Preparedness Programme (DEPP) is a three-year programme of up to £40 million which will be managed by DFID's Conflict, Humanitarian and Security Department (CHASE).
2. DEPP will improve humanitarian response at a national and local level in countries at risk of disasters. It will do this by building the capacity of national actors who are usually the first on the scene of a disaster. It will help communities and their Governments be better prepared in advance of a disaster happening. And it will help to scale up such activities by increasing the availability of knowledge on what works and what doesn't work in building national capacity for disaster preparedness and response.
3. Partnerships, networks and collaborations have been identified as critical to develop capacity. DEPP will work through and further develop existing networks and coalitions of INGOs and their partners² at sub-national, national and international levels to increase humanitarian capacity. Key elements include:
 - Contributing to improved knowledge and understanding of individuals by sharing best practice for humanitarian preparedness and response;
 - Improving preparedness systems for early action with communities at risk of disasters;
 - Developing coalitions, partnerships and networks which working together are able to address humanitarian needs in a wide range of emergency situations;
 - Improving institutional arrangements and policy environments so that national systems for humanitarian response and preparedness are better supported and more sustainable;
 - Strengthening the evidence base for what works to help build humanitarian capacity at scale.
4. DEPP will help to ensure that the right people are in the right place at the right time doing the right things to assist disaster affected communities.
5. Following a review of options, a designed approach is proposed. The Consortium of British Humanitarian Agencies (CBHA) and Communicating with Disaster-affected Communities (CDAC) network have been pre-selected to deliver the programme's Theory of Change³. Once the business case is approved, CHASE will work

² Partners may include other INGOs, private sector companies, academia, national NGOs, local government, national government, the Red Cross Red Crescent Movement, UN agencies, and other civil society groups.

³ CBHA and CDAC will not be eligible to apply to the smaller competitive GHAP window. Their members will be eligible as members of other consortia and networks.

with them to agree specific outputs. The CBHA and CDAC network are unique, work at scale and fit well with the DEPP design. They both have proven experience and expertise in one or several components of its intervention areas. They both work through coalitions and develop capacity across the different levels of the humanitarian system, including at the national and local levels. They also already work closely together.

6. DEPP will also have a smaller competitive window to fund innovative, potentially higher risk initiatives in its priority areas. This window will bring a broader range of partners, including niche players and the private sector, into the programme.

7. Although support to increasing humanitarian capacity has been identified as an urgent operational need, it remains difficult to deliver and measure, and past investment has been limited. Similar issues have arisen over the years for capacity in a development context where, unlike for humanitarian contexts, substantial resources are allocated globally each year. DEPP will learn from and contribute to the cross-DFID and external initiatives now taking place to capture the difference these 'hard to measure' capacity building interventions make.

The scale of humanitarian need

8. The events that cause humanitarian disasters are increasing in number and complexity every year and this trend is expected to continue. In the 20 years to 2012, disasters killed 1.3 million people and caused US\$2 trillion of damage, more than the total development aid given over the same period. Droughts, earthquakes and storms have been the largest causes of disaster mortality in the last 40 years⁴. Disasters, conflict, fragility and insecurity deepen poverty and act as a brake on growth and prosperity. In 2010 alone, 263 million people were affected by disasters – 110 million more than in 2004, the year of the Tsunami. In 2010 43.7 million people were displaced worldwide ⁵.

9. Many factors are responsible: food, water and energy insecurity; violent conflict; economic crises; population growth; urbanisation; migration and climate change. By 2015, disasters are predicted to affect on average 375 million people every year⁶. At least 1.5 billion people live in countries affected by conflict, violence and insecurity⁷.

10. Recent evidence suggests that one of the contributing factors to the need for emergency preparedness and response is climate change. In 2007, Zhang and co-authors analysed paleo-climate data for northern Europe

⁴ Foresight Reducing Risks of Future Disasters: Priorities for Decision Makers (2012); Final Project Report. The Government Office for Science, London

⁵ UNHCR, '60 Years and Still Counting: UNHCR Global Trends Report', Geneva 2010 page 5.

⁶ World Disasters Report, 2010.

⁷ World Development Report, World Bank, 2011.

and China⁸. The research found “that worldwide and synchronistic war–peace, population, and price cycles in recent centuries have been driven mainly by long-term climate change.”⁹ Using more recent data, from 1950 to 2000, Nel and Righarts have shown that “natural disasters significantly increase the risk of violent civil conflict both in the short and medium term, specifically in low- and middle-income countries that have intermediate to high levels of inequality, mixed political regimes, and sluggish economic growth.”¹⁰ Further to this, research has also reinforced the links between economic and political stress caused by increasing and repeated natural disasters subsequently leading to increased civil unrest, resultant conflict, and often reactive violent oppression¹¹.

11. Disasters also impact more on women and girls - five times more women than men died in the 1991 cyclone in Bangladesh¹². The death rate of women after the 2004 Indian Ocean tsunami was at least three times higher than that of men in some communities¹³.

12. Economic losses due to natural disasters since 1992 (Rio Earth Summit) amount to 25 times the annual level of Official Development Assistance (ODA). Estimated losses in 2011 were about US\$400 billion. Vulnerable, poor people suffer the most because they are often uninsured. In the Haiti earthquake only 2.5% of the US\$8,000 million economic losses were insured.

13. Unfortunately we cannot conclude with certainty what future costs will actually be as the evidence provided here has involved economic modelling with assumptions. However, despite this, the scientific evidence monitoring and informing climate change, population growth and the general uncertainty around conflicts, points to an increased likelihood of events occurring and larger populations being at risk.

⁸ Webster, Mackinnon, Justin Ginnetti, Peter Walker, Daniel Coppard and Randolph Kent; “The Humanitarian Costs Of Climate Change”. Medford, MA: Feinstein International Center, 2009.

⁹ David D. Zhang, Peter Brecke, Harry F. Lee, Yuan-Qing He, and Jane Zhang. “Global Climate Change, War, and Population Decline in Recent Human History,” *Proceedings of the National Academy of Sciences* 104, no. 49 (December 4, 2007): 19214–19219.

¹⁰ Philip Nel and Marjolein Righarts, “Natural Disasters and the Risk of Violent Civil Conflict,” *International Studies Quarterly* 52, no. 1 (2008): 159–185.

¹¹ M. Alamgir, *Famine in South Asia* (Westport, CT: Greenwood Press. 1980), 68. And Peter Walker and Daniel Maxwell, *Shaping the Humanitarian World* (Routledge Publications, due for publication fall 2008), chap. 2, referencing S. Sharma, *Famine, Philanthropy and the Colonial State* (New York: Oxford University Press 2001), chap. 3.

¹² ICF thematic paper on adaptation for the ICF Board (March 2011).

¹³ Women in disasters. 5 June 2013. Thomson Reuters Foundation
<http://www.trust.org/spotlight/Women-the-poorer-half-of-the-world>

14. Evidence is available about the benefits of emergency preparedness systems to reduce the impact of future events, including early warning for early action. Recent evidence from research commissioned by DFID has shown that *“early response is far more cost effective than late humanitarian response”* and recommends that *“Funding models must be changed to integrate relief and development in a coherent cycle”*¹⁴. Better contingency planning and preparedness are repeatedly highlighted in evaluations as a critical part of more timely responses¹⁵. Early warning systems for natural disasters such as floods and cyclones provide good value for money and positive benefit/ cost ratios and analyses, typically in excess of four and often higher in the case of floods and cyclones^{16 17}.

The humanitarian system

15. The UN Charter outlines the primary responsibility of the Nation State in responding to humanitarian disasters. In 1991, the UN General Assembly re-stated that it is the crisis-affected state, not international agencies, that have the primary role in humanitarian assistance. However, at present, the capacity of crisis affected countries varies enormously. Civil society, including national and international NGOs, is often amongst the first to respond.

16. The international humanitarian community will always have an important role in directly responding to disasters, and perhaps more now than ever before because of the increasing number of disasters¹⁸. The contribution by international humanitarian NGOs will, however, increasingly be to complement and support the capacities and efforts of crisis-affected communities.

17. In 2010 there was a total *field* population of roughly 247,000 humanitarian workers, with total funds directed to humanitarian response efforts approximately \$16 billion¹⁹. Global staffing levels have increased at

¹⁴ Venton, Courtenay Cabot; Fitzgibbon, Catherine; Shiterek, Tenna; Coulter, Lorraine; Dooley, Olivia “ The Economics of Early Response and Disaster Resilience: Lessons from Kenya and Ethiopia” DFID, June 2012

¹⁵ Choularton, R. (2007) Contingency Planning and Humanitarian Action: A Review of Practice. HPN Network Paper 59. London: HPN, ODI; Lakeman, C. (2008) Oxfam GB review of findings from real-time evaluations (2006–2008) final report, Oxfam.

¹⁶ ‘The costs and benefits of early warning systems for major natural hazards’, Global Assessment Report on Disaster Risk Reduction, Rogers, S and Tsirkunov, V (2011).

¹⁷ Background paper on the benefits and costs of early warning systems for major natural hazards’, GFDRR paper, Teisberg, T. J. and Weiher, R.F (2009).

¹⁸ Global Agenda Council on Humanitarian Assistance. Perspective 5. Sir John Holmes. October 2010.

¹⁹ The State of the Humanitarian System, ALNAP, 2012.

an average annual rate of 6% over the past decade²⁰. Civil society organisations deliver around 70% of humanitarian assistance globally (ALNAP, 2010). INGOs are the majority partner of UN agencies and deliver a significant proportion of UN programmes in the field²¹. Half of all humanitarian field staff work for NGOs and 95% of INGO staff are country nationals²². Investment in the capacity of NGOs, particularly where this builds capacity in countries at risk of disasters, is therefore a critical part of improving the international humanitarian system and will help to ensure an effective humanitarian response.

18. Civil society organisations have a particularly important role in fragile and conflict affected states where they are usually the main conduit for channelling assistance to vulnerable communities. In these contexts, government and UN agencies often do not have significant presence at a sub-national and community level. A recent synthesis of evaluations of disaster responses has found that that it is consistently local and national organisations that are particularly critical to people's survival in the immediate aftermath of disasters²³.

19. Where access is most difficult for international actors, there is an increased reliance on 'remote management', which means working through local civil society intermediaries to deliver assistance. During the famine in south central Somalia in 2011, for example, remote management was the primary mechanism through which aid was delivered. A recent analysis for OCHA created a partial inventory of suspended or cancelled programming, and concluded that humanitarian support is declining in the small number of countries that are perceived to be the most dangerous²⁴.

20. In 2010 the Global Humanitarian Platform (GHP) identified the importance of building disaster response on local capabilities and capacities. It made reference to "A new Humanitarian Business Model"²⁵ which it defined as *building disaster response on local capabilities and capacities, support to local and national capacity, partnership between international and local and national actors, and sharing capacities between local/national organisations and international organisations*. The GHP spoke of the need for a fundamental shift in approach to place civil society, national NGOs and community organisations '*at the centre of humanitarian action and reform efforts*'. While there is

²⁰ The State of the Humanitarian System, ALNAP, 2010.

²¹ 31% are from the United Nations and 17% from the Red Cross Red Crescent Movement (The State of the Humanitarian System- Assessing performance and progress, a pilot study, ALNAP, 2010).

²² The State of the Humanitarian System, 2012 (26,30).

²³ Tsunami Evaluation Coalition (2007) Synthesis report: expanded summary. Joint Evaluation of the international response to the Indian Ocean Tsunami http://www.alnap.org/pool/files/Syn_Report_Sum.pdf

²⁴ OCHA, 2011, *Stay and Deliver – good practice for humanitarian in complex security environments*: Jan Egeland.

²⁵ Global Humanitarian Platform (2010) Local Capacity and Partnership- A New Humanitarian Business Model, discussion paper. Available at www.icva.ch/doc00004113.doc

general agreement that incremental progress has been made it has been limited in its extent and vision.

The humanitarian capacity gap

21. The overall capacity of the humanitarian system is consistently seen as being in need of strengthening. The Humanitarian Emergency Response Review (HERR) identified the major gap as being the low level of preparedness of humanitarian organisations in terms of human resources and sectoral capacities. The Humanitarian Response Index (2009) also concluded that there is a continuing need to strengthen the overall capacity of the system and that international actors are 'stretched to the limit'. The State of the Humanitarian System (2012) identified that the humanitarian system's poor performance in meeting humanitarian need is largely a consequence of human, financial, and material resources not growing fast enough to keep pace with rising needs²⁶.

22. The Humanitarian Response Review²⁷ concluded that the 'uneven quality of personnel' is a major limiting factor in humanitarian response which will be compounded by the increasing challenges of the future. The Government Response to the HERR acknowledged that the existing international humanitarian system is unable to meet current and likely future demands. In addition, although most humanitarian personnel who respond first to a disaster are residents of the country where the disaster happened, capacity support for these personnel has been extremely limited²⁸.

23. Donors have been criticised for not funding humanitarian capacities²⁹. This is despite investment in people being identified as one of the most critical ways to improve humanitarian response³⁰. International funding is provided for urgent response – meaning that the effort which is spent generating the skills, capacities and effective approaches to emergency preparedness and response is too little, poorly co-ordinated, and often reactive (and so, too late). Where there is capacity development effort, it is poorly joined up between the 'local' level and the biggest providers in the

²⁶ The State of the Humanitarian System, ALNAP, 2012.

²⁷ Humanitarian Response Review. An independent report commissioned by the

United Nations Emergency Relief Coordinator & Under-Secretary-General for Humanitarian Affairs,

Office for the Coordination of Humanitarian Affairs (OCHA). Adinolfi et al, August 2005.

²⁸ The UK Government Response to the Humanitarian Emergency Response Review, 2011.

²⁹ The Humanitarian Response Index Survey, DARA, 2009.

³⁰ One for All and All for One: Intra-organisational Dynamics in Humanitarian Action. Medford, MA: Feinstein International Center, Tufts University. Webster and Walker (2009).

international system. INGOs find it difficult to justify to the public spending their contributions on their own internal capacity development rather than on direct front line response.

24. According to the HERR, there has been progress on improving staff skills in the past decade, and a number of worthwhile initiatives. But in every major emergency there are still significant numbers of aid personnel who lack some of the skills essential to their jobs. The HERR noted that “overall the level of professionalism in the humanitarian sector needs to be raised through better investment in skills and training³¹”³². The HERR argued that the consequences are hard to measure but are bound to include lost lives and wasted funds.

25. Although support to increasing humanitarian capacity has been identified as an urgent operational need, there are challenges to defining humanitarian capacity and how it can be measured. Similar issues have arisen over the years in a development context where, unlike humanitarian contexts, substantial resources are allocated to capacity building globally each year. DFID has recognised these issues. It submitted a briefing note and recommendations on capacity development to its Development Policy Committee in April 2012 and a paper on how it should capture and measure the ‘harder to measure’ benefits it seeks to deliver, including capacity development, to its Investment Committee in February 2013. DEPP provides an opportunity to learn from and contribute to wider DFID processes on capacity development.

Capacity development in the international development literature

Capacity building is a risky, messy business, with unpredictable and unquantifiable outcomes, uncertain methodologies, contested objectives, many unintended consequences, little credit to its champions and long time lags”³³.

³¹ It is extremely difficult to quantify the scale of the challenge of building capacity in such a large sector. The military’s high training:action ratio is often quoted as a comparison. But more appropriate might be a comparison with another frontline emergency service, the UK Search and Rescue teams. According to UKISAR, the 20 teams spend about 60-70% of their time in training. According to NGOs and DFID humanitarian staff experience it is a maximum of 10% for humanitarian NGOs.

³² www.dfid.gov.uk/Documents/publications1/HERR.pdf – p 21 and executive summary

³³ Morgan, 2008, p6. Capacity, Change and Performance- Study Report.

<http://www.ukcds.org.uk/assets/downloads/capacityChangePerformanceReport.pdf>

26. There is substantial discussion in the development literature about capacity development but little consensus about what it is and how to measure it. In recent years, about a quarter of donor aid, or more than \$20 billion a year, has gone into technical cooperation, the bulk of which is aimed at capacity development³⁴. Despite the magnitude of these inputs, evaluation results confirm that development of sustainable capacity remains one of the most difficult areas of international development practice³⁵. Most official definitions of capacity and capacity development are very broad. This lack of clarity makes it extremely difficult to evaluate the outcome of such work and to understand its impact³⁶.

27. The World Bank Institute summed up the problem in practical terms:

“Most efforts at capacity development remain fragmented, making it difficult to capture cross-sectoral influences and to draw general conclusions. Many capacity development activities are not founded on rigorous needs assessments and do not include appropriate sequencing of measures aimed at institutional or organisational change and individual skill building. What is needed is a more comprehensive and sustained approach, one that builds a permanent capacity to manage sectors and deliver services. Finally, better tools are needed to track, monitor, and evaluate capacity development efforts”³⁷.

28. The World Bank has developed a Capacity Development Results Framework (CDRF) which offers a structure within which to connect capacity development programmes to observable results³⁸ and which will be used to frame DEPP as described in the theory of change.

Capacity development in the humanitarian literature

³⁴ The Capacity Development Results Framework- A strategic and results-oriented approach to learning for capacity development. Otto et al. World Bank Institute. June 2009 (1).

³⁵ The Challenge of Capacity Development: Working towards good practice. DAC Guidelines and Reference Series. OECD, 2006 (11).

³⁶ The Capacity Development Results Framework- A strategic and results-oriented approach to learning for capacity development. Otto et al. World Bank Institute. June 2009 (1).

³⁷ The Capacity Development Results Framework- A strategic and results-oriented approach to learning for capacity development. Otto et al. World Bank Institute. June 2009 (1).

³⁸ The Capacity Development Results Framework- A strategic and results-oriented approach to learning for capacity development. Otto et al. World Bank Institute. June 2009.

29. The terms ‘capability’ and ‘capacity’ are generally used inter-changeably in the humanitarian literature³⁹. DEPP will use the term ‘humanitarian capacity’.

30. Although the urgent operational need for investment in humanitarian capacity is well-documented, the challenge remains that there is no consensus on how to define and measure it.

31. There is a dearth of literature on the concept of humanitarian capacity and there are almost no holistic, systematic or comparative reviews of the notion of humanitarian capacity⁴⁰. There is also no agreement about how to conceptualise it⁴¹.

32. Although there is consensus that building national and local capacity for disaster risk management is important, there is little analysis or empirical testing of what comprises and enables response capacity at the various national and sub-national levels⁴².

33. DFID has recently commissioned a piece of research to address the gap in the evidence base at this level⁴³. DFID has also funded some innovative humanitarian initiatives in the last few years, including the CBHA and Infoasaid. The CBHA’s capacity building pilot project focused on developing capacity within the CBHA organisations and the wider sector to increase the overall humanitarian skills and knowledge base of existing people working in emergencies and the numbers and competencies of potential leaders.

³⁹ Humanitarian capability: Definitions and components. Helpdesk research report. GSDRC, 2013.

⁴⁰ Discussions of ‘humanitarian performance’ show parallels with capacity. Ramalingam et al (2009) note the lack of a widely accepted definition of humanitarian performance. They remark approaches to performance and quality are highly fragmented, conceptually and in practice (2). Humanitarian capacity: Definitions and components. Helpdesk research report. GSDRC, 2013.

⁴¹ Humanitarian capacity: Definitions and components. Helpdesk research report. GSDRC, 2013.

⁴² Allen, K. 2006. Community-based disaster preparedness and climate adaptation: local capacity-building in the Philippines. *Disasters* 30 (1): 81-101. Cutter, S. et al. “A place based model for understanding community resilience to natural disasters.” *Global Environmental Change* 18.4 (2008): 598-606. Online. Internet. 16 Dec. 2012. Referenced in ‘Working with national and local institutions to build resilience and improve disaster response’. Research and Evidence Department, DFID, April 2013.

⁴³ Working with national and local institutions to build resilience and improve disaster response. DFID Humanitarian Innovation and Evidence programme proposal for funding. April 2013.

34. Featherstone (2012)⁴⁴ reported that the CBHA and Emergency Capacity Building project approach to national staff capacity development programmes establishes good practice in a number of the areas that his research exposed as weaknesses⁴⁵.

Why the UK should intervene

UK Policy

35. In 2011 the UK Government's Humanitarian Policy⁴⁶ and the UK Government Response to the Humanitarian Emergency Response Review identified the lack of global humanitarian capacity. They committed to increase funding and help to build the skills of actors across the humanitarian sector.

36. The UK Government Humanitarian Policy commits to:

- allocate more resources to delivering humanitarian results;
- expand our range of financing mechanisms to improve the predictability and timeliness of our support to the Red Cross Red Crescent Movement, NGOs and the private sector;
- work with partners to improve skills and professionalism across the humanitarian sector;
- and, reinforce our capacity to respond to humanitarian crises by continuing to help strengthen UN agencies in their roles as leaders of the international humanitarian system, and support the Red Cross and Red Crescent Movement and the NGO community.

37. The UK Government Response to the HERR commits to:

- improve the coherence of and links between our development and humanitarian responses in fragile and conflict-affected situations; and,
- work with partners to improve skills and professionalism across the humanitarian sector.

38. Under its resilience agenda, DFID has committed to building resilience in countries, communities and households to manage change, by maintaining or transforming living standards in the face of shocks or stresses - such as earthquakes, drought or violent conflict – without compromising their

⁴⁴ Building a better response: gaps and good practice in training for humanitarian reform. Andy Featherstone, January 2012. Report commissioned by OCHA and USAID/ OFDA

⁴⁵ The ECB project is now completed.

⁴⁶ Saving lives, preventing suffering and building resilience: The UK Government's Humanitarian Policy, September 2011.

long-term prospects⁴⁷. The impacts of an emergency are greatly reduced by anticipating and preparing for hazards. In addition, the recent Independent Commission for Aid Impact (ICAI) review of the UK's response to the Horn of Africa crisis in 2012 recommended that DFID considers how best to support NGOs and Civil Society Organisations in a crisis to achieve objectives and build capacity⁴⁸. The Management response noted that DFID will develop further multi-year funding arrangements with NGOs, both at country level and at a global level to build international and local capacity to anticipate and respond to natural disasters. DEPP was cited as a global level initiative.

39. Working via civil society organisations in fragile states is essential to deliver services where the state lacks the capacity or political will to provide basic services⁴⁹. Investment in humanitarian capacity will help safeguard development gains and contribute to achieving the Millennium Development Goals in countries where these targets have been the most challenging⁵⁰.

40. The UK is well-placed to address these problems

- The UK Government is influential in the international arena. The HERR and the UK Government response to the HERR gives a solid platform for thought leadership in this area;
- DFID brings humanitarian and development action together under one organisation;
- UK Country Programmes have significant experience of working closely with Governments and local actors to address longer-term development issues and help manage risks to development, including from disasters and emergencies;
- The UK is the third largest donor in absolute terms to humanitarian funding and as such has an influential role with multilaterals and other donors;
- DFID has strong links with UK INGOs which are key and influential members of their international 'families'. They work across development and humanitarian issues, with thousands of local NGO/ CSO partners.

41. However, the UK cannot deliver the changes needed on its own. Our commitment to support humanitarian capacity will be aligned to other international agreements and initiatives:

- EU Member States and the European Commission's partners agreed in the European Consensus on Humanitarian Aid: "... supporting the development of the collective global capacity to respond to humanitarian crises is one of the fundamental tenets of our [EU]

⁴⁷ Defining Disaster Resilience: A DFID Approach Paper, 2011 p6

⁴⁸ DFID's Humanitarian Emergency Response in the Horn of Africa. ICAI. Report 14. September 2012.

⁴⁹ INTRAC, Policy Briefing Paper 23 (2009).

⁵⁰ The UK Government Humanitarian Emergency Response Review, 2011.

approach”⁵¹ and by the endorsement of the Good Humanitarian Donorship Principle to “allocate funding to strengthen capacities for response”⁵²;

- The New Deal for Engagement with Fragile States which has a commitment to strengthen capacities in country; and,
- The Cairo Consensus on Capacity Development (March 2011) calls for action to improve capacity development and recommends that capacity development is at the heart of all significant development efforts, not an after-thought.

Links to wider DFID programming

42. DEPP will complement and add value to a number of DFID priorities. More broadly, DEPP will contribute to DFID’s wider approach to civil society. For example, in its recent scoping paper, DFID’s Civil Society Department⁵³ recommended promoting new partnerships and alliances spanning local, national and international levels to contribute to transformational change and sustainability. Other recommendations included valuing and protecting the space for legitimate civil society action; recognising the key role of CSOs in fragile, conflict affected and more risky environments; and working with CSOs in middle income countries and as part of graduation plans.

43. Specifically, DEPP will contribute and link to a number of DFID work streams. These include:

- DFID’s work on disaster resilience by helping build capacity to respond more effectively when disasters happen. It will help lower the economic and social costs to communities that result from disasters. DEPP’s focus on increasing capacity around humanitarian preparedness and response will support the UK’s ambitions and commitments as part of the Political Champions Group on Disaster Resilience⁵⁴.
- DFID’s work on effectiveness and value for money. Lessons learned will have value for both humanitarian and development parts of the international community.
- DFID’s work on Violence Against Women and Girls. Projects will be encouraged to build the capacity of their partners on Violence Against Women and Girls and this will be a key criteria for the designed component to deliver against.
- The evidence being developed through the new DFID Humanitarian Innovation and Evidence Strategy (2012)⁵⁵. DEPP will contribute operational learning but also benefit from evidence developed by the strategy. Relevant problems this strategy will address include:
 - Not knowing which existing interventions are most effective in reducing risk and vulnerability,

saving lives and rebuilding livelihoods after crises. New ways of doing business must be found that are more effective and affordable, and which enable us to respond to new challenges, such as urbanisation.

- Not having sufficient capacity to build resilience or mount responses when disaster strikes. National governments and institutions need to have the capacity to lead efforts to build resilience and respond when crises strike. How can their best efforts be supported? Equally, how do we ensure that the international system can provide support when national capacities are genuinely overwhelmed, and that those affected by conflict can access an independent lifeline when all others fail them?
- The Save the Children Humanitarian and Leadership Academy which has a long term strategic aim of shifting the centre of humanitarian power towards communities in developing countries. Doing this requires supporting change at all levels of the humanitarian system. DEPP is initially working to a shorter time frame and is addressing immediate pressing operational humanitarian capacity needs and will be a platform for collaboration of organisations that engage in humanitarian response – between themselves and with others - to improve humanitarian capacity. DEPP partners will develop and directly deliver particular projects for the improvement of the humanitarian sector. The Humanitarian Academy will help build a framework for better, more coherent delivery of learning and knowledge at all levels of the humanitarian sector.

44. DEPP will also complement:

- The significant support the UK Government is providing to multilateral humanitarian organisations;
- The work of DFID country programmes;
- The new 'Building Resilience and Adaptation to Climate Extreme Disasters' programme (BRACED). DEPP will build the capacity of humanitarian actors to respond to disasters and BRACED will

⁵¹ As adopted by the Council, European Parliament and Commission on 18 December (OJ 2008/C/25/01 of 30.1.2008).

⁵² GHD Principle 18; also principle 8 on strengthening the capacity of affected countries and local communities.

⁵³ The changing landscape for civil society contributions in international development, December 2012.

⁵⁴ The group was established in 2012 and aims to secure greater political focus and investment in disaster resilience. The group is co-chaired by the UK Secretary of State for International Development and Helen Clark of UNDP. Its initial work streams include developing a package of support to help improve countries' understanding and financial management of disaster risk (led by the World Bank); building disaster resilience in the Horn of Africa (US-led Global Alliance for Drought Resilience); helping the Sahel region develop a strategy for building resilience (led by the EU); embedding disaster resilience in donor's own programmes (led by the UK); and strengthening public-private partnerships in support of disaster resilience (led by the UK).

⁵⁵ Promoting innovation and evidence-based approaches to building resilience and responding to humanitarian crises: A DFID Strategy Paper, 2012.

strengthen development and adaptation interventions to build the resilience of communities to climate extreme events.

- The Programme Partnership Agreement (PPA) Learning Partnership which has proved highly effective at promoting joint learning to the benefit of both PPA holders and the wider community of development CSOs⁵⁶ and is currently work on capturing 'hard to measure' investments.

45. DEPP will be the main fund in CHASE to support humanitarian INGOs and their partners ahead of disasters. Other funding streams previously available are now completed.

The Disasters and Emergencies Preparedness Programme

46. DEPP will be a 3 year £40 million programme. It will strengthen capacity of the humanitarian system from local to international levels with support strongly weighted towards national capacity development. It will support humanitarian capacity through the *collective, collaborative action* of International Non-Governmental Organisations and their partners. It will provide a significant investment in the capacity of national personnel, building skills in disaster preparedness and humanitarian response. Support will not be limited to skills building, but will promote pathways between local and international actors through the creation of joint platforms and networks, and build community preparedness systems. Partners may include other INGOs, local NGOs, local government, national government, academia, private sector companies, the Red Cross/ Red Crescent Movement, UN agencies and other civil society organisations.

47. Figure 1 below outlines the specific focus of DEPP's capacity building efforts.

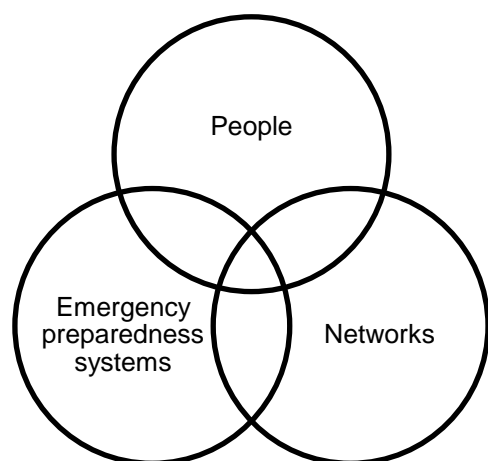
Figure 1.

DEPP's initial working definition of humanitarian capacity will be:

"the individual and collective ability of humanitarian actors (local, national, regional and

⁵⁶ DFID's support for civil society organisations through programme partnership agreements. Independent Commission for Aid Impact. May 2013.

international) to perform effective humanitarian action that meets the needs of affected populations”⁵⁷.



Components of humanitarian capacity will include:

- knowledge and understanding of individuals about best practice for humanitarian preparedness and response
- effective emergency preparedness systems for early action
- coalitions or networks at different levels of the system, both vertical and horizontal, for action and learning
- improved institutional arrangements
- improved policy environment

These components were identified as capacity needs in the literature reviews and extensive consultation processes undertaken.

DEPP’s working definition will be updated as evidence emerges from research and operational practice.

DEPP consultation process

48. The design of DEPP was supported by an extensive consultation process and literature reviews:

- An eight week online public consultation;
- An eight week consultation with NGOs, academia, UN agencies, the Red Cross/ Red Crescent Movement, the private sector and other donors. Returned questionnaires were analysed and two large group face to face meetings held with private sector companies and NGOs;
- An internal consultation with DFID staff, including country offices.

49. A review of the literature was also undertaken. This included two literature review requests to DFID's external research help desk⁵⁸.

DEPP delivery model

50. Following a review of options, a designed approach to programme delivery is proposed. The Consortium of British Humanitarian Agencies (CBHA) and Communicating with Disaster-affected Communities (CDAC) network have been pre-selected to deliver the programme's Theory of Change⁵⁹. Once the business case is approved, CHASE will work with them to agree specific outputs. The CBHA and CDAC network are unique, work at scale, and fit well with DEPP design. They both have proven experience and expertise in one or several components of its intervention areas. They both work through coalitions and develop capacity across the different levels of the humanitarian system. They are both connected to and influence the others' practice at the different levels, particularly at national level in countries at risk of disasters. Through this approach, DEPP will enable DFID to "better harness HMG and UK domestic expertise as a 'UK plc know-how offer'", a key recommendation of the DFID paper on Capacity Development 2012⁶⁰.

51. There will also be a smaller competitive funding window to enable innovative projects within the overall DEPP design. This will fund field based work to test new ideas including use of new technology, partnering with the private sector, and innovative practice in niche sectors (early warning, health, food security, shelter, quality and accountability systems, beneficiary feedback and monitoring, etc.). Outcomes could be delivered

⁵⁸ DFID Helpdesk research reports. Applied Knowledge Services. GSDRC, April 2013

⁵⁹ CBHA and CDAC will not be eligible to apply to the smaller competitive GHAP window. Their members will be eligible as members of other consortia and networks.

⁶⁰ Draft for Discussions by the DFID Development Policy Committee: Briefing note and recommendations on Capacity Development. April 2012.

by new players in the humanitarian field and we will encourage proposals that are higher risk. We expect that individual grants will be smaller than for the designed component.

52. Once funding is approved we will establish the designed component of DEPP, which will include its geographic focus, with CBHA and CDAC and expect to run the first call for proposals from the competitive window in January 2014. Based on demand we will run a further call within a year of the first.

53. Funds will be allocated as follows: £26 million to CBHA, £3 million to CDAC and £10 million to the competitive window. The remaining £1million will fund the independent programme evaluation. If demand for the competitive window is limited, unallocated funds will be transferred to the designed component.

54. The consultation process highlighted the lack of robust evidence to support DEPP. Given this and the lack of evidence available to support some elements of the strategic case, highlighted in sections above, we will need to manage risk associated with programme delivery. The DEPP evaluation strategy will be one element of risk management. Other elements include learning from pilot work and setting review points in accountable grants (see risk management in the Management Case).

55. An extension to the programme, possibly for 2 years, will be considered subject to the findings of a mid-term review supported by the independent evaluation (in 2015). The previous Secretary of State (Andrew Mitchell) has given in-principle agreement for up to £100 million over 5 years.

B. Impact and Outcome that we expect to achieve

Impact

- Improvement in effective delivery of humanitarian assistance to disaster affected communities.

Impact Indicators

- Increased speed of humanitarian response
- % beneficiary (and participant) satisfaction with the quality of preparedness activities and humanitarian assistance provided by DEPP partners in response simulations

Outcome

- Increased humanitarian capacity in DEPP focus countries.

Outcome indicators

- Improved knowledge and understanding of national staff and their counterparts regarding best practice for humanitarian preparedness and response (capacity demonstrated in simulations, KAP surveys and other activities in key countries);
- Increased number of coalitions and partnerships developed;
- Emerging evidence base for what works in building humanitarian capacity;
- Improved institutional and policy environments for building humanitarian capacity;
- Improved preparedness systems for communities at risk of disaster.

Outputs

- Capacity development interventions for preparedness and response reach national actors;
- Multi-stakeholder platforms established to enable collective action for capacity development, to capture lessons and evidence and advocate for change based on emerging evidence;
- Projects to improve preparedness systems for response with communities at risk of disaster.

Output indicators

- DEPP partner national capacity development plans developed and implemented;
- Effective advocacy strengthens relevant policy and practice;
- Platforms enable collective action for capacity development;
- Platforms enable learning and evidence to be captured and used to advocate for change;
- National information and communication systems augmented in countries;
- Hazard, risk and early warning systems augmented in countries where DEPP capacity development interventions are being implemented;
- Contingency/ preparedness and response planning.

56. Indicators will be reviewed and updated during the evaluation inception phase to ensure they are robust and enable us to measure contribution to change. They will then be regularly reviewed through the programme management cycle.

Theory of Change

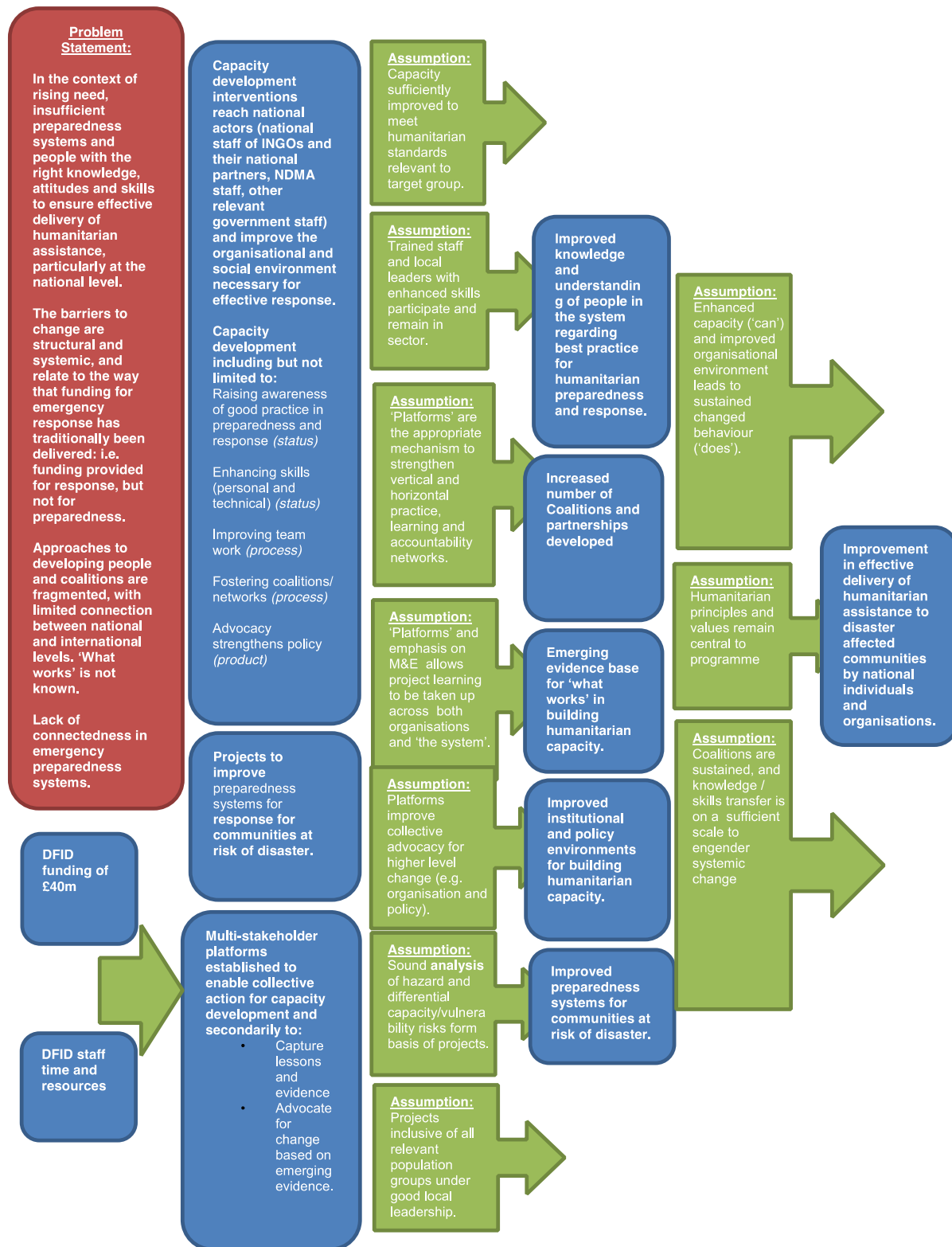
57. The DEPP Theory of Change was developed from our analysis firstly of the core problems associated with the development of humanitarian capacity, and of what we as a team understood to be the barriers to change. From this, we generated preliminary assumptions about what changes would be required to increase capacity, and examined these in the light of the available evidence on capacity development in developing country contexts. A commissioned evidence review confirmed our assessment that the evidence base for humanitarian capacity development is very low⁶¹. Globally, investment in the humanitarian capacity of INGOs and their partners has been *ad hoc* and short term, with few evaluations undertaken.

58. The Theory of Change is therefore based upon analysis of the scale of the problem and analysis of the existing evidence to support our assumptions about the change process. Evidence to support the change process and some aspects of the programme design is limited - studies and evaluations on capacity development in developing country contexts have so far produced very little robust evidence. Through a commissioned evaluation, we will develop the Theory of Change in more detail as part of the evaluation inception stage, and we will test our core assumptions through the DEPP evaluation.

59. DEPP's evaluation strategy will help capture the difference DEPP makes and will start to develop the evidence-base needed to inform future investment in humanitarian capacity.

Theory of Change diagram figure 2

⁶¹ Humanitarian capability: Definitions and components. Helpdesk research report. GSDRC, 2013.



Problem statement

60. In the context of rising need, insufficient preparedness systems and people with the right knowledge, attitudes and skills are available to ensure effective delivery of assistance, particularly at the national level.

Barriers to improving the situation

61. The barriers to improving the situation are structural and systemic, and relate to the way that funding and 'emergency assistance' have traditionally been delivered. INGOs and their partners are funded in general for response, rather than preparedness:

- INGOs have limited unrestricted funds for capacity development, whether for their own staff or as collaborative efforts with partners, and for building coalitions.
- Understanding of effective humanitarian capacity development – i.e. how to prepare and respond to disasters – is limited, and 'lesson learning' is not undertaken systematically.
- Approaches to developing people are fragmented.
- There is a lack of connectedness in emergency preparedness systems, particularly for communication systems.

Predictable long term funding

62. Globally, investment in emergency preparedness is very low, coming in at less than 5% of all humanitarian funding in 2009⁶², which is less than 1% of Official Development Assistance. In the top 20 humanitarian recipient countries over the period 2005-2009, for every US\$100 spent on humanitarian assistance, only 62 cents went to supporting disaster prevention and preparedness activities⁶³. The 'real-time' tracking of humanitarian funding in 2011, undertaken by Development Initiatives, highlights that where donors and

⁶² Synthesis Report: Analysis of financing mechanisms and funding streams to enhance emergency preparedness', Jan Kellet and Hannah Sweeney, Development Initiatives, October 2011. Report commissioned by FAO and behalf of the IASC.

⁶³ Synthesis report: Analysis of financing mechanisms and funding streams to enhance emergency preparedness, Jan Kellet and Hannah Sweeney, Development Initiatives, October 2011. Commissioned by FAO on behalf of the IASC.

agencies do fund preparedness it is likely to take place immediately after a crisis rather than before, where it could have had the greatest impact.

63. The challenge for humanitarian INGOs and their partners is therefore how to generate the finances needed to develop their capacity before a disaster strikes and to influence and/ or work together with development colleagues on building humanitarian capacity. The State of the Humanitarian System report (2012)⁶⁴ suggests that it is very difficult to undertake meaningful capacity building in the middle of an emergency, precisely when funding is most readily available. It also notes that donors rarely fund national NGOs directly, nor is support sustained through capacity-building measures via INGOs.

64. NGOs also find it very difficult to raise private funds for the investment needed in capacity. The need for such investment is less clear in the public's understanding than for direct response work. In addition, the current economic climate makes raising private funds more difficult. The real overhead cost of most major operational agencies is estimated to be between 15-20%. However, these costs are not factored into donor response allocations. Many donors, including DFID, will only meet overheads of around 5- 7%. NGOs are therefore to a certain extent subsidising the delivery of donor funded projects with their own private funds⁶⁵.

Approaches to developing people

65. Although civil society organisations deliver 70% of all formal humanitarian assistance (ALNAP, 2010), there has been very limited funding available for them to invest in their knowledge and skills. Training is limited and fragmented.

Patchy and inconsistent training provision is widely recognised as a weakness by those who work in the humanitarian sector. It is a problem characterised by hastily-written applications to donors to fill critical gaps and exacerbated by inconsistency of donor funding. As soon as a funding period (typically one to three years) is over, the likelihood is that a particular course will disappear and the funding will go to another agency to fill the critical gap. This essentially removes any possibility of setting benchmarks and measuring the long-term impact of investments in capacity building in the sector. It also makes mapping of training provision in the sector a constantly moving target that has to be readjusted annually, and this has implications for conducting sector-wide analysis of training gaps.

⁶⁴ The State of the Humanitarian System, ALNAP, 2012.

⁶⁵ NGO consultation, 2012.

66. ELRHA (2012)⁶⁶ argued that support should be provided for coordination efforts to rationalise and bring standards of practice to learning and development in the sector. It recommended that donors encourage efforts to improve and measure the quality and impact of training provision.

67. Featherstone (2012) identified the need to strengthen country-level assessment and coordination⁶⁷. He noted that there is no country level analysis of learning needs and many learning opportunities are based on decisions made at a global level. He argued that learning and development opportunities should be based on an assessment of learning needs at country, organisation and individual level to ensure that they are directed to those who need it the most.

Connectedness in emergency preparedness systems

68. The Mid-Term Review of the Hyogo Framework for Action (HFA) identified the importance of connecting different levels of the system⁶⁸. It noted there has been a failure to join up actions across governments and from the national to local and community level. National institutional arrangements are insufficient to promote effective action. The review recommended that the international community should support disaster risk reduction implementation with a strong focus on working with governments to ensure more emphasis on local level preparedness and implementation.

69. Areas for investment include mapping local dimensions of hazards and vulnerabilities; supporting the establishment of effective two-way communication between local and national levels; working with national governments to recognise the importance of creating methodology and building the capacity of local authorities, communities, and civil society; and strengthening participatory planning approaches. It also reported that local platforms are required to support new kinds of interactions and communication channels between relevant stakeholders.

⁶⁶ Global Survey on Humanitarian Professionalisation. ELRHA. C. Russ and D.Smith. March 2012.

⁶⁷ This was in relation to training for humanitarian reform. Building a better response: gaps and good practice in training for humanitarian reform. Andy Featherstone, January 2012. Report commissioned by OCHA and USAID/ OFDA. The research report is one of three outputs from a global mapping study of NGO participation in humanitarian reform training initiatives.

⁶⁸ Hyogo Framework for Action 2005-2015. Building the Resilience of Nations and Communities to Disasters. Mid-Term Review, 2010-2011.

Evidence for components of the Theory of Change

70. Although identified as a critical operational need in the literature, evidence regarding what does and does not work in DEPP priority areas is limited.

71. Evidence is available about the benefits of emergency preparedness systems, including early warning for early action. Better contingency planning and preparedness are repeatedly highlighted in evaluations as a critical part of more timely responses⁶⁹.

With a history of recurring disasters, a number of lower income countries such as Bangladesh have already made dramatic strides in reducing mortality risk by developing effective early warning systems for tropical cyclones, storm surge and flooding. In Bangladesh, following the tropical cyclones and storm surges in 1970 and 1991 that led to nearly 300,000 and 140,000 casualties respectively, the government together with the Red Crescent Societies of Bangladesh implemented a Cyclone Preparedness Programme, whose effectiveness was well demonstrated by the much reduced death toll of less than 3,500 during the November 2007 super cyclone Sidr.

The Island of Simeulue had a community based early warning system in place before the 2004 Tsunami. As a result only 23 people died out of 78,000. In other parts of Aceh, the Tsunami death toll exceeded 90%.

Background paper on the benefits and costs of early warning systems for major natural hazards', GFDRR paper, Teisberg, T. J. and Weiher, R.F (2009).

72. Evaluations of the Hyogo Framework, OCHA and many other organisations, have argued about the importance of communication systems as part of preparedness systems with communities at risk of disasters.

⁶⁹ Choularton, R. (2007) Contingency Planning and Humanitarian Action: A Review of Practice. HPN Network Paper 59. London: HPN, ODI; Lakeman, C. (2008) Oxfam GB review of findings from real-time evaluations (2006–2008) final report, Oxfam.

However, there is very little robust evidence available regarding the benefits of these systems. Projects aimed at increasing communication with affected populations are very rarely evaluated⁷⁰.

73. Research commissioned by the Norwegian Development Agency noted “the most consistent observation in the evaluation reports is the significance of preparedness, i.e. the need to go from humanitarian response to proactive preparedness and vulnerability reduction”⁷¹. It went on to specify the need for national and local preparedness with regard to establishing early warning systems, saving lives and coordinating the relief and recovery process.

74. There is a dearth of evidence about the benefits of investing in people’s capacity⁷².

This may be because there are very few examples of longer term capacity development programmes for humanitarian NGOs and their partners. Published systematic evaluations or analyses of the capacities of organisations by donors are rare⁷³. However, evidence of the effectiveness of organisational capacity development initiatives outside the humanitarian sector also remains weak⁷⁴.

75. There is also a dearth of evidence available about how improved institutional and policy environments help build humanitarian capacity.

76. Analysis suggests it is important to support networks and multi-stakeholder platforms to develop capacity, working with existing ones where ever feasible (see box below).

As well as building the capacity of individuals, communities and organisations, it is important to build collective capacity by supporting networks that address an issue or area of practice. Supporting the development of networks is a way to ensure that actors from a variety of levels, contexts and backgrounds are able to communicate on an issue, and helps build shared understandings and social capital that may foster (or be a starting point for) collaborative action⁷⁵.

Genuine collaborative institutions and networks are not so easy to bring into existence or control. Rather than looking to create a new network on an issue, the first step should be to recognise and engage with existing networks of interactions (whether formal or informal) and to facilitate them, work with them or manage in relation to them. This should be part of some general requirements placed on interventions, to ensure they ‘do no harm’ to emergent collaboration and action⁷⁶.

Collaboration and collective action, built on natural patterns of social capital and founded on trust, are central to achieving sustainable change. An agency should not impose a course of action by itself, but instead should work with and influence others. This has a ‘horizontal’ and a ‘vertical’ component.’ Vertically, action occurs at a number

of different levels, with interactions between multiple levels of governance that must be taken into account. There is also a horizontal component, in that power and responsibilities are often distributed and overlapping between various actors at the same level⁷⁷.

77. Multi-Stakeholder Platforms (MSPs)⁷⁸ allow for involvement of multiple actors at different levels with different agendas, and they create spaces for participation, collaboration, learning and sharing. International MSPs improve coordination between multiple stakeholders working at different levels, implement key activities and build up their technical and financial capacities⁷⁹. The World Bank argues that ‘fostering coalitions and networks’ is a key element of capacity development initiatives.

Hypotheses and Assumptions

⁷⁰ Improving communication between humanitarian aid agencies and crisis-affected people. Lessons from the Infoasaid project. Carole Chapelier and Anita Shah. Humanitarian Practice Network (HPN) Network paper. Number 74, February 2013.

⁷¹ Stokke, K; Humanitarian Response to Natural Disasters: A Synthesis of Evaluation Findings; Norwegian Agency for Development Cooperation ISBN 978-82-7548-219-6; 2007 P18

⁷² Humanitarian capacity: Definitions and components. Helpdesk research report. GSDRC, 2013

⁷³ The State of the Humanitarian System- Assessing performance and progress, a pilot study, ALNAP, 2010.

⁷⁴ Briefing submitted to DFID’s internal Development Policy Committee (April 2012).

⁷⁵ Swanson, D. and Bhadwal, S. (eds) (2009) Creating Adaptive Policies: A Guide for Policy Making in an Uncertain World. Winnipeg and Ottawa: IISD and IDRC.

⁷⁶ Taking responsibility for complexity- How implementation can achieve results in the face of complex problems. Harry Jones. June 2011. Overseas Development Institute. Working paper 330.

⁷⁷ Taking responsibility for complexity- How implementation can achieve results in the face of complex problems. Harry Jones. June 2011. Overseas Development Institute. Working paper 330.

⁷⁸ MSPs can be interpreted as a ‘multiplicity of organisations at different scales of governance working towards more coordinated and integrated actions’. Disaster Risk Reduction. Djalante, R. (2012). Adaptive governance and resilience: the role of multi-stakeholder platforms in disaster risk reduction. Nat. Hazards Earth Syst. Sci, 12, 2923-2942.

⁷⁹ Djalante, R. (2012). Adaptive governance and resilience: the role of multi-stakeholder platforms in disaster risk reduction. Nat. Hazards Earth Syst. Sci, 12, 2923-2942.

<http://nat-hazards-earth-syst-sci.net/12/2923/2012/nhess-12-2923-2012.pdf>

78. Overall, the programme is built from a hypothesis that (i) the agreed technical capacities for preparedness and response can be effectively transferred, when combined with additional soft (personal) skills and organisational change in local contexts; and that (ii) developing humanitarian capacities at national level, combined with 'knowledge platforms' that link local and international members, will address systemic issues and help to strengthen the humanitarian system as a whole. This will allow it to respond more effectively despite the anticipated rise in natural and other disasters, particularly in fragile environments.

79. The assumptions set out in the Theory of Change are operational, and need to be tested through evaluation. We anticipate that because many disaster prone environments are fragile with weak institutions, weak communications and hierarchical or conflict-prone societal structures, the risks to interventions will increase. The evaluation will be designed to generate the evidence required for future interventions within the sector.

80. The scale of the programme will limit any claim to wider 'systemic' reform, but the evaluation will test assumptions at the 'outcome' level, particularly around behavioural change in the communities involved. Capacity building is a long term process⁸⁰. We assume that there will be adequate short-term outcomes to assess the performance of the programme, but that it will also be a catalyst for longer-term change.

81. Baselines will be required, so that, if a disaster were to occur, the change process could be evaluated and better understood. Additionally, the evaluation design includes a component for experimental / quasi-experimental impact evaluation, if a suitable intervention can be identified (design work will be complementary to research being undertaken through the Humanitarian Innovation and Evidence Programme).

82. A comprehensive evaluation strategy will be developed for DEPP and will provide a systematic process for the collection and analysis of evidence. This will help to develop robust baselines and identify intermediate indicators of impact which can be used to track and improve programme effectiveness. DEPP will be independently evaluated, to generate evidence on the core assumptions underpinning its design. Successful projects within the programme will be designed from clear theories of change and will generate evidence of attributable outcomes and results, and where possible, their impact.

Anticipated Interventions

⁸⁰ NORAD, 2008: 25; European Centre for Development Policy Management, 2005: 48, 83

83. The programme anticipates interventions, mostly on a large scale, some innovative, involving replication in more than one disaster prone country, with co-ordinated activities at the international and local levels.

84. These will be designed or selected to address needs at different levels within a capacity development framework (often understood as being at individual, organisational (local) and 'institutional' levels (systemic)). At scale, these will:

- Improve preparedness for early action with communities at risk of disasters;
- Develop coalitions;
- Improve institutional arrangements;
- Improve policy environments;
- Improve the skills of national staff and their counterparts; and begin to improve knowledge and generate and disseminate understanding of best practice for humanitarian preparedness and response.

86. DEPP uses a World Bank Institute theoretical model⁸¹ on capacity development results to consider capacity development interventions in the following ways:

- Awareness of good practice in preparedness and response (altered status);
- Enhanced skills – both technical skills and the soft skills necessary for effective technical performance (altered status);
- Improved team work to address institutional needs (altered process);
- Strengthened coalitions and networks (altered process); and
- Addressing the 'enabling environment' – advocacy and action to strengthen practice at a system level, and effective advocacy around policy issues (both altered process and product).

87. Interventions will fall within the following broad headings:

- **Capacity development** interventions reaching national actors, to ensure that the coalitions and connections built at national level link to the international system and generate capacity around a small set of agreed core capabilities. We envisage a number of large-scale projects reaching national staff of predominantly NGOs. Projects will be specific to each country context and designed collaboratively between national and international partners.

⁸¹ The Capacity Development Results Framework – A strategic and results-oriented approach to learning for capacity development. Otto *et al.* World Bank Institute. June 2009 (1).

- **Multi-stakeholder platforms** from local to international levels that enable collective action and capture and share lessons and good practice. These platforms will have a broad membership -e.g. INGOs, national NGOs, local government, national government academia, private sector companies, the Red Cross Red Crescent Movement, UN agencies. Successful platforms should improve policy at national and international level. We envisage a single platform per country or region where the programme is active and an international platform. Possible products of the platforms are: synthesised lessons identified, joint evaluations and common position papers for advocacy.
- **Preparedness and response** - specific projects to improve preparedness systems for response. Projects will deliver benefits to communities and develop new capacities, demonstrate the value / utility of investment in preparation, and allow evaluation of the impact of capacity development. We envisage a number of preparedness projects, demonstrating how improved capacity has led to improved preparedness and, in the event of a crisis, a better response.

Examples of expected interventions

Emergency Preparedness

88. DEPP's humanitarian capacity development interventions will enable the right people to have the right skills. Emergency preparedness systems will ensure these people are in the right place at the right time.

89. Figure 3 below highlights activities that the IASC considers to be part of each emergency preparedness thematic area. These thematic areas and activities are components of capacity development interventions for preparedness *and* response and give an idea of activities DEPP will support. DEPP will focus on those areas related to 'people and systems', in particular hazard, risk and early warning; information management and communication; contingency/ preparedness and response planning; and training and exercises⁸². These are highlighted in blue.

Figure 3

Preparedness Matrix: Categories of Emergency Preparedness⁸³

⁸² It will not directly cover pre-positioning of relief stocks or finances. These might however be indirectly addressed through advocacy-related activities which influence the socio-political and policy environment.

⁸³ Thematic list provided by the Country Capacity Development for Emergency Preparedness (IASC sub working group on Preparedness).

Hazard / risk analysis and early warning	<ul style="list-style-type: none"> • Early warning systems (local, national, regional and international) • Hazard / Risk Analysis
Institutional and legislative frameworks	<ul style="list-style-type: none"> • Institutional and Legislative Frameworks, Resource Allocation and Funding Mechanisms • National Plan of Action, National Platform, National Disaster Management Authority • International / Regional agreements
Resource allocation and funding	<ul style="list-style-type: none"> • National and regional risk pooling mechanisms • International agency emergency funding arrangements – including risk pooling mechanisms (external) and core emergency program budgets (internal)
Coordination	<ul style="list-style-type: none"> • Government Coordination mechanisms • National / sub-national Leadership structures • Inter-Agency Coordination – national and sub-national • Cluster / sector established contextual standards
Information management and communication	<ul style="list-style-type: none"> • Information Management systems – national, regional and international • Communication systems • Cluster / sector information management systems – GIS, 3/4W's
Contingency/ preparedness and response planning	<ul style="list-style-type: none"> • Community preparedness • Contingency / Preparedness and Response Planning
Training and exercises	<ul style="list-style-type: none"> • Simulations, drills – with the presence of national and / or international actors • Accredited training opportunities • Specific country context training opportunities
Emergency services / standby arrangements and prepositioning	<ul style="list-style-type: none"> • Stockpiling – national, regional and international • Civil Protection, Emergency Services, Search and Rescue • Contingency partnership agreements – national, regional and international • Human resources - Standby Agreements

90. Information and communication systems are a key component of emergency preparedness systems but they are often lacking. Private mobile phone providers, technology and logistics companies are playing an increasingly critical role in humanitarian preparedness, including communication systems with communities at risk of disasters, and response.

Capacity development of people

91. There is very little robust evidence available regarding capacity development of humanitarian personnel. The CBHA pilot project and the Emergency Capacity Building (ECB) project were exciting initiatives because they began to develop some interesting practice.

92. The CBHA's capacity building pilot project focussed on increasing the overall humanitarian skills and knowledge base of existing people working in emergencies and the numbers and competencies of potential leaders. It identified six areas of core competencies "the essential behaviours required by all staff, influenced by their skills and knowledge", which are now being taken up across the sector:

- Understanding of humanitarian contexts and application of humanitarian principles
- Achieving results effectively
- Developing and maintaining collaborative relationships
- Operating safely and securely in a humanitarian response
- Managing yourself in a pressured and changing environment
- Leadership in humanitarian response.

93. The two year CBHA pilot project received two successful independent evaluations, including by DARA. DEPP will build on this pilot project.

Monitoring and Evaluation

94. A significant component of the programme's monitoring and evaluation strategy will be to capture better evidence through DEPP on how to improve humanitarian capacity. All projects selected will have in place robust evaluation procedures to capture and disseminate results, impact and learning. In addition to the humanitarian knowledge sharing platforms we will require organisations receiving DFID funding to post their results on the open access Research 4 Development portal. Findings will be subject to peer review and widely disseminated.

95. The underpinning DEPP evaluation strategy will seek to aggregate findings from individual projects against the core assumptions of the programme. DEPP evaluation will be commissioned independently, and key documents (Terms of Reference and draft reports) will be externally quality assured. Emphasis will be placed on testing assumptions, and in producing evidence of what has or has not worked. The full value of the investment may not be realised during the initial funding framework because capacity development initiatives require longer term time frames to prove their impact.

96. An extension to the programme, possibly for 2 years, will be considered subject to the findings of a mid-term review supported by the independent evaluation (in 2015).

Appraisal Case

A. What are the feasible options that address the need set out in the Strategic case?

97. The appraisal case takes as a starting point that there is agreement in principle to invest £40 million in increasing the humanitarian capacity of individuals, organisations and networks of INGOs and their partners. The bullets below provide a quick summary of this starting point:

- Civil Society Organisations deliver an estimated 70% of all formal humanitarian assistance. Improving their capacity should enhance the performance of the whole system.
- DFID provided on average £160 million core funding to the humanitarian multilaterals over the last three years. They cannot operate without the NGOs on the ground.
- Private money is difficult to raise for anything else than frontline services during disaster relief. The current donor funding model is similar with unintended negative effects on the capacity of humanitarian NGOs. Because donors provide the bulk of funding when disasters have already struck, NGOs have no choice but to compete for scarce resources each time and are unable to invest in capacity over the medium to long term.
- It is difficult to quantify the scale of the challenge of building capacity in such a large sector. The military's high training: action ratio is often quoted as a comparison. But more appropriate might be a comparison with another frontline emergency service, the UK Search and Rescue teams. According to UKISAR, the 20 teams spend about 60-70% of their time in training. According to NGOs and DFID humanitarian staff experience it is a maximum of 10% for humanitarian NGOs. The DEPP consultation concluded that there is a high level of unmet demand to meet the real world changes in the complexity of humanitarian emergencies which cannot be met from existing funding sources. The limitations on such funding means there is a real aversion to risk and that organisations fall back on traditional approaches despite their limitations.
- The consultation also suggested there are a number of NGOs with the capacity to deliver large-scale proposals and a real appetite to innovate.
- The planned investment addresses two out of three HERR recommendations on skills improvement in the humanitarian sector. It will finance training of civil society and potentially government in disaster prone countries. And it will enable pre-qualified partners to invest more in skills development.

98. The design team considered three options:

- Competitive Fund for the full £40 million over three years.

- Designed approach plus a competitive window for innovation. One funding stream to CBHA (£26 million), one funding stream to CDAC-Network (£3 million) and one competitive window (£10 million).
- Core funding to selected NGOs: this funding would be additional to PPAs but not exclusive to PPA partners.

1. Competitive Fund for the full £40 million over three years

This option would involve a competitive fund managed by DFID. Competitive calls to the ‘market’ and proposals would be assessed by a team of CHASE staff against published criteria. Individual proposals would be delivered through a series of accountable grants with not-for-profit organisations. Competition could stimulate innovation and develop new partnerships between NGOs. The DEPP consultation process and on-going contact with the humanitarian community has confirmed that there is a high level of interest from UK NGOs. We would expect strong competition and the competitive calls to be over-subscribed. DFID would need to ensure it attracts new and innovative approaches by good targeting, support to potential applicants and advisory facilities during the period when calls are live. We would take into account the learning from funding provided to the sector through earlier DFID sponsored programmes such as the Conflict and Humanitarian Fund and the Conflict Humanitarian and Security Fund.

2. Designed approach plus a competitive window for innovation

This option would include two main funding streams to established networks. The biggest amount of £26 million would be provided to the Consortium of British Humanitarian Agencies (CBHA). The CBHA has significant reach and would have the capacity to transform the sector.

£3 million would be provided to the Communicating with Disaster Affected Communities (CDAC) Network⁸⁴. CDAC Network Members are exploring how the potential of two-way communication, especially through the use of different media and technology channels, can be exploited for the benefit of crisis affected people. There is no similar formal stakeholder group in the humanitarian sector⁸⁵.

⁸⁴ Members are BBC Media Action, the International Committee of the Red Cross, International Media Support, International Organisation for Migration, Internews, Merlin, Plan UK, Save the Children, Thomson Reuters Foundation, Office of the United Nations High Commissioner for Refugees (UNHCR), United Nations Population Fund (UNFPA), United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA) and World Vision International. Affiliate members are First Response Radio, Free Play Energy, Frontline SMS and Translators without Borders. Key partners are the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) and the Humanitarian Accountability Partnership International (HAP).

⁸⁵ DFID previously funded a 2 year project, Infoasaid, implemented by a consortium of two media development organisations- Internews and BBC Media Action, both CDAC Network members. The project was completed in December 2012. The project worked on multiple levels to improve communications with crisis-affected communities. Three tools were developed- a message library, providing quick and easy access to information that could be disseminated to crisis-affected populations in an emergency; a set of media and telecommunication guides for disaster-prone countries, providing information on which channels could be used to communicate in an emergency and where to find them; an e-learning course on who should communicate and how in an emergency, with an emphasis on information dissemination, dialogue and programme reorientation based on community feedback. The tools were developed but not fully implemented within the time scale of the project and their sustainability remains questionable (Improving communication between humanitarian aid agencies and crisis-affected people. Lessons from the

There will also be a smaller competitive funding window to enable innovative projects to add value and compliment the overall design.

3. Core Funding to NGOs

99. This option would provide core funding to selected NGOs to enable them to invest in the desired outcomes through a mechanism equivalent to DFID's existing Programme Partnership Arrangements (PPA). The onus would be on selected NGOs to partner with local organisations, and incentives would need to be set for NGOs to work across the sector and not in isolation. DFID already supports a number of PPAs with humanitarian NGOs (approximately £10m per annum). Lessons would be learned from these partnerships.

B. Assessing the strength of the evidence base for each feasible option

100. The table below rates the quality of evidence for each option as Strong, Medium or Limited:

<i>Option</i>	<i>Evidence rating</i>
<i>1</i>	<i>Limited</i>
<i>2</i>	<i>Limited</i>
<i>3</i>	<i>Limited</i>

What is the likely impact (positive and negative) on climate change and environment for each feasible option?

Categorise as A, high potential risk / opportunity; B, medium / manageable potential risk / opportunity; C, low / no risk / opportunity; or D, core contribution to a multilateral organisation.

<i>Option</i>	<i>Climate change and environment risks and impacts, Category (A, B, C, D)</i>	<i>Climate change and environment opportunities, Category (A, B, C, D)</i>
<i>1</i>	<i>B</i>	<i>B</i>
<i>2</i>	<i>B</i>	<i>B</i>
<i>3</i>	<i>B</i>	<i>B</i>

The 2012 IPCC "Special Report on Managing the Risks of Extreme Events (SREX) and Disasters to Advance Climate Change Adaptation" provides clear evidence that climate change has already affected the magnitude and frequency of some extreme weather and climate events and that these are likely

to further increase in the future. . Since 2000 there have been over 400,000 deaths as a direct result of **extreme climatic events**, and over 2.7 billion people affected⁸⁶, reflecting a much greater loss of life as an indirect consequence. The Humanitarian and Emergency Response Review (HERR) predicted that 375 million people a year will be affected by climate-related disasters by 2015. Without action to address these risks more people will be killed and affected by disasters. The investment proposed in DEPP provides an opportunity to meet the increasing challenge climate change is expected to bring to humanitarian emergencies.

Impacts of climate and environment on delivery of DEPP

Climate change and environmental degradation will increase the number and severity of disasters the programme will need to respond to. Directly through an increase in climatic and environmental hazards such as floods, droughts and landslides, and indirectly through compounding the risk of other hazards, for example natural resource related conflict⁸⁷. Environmental degradation resulting from poor management can exacerbate the impact of natural and climate hazards such as coastal storms and droughts, overlaid by climate change as an increasingly major multiplier of natural and human hazards. Failure to address or recognise these risks could undermine the objectives of the programme. At a strategic level there is an opportunity for the programme to influence the humanitarian community's understanding of the concept of resilience to be broadened out to cover sustainability and environmental issues, and to improve environmental management of humanitarian emergencies so that longer term resilience is not undermined by emergency response.

Impacts and opportunities of DEPP on climate and environment

There is a risk with humanitarian interventions – particularly emergency responses – that critical longer term issues will be overlooked due to urgency, CE and sustainability issues are particularly likely to be de-prioritised due to their longer term nature. There is therefore a risk of short term humanitarian emergency responses undermining longer term resilience, for example by depleting the long term supply of water resources, further exacerbated by the longer term impacts of climate change, e.g. on water availability. At **project level** this may be addressed by identifying relevant CE issues in advance for different types of activities, and building this process into the project design. At **portfolio level** there are significant opportunities for DEPP to influence the humanitarian system to better manage climate and environment risks and sustainability issues, and to integrate climate and environment concerns to an understanding of the interaction of factors causing vulnerability.

Categorisation

⁸⁶ Defined as non-OECD countries. Source: EMDAT EM-DAT: The OFDA/CRED International Disaster Database

⁸⁷ For example drought has been associated with conflict in Niger; conclusive evidence on causal links is difficult to obtain though Miguel et al (2004) estimate that in Africa a 1% increase in annual rainfall can reduce the probability of serious conflict by 6%

The three options presented differ only in how support to NGOs and their partners to build humanitarian capacity will be managed, and so do not differ significantly in terms of the risks and opportunities that will result from as yet undefined project activities. Opportunities are rated B primarily because of the significant opportunity to improve resilience to climatic shocks by increasing people's capacity to prepare for and respond to disasters. The risks for all options are rated B, due to the risks of unsustainable environmental management inherent to emergency response, and the potential for this to undermine longer term resilience to disasters. These risks are manageable if it is ensured that implementing partners have and are operating adequate environmental management policies. It could be said that option 3 – core funding to NGOs – may provide greater opportunity for mainstreaming improved environmental management, whereas option 1 – the competitive fund may provide greater oversight on a project by project level that this management is being implemented. Option 2- a designed approach with a competitive window for innovation- provides opportunities for mainstreaming improved environmental management and greater over-sight. The scores are therefore B for all options. Overall the opportunities the programme poses for improving resilience of vulnerable people to climate related disasters outweigh the risks of potential long term environmental degradation.

Management

Measures identified for projects to address depending on the activity include:

- Requiring environmental policies to be submitted with proposals, and review of their implementation at annual review stage
- Identifying potential climate and environment risks associated with types of project activities in advance and factoring these in to the screening process for bids and risk management
- Involvement of a CE advisor in evaluation of proposals, design of project level logframes and annual review in order to cover these points.

DEPP will complement the 'Building Resilience and Adaptation to Climate Extremes and Disasters' programme (BRACED). DEPP will build the capacity of humanitarian actors and their partners to respond to all disasters, while BRACED strengthens development and adaptation interventions to build the resilience to climate extreme events, thereby avoiding, or reducing, the risk of a disaster from an event. Potential synergies will include i) bringing together humanitarian and development best practices and lessons on what works; and ii) developing common indicators to measure how we are making communities more resilient to disasters. The DFID BRACED and DEPP teams will meet quarterly to ensure DEPP and BRACED programmes add value to each other. This will include the work of the BRACED Knowledge Manager in sharing evidence on what works to build resilience to disasters, and in evaluations undertaken by the two programmes.

C. What are the costs and benefits of each feasible option?

Costs

101. The table below provides the cost profiles of the three different options. These have been developed taking into account the learning from previous CHASE supported funds such as the Conflict and Humanitarian Fund and the Conflict, Humanitarian and Security Fund.

Option 1 Competitive Fund, £,000	Area of programme	Year of programme under G-HAP phase programmed in this business case				
		2013/14	2014/15	2015/16	2016/17	Totals
Project value 40,000	Grants through 3 calls for proposals	900	14,750	14,650	8,700	39,000
	Evaluation of overall programme	100	250	350	300	1000
	Nominal DFID Staff Time (not included in programme total)	99	193	193	99	579
	Total overall cost	1,000	15,000	15,000	9,000	40,000
Option 2 Designed approach +	Area of programme	Year of programme under G-HAP phase programmed in this business case				
		2013/14	2014/15	2015/16	2016/17	Totals
Project value 40,000	2 grants designed and 1 call for proposals	9,900	11,7550	11,650	5,700	39,9000
	Evaluation of overall programme	100	250	350	300	1000
	Nominal DFID Staff Time (not included in	99	193	193	99	579

	programme total)					
	Total overall cost	10, 000	12,000	12,000	6,000	40,000
Option 3 Core Funding	Area of programme	Year of programme under G-HAP phase programmed in this business case				
		2013/14	2014/15	2015/16	2016/17	Total
Project value 40,000	Core Funding Grants	900	14,750	14,650	8,700	39,000
	Evaluation of overall programme	100	250	350	300	1000
	Nominal DFID Staff Time (not included in programme total)	99	193	193	99	579
	Total overall cost	1,000	15,000	15,120	5,520	40,000

102. The DFID staff costs of the three options are very similar. The major overall difference is that option 2 would spend the fastest and probably require less staff time in the outer years (staff costs have been kept fixed by year in the table).

Benefits

103. The strategic case lays out the evidence we have for the different areas in the Theory of Change in an environment with limited evidence overall. Given this limited evidence available and the difficulty of quantifying the benefits of capacity development, a multi-criteria analysis was considered the most appropriate assessment methodology and was undertaken by the design team. Weights were allocated to the desired outcomes from the Theory of Change according to their importance. Then, the design team members with different backgrounds, experience and expertise discussed all the options and scored them according to their likelihood of achieving the desired outcomes. The average scores are included in the table. An explanation of the scores can be found below.

		Option 1: Competitive Fund		Option 2: Designed approach +		Option 3: Core funding	
	weight	score	weight x score	score	weight x score	score	weight x score
Expected:							
improved knowledge and understanding of best practice	15	6	90	8.75	131.25	6.75	101.25
Increased number of coalitions and partnerships developed	25	4.25	106.25	9	225	4	100
emerging evidence base for what works in building capacity	15	7	105	7	105	4	60
improved institutional and policy environments to build capacity	20	6	120	9	180	3.6	72
improved preparedness systems	15	8	120	9	135	5.5	82.5
Total	90	31.25	541.25	42.75	776.25	23.85	415.75

104. Option 2, the designed approach plus a competitive window, clearly scored the highest. The explanation for the scores are:

1) Improved knowledge and understanding of people in the system regarding best practice for humanitarian preparedness and response

105. This outcome was the one where core funding scored the closest to the designed plus approach.

- It is possible that core funding would deliver some of this outcome, particularly given the profile and expertise of some UK based NGOs. DFID already supports a number of PPAs with humanitarian NGOs (approximately £10m per annum).
- The CBHA is well connected to other actors, training providers and organisations and provides a platform for collaboration with traditional and non-traditional actors.
- CDAC-Network with its members from broadcasting, new technologies, content creators and distributors, and humanitarian agencies has a great outreach and Value for Money potential by bringing in greater speed, higher quality communications.
- There will be increased opportunities - through these two established partnerships - to share best practice and lesson learning, with the CBHA and CDAC Secretariats as a multiplier reaching more people at a lower cost.

2) Sustainable coalitions across organisations (horizontal) and levels of the system (vertical) emerge.

106. This outcome was weighted most heavily for the multi-criteria analysis (so a defining factor in choosing between delivery options) as this is the most transformational and catalytic outcome of the four.

107. The 'designed approach +' scored the highest under this criteria for the following reasons:

- Partnerships and collaborations have been identified as critical to address global humanitarian challenges. Nevertheless, large scale collaborations between NGOs at global level are rare and often centred around specialised areas. Some partnerships focus on specialised programme implementation with a smaller group of partners. The CBHA's type of collaboration extends to strategic issues between the operational arms of NGOs.
- The CBHA's reach is unparalleled for a consortium. The 18 international NGOs work through 6,889 partners in over 200 countries employing over 1 million staff and volunteers.
- CDAC-Network is a unique collaboration between NGOs, UN agencies and media agencies seeking to save lives and reducing vulnerability by promoting best practice in communications between those affected by disaster and those who aim to support them.
- To achieve this outcome a competitive fund would be counterproductive. It would create incentives for competition when the purpose of the funding is not to create competition but rather to enhance the capacity of networks and collaborations between many different INGOs

and national and local partners. The programme is intended to provide incentives for them to work collectively for greater outcomes.

In response to the 2010 Pakistan floods DFID funded a consortium of 6 CBHA members to implement a large-scale early recovery programme.⁸⁸ An evaluation team reviewed this programme focussing on the effectiveness, efficiency, and impact of the project activities and importantly the evaluation of the consortium model used for programme delivery. The evaluators concluded that: The major success of this programme was that it exceeded its original output targets by about 28%.

Overachievements were largely due to savings on exchange rates and savings on bulk procurements. This provided a very strong indication of the ability of this group of agencies to deliver effectively and jointly on a large scale in a difficult context. The evaluation concludes that the experience of one and a half years of collaboration in Pakistan clearly illustrates that most tangible benefits of collaborative working are only achieved with time and repetition, which means that it is encouraged to use similar models in future emergency contexts.

3) Improved organisational arrangements and policy environment to build humanitarian capacity

108. This outcome was ranked second most important in the multi-criteria analysis because if we do not have the right enabling environment, investment in capacity cannot be sustained and deliver benefits to the affected populations.

109. Again the 'designed + approach' scored highest for the following reasons:

- CBHA and CDAC have already made investments in building their consortia and coordination and collaboration with partners (with important initial funding from DFID: £8 million to CBHA over two years and £2 million to Infoasaid over 3 years - Infoasaid established CDAC). Not only would this investment be lost, additional set-up costs would have to be incurred by new consortia.
- CBHA and CDAC are strategic partnerships that represent the NGOs (and partners) who are the delivery arm of the UK's Rapid Response Facility. Strengthening them will also enhance the RRF's response capability.
- The CBHA has stimulated strategic conversations between NGOs since its inception and has tested peer-review mechanisms to stimulate collaboration and improve overall programme quality.
- CDAC-Network members collaborate across traditional boundaries bringing expertise from non-traditional humanitarian actors to the humanitarian system. Working across these diverse stakeholders should increase the likelihood for innovation.

⁸⁸ Evaluation of the CBHA Early Recovery Programme in Pakistan, February 2012:
www.theqbha.org/media/website/file/CBHA_Pakistan_Final_Evaluation_Report.pdf

- CDAC has a strong emphasis on advocacy to affect humanitarian policy, funding mechanisms and donor guidelines to make them sensitive to coordinated information provision and two-way communication.
- By ensuring that these highly operational NGOs work together in their consortia, there is a much greater potential that they develop a common voice – or at least a shared agenda – for the big OCHA Transformative Agenda and other policies.

4) Improved preparedness systems for communities at risk of disaster

110. This outcome is the one where the competitive fund scored close to the designed approach plus. This is because:

- Under this outcome is the greatest scope for supporting innovative approaches in capacity development for preparedness and response in particular sectors or areas of expertise. A competition could encourage regional, national and local partnerships to apply with innovative approaches that could then be scaled or adapted for other circumstances.

5) Emerging evidence base on what works

111. Under this outcome competitive funding and the designed approach plus option scored equally. But in discussions, the designed approach plus came out better:

- The design team felt that any data on the impact of capacity development would be more relevant if a critical mass of agencies were involved responding to a disaster in a certain location.
- Sharing of evidence would also be more incentivised in a non-competitive environment.

Conclusion:

112. The designed + option with CBHA and CDAC, and a smaller competitive window came out the strongest in the multi-criteria analysis carried out by the design team.

113. The CBHA has significant reach. The State of the Humanitarian System (2012) identified 4,400 NGOs for a global database⁸⁹. The CBHA consists of 18 UK INGOs⁹⁰ and are present in over 200 countries; employ over 1 million staff and volunteers; work through 6,889 local partner organisations; and, in 2010 served 350 million people through \$12.9 billion in relief and development work. The two year pilot project from 2010 to 2012 was funded by DFID and achieved two successful independent evaluations.

114. The CBHA *“seeks to enable the emergence of a re-balanced system, where local, national and international civil society organisations operate in a coherent, mutually supportive, decentralised and*

⁸⁹ The State of the Humanitarian System. Humanitarian Outcomes. 2012.

⁹⁰ The CBHA currently consists of 17 UK INGOs and their families- Action Aid, Action Against Hunger, Care, CAFOD, Christian Aid, Concern Worldwide, Handicap International, HelpAge International, International Medical Corps, International Rescue Committee, Islamic Relief, Muslim Aid, Oxfam, Relief International, Save the Children, Tearfund, War Child, and World Vision.

self-organised way according to the principle of subsidiarity, where each actor responds to the risks it is best placed to respond. The first line of response is the local level. Other national and international responders act to support the first line”⁹¹.

115. DEPP’s Theory of Change also fits very well with CDAC’s objectives of:

- Capacity strengthening of agencies to deliver two- way communication effectively for both preparedness and response.
- Convening a diverse group of practitioners to create space for innovative thinking to occur; share knowledge, learning and skills; and strengthen collaboration between different stakeholder groups.
- Advocacy for changed priorities - and hence capacities - in the humanitarian system, among individuals, organisations and inter-agency processes so that two-way communication becomes a predictable and consistent element of preparedness and humanitarian response efforts.
- Action learning and research about how, and to what degree, two-way communication improves the quality and effectiveness of aid.

D. What measures can be used to assess Value for Money for the intervention?

116. This intervention does not lend itself to monetising the benefits and carrying out cost benefit analysis. It was not possible either to carry out unit cost analysis as most outputs are unknown and once we do know them, they will not be easily comparable to others.

117. However, there are certain measures that have been used by previous capacity building projects such as the Emergency Capacity Building Project⁹². The ECB applied a mix of methods to measure progress such as simulation exercises allowing for observations of skills and knowledge in a controlled environment, and evaluations of actual disaster responses. We will learn from the ECB project for this intervention and bring in more VfM thinking.

118. The challenge of measuring capacity development is not unique to the humanitarian world. This has been discussed in detail in the strategic case.

119. The strong evaluation component of this intervention will include VfM. The specific VfM measures will be decided on with implementing partners and bearing in mind the complexity of measuring capacity development. An economist will be a member of the DEPP Management Team as well as the Programme Board to ensure a focus on VfM [see Management Case].

E. Summary Value for Money Statement for the preferred option

⁹¹ <http://www.thecbha.org/capacity/strengthening/>

⁹² <http://www.ecbproject.org/measuring-our-progress/measuring-our-progress>

120. The preferred option is Option 2, the design plus approach. The important advantages of that approach are:

- This approach combines the benefits of competition for innovation open to all humanitarian NGOs and global, regional and country level NGO consortia, with funding for two consortia that are best placed to achieve the majority of the desired outcomes at the lowest cost.
- The DEPP consultation found that there are existing networks and organisations that could deliver on the desired outcomes, most importantly CBHA and CDAC. Building on these would keep transaction costs low and facilitate an immediate start to activities.
- The CBHA's reach is unparalleled for a consortium. The 18 international NGOs work through 6,889 partners in over 200 countries employing over 1 million staff and volunteers.
- CDAC is a unique collaboration between NGOs, UN agencies and media agencies seeking to save lives and reducing vulnerability by promoting best practice in communications between those affected by disaster and those who aim to support them.
- CBHA and CDAC are strategic partnerships that represent the NGOs and partners who are the delivery arm of the Rapid Response Facility. Strengthening them will also enhance the RRF's response capability.
- Option 2 still includes a competitive window to fund other NGOs, the private sector and consortia for innovative approaches in capacity development for preparedness and response.
- The main disadvantage of a fully competitive fund is that it would create incentives for competition when the purpose of the funding is not to create competition but rather to enhance the capacity of networks and collaborations between many different INGOs and national and local partners. The programme is intended to incentivise them to work collectively for greater outcomes.
- Limiting the choices to selected humanitarian NGO partners would be unlikely to deliver the transformation needed across the sector. Opportunities for multi-partner cross-sector learning and best practice platforms would be reduced.

121. The disadvantages could be:

- There is a remaining risk that other consortia would also have the capacity to deliver but are not included in the designed approach. This risk has been minimised through a very thorough and long consultation period and the establishment of a smaller competitive window.
- Providing funding to CBHA and CDAC could be seen as DFID privileging UK actors over others. By also setting up a competitive fund for innovation open to all and by showing that these two consortia have the international reach and presence needed, we should be able to demonstrate that this is not the case. Many CBHA partners consider themselves international rather than UK organisations.

122. The design team therefore believes that the designed approach + will deliver the greatest VfM out of the three options.

Commercial Case

Direct procurement through a contracted supplier

A. Clearly state the procurement/commercial requirements for intervention

123. Direct procurement will be used to contract an evaluation supplier. Designed and competitive components, which will take the form of accountable grants, are addressed in the 'Indirect Procurement' section of this case. Monitoring and Evaluation will be taken forward in two different ways:

Directly procured evaluation:

124. Up to £1m of DEPP funds will be used to commission an independent evaluation to undertake a structured evaluation of the programme, creating knowledge platforms for systematic collation of evidence of what works in humanitarian capacity development within DEPP's programming. The team will be contracted through a limited competition undertaken amongst pre-qualified companies approved through the Global Evaluation Framework Agreement (GEFA). The team will report to a Management Group led by CHASE⁹³. A notional split between overall evaluation and impact evaluation will be £750,000 (1.78%) and £250,000 (0.75%) for an impact evaluation.

Monitoring and Evaluation activity funded by projects:

125. The contracted supplier will work collaboratively with recipients of accountable grants. All projects funded under DEPP will undertake their own monitoring and evaluation as part of their grant received from DFID. Each project will have some flexibility to design and undertake its own evaluation within the overarching evaluation framework, but the approach must be agreed with the DFID Management Team. Programmes must also expect that the credibility and quality of their monitoring and evaluation will be subject to external scrutiny by DFID and the independent contracted evaluator. The independent evaluation of DEPP will use evaluation outputs from component programmes as core elements of the evidence base.

B. How do we expect the market place will respond to this opportunity?

126. DFID has an existing Global Evaluation Framework Agreement (GEFA). This is a legal agreement with suppliers which sets out terms and conditions under which specific procurements can be made throughout the term of the agreement in the form of "Call-Down" contracts. There is a dedicated humanitarian component to this.

⁹³ Please refer to Management Case for elaboration of DFID Management Team function.

C. How does the intervention design use competition to drive commercial advantage for DFID?

127. At prequalification stage of the GEFA process suppliers were evaluated on their track record and demonstrable expertise in delivering Global Evaluation services. At Invitation to Tender (ITT) stage, shortlisted suppliers were then asked to submit full technical and commercial proposals which were evaluated against a robust set of criteria. There will be structured Annual Reviews and both stakeholders and framework suppliers will be involved in the process.

D. What are the key cost elements that affect overall price? How is value added and how will we measure and improve this?

128. Given the large scale nature of the programme we will programme at least 2.5% of the budget for evaluation. This will enable sufficient expert personnel, travel and associated costs to make the links between areas of work.

129. The mini-competition under GEFA will have a 30% commercial weighting to ensure value for money.

130. GEFA listed suppliers have already undergone a rigorous and competitive process to secure a framework agreement. Holding a limited competition under framework terms will ensure high quality. The key benefits are:

- Good number and range of suppliers with access to niche/specialist skills;
- development and improved management of supply base;
- Shortened timescales and resource for tender process due to removal of Pre-Qualification Questionnaire (PQQ) stage;
- Improved Management Information for managing framework and supply base e.g. bidding patterns, recurring issues.

131. A single evaluation supplier will provide a strategic overview and avoid unnecessary inefficiencies through fitting different suppliers' work together.

E. How will the contract be structured and how will contract & supplier performance be managed through the life of the intervention?

132. A terms of reference will be developed and put to a limited competition, with the supplier selected meeting criteria that the Evaluation Advisor will develop to meet the Theory of Change. A contract will be issued through the GEFA, using ARIES product code: PS90002. An A1 Evaluation Advisor will form a part of the DFID Management Team and with support from the A2 Programme manager will manage delivery of the contract.

133. The supplier will work with the Evaluation Advisor on the designed and competitive component throughout the life of the project. The contract will be structured to improve performance through KPIs (key performance indicators) and output based payments.

Delivery through a third party entity (multilateral organisation; civil society organisation or support to government)

A. Why is the proposed funding mechanism/form of arrangement the right one for this intervention, with this development partner?

Overall

134. Please refer to the Management Case for overall structures of governance, management and performance of the DEPP. The programme will maximise value for money during design of this programme and in the award of accountable grants.

135. The appraisal case demonstrated that the best delivery mechanism for the programme will be for it to have a majority designed approach with CBHA and CDAC, plus a competitive window. This is to ensure the programme can reap the benefits of competition, as well as benefits drawn from using unique and existing coalitions.

Designed component

136. The accountable grants will deliver the outcomes set out in the Theory of Change: project proposals within the programme grants will be linked to addressing these assumptions and outputs. Payment will be linked to approval by the Programme Board on this basis and on performance. A fixed percentage of spend will be guaranteed for organisations outside the consortia.

137. The CBHA is well connected to other actors, training providers and organisations and provides a platform for collaboration with traditional and non-traditional actors. There will be increased opportunities - through these two established partnerships - to share best practice and lesson learning, with the CBHA and CDAC Secretariats as a multiplier reaching more people at a lower cost. The CBHA's reach is unparalleled for a consortium. As previously noted, the CBHA consists of 18 UK INGOs which are present in over 200 countries; employ over 1 million staff and volunteers (this includes both humanitarian and development workers); work through 6,889 local partner organisations. These networks will be enhanced through close working with the Humanitarian and Leadership Academy.

138. The CDAC Network is a unique collaboration between NGOs, UN agencies and media agencies seeking to save lives and reduce vulnerability by promoting best practice in communications between those affected by disaster and those who aim to support them. The CDAC-Network with its members

from humanitarian agencies, broadcasting, new technologies, content creators and distributors has great outreach and Value for Money potential by bringing in quicker, higher quality communications.

139. Partnerships and collaborations have been identified as critical to address global humanitarian challenges. Nevertheless, large scale collaborations between NGOs at global level are rare and often centred around specialised areas.

140. Within the consortia an NGO or group of NGOs will take the lead on projects, with funds transferred from a lead international NGO hosting the Secretariat. Projects will report quarterly on spend and lead NGOs, through the Secretariat, will ensure regular and thorough monthly forecasting.

Competitive component

141. The competitive component of the programme will be delivered through a competition managed by a DEPP CHASE Management Team, with an A2 programme manager in the lead.

142. Proposals through the competitive component will be assessed by the DFID DEPP Management Team against published criteria based on the theory of change, with advisory support from Humanitarian, Economic, Evaluation, Climate and Environment, and Social Development Advisers, generalist staff, and other specialist staff from CHASE as needed. Individual proposals will be delivered through a series of Accountable Grants with not-for-profit organisations.

143. The DEPP consultation process and on-going contact with the humanitarian community has confirmed that there is a high level of interest from NGOs. We anticipate strong competition and expect the competitive calls to be over-subscribed. DFID will ensure it capitalises on interest by:

- A well-targeted announcement of the calls, using a range of networks.
- Providing potential applicants – some of whom will not be familiar with DFID systems and processes – with detailed supporting Q&A materials; and,
- Establishing a help desk/advisory facility during the period when calls are live.

144. Evidence from previous competitive funds, mostly run as challenge funds, including DFID's Girls Education Challenge Fund (GECF), highlight the benefits of a competitive approach to be that it:

- Complements rather than competes with existing donor instruments –
- Complements existing networks and does not do harm to existing programmes;
- Is able to discover new players and approaches;
- Places the burden of creativity on bidders;
- Relies on the capacity of bidders to implement their proposals – bidders are not asked to deliver a DFID proposal (with the risk that they are not fully committed to it) – they deliver their own proposal;
- Enables a mixed approach and different types of interventions; and,
- Can be less bureaucratic.

145. The competitive component is not without risk. It should not be too general in its call for proposals. The DEPP Management Team will develop detailed criteria based on the assumptions and

desired outputs of the Theory of Change. A basis for these is included in the management case. This will allow for comparison of like with like. DFID's Africa Enterprise Challenge Fund (AECF) design process found that specialised funds, such as the Financial Challenge Deepening Fund (FCDF), with more detailed aims, had a higher impact and better quality programming than generalised funds.

146. The FDCF found that:

1. *"This approach tended to attract interest from organisations familiar to DFID and other donors, rather than new players;*
2. *Many poor, unimaginative applications were received; processing these wasted management time;*
3. *As bidding rounds proceeded, and given the relatively confined target market in any country, enquiries tended to come from organisations involved in earlier bidding rounds and often duplicated previously successful propositions".*

147. CHASE officials will manage design of the calls for proposals, appraisal of proposals, financial reporting and the annual and project completion review process. Further information is included in the Management Section below. The Due Diligence framework will be applied to all partners.

B. What assurance has been obtained on capability and capacity to deliver?

Design Component

148. The CBHA is a membership body with a large network of formal organisational relationships: nearly 7000 organisations that are present in over 200 countries. CBHA agencies spent \$12.9 billion in 2010.

149. The previous two-year DFID funded CBHA pilot project received two successful independent evaluations, including by DARA. Featherstone (2012)⁹⁴ reported that the CBHA approach to national staff capacity development programmes established good practice in a number of the areas that his research exposed as weaknesses.

150. The DFID PCR for the project scored **A+** (moderately exceeded expectation). It found that the CBHA strengthened the capacity of British NGOs to deliver results to people affected by emergencies. CBHA capacity building programmes strengthened the humanitarian competencies of new, junior and mid-level humanitarian workers. For the first time a core competencies framework was developed, endorsed and used by a group of INGOs with their networks. The CBHA brought about a step change in thinking on how to build humanitarian capacity. In some organisations the CBHA helped lever greater investment for developing surge capacity.

⁹⁴ Building a better response: gaps and good practice in training for humanitarian reform. Andy Featherstone, January 2012. Report commissioned by OCHA and USAID/ OFDA

151. The Infoasaid PCR noted that the network it established – the CDAC-Network - with its members from humanitarian agencies, broadcasting, new technologies, content creators and distributors, has great outreach and provides Value for Money by bringing in quicker and higher quality communications. It noted the growing recognition of communication as an essential element of accountable aid, the changing role of media development organisations in humanitarian response and the rapidly expanding range of tools available for facilitating information exchange between humanitarian responders and survivors. These were all found to be significant factors shaping current approaches to communication with crisis-affected populations. It recommended that the global cluster system, communication and humanitarian agencies continue to draw on the lessons highlighted by Infoasaid, adapt tools and integrate guidance produced by the programme in their future humanitarian response strategies.

Competition Component

152. Consultation for the DEPP indicated that there will be demand and capacity from non-CBHA NGOs and the private sector to deliver against this component. A due diligence process will be applied to all proposals. Capacity to deliver, including financial stability and evidence of past performance, will be key to deciding whether or not to put forward proposals to the programme board, along with criteria linked to Theory of Change. A due diligence exercise will be undertaken for each partner as needed.

DFID

153. Resources as specified in the Management Case have been committed by Senior Management.

C. Is there an opportunity to negotiate on anticipated costs?

Designed component

154. There will be an opportunity to negotiate on anticipated costs between the DEPP Management Team and the boards of CBHA and CDAC. The DFID majority Programme Board will have the final decision on budgets.

Competitive component

155. Costs will be assessed by the DEPP Management Team through the proposal process. The DFID majority Programme Board will also have the final decision on budgets. In both components the DFID Management Team will seek guidance from CHASE's Financial Responsible Officer. Demonstrating value for money will be a critical element of the selection criteria.

156. A partnership/ consortium and/ or network- based approach will be a requirement for successful DEPP proposals, working across vertical and horizontal levels of the humanitarian system. Selected organisations will have innovative approaches to monitoring and evaluation in this challenging field.

Overall

157. Value for money will be a critical funding criteria for both the competitive and designed components.

Financial Case

A. Who are the recipients of all proposed payments?

158. Using large and successful international partners who have undergone prequalification and work with other DFID programmes will ensure that due diligence and risk are met:

- Save the Children will host the CBHA grant;
- Internews will host the CDAC grant;
- implementing partners chosen through competition
- an independently contracted supplier for evaluation.

B. What are the costs to be incurred directly by DFID?

159. Costs incurred directly by DFID will be £40m over 3 years and internal DFID management resource costs.

C. What are the costs to be incurred by third party organisations?

160. Save The Children and Internews will handle grants for other members of their consortia, and local partners. Members of each consortia already fund the standing management costs of their secretariats and boards.

D. Does the project involve financial aid to governments? If so, please define the arrangements in detail.

161. Not applicable.

E. Is the required funding available through current resource allocation or via a bid from contingency? Will it be funded through capital/programme/admin?

162. Funds are already in CHASE's pipeline programme budget and Ministers have approved them in principle.

F. What is the profile of estimated costs? How will you work to ensure accurate forecasting?

Option 2 Designed approach + (£000's)	Area of programme	Year of programme under G-HAP phase programmed in this business case				
		2013/14	2014/15	2015/16	2016/17	Totals
Project value £40,000	2 grants designed and 1 call for proposals	9,900	11,7550	11,650	5,700	39,9000
	Evaluation of overall programme	100	250	350	300	1000
	Nominal DFID Staff Time (not included in programme total)	99	193	193	99	579
	Total overall cost	10, 000	12,000	12,000	6,000	40,000

163. Fully costed proposals for all projects in each section will be developed by CBHA/CDAC, agreed with the DEPP Management Team, and approved by the Programme Board.

164. CBHA, CDAC and competitive window partners will report quarterly on spend and be paid in arrears subject to meeting performance indicators in logframes.

G. What is the assessment of financial risk and fraud?

165. The risk of financial risk and fraud is low. Save the Children and Internews are trusted partners, which work with DFID on a regular basis. Save the Children and Internews have been subject to due diligence procedures in the past, including as current Rapid Response Facility members and Save as a PPA holder.

166. Please also see the Management Case. An initial due diligence framework assessment has been applied to the designed component and will be applied to proposals from the competitive window.

167. The analysis from the due diligence framework on financial matters indicates low to medium risk. Proposals will be led by established international NGOs and, through them, their partners. Due

diligence will be followed in the selection of local partners. Risk will increase for work undertaken at the national and local level. This will be mitigated by international implementing partners undertaking day to day management of resources and project delivery.

168. A risk analysis will be undertaken for each proposal in the competitive fund, with information sought at the application stage.

H. How will expenditure be monitored, reported and accounted for?

169. See Management Case. Within the consortia an NGO or group of NGOs will take the lead on projects, with funds transferred from lead international NGOs hosting secretariats.

170. All projects will report quarterly on spend and lead NGOs, through their Secretariat, will ensure regular and thorough monthly forecasting. Logframes will form a key part of the accountable grant.

171. CHASE Humanitarian Response Group (HRG) will monitor expenditure. Audit, accounting and reporting / monitoring arrangements will be clearly specified in the AG. Final reports will be requested within three months of the project completion. DFID requires partners to provide a copy of their certified Annual Audited Accounts (AAA) which should show DFID funding as a distinct line of income.

I. Are there any accounting considerations arising from the project?

172. Proposed spend will be released in arrears when the DFID Programme Board has signed off project spend.

Management Case

A. What are the Management Arrangements for implementing the intervention?

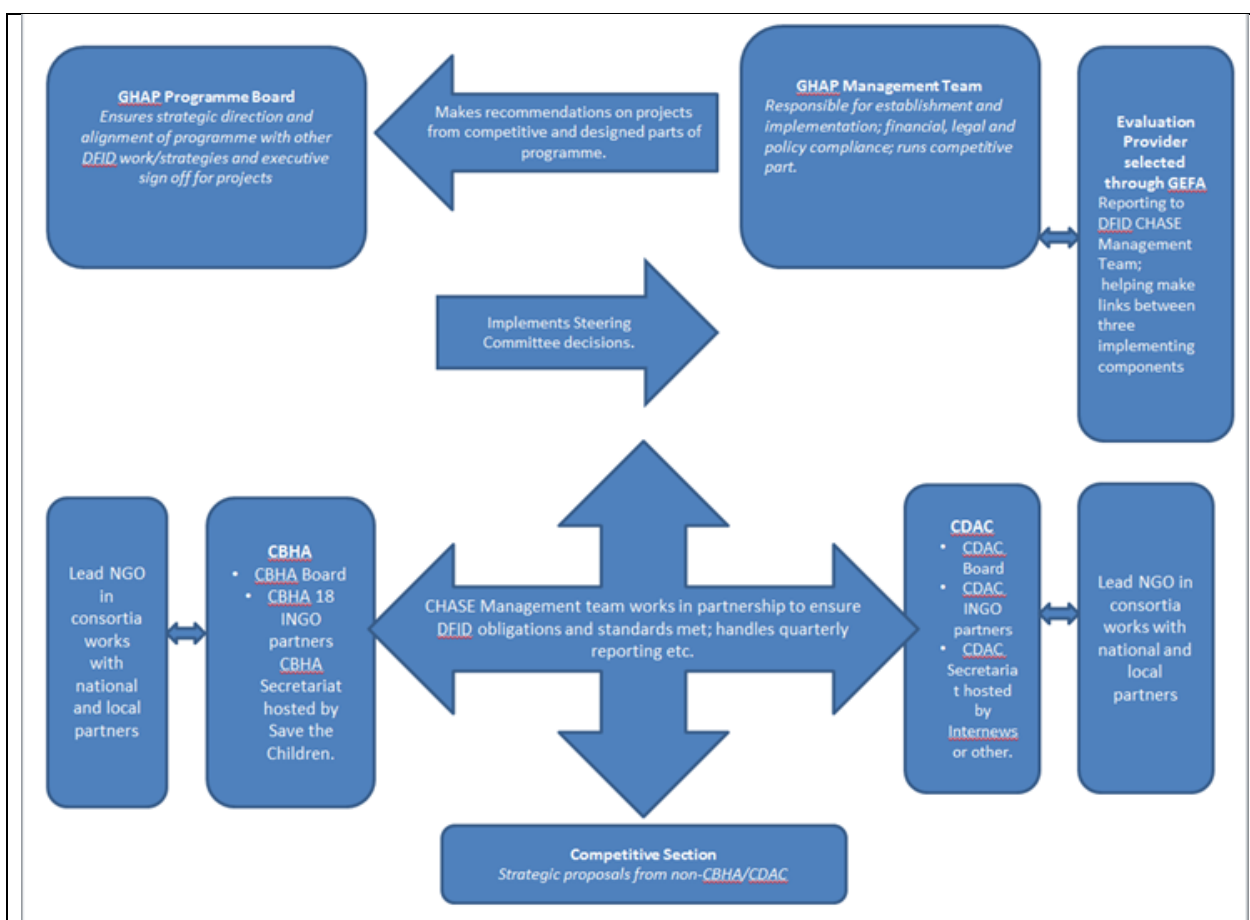


Figure 4. High level overview of governance and management mechanisms for programme.

173. The DEPP will be managed overall by a CHASE DEPP Management Team:

- A1 Head, Humanitarian Response (10%);
- A2 Programme Manager (50%)
- B1 Deputy Programme Manager (25%)
- B2 Project Officer (25%)
- C1 Project Assistant (25%)
- Two A2 Humanitarian Advisors with other experts brought in from across CHASE as needed (including Governance, Statistics and Conflict Advisors) (100%)
- A1 Evaluation Advisor (20%)
- A2/B1D Economist (20%)
- A2 Social Development Adviser (10%)
- A1 Climate Adviser (10%)

174. Overall responsibility for the programme will rest with a Programme Board who will have ultimate executive decision on whether projects go ahead:

- DFID Head of Humanitarian Profession
- 3 NGO representatives: two from CBHA; one from CDAC;
- A1 Head Humanitarian Response (alternate Chair);
- Head of CHASE or Director General (Chair);
- Senior Research Fellow with DFID or similar;
- A1 Head Humanitarian and Resilience Policy;
- A2 Economist

175. The DEPP Programme Board will be responsible for:

- Ensuring strategic direction and alignment of programme with other DFID work/strategies and those of international partners;
- Reviewing proposals submitted to it by the CHASE Management Team; executive sign off of project proposals;
- Ensuring a focus on value for money;
- Monitoring programme implementation by reviewing:
 - financial performance
 - results performance (progress on overall programme logframe, progress on individual projects and consideration of actions if projects are off track, progress on the Evaluation Strategy)
 - Risk management and mitigation

176. We envisage that the designed element of the business case will be managed by CBHA and CDAC, who will manage the selection of projects through individual members leading and working in partnership with DEPP Management Team. Within the consortia an NGO or group of NGOs will take the lead on projects, with funds transferred from the lead international NGOs hosting the Secretariats. Projects will report quarterly on spend and lead NGOs, through their Secretariat, will ensure regular and thorough monthly forecasting.

177. Key principles are:

- DEPP Programme Board has the ultimate say on projects.
- DEPP Management Team will take an active role in partnership with CBHA and CDAC to develop project proposals. We view this as helping to meet DFID obligations and as a supporting resource.
- CBHA and CDAC will ensure a fair and open process of project selection, linked to the Theory of Change, and which meets DFID policy/risk/fiduciary considerations.
- CDAC will align its plans for emergency preparedness with CBHA's.
- The competitive fund will target non-CBHA members.
- Projects will support DFID priority countries.
- Projects should link into national or local government and the international humanitarian system.
- CBHA will work actively at making links work with CDAC and vice versa.
- An independently commissioned evaluation will be set up in the first three months of the project that pulls together evidence systematically from across DEPP.

- CBHA and CDAC will be responsible for the allocation and distribution of funds to their implementing members, subject to Programme Board approval of projects.
- DEPP will link with and learn from the Humanitarian Innovation and Evidence Strategy, the Humanitarian and Leadership Academy, BRACED, etc.
- The DFID BRACED and DEPP teams will meet quarterly to ensure DEPP and BRACED programmes add value to each other. This will include the work of the BRACED Knowledge Manager in sharing evidence on what works to build resilience to disasters, and in evaluations undertaken by the two programmes.
- Designed and competitive components work together and are complimentary

178. The DEPP Management Team in DFID will ensure financial, legal and policy obligations are met and will work in partnership with implementing partners as they develop their work. This will ensure that only robust proposals are submitted to the Programme Board for consideration.

179. The competitive component will be run by the CHASE DEPP Management Team. The management team will be responsible for:

Overall

- Establishing DEPP;
- Establishing and servicing a DEPP Programme Board;
- Putting proposals to the DEPP Programme Board;
- Conducting due diligence on both the design and competition component partners;
- Advising the DEPP Programme Board on a quarterly basis of progress, including risk management;
- Monitoring and evaluation, including managing the competition and subsequent contract for an independent evaluation/monitor;
- Providing funding for CDAC and CBHA in quarterly arrears based on project approval;
- Monitoring delivery against the programme logframe and ensuring it remains up-to-date;
- Ensuring priority areas including gender, violence against women and girls, accountability to beneficiaries, climate change and the environment are addressed throughout the programme management cycle process.
- Drafting and agreement of accountable grants;
- Performance management of accountable grants;
- Ensuring a full and proportionate due diligence process is followed in the management of DEPP.

Designed Component

180. Working with CDAC and CBHA in partnership to ensure that:

- Projects are designed to collectively deliver the Theory of Change and outcomes;
- DFID commercial and financial compliance requirements are fulfilled;
- Proposals fit with DFID policy intent;
- Forecasting is routinely undertaken;
- Due diligence is followed;
- Accurate reporting is undertaken against indicators,

Competition Component

- The design of the calls for proposals in conjunction with CBHA and CDAC;
- Dissemination of the call for proposals - working closely with DFID communications specialists;
- Appraising proposals against agreed and published criteria based on the Theory of Change;
- Monitoring funded projects, including proper fiduciary oversight;
- Providing support to projects to help them deliver their objectives;
- Ensuring the correct and proper close-down of projects in line with approved plans.

181. Once funding is approved we will establish the designed component of DEPP with CBHA and CDAC, provisionally in October 2013, and expect to run the first call for proposals from the competitive component in January 2014. Based on demand we will run a further call within a year of the first.

B. What are the risks and how these will be managed?

182. The DEPP Management Team's A2 Programme Manager will lead a Due Diligence Framework process on all lead organisations. This is a powerful risk management tool that will obtain assurance of a potential delivery partner's capacity and capability to deliver DFID aid. Assessments give us a much better understanding of the strengths, weaknesses and risks in working with the partner leading to a more informed and better managed intervention. This is elaborated in the Financial section of the Management Case.

183. As per DFID guidance, high level management principles for the management of risk for the designed component implementing partners, and the competitive window will be applied. Relevant modules of guidance from DFID's Due Diligence Framework will be applied depending on the needs of each project. This approach recognises that one size does not fit all and enables DEPP Management Team to add further sections responding to specific as well as general needs in a flexible way.

184. The main programme risks are set out below. These will be developed in to a risk management tool for the Programme Board. Individual risk tables will be required against each project proposal.

No	Key Programme Risks	Mitigating Action
1	Programme fails to provide strategic change at impact level.	Annual reviews to provide recommendations on improving programme performance or recommend early exit; realistic and observable change in logframe outcomes; evaluation strategy focus; development of proactive engagement with partners and others on results.
2	Sufficient number of quality projects fails to materialise in competitive window.	Proactive engagement with NGO and private sector communities using innovative frameworks and networks; multiple calls for windows to stimulate market engagement.

4	Elements of programme fail to join up cohesively and fail to deliver theory of change	Programme Board ensures strategic oversight and coherence between projects. Overarching evaluation strategy ensures outcome indicators linked.
5	Resource – shift in DFID priorities, emergency response.	Use of extra capacity in core team and use of humanitarian cadre 10%.
6	Resource – shift in partners priorities, emergency response	Ensure explicit and managed in proposals; work through NGOs with significant capacity
7	National policy environment not conducive to capability building	National/Local Governments involved in planning and implementation of programme.
8	National agencies are able to prioritise capability building and retain staff.	The programme will focus on institutional as well as individual capability development. Local NGOs part of international networks.
9	Strengthened capacity does not meet changing needs	Continuous national and local assessment of capacity need, monitored through M&E.
10	Appropriate population not included, for example women.	Incentives provided to attract women in to the humanitarian capacity development programmes. Specific criteria in funding calls to address Violence Against Women and Girls.
11	Climate change increases the number and severity of disasters overwhelming the programme's positive impact. Humanitarian/emergency responses result in poor environmental management, undermining resilience to disasters in the long term.	Requiring environmental policies to be submitted with proposals, and review of their implementation at annual review stage. Involvement of a CE advisor in evaluation of proposals, design of project level logframes and annual review in order to cover these points
C. What conditions apply (for financial aid only)? 185. Not applicable.		
D. How will progress and results be monitored, measured and evaluated?		

186. DEPP comprises two components – two ‘commissioned’ programmes (CBHA and CDAC); and a number of programmes which will be selected against core objectives through a competitive process.

187. Each DEPP implementing partner will be expected to design and implement its own monitoring and evaluation plan, (i) monitoring against both the core results indicators (included in individual logframes), and others relevant to the specific programme; and (ii) developing an appropriate evaluation plan which will generate evidence against the core evaluation framework. This will be funded from the DFID grant:

- The two ‘commissioned’ programmes (CBHA and CDAC, which will comprise the majority of overall expenditure) will be expected to have a complementary and consistent approach to monitoring and evaluation. This may be undertaken internally by the agencies themselves, or they may choose to commission external evaluators.
- For the additional grants awarded through a competitive process, the credibility of the initial M&E plan will be assessed as part of the selection process.

Independent evaluation:

188. Additionally, an independent evaluation will be commissioned to evaluate the programme as a whole, and to generate its high level results. The Evaluation Team will be commissioned through the DFID Global Evaluation Framework Agreement – GEFA – through limited competition, as soon as the DEPP programme has been approved. Implementing partners will be expected to work with the Evaluation Team, and must expect that the monitoring results and evidence they generate will be scrutinised and used for the independent ‘overarching’ evaluation. Additional evaluation activity may also be undertaken, to assess the extent to which the programme’s core objectives have been met, to generate and synthesise evidence, and to test the core assumptions underpinning the Theory of Change.

Evaluation Framework (including monitoring):

189. The Evaluation Team will be expected to design an overarching monitoring and evaluation framework as a key deliverable of the Inception Phase. A number of core indicators will be collected by all implementing partners, and evidence generated against the key evaluation questions throughout the duration of the programme. The Framework will give coherence to monitoring and evaluation effort, and will be designed in conjunction with key stakeholders, including DFID. The CBHA and CDAC will be key partners in developing the Evaluation framework.

190. Capacity development is a particularly difficult area for evaluation and results generation, and the Evaluation Framework will be a crucial deliverable, which will extend the preliminary work already undertaken through the Business Case and logframe development. The design process will seek ways to meet challenging expectations of evidence generation, tempered with a need for relative simplicity and pragmatism. It may include a primary emphasis on the collection of credible proxy indicators and evidence of intermediate outcomes, but with some specifically designed more rigorous analysis, potentially including experimental / quasi-experimental design. This work should take specific account of methodological work being undertaken by the IFRC and the Feinstein Centre in a current programme

for the Humanitarian Innovation and Evidence Programme⁹⁵, and other approaches (for example the Tuungane evaluation, Macarten Humphreys *et al*, IRC, 2011).

191. Additionally, it is expected that the Evaluation Framework will take account of other major DFID programmes, including work being undertaken through the Humanitarian Innovations and Evidence programme, the Humanitarian and Leadership Academy and BRACED, to ensure complementarity of evidence generation. Within the £1m allocated for the evaluation, it is expected that approximately £250k will be made available to undertake an experimental / quasi-experimental impact evaluation, testing out approaches to capacity development, if a suitable context / design can be identified. This will be explored by the Evaluation Team during the inception phase and in consultation with implementing partners, particularly the CBHA and CDAC.

192. A design workshop will be held as part of the inception process, including staff from the relevant DFID programmes, NGO partners, and academics (eg from the Feinstein Centre and specialists in theories of capacity development). The workshop will focus on the Theory of Change underpinning the programme, incorporating a robust review of competing theoretical approaches, the existing evidence base, the likely nature of programme activities and how these may be tested within the scope and timing of programme activities. The Evaluation Framework will be externally quality assured to ensure programme consistency, particularly in the theoretical approach being adopted⁹⁶.

Purposes, Audience and Sequencing

193. The evaluation is intended to generate preliminary evidence of ‘what works’, but also to provide evidence of the effectiveness of delivery. DEPP has been designed with a breakpoint after three years; and the evaluation will contribute to the decision as to whether or not to extend for a further two years. If the programme is extended the evaluation component will be extended accordingly.

194. The evaluation will include both (i) **a formative phase** (*process evaluation*) to provide feedback on the design and implementation of the programme after the first 24 months of implementation (for performance improvement and decision-making); and (ii) **a summative evaluation**, which will seek to evaluate the impact/outcomes of the programme for accountability and as a public good. The evaluation will seek to generate evidence of ‘what works’ in humanitarian capacity development, but it is recognised that only proxy indicators and evidence (possibly case study based) can be collected over the

⁹⁵ Working with National and Local Institutions to build Resilience and Improve Disaster Response.

⁹⁶ The Business Case has included assimilation of potentially irreconcilable approaches to Capacity Development, including those advocated by the World Bank (Otto, *et al*, 2009), the OECD DAC (2006), and Baser and Morgan’s 2008 synthesis of approaches, including a Complex Adaptive Systems approach. Thus assessing consistency and clarity of approach will be important.

first 24 months. The emphasis will be on *process* during this phase; but coupled with the generation of evidence against the core assumptions which underpin the Theory of Change.

195. Evaluation activities will be undertaken by both the Evaluation Team and implementing partners. The Evaluation Team will be responsible for the coherence and quality of evidence, and for ensuring sufficient evidence is generated to answer core questions.

196. The summative evaluation has two purposes: firstly, to assess the extent to which core programme objectives have been achieved and their short-term impact or outcomes (accountability); and secondly to generate evidence on approaches to Humanitarian capacity development for disaster preparedness and response. The Evaluation Framework will therefore take account of the core themes and theories underpinning the programme, as articulated in the Theory of Change.

197. The audience for the evaluation is therefore potentially broad and largely external, including actors engaged in humanitarian response, and those interested in Humanitarian aid effectiveness.

Evaluation Team and Budget:

198. The evaluation team will be contracted through a limited competition undertaken amongst pre-qualified companies approved through the Global Evaluation Framework Agreement (launched in August 2012). The evaluation will be funded from the DEPP programme, and the expected budget will be approx. £1m, including approximately £250k for funding an experimental evaluation component. Implementing partners will fund their own M&E from the DFID grant (around 2.5% of the costs of the project). The overarching evaluation will use evaluation outputs from programmes as a core aspect of the evidence base.

Timing of the evaluation:

199. The evaluation will be commissioned as soon as the programme has been approved, allowing time for the development of an Evaluation Framework based on: (i) review and development of the programme's Theory of Change; (ii) clarification and consensus on the evaluation questions, and (iii) the design of a robust methodology to accommodate the programme design (delivery of multiple projects), including the need to generate evidence of the impact of Humanitarian capacity development programmes. The Inception report will be a critical document.

Sequencing:

200. The evaluation will be sequenced as follows:

Inception: The 3-month inception phase will be used to prepare and agree the evaluation design.

201. *Formative / Mid-term evaluation:* The evaluation will provide a report after 24 months, to provide evidence for the programme managers, and ensure more effective programme delivery. This will also be the decision point for the future potential extension / scaling up of the programme.

202. *Impact evaluation*: If an impact evaluation is feasible, the sequencing will be agreed as part of the Inception Report.

203. *Final Report (Summative phase)*: The final report will be available at the end of 3 years. If the programme and evaluation continue beyond three years, the final report will be provided within five years, assessing the outcomes and impact of the first phase.

Quality Assurance:

204. External quality assurance of the evaluation ToRs and draft reports is required, under DFID's evaluation policy. The Inception Report and Evaluation Framework will also be externally quality assured.

Management and Stakeholder / Beneficiary engagement:

205. An evaluation management group will be established, based within CHASE. In addition to effective evaluation management, it will also be tasked to establish an evaluation advisory group, which will include wider stakeholders and ensure that the beneficiary 'voice' is taken fully into account.

Dissemination Strategy:

206. The evaluation management group will work with the advisory group to develop a dissemination strategy, including lessons learned from the evaluation.

Draft Evaluation Questions (which may be further developed or amended during the Inception Phase):

Core Questions:

1. To what extent do the approaches tested within DEPP programmes work in developing appropriate Humanitarian capacities for emergency preparedness and response in disaster prone settings?
2. Does the 'DEPP approach' make a difference to effective delivery of humanitarian assistance to disaster affected communities⁹⁷?
3. What works to build coalitions and linkages between local actors and the INGO 'system', and what effects does it have?
4. What are the most effective ways to communicate lessons on disaster preparedness and response?

DAC Criteria:

Formative / process evaluation stage

- Is DEPP addressing the right problems? Is it addressing the needs of beneficiaries appropriately? (Relevance)
- DEPP design: Has DEPP been designed appropriately to target core problems and deliver on HERR commitments? (Effectiveness)

- Is DEPP delivering Value for Money and what value-added does this modality offer? (Efficiency)

Summative / Judgemental evaluation

- Did the range of projects funded offer a coherent way of addressing objectives? (Relevance and Coherence)
- To what extent were they the right objectives? (Relevance)
- To what extent did the programme achieve core objectives? (Effectiveness)
- To what extent are the projects likely to be sustained following the conclusion of the programme? (Sustainability)
- What difference is it making, and to whom? (Impact)
- Were there any unintended consequences because of the way the programme was designed / implemented? (Impact)
- Did the programme design provide VFM, and was it implemented efficiently? (Efficiency)

Logframe

Quest No of logframe for this intervention:

207. The Logframe is provisional and will be reviewed once the programme starts and projects/evaluation strategy are firmed up.

⁹⁷ This will require assessment at evaluation design stage, as it would depend on evaluation activity following a disaster; and prior identification of an appropriate counterfactual.

Annex 1: Climate and Environment Check List

Impact of Climate Change on Intervention	Y/N	Detail	Measure
Positive			
Opportunity for economic growth through development and dissemination of technologies	Y	In addition to building the response capabilities of the international systems the programme will seek to build communities' preparedness and response capabilities (from a multi-hazard perspective) which will help them "bounce back better" from the impact of climate shocks.	
Opportunity for job creation	N		
Increased revenue generating opportunities	N		
Opportunity for new agriculture and livelihood options	N		
Negative			
In a climate sensitive area?	Y		
In an area subject to frequent climatic shocks / variability (floods/droughts/temperature)	Y	DEPP taking a multi-hazard approach.	The DEPP will support organisations working with partners in areas of frequent climatic shocks (alongside other hazards).
In an area where climate change could lead to conflict	Y		
Community has poor capacity to deal with or adapt to climate change or shocks	Y		The DEPP will specifically target partnerships that support communities that lack the capacity to deal with multiple

			hazards, including climate hazards.
Programme dependant on specific climatic condition (agriculture, aquaculture)	N		
Climate sensitive policies / laws / regulations result in social / development impacts	N		

Impact of Environment on Intervention	Y/N	Detail	Measure
Positive			
Dependant on environment / natural resources for success	N		
Good governance of natural resources would improve likelihood of success	N		
Improved revenue generating opportunities	N		
Improved environmental management could increase the number of benefits from intervention	Y		Multi-hazard approach will address the issue through improved environmental management.
Environmental management offers peace-building opportunities	N		
Negative			
Dependant on environment / natural resources for success	N		
In an area subject to environmental degradation?	Y		
In an area subject to frequent environmental shocks	Y	DEPP taking a multi-hazard approach so may include	

		areas subject to frequent environmental shocks.	
Community lack capacity to deal with environmental degradation or shocks	Y		DEPP will specifically target support to communities that lack the capacity to deal with multiple hazards that may include climate shocks.
Community dependant on natural resources, which will be affected by the intervention for their livelihoods	N		
Property / land-rights are not well defined / governed	N		
Environmental policies/laws/regulations result in social / development impacts	N		
In an area where natural resources are a potential source of conflict	N	But will depend on the nature of the successful proposals in DEPP competition.	

Impact of Intervention on Climate Change	Y/N	Detail	Measure
Positive			
Increases mitigation capacity	N		
Reduces Co2 emissions	N		
Provides an opportunity to achieve low-carbon development?	N		
Negative			
Increases CO2 emissions	N		
Decreases mitigation capacity	N		
Does not support low-carbon development	Y		

Impact of Intervention on Environment	Y/N	Detail	Measure
Positive			
Depends on natural resource use for its success	N		
Opportunity for improved environmental management	Y		
Opportunity to achieve MDG7	N		
Opportunity for co-financing of environmental management	N		
Negative			
Depends on natural resource use for success	N		
In an environmentally sensitive area	Y		
Causes direct and significant impact on environment	N		
Risks causing significant negative impact on environment	N		

Impact of Intervention on vulnerable Communities	Y/N	Detail	Measures
Positive			
Opportunity to reduce the vulnerability of communities to climate change?	Y		Programme specifically takes a multi-hazard approach to reducing the vulnerability of communities and improving the quality of the response when emergencies overwhelm local capacity. Expect some of the proposals submitted may identify climate change as one of several key forward challenges.
Opportunity to build the capacity of communities to adapt to climate change?	Y		

Opportunity to build the resilience of communities to climate change?	Y		Proposals will specifically target working with communities that lack the capacity to deal with hazards, including climate shocks.
Opportunity to mitigate climate change impacts for a community?	Y	Will depend on the nature of successful proposals	
Negative			
Reduces adaptive capacity of a community to climate change	N		
Reduces resilience of a community to climate change	N		
Increases vulnerability of communities to climate change?	N		
Reduces capacity of a community to mitigate climate change	N		

ANNEX 2

KEY EVALUATION TEAM MEMBERS

Annex 2: Key Evaluation Team Members

Dr. Phuong Pham, Ph.D., MPH, Principal Investigator, is a Research Scientist at the Harvard T.H. Chan School of Public Health, Associate Faculty with the Harvard Humanitarian Initiative (HHI), and Lecturer at the Harvard Medical School and Brigham and Women's Hospital. She has over 15 years of experience in designing and implementing epidemiologic and evaluation research, technology solutions, and educational programs in on-going and post-conflict countries such as northern Uganda, Democratic Republic of the Congo, Rwanda, Central African Republic, Iraq, Cambodia, Colombia and other areas affected by mass violence. She co-founded Peacebuildingdata.org (a portal of peacebuilding, human rights, and justice indicators) and [KoboToolbox](http://KoboToolbox.org) (a suite of software for digital data collection and visualization). Dr. Pham joined HHI after holding the positions of Director of Research at the University of California – Berkeley's Human Rights Center and Adjunct Associate Professor at Tulane University's Payson Center for International Development.

Dr. Vandana Sharma, MD, MPH, Project Director, is a physician and Senior Research Scientist with significant international experience leading rigorous impact evaluations, large-scale randomised controlled trials, and capacity building efforts. Dr. Sharma brings expertise in monitoring and evaluation systems, measurement of health outcomes and instrument design, quantitative and qualitative research methods, and data analysis to the evaluation team. She also has expertise in gender based violence research and in particular development of innovative approaches to measure both women's experiences of violence as well as male perpetration of GBV, and also in evaluating the impact of GBV prevention interventions. She has provided technical assistance or conducted in numerous countries in South Asia, sub-Saharan Africa and Latin America including DEPP project countries Ethiopia, Kenya and Bangladesh.

Dr. Jennifer Scott, MD, MPH, Project Advisor, is a faculty physician at Beth Israel Deaconess Medical Center, an Associate Scientist at Brigham and Women's Hospital, and an Instructor at Harvard Medical School with expertise in conducting research on gender-based violence, gender and social norms, and health outcomes in humanitarian settings. In collaboration with colleagues at Harvard Humanitarian Initiative, she has conducted population-based assessments of gender-based violence in Democratic Republic of Congo and Kenya. She was the Principal Investigator of a community-based participatory research study in South Sudan on gender inequitable norms and recently conducted a study utilising respondent-driven sampling to assess outcomes of sexual violence-related pregnancies in Democratic Republic of Congo. She also has expertise in mixed methods research and is co-Principal Investigator of a mixed methods study among refugees in Ethiopia. In the clinical setting, her research focuses on the assessment of resilience factors to inform future intervention development. She is skilled at building multi-disciplinary partnerships and disseminating data to inform programming, policy, legal proceedings, and national and international strategies.

Niamh Gibbons, BA, Research Program Coordinator, works with the Programs on Evaluation and Implementation Science and Peacebuilding and Human Rights Data at HHI. Previously, she was an independent consultant working on projects in the transitional justice and peacebuilding fields, and an HHI Fellow researching the issue of political will in relation to accountability for crimes under international law. Before joining HHI, Niamh carried out research and advocacy in Africa, Europe, the Middle East, and

the United States, focused on transitional justice issues. She led advocacy at the United Nations in New York and managed programming in Uganda for the NGO No Peace Without Justice, and was an associate with the Crimes Against Humanity program Human Rights First in New York. She holds an honours BA in French and Art History from University College Dublin, Ireland.

Rebecca Hémono (Stein-Lobovits), MPH, Research and Evaluation Coordinator is a researcher for the External Evaluation of the Disasters and Emergencies Preparedness Programme (DEPP) at the Harvard Humanitarian Initiative. In this role, she contributes extensively to data collection and analysis across 10 countries through training and managing field research teams, conducting qualitative interviews with project and programme stakeholders, and analysing and reporting results. Before joining HHI, Rebecca conducted research on gender-based violence and sexual and reproductive health needs among refugee populations in Greece and Turkey, and completed an intensive training on managing GBV programmes in humanitarian emergencies and crisis. She completed a Master of Public Health where she concentrated in health policy and management with a specific focus on maternal health and family planning.

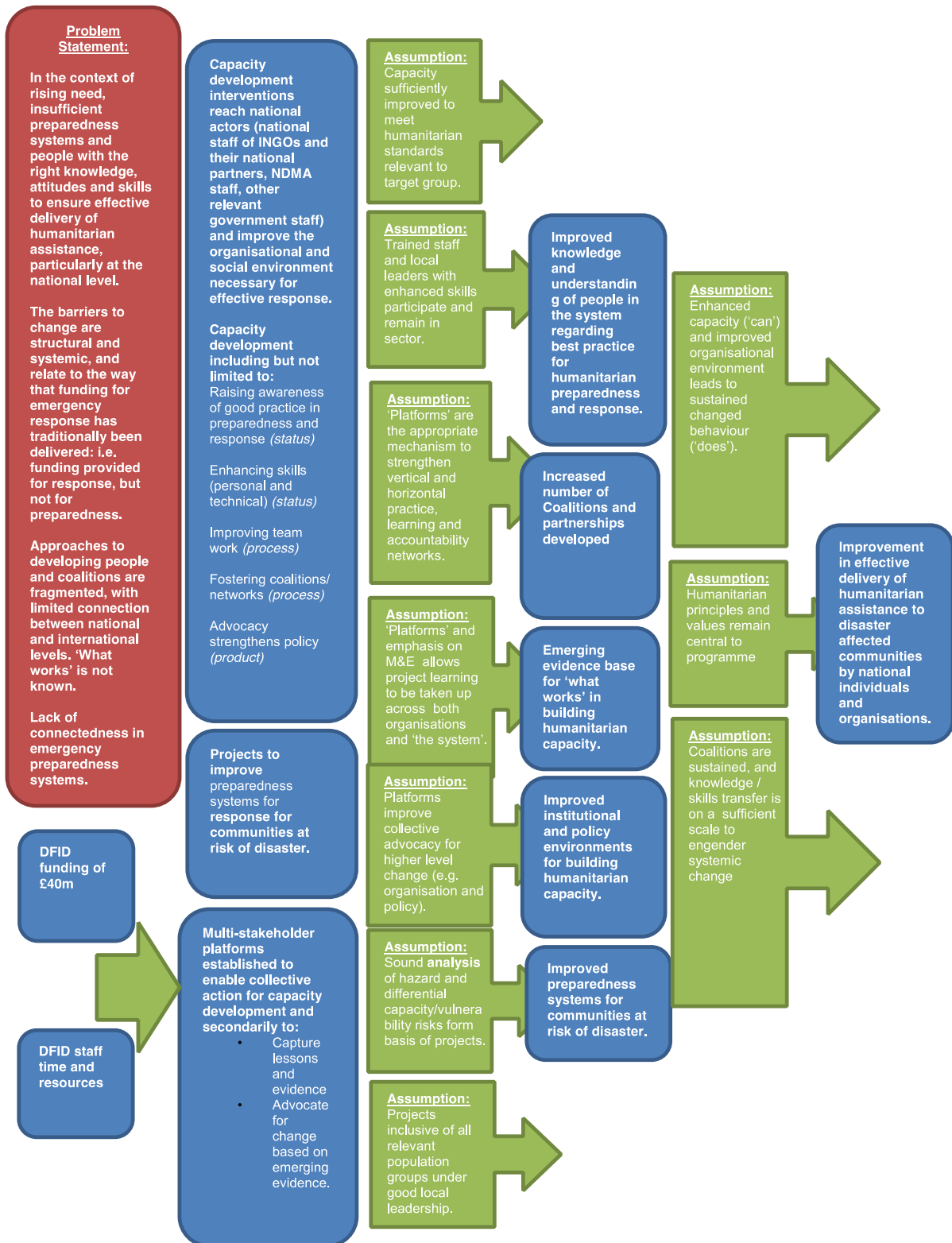
Jessica Jean-Francois, MUP, M.S.Ed, Research and Project Coordinator, has over nine years of experience in project management and over three years of experience working in the humanitarian field. She is a full-time researcher and project coordinator for the External Evaluation of the Disasters and Emergencies Preparedness Programme (DEPP) at the Harvard Humanitarian Initiative. She oversees the data collection activities in the implementing countries of the DEPP and contributes to the analysis and report writing. Before joining HHI, Jessica managed projects in education, healthcare and journalism in Haiti and the United States. In Haiti, she led response and recovery projects to the 2010 earthquake and Hurricane Sandy in 2012, and managed emergency preparedness efforts. Jessica has conducted and led research in Mexico, Ethiopia and Montserrat on healthcare, economy development and post-disaster recovery. Most recently, Jessica completed a Master in Urban Planning where she focused on international planning and research methods.

Valsa Shah, MS, Economics Advisor, is Head of VSC-Economics Ltd., a UK-based development economics consulting company. She is one of the foremost experts globally in Value for Money analysis of humanitarian programming. She has led a number of VFM assessments and evaluations, two of which have been within the humanitarian sector (ICRC VFM study and DFID Humanitarian Innovation and Evidence Program J a multi-year humanitarian research project). She therefore has both a proven track record of experience with VFM assessment and evaluation, and recent experience working as part of a broader evaluation team and applying this assessment approach to a large-scale humanitarian program. She has conducted previous research on DFID-funded programs and is very familiar with DFID's unique approach to VFM analysis.

ANNEX 3 ---

THEORY OF CHANGE (DFID/PROGRAM)

Annex 3: Theory of Change (DFID/Program)



ANNEX 4 ---

EVALUATION OF THE DEPP PROGRAMME: TERMS OF REFERENCE

Annex 4: Evaluation of the DEPP Programme: Terms of Reference

15 December 2014

Programme	Disasters and Emergencies Preparedness (DEPP)
Project 1	Age and Disability
Project 2	Shifting the Power
Project 3	Talent Development
Project 4	Transforming Surge Capacity
Project 5	Protection in Practice
Project 6	Linking Preparedness, Response and Resilience
Project 7	Financial Enablers
Project 8	ALERT (TBC)
Project 9	Better dialogue. Better information. Better action.
Countries	Bangladesh, DRC, Ethiopia, Indonesia, Jordan, Kenya, Mozambique, Myanmar, Pakistan, Philippines, South Sudan and others (TBD)
Duration	3 years
Starting Date	April 1, 2014
Ending Date	Mar 31, 2018
Projects Languages	All reporting from projects will be completed in English, but the diverse countries of implementation elicit a diverse language context
Executing Agencies	Each project is implemented in a consortium, and each consortium has one lead agency (HelpAge International, ActionAid, Save the Children UK, CAFOD, Oxfam GB, Christian Aid, CDAC Network)
Financing Agencies	DFID
Donors Contributions	40,000,000£
Type of evaluations	Two mid-term and one final evaluation
Dates of Evaluations	End of year 1, end of year 2, end of year three
Total Evaluation Budget	£800,000 - £1,000,000

Summary

On behalf of the partners implementing the £40m DFID-funded Disasters and Emergencies Preparedness Programme (DEPP), ACF-UK seeks a team of evaluators to undertake a three-year evaluation with the following aims: (i) to improve the programme's effectiveness on a continuous basis, and to enhance learning; and (ii) to provide an overall assessment of the extent to which the DEPP has provided an efficient and effective approach to strengthening response capacity, both internationally and in specific environments at risk of disaster. Proposals should set out an approach and methodology for answering the core Evaluation Questions. Bids may be submitted for one or both components of the evaluation, and applicants must clarify clearly how they intend to satisfy either one (if bidding for only one component) or both (if bidding for both) objectives. This will be one of the most important analyses of humanitarian capacity development undertaken to date.

1. Programme Background

The 2011 UK Government Response to the Humanitarian Emergency Response Review (HERR) identified the lack of global humanitarian capacity as a key issue to be addressed and committed DFID to increase funding to build skills in the humanitarian sector. Non-governmental organisations were identified as key targets, because they are traditionally funded for delivery in crisis situations with little emphasis on investment in long-term skills and preparedness.

The types of event that lead to humanitarian disasters are increasing in number and complexity, and this trend is expected to continue. Those countries prepared for the worst can reduce the impact of such disasters, but current global investment in emergency preparedness is extremely low. Less than 5% of all humanitarian funding in 2009, constituting less than 1% of Official Development Assistance (ODA), was spent on projects working to prepare countries for potential disasters. This means there is a shortage of people and systems with sufficient capacity to assist countries in preparing for and responding to disasters, particularly at the national level.

The Disasters and Emergencies Preparedness Programme (DEPP) aims to fill this gap. It is a three year, £40m capacity development programme funded by the Department for International Development (DFID), and delivered by two NGO consortia⁹⁸, the Start Network⁹⁹ and the CDAC Network (Communicating with Disaster affected Communities)¹⁰⁰. Delivered through partnerships of organisations and communities, it aims to help communities and their Governments be better prepared in advance of a disaster happening – to ensure that the right people are in the right place at the right time doing the right things to assist disaster affected communities. It will operate by increasing and strengthening the capacity of the humanitarian system at all levels, including the national actors who are usually the first on the scene of a disaster – and shifting the balance of power and responsibility. The underlying rationale is that provision of funding to countries at high risk of disaster to increase their readiness will not only minimise the suffering of the affected population but will also reduce the cost and increase the effectiveness of the response. (See Annex 1.)

2. Programme Objective

The general programme objective is to strengthen skills and capacity to improve the quality and speed of humanitarian response in countries at risk of natural disaster or conflict related humanitarian emergencies. In the long term, the DEPP aims to develop systemic, organisational and individual solutions to persistent problems in preparedness and to generate an evidence base for ‘what works’ in capacity building. Specific objectives include (also called ‘the five pillars of the programme’):

⁹⁸ There will also be a £10 million Innovation Window (TBD).

⁹⁹ Members of the Start Network: ActionAid, Action Against Hunger, CAFOD, Care International, Concern Worldwide, Christian Aid, Concern Worldwide, Help Age International, International Medical Corps, International Rescue Committee, Islamic Relief, Muslim Aid, Oxfam, Plan International, Relief International UK, Save the Children, Tearfund, War Child, World Vision.

¹⁰⁰ Members of the CDAC Network: ActionAid; BBC Media Action; DAHLIA; the ICRC; IOM; International Media Support (IMS); Internews Europe; Merlin; UNFPA; UNHCR; UNOCHA; Plan UK; Save the Children; Thomson Reuters Foundation; Translators without Borders; UNICEF; United Methodist Communications; WFP; and World Vision International

- To contribute to improved knowledge and understanding of individuals by sharing best practice for humanitarian preparedness and response.
- To develop coalitions, partnerships and networks which are able to work together to address humanitarian needs in a wide range of emergency situations.
- To improve institutional arrangements and policy environments so that national systems for humanitarian response and preparedness are better supported and more sustainable.
- To improve preparedness systems for early action with communities at risk of disasters.
- To strengthen the evidence base for what works to help build humanitarian capacity at scale, by scaling up tested innovations.

3. Programme Strategies

The DEPP will be delivered by an unprecedented partnership between two large networks and a humanitarian donor with global influence, to inform the future of humanitarian response through collaborative capacity building. This includes the following strategies:

- **Collaboration:** Partnerships, networks and collaborations have been identified as critical to the development of capacity. The DEPP works through existing networks and coalitions of INGOs and their partners¹⁰¹ at sub-national, national and international levels to deliver a range of coherent and crosslinked programmes. It provides a platform for collaboration between organisations engaging in humanitarian response to improve capacity.
- **Innovation:** A quarter of the funding will be made available to other NGOs and private sector organisations to deliver more innovative, potentially higher risk initiatives in priority areas.
- **Scale:** The DEPP represents an opportunity to enhance the scale of preparedness programmes by taking proven innovative approaches to scale.
- **Decentralisation:** Support will be weighted towards training and development for local humanitarian workers at national level, and national preparedness systems will also be strengthened.
- **Complementarity:** The DEPP will complement the Save the Children Humanitarian Leadership Academy (HLA), and learning will be shared. The HLA has a longer term strategic aim of shifting the centre of humanitarian power towards communities in developing countries – which requires supporting change at all levels of the humanitarian system. DEPP is initially working to a shorter time frame, and is addressing immediate pressing operational humanitarian capacity needs.
- **Learning:** The DEPP has invested in embedding a web of distributed relationships and ‘multi-stakeholder platforms’ to build coherence, collaboration and deepen cross-programme learning to link project design and delivery. This includes leveraging technological innovation to support simplified and web-based real-time reporting, analysis and learning at the project, country and global levels; to introduce and pilot new crowd-sourcing tools for reporting and analysis of qualitative data; and to promote transparency. (See Annex 2 for the DEPP MEL framework.)
- **Cross-cutting issues:** The DEPP has committed to gender equality and inclusion of people with disabilities.

¹⁰¹ Partners may include other INGOs, private sector companies, academia, national NGOs, local government, national government, the Red Cross Red Crescent Movement, UN agencies, and other civil society groups.

4. Programme Delivery

The DEPP currently comprises 8 confirmed projects, 1 project to be confirmed and an innovation window and is organized by the following components:

- **Age and Disability** (£1,043,673) – To ensure older people and persons with disability benefit from improved access to services, as a result of recognition by humanitarian actors of their specific needs and increased capacity amongst humanitarian actors to deliver inclusive, accessible and appropriate response (led by HelpAge International in consortium with Handicap International, RedR UK, CBM International and Disaster Ready)
- **Shifting the Power** (£4,876,636) – To enable local organisations to improve the speed, quality and effectiveness of their humanitarian preparedness, response, recovery and rehabilitation (led by ActionAid and CAFOD in consortium with Tearfund, Christian Aid, Concern and Oxfam)
- **Talent Development** (£5,811,124) – To produce high-quality professionals at all levels who are better equipped to tackle the issues surrounding complex emergencies, helping to ensure that the right people are in the right place doing the right things to assist disaster-affected communities (led by Save the Children UK in consortium with Oxfam, Relief International and People in Aid)
- **Transforming Surge Capacity** (£2,482,824) – To strengthen civil society surge capacity at international, regional and local levels, contributing to a diverse and decentralised third sector pillar better able to complement existing United Nations, Red Cross and government structures in order to help communities increase resilience, reduce risk and improve crisis response (led by ActionAid in consortium with ACF, Christian Aid, CAFOD, Care, International Medical Corps, Islamic Relief, Muslim Aid, Plan, Save the Children and Tearfund)
- **Protection in Practice** (£804,000) – To enable national NGOs to effectively use specific protection approaches and actions that will improve the safety of people affected by conflict and disasters, contributing to transformative change in the humanitarian sector through new types of partnerships and collaborations and by identifying how the skills, experience and analysis of local staff and partners brings great value to a protection response (led by Oxfam GB in consortium with Oxfam, IRC and World Vision)
- **Linking Preparedness, Response and Resilience** (£949,987) – To design and roll out programming approaches which strengthen the resilience of people living in fragile states and beneficiaries of humanitarian assistance (led by Christian Aid in consortium with ActionAid, CAFOD, Concern, Help Age, King's College London, Muslim Aid, Oxfam, Safer World and World Vision)
- **Financial Enablers** (£4,000,000) – To transfer humanitarian capacity, autonomy and decision-making to organisations closer to people affected by crises, as a way of facilitating more effective and appropriate aid (led by Oxfam in consortium with Christian Aid and Tearfund)
- **TBC: ALERT** (£985,283) – To improve preparedness so that when disaster strikes agencies have the necessary resources for an immediate, effective and appropriate response and the individuals responsible know how to use those resources (led by Help Age in consortium with Oxfam, CARE, Islamic Relief, Handicap and Concern)
- **Better dialogue. Better information. Better action.** (£3,000,000) – To ensure that two-way communication is a predictable, coordinated and resourced component of humanitarian response in order to contribute to improvement in effective delivery of assistance to disaster affected communities (led by World Vision in consortium with CDAC Network agencies)

- **Innovation window** (£10,000,000) – To fund innovative, potentially higher risk initiatives in its priority areas. This window will bring a broader range of partners, including niche players and the private sector, into the programme.

One-page project descriptions can be found online [here](#). Annex 6 presents how the DEPP and the 9 projects fit together.

5. Evaluation background

The DEPP Programme will be evaluated through a three-year evaluation in four phases (inception, formative, interim, summative) in order to assess the programme progress towards achieving its objectives, regularly formulate recommendations for adaptive management and provide evidence of lessons learned and good practices.

The DEPP Management Team has prepared the evaluations TORs with inputs from key stakeholders¹⁰². The TORs are a living document which will evolve over time and be adapted as the programme progresses. The Start Network will commission the evaluation on behalf of DFID through ACF-UK, who will manage the evaluation on behalf of the Start Network. A strong working relationship between the evaluation team, the Senior Programme Quality Assurance Advisor (ACF-UK) and the MEL team (see annex 2) will be essential. Milestone payments will be linked to the approval of each key report.

6. Objectives and Purpose of the Evaluations

The two objectives of the independent evaluations are:

- iii. to **improve programme effectiveness**, and enhance learning; and
- iv. to provide an overall assessment of **the extent to which the DEPP has provided an efficient and effective approach** to strengthening response capacity, both internationally and in specific environments at risk of disaster.

Overall, the evaluation should take a strategic approach that aims to assess the achievement and effects of the higher level programme objectives rather than evaluating components of the project delivery. At the same time, the evaluation will be not only be designed to maximise learning from the DEPP as a whole but also to help focus the learning gained from each of the component programmes. Every evaluation output (detailed below) must include both these aims. A number of innovative approaches are being piloted, and it will therefore be important to understand what has worked – or not – and why. Focusing on the above objectives, uses of the evaluations include:

- establishing the relevance and effectiveness of the DEPP design and implementation;
- assessing the effectiveness of the DEPP in relation to its collaborative approach; determining the extent to which resources/inputs (funds, expertise, time, etc.) are converted to results;

¹⁰² DEPP evaluations stakeholders are the following: programme and project staff and beneficiaries, DFID, Evaluation Steering Committee, DEPP Management Team, DEPP Board, Start Network, CDAC Network, Innovation Projects (TBD) and MEL Team.

- assessing the relevance of the DEPP sustainability strategy, its progress and its potential for achievement, identifying the processes that are to be continued by stakeholders beyond the programme lifetime;
- identifying lessons learned and potential good practice, especially regarding innovative approaches that can be applied further;
- providing recommendations to programme and project stakeholders to promote sustainability and support the completion, expansion or further development of initiatives that were supported by the programme and;
- informing the design of any potential future stages of DEPP.

The evaluation will provide the DEPP Programme and related projects with information to assess and revise work plans, strategies, objectives, partnership arrangements and resources.

The audience of the evaluations are the DEPP stakeholders and external community of practice, as well as the public.

The evaluation reports will be widely shared according to the sharing and influencing strategy. Lessons learned and good practices will be disseminated across the DEPP programme and related projects to improve the programme implementation. Evaluation findings will also be shared externally with the wider sector and public. With oversight from the Evaluation Steering Committee, the DEPP Management Team will be responsible for preparing a management response to the evaluation recommendations.

7. Evaluation Scope

The evaluation will cover the implementation of the DEPP objectives and its strategies over the three years.

The evaluation design will have to take account of the modular structure of the DEPP, and to build maximum coherence and aggregation from a linked, but comparatively wide programme of activities. The evaluation will seek pathways for the attribution of effects and to test core assumptions (as set out in the Theory of Change). It will deliver an approach that contributes to understanding the causal link from delivery to likelihood of impact of the programme taken as a whole, and in specific contexts of the projects.

Given the programme structure, the design of the evaluation will in part be pragmatic and strategic – some aspects will be easier to evaluate than others. Each DEPP project has its own evidence-collection strategy, and the evaluation team will therefore seek to develop a framework for aggregating credible findings against the core questions, undertaking additional primary fieldwork where appropriate but avoiding duplication. The approach will be strategic, identifying those projects which are more likely to provide evidence against the core evaluation questions – these will therefore be evaluated in greater depth than others.

The evaluation teams will be expected to adopt a user-driven approach in the methodology used throughout the evaluation process. Evidence from communities and stakeholders will be of particular importance as the programme progresses.

Cross cutting elements

Gender equality and inclusion of people with disabilities will be addressed throughout the evaluation methodology. All data should be sex, age and (where possible) disability disaggregated. The needs of women, men and people with disabilities targeted by the programme and the 9 projects should be considered in the evaluation analysis. All the evaluation outputs will mainstream gender equality and people with disabilities. Where relevant, the evaluation should also examine the inclusion or otherwise of other potentially excluded groups. Where possible, collection of evidence on the prevention of Violence Against Women and Girls should be prioritised, as this is a core DFID policy commitment.

8. Evaluation Criteria and Questions

The independent evaluations will be carried out in context of criteria and approaches as established by OECD/DAC Evaluation Quality Standards to generate coherent evidence against five main evaluation questions (see annex 9 for more details).

The evaluation will be designed around the DEPP Theory of Change and underlying problem statement (see annex 1). In line with results-based framework approaches used for identifying results at programme and project levels, the evaluation will, at a minimum, assess the achievement of immediate objectives of the 9 projects using data from their logical framework indicators to answer the evaluation questions under each evaluation criteria.

The following evaluation criteria and headline evaluation questions will be used:

- **Relevance and effectiveness** – In what ways have DEPP capacity building programmes strengthened response capacity amongst participants?
- **Effectiveness and connectedness** – A key theory underpinning the programme is that capacity development (eg technical transfer, behaviour and organisational change) is more effective when undertaken as a multi-agency collaborative approach. To what extent was this proven? Was the ‘collaborative’ approach of multi-stakeholder platforms an effective delivery mechanism? How was the mutual accountability between partners demonstrated?
- **Efficiency and Value for Money (VfM)** – How economically have resources/inputs (funds, expertise, time, etc.) been converted to results? To what extent does preparedness improve the efficiency of humanitarian response?
- **Sustainability and likelihood of impact** – To what extent and in what ways have the benefits of the programme (coalitions and partnerships, learning, competencies and technical skills) become embedded?
- **Relevance and validity of design** – To what extent, are the objectives of the programme intervention consistent with stakeholders’ requirements and the design logical and coherent?

Specific evaluation questions have been drafted for each evaluation criteria and headline question (refer to Annex 9). These questions will be further developed and adapted in the course of the evaluation.

9. Evaluation Workplan

The evaluation team are asked to prioritise the evaluation questions as credibly and rigorously as possible within the limitation posed by programme design. The innovative technologies and use of real

time data which feature across a number of DEPP programmes will offer exciting opportunities for innovative evaluation methodological approaches. In addition, the evaluation team will need to engage stakeholders to the greatest extent possible throughout the evaluation process. This includes presenting an evaluation design in the inception report that take into account the data already being collected by projects and the MEL team to avoid duplication.

This section outlines the proposed methodology. The evaluation team may adapt the methodology, but any fundamental changes should be agreed between the Senior Programme Quality Assurance Advisor and the evaluation team, and should be reflected in the inception report.

The evaluation team will adhere to ethical principles at all times (see annex 10).

The **inception phase** will be undertaken for 4 months from April to July 2015 *to develop a clear evaluation framework for the three years*. This includes:

- Developing or deepening the Theory of Change if necessary, taking into account the structure and design of the constituent programmes
- Working in consultation with the project leads and the MEL team and convening a stakeholder workshop as well as key informant interviews¹⁰³
- Planning the evaluation methodology in detail, including refinement of evaluation questions and a description of the evaluation's approach to quality and value-for-money

After four months, the evaluation team will produce a short **inception report** (ca 10-15 pages) to outline the evaluation framework, principles and quality standards, methodology and limitations, evaluation criteria and questions, identification of evidence needed to answer the evaluation questions and a set of appropriate tools for data collection¹⁰⁴. The report must also define how the evaluation team will report to and engage with the Senior Programme Quality Assurance Advisor throughout the three years. In addition, it should include as annex a communications and learning plan to suggest how the outputs will be effectively disseminated, both internally for closing the DEPP feedback loops to maximise learning from the evaluation reports and externally for advocacy and outreach.

The **formative phase** will be undertaken for 12 months from August 2015 to July 2016 *to assess the relevance of programme outputs and efficiency and effectiveness of delivery*. This includes:

- assessing the programme against the evaluation criteria and answering the evaluation questions, following the plan agreed in the inception report
- determining whether the programme's projected outputs and outcomes are likely to fulfil DEPP objectives, putting greater emphasis on evaluating programme relevance to end-users and

¹⁰³ This should include representation from all of DEPP's key stakeholders, as well as key external stakeholders (such as researchers involved in the Strategic Research into National and Local Capacity Building for DRM, as referenced below). The evaluation design will help to ensure that, insofar as possible, the approach will complement or incorporate the OPM research, as well as provide maximum benefit to the programme.

¹⁰⁴ The inception report must also show adherence to ACF guidance on quality and formatting requirements and include an annex presenting the data collection plan and a tentative draft workplan.

design, assessing effectiveness and efficiency of delivery and identifying any preliminary sign of sustainability

- identifying emerging lessons during the first year of implementation (including good practices which may be replicated and/or scaled-up in other programme components)

After 12 months, the evaluation team will produce a **formative phase report** that includes a set of actionable recommendations for programme adaptive management. As part of the report, the evaluation team should review the data generated by all DEPP projects and evaluate a small number in greater detail, presenting options for conducting and analysing more detailed studies. The team should also make preliminary judgments about the overall design and assess the extent to which the partnerships and coalitions are function effectively.

The **interim phase** will be undertaken for 12 months from August 2016 to July 2017 *to assess the short-term outcomes delivered by the programme and reflect on the programme management process*. This includes:

- assessing the programme against the evaluation criteria and answer the evaluation questions, building on the formative phase report and following up on implementation of previous recommendations
- determining the degree to which the projected outputs have been met and making judgments on the quality of those outputs, putting greater emphasis on evaluating programme effectiveness and efficiency and making preliminary judgments about the degree to which sustainability is being embedded into the programme
- tracking short-term programme outcomes that provide an indication of pathways or trajectories towards the likelihood of impact
- identifying emerging lessons during the second year of implementation (including good practices which may be replicated and/or scaled-up in other programme components) and assessing the effectiveness of learning loops and the degree to which improvements can be attributed to this learning

After 12 months, the evaluation team will produce an **interim phase report** that includes a set of actionable recommendations for programme adaptive management (for programmes where this is still relevant given the project timelines). As part of the report, the evaluation team should include consideration of cross-cutting programme issues and an assessment of the value for money of the programme as a whole. This phase should review the programme outputs and track the transformation of these outputs into outcomes, assessing the level and effectiveness of the uptake of programme outputs. It should also assess the quality of the innovations funded by the programme and the likelihood of further diffusion of the innovations throughout the humanitarian community.

The **summative phase** will be undertaken for 7 months from August 2017 to February 2018 *to assess the intermediate outcomes and preliminary indicators of the likelihood of impact*. This includes:

- assess the programme against the evaluation criteria and answer the evaluation questions, building on the two previous reports and following up on implementation of previous recommendations

- determining the degree to which the short-term programme outcomes have been met and making judgments on the quality of those outcomes, putting greater emphasis on evaluating sustainability
- tracking intermediate programme outcomes and the degree to which they can be attributed to the DEPP, detailing other factors that may also have influenced outcomes
- identifying lessons learned during the third year of implementation (including good practices which may be replicated and/or scaled-up in other programme components) and reviewing the effectiveness of learning loops throughout the entire three years of the DEPP programme, including innovative approaches

After 5 months, the evaluation team will produce a **draft summative phase report** (to be finalised after 7 months) that includes strategic recommendations for future programme design of capacity-building initiatives. As part of the report, the evaluation team should incorporate elements of all four phases of the evaluation, as well as a section reflecting on the evaluation design and methods (possibly for separate external peer-reviewed publication). This phase should examine the programme's trajectory towards the likelihood of impact and explore the barriers and facilitators of impact, as well as questions of attribution.

10. Evaluation Methodology

During the inception phase, the evaluation team will prepare the detailed design and methodologies to be used throughout the three years to answer the evaluation questions. This should include methodologies appropriate for satisfying both objectives of the evaluation and for strengthening or further developing the DEPP Theory of Change. Particularly important will be employing diverse and innovative mixed methodological techniques (eg not only explanatory approaches such as CA, RE and PT but also participatory approaches like MAPP, Outcome Mapping, Success Case Method, Most Significant Change, etc) that require rigour in addressing the hard-to-measure change that the diverse portfolio of DEPP projects is attempting to implement.

While the inception phase will prepare the detailed approach, proposals should give clear indications of preferred methodologies, which will be considered during the selection process, and succinctly relate proposed methodologies to the objectives of the evaluation, the evaluation questions and the DEPP Theory of Change. It is also recognised that distinct phases of the evaluation may call for distinct methods.

In addition to the methodologies distinct to each phase, however, the evaluation will require a **minimum common set of methodologies** throughout. During each of the four phases, the evaluation team is expected to include the following elements

- **desk review** of DEPP Programme and related project materials, specifically programme and project documents, progress reports, M&E data, outputs of the programme and the projects and any other relevant documents (such as the OPM research referenced below – see literature review in annex 4)
- **semi-structured interviews** with internal programme and projects key informants, through conference calls or face-to-face interviews early in the evaluation phase and throughout

- **semi-structure interviews** with other key external stakeholders involved in similar initiatives (such as researchers conducting the Strategic Research into National and Local Capacity Building for DRM¹⁰⁵, the Humanitarian Leadership Academy and others, as applicable)
- **field visits** to selected projects to conduct interviews and focus group discussions with project partners and implementing agencies, direct and indirect stakeholders with supplemental, simple questionnaires for other data¹⁰⁶
- **stakeholders' workshops** towards the end of the field visits to present initial findings and recommendations to all relevant DEPP stakeholders in-country, as an opportunity for the evaluation team to gather further data, present the preliminary findings for verification and discussion, present recommendations and obtain feedback¹⁰⁷
- **other learning events** at the local, country and global levels

In addition, the following risks and mitigation measures should be considered:

- **Complexity of the DEPP programme:** The DEPP covers a wide range of different interventions in a number of different countries, with different contexts. A sampling approach will have to be found which allows for conclusions to be drawn, but the evaluation will not be able to cover all aspects of the programme.
- **Risks of instability and conflict:** The programme is operating in a number of countries which have rapidly changing security contexts. The security situation will need to be continually reviewed and travel and duty of care guidance considered (as defined in Annex 10).

11. Evaluation Outputs

There will be four specific reports (not including the flexible evaluation products), one for each phase:

- Inception phase (1 to 4 months) – *Inception report* (after 4 months)
- Formative phase (5 to 16 months) – *Formative phase report* (after 16 months)
- Interim phase (17 to 28 months) – *Interim phase report* (after 28 months)
- Summative phase (29 to 35 months) – *Draft summative phase report* (after 33 months for finalisation after 35 months)

Each report will produce the same outputs each time to be submitted directly to the Senior Quality Assurance Advisor as follow:

¹⁰⁵ Strategic Research into National and Local Capacity Building for Disaster Risk Management – preliminary Literature Review by Zoe Scott, Roger Few, Jennifer Leavy, Marcela Tarazona and Kelly Wooster, January 2014.

¹⁰⁶ The selection of the field visits locations should be based on criteria to be defined by the evaluation team during the inception phase. Some criteria to consider include: (1) locations with successful and unsuccessful results from the perception of key stakeholders (the rationale being that extreme cases, at some extent, are more helpful than averages for understanding how process worked and results have been obtained); (2) locations that have been identified as providing particular good practices or bringing out particular key issues as identified by the desk review and initial discussions; (3) representation of the main strategies or interventions used; and (4) areas known to have the highest risk of natural disaster or conflict related humanitarian emergencies.

¹⁰⁷ The evaluation teams will be responsible for organizing the methodology of the workshops. The identification of the number of participants of the workshop and logistics will be the responsibility of the DEPP programme team and the DEPP related projects teams in coordination with the evaluation teams.

- *Concept note* – This will be an internal document submitted within the first month of each phase with a brief description of the proposed areas to be covered and methodologies to be used for the report pertaining to the phase.
- *Draft report* – This will be an internal document submitted at least one month before the end of each phase to present the initial findings from the phase and will always include at least two subsections, one pertaining to each evaluation objective.
- *Findings workshop* – This will be organised during the last month of every phase and require the participation of key stakeholders to cover findings related to both objectives of the evaluation.
- *Final report* – This will present the final version of the report by the end of each phase, incorporating all comments from stakeholders and providing rationale for comments not being incorporated. This will be a public document.
- *Report presentation* – The evaluation team will present each report to the Evaluation Steering Committee.
- *Evaluation Management Response Matrix* – This will be an internal document prepared by the Management Team following each report, facilitated by Senior Programme Quality Assurance Advisor and overseen by the Evaluation Steering Committee to present the management response required based on the report findings.

Each evaluation report must include at least one good practice example from each DEPP focal country as an appendix to the report and should be accompanied by learning workshops or other learning events agreed with key users.

In addition, the evaluation team will include a provision for at least three flexible evaluation products (one per year) that will each have their own ToRs to be developed by key stakeholders when they become relevant during the three years. This could take the form of targeted assessments of the effectiveness of the DEPP's capacity building initiatives in the midst of a humanitarian crisis in one of the DEPP focal countries, targeted analysis of programme data to improve programme effectiveness and adaptive management or another form. At the discretion of the Senior Programme Quality Assurance Advisor, these outputs may be commissioned to other third party providers.

All outputs must be of publishable standard and written in plain English. Evaluation recommendations must be clear and actionable and all claims must be substantiated with evidence. Every report will be quality assured and followed by a management response, with a final overall management report at the end. Dissemination activities will be agreed as part of the inception report but should be included (as provisional) within proposal budgets.

Diagram. Detailed tentative schedule of outputs

Evaluation Phase	Evaluation Output		Suggested length	Timing / Deadline
Inception	Common	Concept note	3-4 pages	April 2015
		Draft report	10-15 pages	June 2015
		Findings workshop	N/A	June 2015
		Final report (including subsections for the two evaluation objectives)	10-15 pages	July 2015
		Report presentation	N/A	July 2015
		Response matrix	N/A	N/A
	Specific	Stakeholder workshop	N/A	TBD
		Communications and learning plan	5 pages	July 2015
Formative	Common	Concept note	3-4 pages	August 2015
		Draft report	30-40 pages	June 2016
		Findings workshop	N/A	June 2016
		Final report (including subsections for the two evaluation objectives)	30-40 pages	July 2016
		Report presentation	N/A	July 2016
		Response matrix	N/A	N/A
	Specific	Learning Workshop / Event	N/A	TBD
		Good practice annex	10 pages	July 2016
Interim	Common	Concept note	3-4 pages	August 2016
		Draft report	30-40 pages	June 2017
		Findings workshop	N/A	June 2017
		Final report (including subsections for the two evaluation objectives)	30-40 pages	July 2017
		Report presentation	N/A	July 2017
		Response matrix	N/A	N/A
	Specific	Learning Workshop / Event	N/A	TBD
		Good practice annex	10 pages	July 2017
Summative	Common	Concept note	3-4 pages	August 2018
		Draft report	50-60 pages	Dec 2018
		Findings workshop	N/A	Dec 2018
		Final report (including subsections for the two evaluation objectives)	50-60 pages	February 2018
		Report presentation	N/A	February 2018

	Specific	Response matrix	N/A	N/A
		Learning Workshop / Events	N/A	TBD
		Good practice annex	10 pages	February 2018
		Reflection on Evaluation Design and Methods	10-15 pages	February 2018
		Dissemination products / activities	N/A	N/A
		Management report (evidence of uptake)	N/A	N/A
All	Flexible	3 targeted assessments (TORs TBD; provisional as may be contracted through 3 rd parties)	20 pages	TBD

12. Management Arrangements

To ensure the evaluations meet international standards on evaluation quality and independence, the following management arrangements have been set up:

The **Evaluation Steering Committee** will be established with clear terms of reference (refer to Annex 7) to:

- support a robust and credible evaluation of the DEPP Programme and;
- oversee the evaluation management response.

The **DEPP Management Team** will be responsible for:

- providing inputs to the evaluation TORs;
- preparing the DEPP programme documentation and helping to coordinate with the 9 projects for preparing the project documentation for the desk review;
- helping to coordinate with the 9 projects for organizing the field visits;
- providing inputs to the draft evaluation report;
- preparing the management response to the evaluation and implement the evaluation recommendations.

Support will be needed from the Start Network, the CDAC Network and the various project managers for the implementation of the evaluation.

The **Senior Quality Assurance Advisor** based in ACF-UK will be responsible for:

- finalising the evaluation TORs, including coherence with ACF-UK guidelines;
- tendering the evaluation TORs and recruiting the evaluation team;
- providing technical guidance on quality evaluation to the evaluation team in line with international standards on quality evaluation;
- facilitating the evaluation team access to documentation for the desk review;
- undertaking quality control of the evaluation outputs and authorizing payments based on outputs meeting quality requirements;

- submitting evaluation outputs to stakeholders and the Evaluation Steering Committee for comments and inputs;
- finalizing the evaluation outputs;
- facilitating the preparation of the management response, in conjunction with the relevant DEPP management and the member agencies;
- following-up on the implementation of the evaluation recommendations in close collaboration with the Evaluation Steering Committee and the DEPP Management Team.

One **Evaluation Team** will be recruited for the three year evaluation. The evaluation team will be commissioned following a transparent and competitive tender process. ACF-UK specifically requires partnership between evaluators from a developed country with partners in the global south to reflect the structure and objectives of the programme.

The quality, skills and experience of the team leaders will be the single most important criterion, but strong partnership with southern evaluators will be required. A satisfactory framework for assuring ethical conduct will also be included within the criteria for awarding the commission.

The team members must have:

- Strong evaluation expertise including expertise in theory based evaluation and theories of change.
- Strong experience in a range of evaluation and research methods, including innovative qualitative methods and experimental / quasi-experimental design.
- Experience with innovative use of new technologies for monitoring and analysis of real-time data.
- Strong and demonstrated team leadership skills, including with partners from the global south.
- Experience in researching or evaluating capacity development.
- Experience in Humanitarian contexts, and current thinking on disaster preparedness.
- Experience and partnerships in programme.
- Expertise relating to current thinking on Violence Against Women and Girls / Gender-based Violence, disability and other cross-cutting issues.
- Expertise in multiple languages of the DEPP's implementation context is desirable

Specific criteria and weightings to be linked to ACF-UK procurement policy.

13. Legal and Ethical Matters

The evaluation must adhere to the OECD DAC evaluation standards. The evaluation teams will adhere to ethical principles at all times (as defined in Annex 10).

In order to ensure the independence of the evaluations carried out, the evaluation teams will not have any links to the programme and the projects management, or any other conflict of interest that would interfere with the independence of the evaluation.

14. Budget and Selection Criteria

An indicative range for the independent evaluation has been set for the three years of between £800,000 and £1,000,000. Key Performance Indicators (KPIs) will be agreed between ACF-UK and the

contracted consultant organisation before formal contracting. At bidding stage, bidders are encouraged to make provisions in their commercial tenders to ensure that some of their fees are linked and subject to performance.

The tender will follow an open and transparent selection process based on the following criteria:

- Interpretation of the ToRs (20%)
- Experience and composition of the team (30%)
- Design and methods (30%)
- Commercial (20%)

Proposals may be submitted for one or both components of the evaluation, and applicants must clarify clearly how they intend to satisfy either one (if bidding for only one component) or both (if bidding for both) objectives.

15. Annexes

Annex 1: Definition of Capacity Building and initial Theory of Change

Annex 2: Monitoring, Evaluation and Learning Team activities

Annex 3: DEPP Management Structure

Annex 4: Literature review: Strategic research into national and local capacity building for disaster risk management risk management (conducted by OPM)

Annex 5: DEPP Business Case

Annex 6: DEPP Projects and Diagram

Annex 7: Evaluation Steering Committee TORs

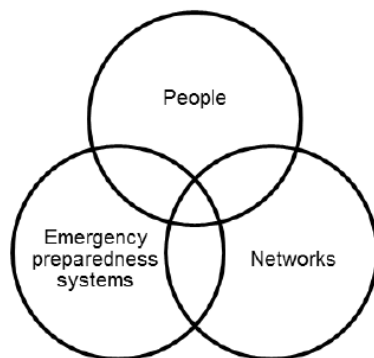
Annex 8: Evaluation Criteria and Questions

Annex 9: Ethics Principles for Evaluation and Duty of Care

Annex 1: Definition of Capacity Building and initial Theory of Change

Definition of Capacity Building

DEPP's *initial* working definition of humanitarian capacity will be:



"the individual and collective ability of humanitarian actors (local, national, regional and international) to perform effective humanitarian action that meets the needs of affected populations"¹⁴.

Components of humanitarian capacity will include:

- knowledge and understanding of individuals about best practice for humanitarian preparedness and response
- effective emergency preparedness systems for early action
- coalitions or networks at different levels of the system, both vertical and horizontal, for action and learning
- improved institutional arrangements
- improved policy environment

These components were identified as capacity needs in the literature reviews and extensive consultation processes undertaken. DEPP's working definition will be updated as evidence emerges from research and operational practice.

Theory of Change

A commissioned evidence review confirmed that the evidence base for humanitarian capacity development is very low¹⁰⁸. Globally, investment in the humanitarian capacity of INGOs and their partners has been *ad hoc* and short term, and few robust evaluations have been undertaken.

The DEPP Theory of Change was therefore developed from analysis firstly of the core problems associated with the development of humanitarian capacity, and of what were understood to be the barriers to change. From this, preliminary assumptions were generated about what changes would be required to increase capacity, and examined these in the light of the available evidence on capacity development in developing country contexts.

The Theory of Change is therefore based upon analysis of the scale of the problem and analysis of the existing evidence to support our assumptions about the change process. Evidence to support the change process and some aspects of the programme design is limited - studies and evaluations on capacity development in developing country contexts have so far produced very little robust evidence. Through a commissioned evaluation, we will develop the Theory of Change in more detail as part of the evaluation inception stage, and we will test our core assumptions through the DEPP evaluation.

The DEPP evaluation will firstly deepen and possibly further develop the Theory of Change. The Evaluation Framework developed during the Inception Phase should show how evidence will be generated (or aggregated from programmes) to identify as far as possible the different effects that the DEPP is having across the system. The evaluation should start to accumulate the evidence needed to inform future investment and scaling up of interventions to increase humanitarian capacity.

Underlying problem statement

In the context of rising need, insufficient preparedness systems and people with the right knowledge, attitudes and skills are available to ensure effective delivery of assistance, particularly at the national level.

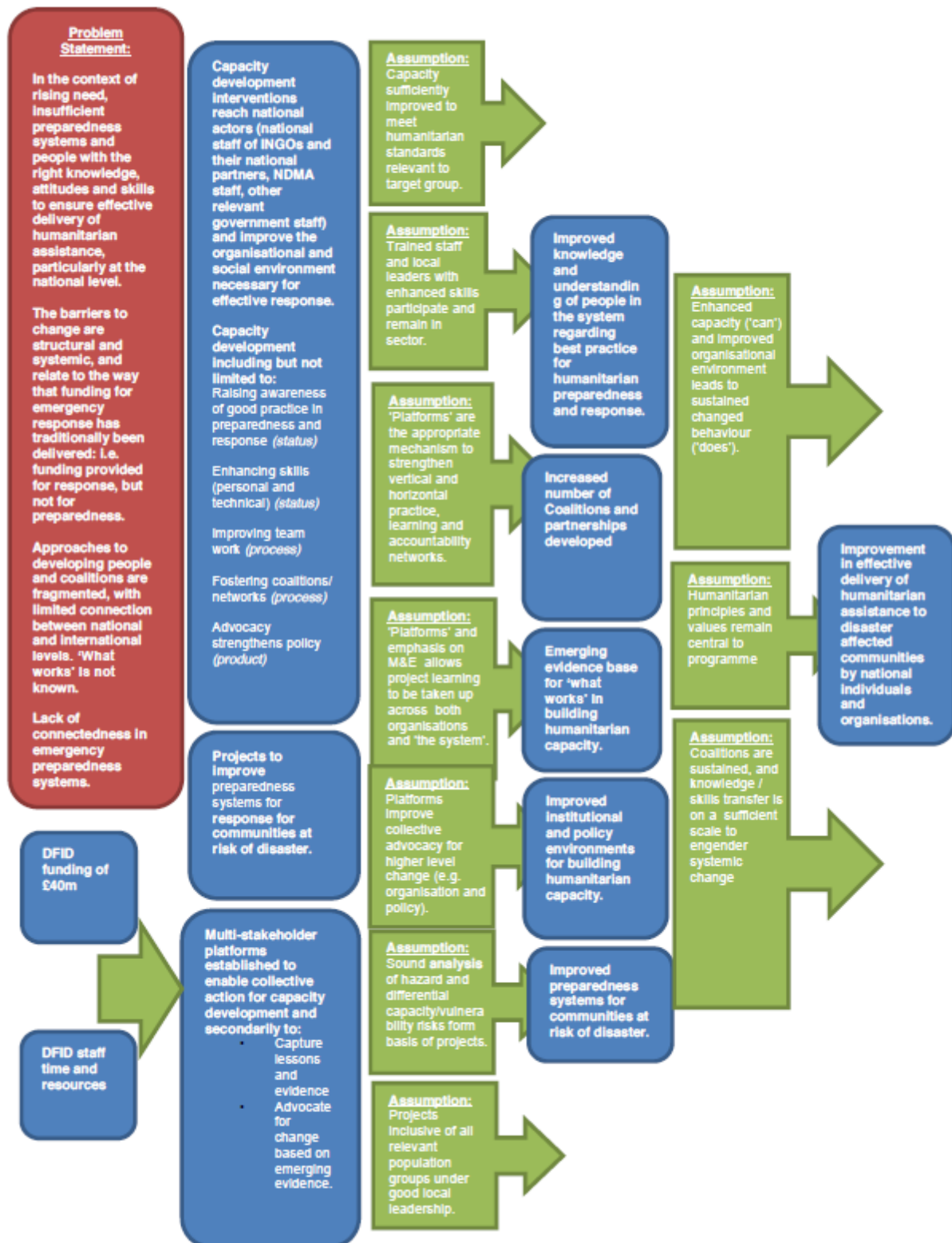
Barriers to improving the situation

¹⁰⁸ Humanitarian capability: Definitions and components. Helpdesk research report. GSDRC, 2013.

The barriers to improving the situation are structural and systemic, and relate to the way that funding and 'emergency assistance' have traditionally been delivered. INGOs and their partners are funded in general for response, rather than preparedness:

- INGOs have limited unrestricted funds for capacity development, whether for their own staff or as collaborative efforts with partners, and for building coalitions.
- Understanding of effective humanitarian capacity development – i.e. how to prepare and respond to disasters – is limited, and 'lesson learning' is not undertaken systematically.
- Approaches to developing people are fragmented.
- There is a lack of connectedness in emergency preparedness systems, particularly for communication systems.

Theory of Change diagram



Hypotheses and Assumptions

Overall, the programme is built from a hypothesis that (i) the agreed technical capacities for preparedness and response can be effectively transferred, when combined with additional soft (personal) skills and organisational change in local contexts; and that (ii) developing humanitarian capacities at national level, combined with 'knowledge platforms' that link local and international members, will address systemic issues and help to strengthen the humanitarian system as a whole. This will allow it to respond more effectively despite the anticipated rise in natural and other disasters, particularly in fragile environments.

The assumptions set out in the Theory of Change are operational, and need to be tested through evaluation. We anticipate that because many disaster prone environments are fragile with weak institutions, weak communications and hierarchical or conflict-prone societal structures, the risks to interventions will increase. The evaluation will be designed to generate the evidence required for future interventions within the sector.

The scale of the programme will limit any claim to wider 'systemic' reform, but the evaluation will test assumptions at the 'outcome' level, particularly around behavioural change in the communities involved. Capacity building is a long term process¹⁰⁹. We assume that there will be adequate short-term outcomes to assess the performance of the programme, but that it will also be a catalyst for longer-term change.

Baselines will be required, so that, if a disaster were to occur, the change process could be evaluated and better understood. Additionally, the evaluation design includes a component for experimental / quasi-experimental impact evaluation, if a suitable intervention can be identified (design work will be complementary to research being undertaken through the Humanitarian Innovation and Evidence Programme).

Theoretical background - Approaches to developing people

¹⁰⁹ NORAD, 2008: 25; European Centre for Development Policy Management, 2005: 48, 83

Although civil society organisations deliver 70% of all formal humanitarian assistance (ALNAP, 2010), there has been very limited funding available for them to invest in their knowledge and skills. Training is limited and fragmented, and the evidence base for ‘what works’ in capacity development is therefore very low.

Patchy and inconsistent training provision is widely recognised as a weakness by those who work in the humanitarian sector. It is a problem characterised by hastily-written applications to donors to fill critical gaps and exacerbated by inconsistency of donor funding. As soon as a funding period (typically one to three years) is over, the likelihood is that a particular course will disappear and the funding will go to another agency to fill the critical gap. This essentially removes any possibility of setting benchmarks and measuring the long-term impact of investments in capacity building in the sector. It also makes mapping of training provision in the sector a constantly moving target that has to be readjusted annually, and this has implications for conducting sector-wide analysis of training gaps.

Global Survey on Humanitarian Professionalisation. ELRHA. C. Russ and D. Smith. March

Connectedness in emergency preparedness systems

Areas for investment include mapping local dimensions of hazards and vulnerabilities; supporting the establishment of effective two-way communication between local and national levels; working with national governments to recognize the importance of creating methodology and building the capacity of local authorities, communities, and civil society; and strengthening participatory planning approaches. It also reported that local platforms are required to support new kinds of interactions and communication channels between relevant stakeholders.

Analysis suggests it is important to support networks and multi-stakeholder platforms to develop capacity, working with existing ones where ever feasible (see box below).

As well as building the capacity of individuals, communities and organisations, it is important to build collective capacity by supporting networks that address an issue or area of practice. Supporting the development of networks is a way to ensure that actors from a variety of levels, contexts and backgrounds are able to communicate on an issue, and helps build shared understandings and social capital that may foster (or be a starting point for) collaborative action¹¹⁰.

Genuine collaborative institutions and networks are not so easy to bring into existence or control. Rather than looking to create a new network on an issue, the first step should be to recognise and engage with existing networks of interactions (whether formal or informal) and to facilitate them, work with them or manage in relation to them. This should be part of some general requirements placed on interventions, to ensure they ‘do no harm’ to emergent collaboration and action¹¹¹.

¹¹⁰ Swanson, D. and Bhadwal, S. (eds) (2009) *Creating Adaptive Policies: A Guide for Policy Making in an Uncertain World*. Winnipeg and Ottawa: IISD and IDRC.

¹¹¹ Taking responsibility for complexity- How implementation can achieve results in the face of complex problems. Harry Jones. June 2011. Overseas Development Institute. Working paper 330.

Collaboration and collective action, built on natural patterns of social capital and founded on trust, are central to achieving sustainable change. An agency should not impose a course of action by itself, but instead should work with and influence others. This has a ‘horizontal’ and a ‘vertical’ component.’ Vertically, action occurs at a number of different levels, with interactions between multiple levels of governance that must be taken into account. There is also a horizontal component, in that power and responsibilities are often distributed and overlapping between various actors at the same level¹¹².

Annex 2: Monitoring, Evaluation and Learning Team activities

A distributed DEPP MEL team will provide the capacity to implement monitoring, evaluation and learning activities beyond the individual project level. This includes:

- developing country level objectives based on evidence generated by the DEPP portfolio
- providing a central coordination point for making sense of the collective experience of DEPP projects and feeding this back at the country level
- evidencing collaborative advantage and capturing both quantitative and qualitative data to improve collaboration
- connecting DEPP practitioners to each other at the country, region and global levels
- driving innovation and efficiency in data collection, analysis and dissemination through the development and use of web-based real-time reporting tools
- researching and writing case studies and narrative summaries against the four learning objectives
- providing frequent reports to key decision-makers, in order to improve programme quality
- conducting internal reviews (in real-time) and focused research
- convening learning and collaboration workshops and trainings at the country, region and global level
- ensuring visual documentation of the DEPP programme
- communicating internally and externally about DEPP’s progress
- bringing external stakeholders into DEPP learning (e.g. academics, governments, etc)
- connecting with DfID and other donors in-country
- advocating for change based on DEPP learning
- ensuring best practice standards are met, including monitoring participation and satisfaction
- administering the contract for the independent evaluation team
- supporting DEPP projects’ MEL, as required
- implementing the sharing and influencing strategy

The DEPP MEL Team supports generating evidence and operationalising learning by being embedded in DEPP focus countries and is coordinated centrally:

- Three to Five Regional Learning Advisor (RLA) roles (or FTE) will take the burden off DEPP project implementation staff for learning activities. They will form country and regional learning hubs and coordinate closely as a team to ‘connect the dots’ between all DEPP projects, including

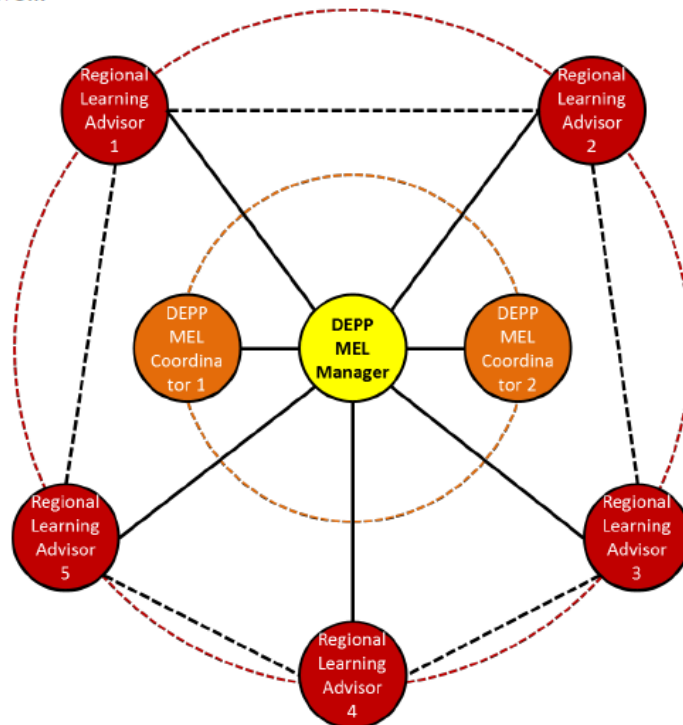
¹¹² Taking responsibility for complexity- How implementation can achieve results in the face of complex problems. Harry Jones. June 2011. Overseas Development Institute. Working paper 330.

leading the development, management, and monitoring of country-level learning objectives¹¹³. They will additionally each be tasked with leading their RLA peers on one of five focused projects (see below)¹¹⁴.

- Two central DEPP MEL Coordinator / Junior Manager roles (or FTE) will provide coordination and administrative support. They will also lead on one of two work streams to improve MEL quality and use (see below).
- One central DEPP MEL Manager role (FTE) will be responsible for the effectiveness of the MEL Team and the strategic direction of the MEL approach through the entire DEPP programme. This full-time equivalent role will be split between management (50%) and quality assurance (50%) and implemented by a MEL Manager and a Quality Assurance Advisor, respectively.
- One IT Platform will be sourced and developed to improve collaboration between projects.

Formal line management will be coordinated centrally, but each role will have specific areas of work to lead on for DEPP MEL, as well.

1. MEL Manager (FTE): Lead MEL team and strategic direction of DEPP MEL, including coordination of external evaluations and quality assurance
2. MEL Coordinator / Junior Manager 1: Provide support and coordination (50%); lead on research projects and platforms (50%)
3. MEL Coordinator / Junior Manager 2: Provide support and coordination (50%); lead on communication and reporting outputs, including implementation of the sharing and influencing strategy (50%)
4. RLA 1-5: Capture and champion learning between projects and develop evidence-based country-level learning plans, as well as implement the sharing and influencing strategy in-country (70%); individually lead on one of five areas (support DEPP project MEL, operationalise DEPP learning, visual documentation, learn from external stakeholders, improve collaboration [30%])



¹¹³ This model assumes 5 RLA's, and the budget has been worked out accordingly, although the exact number is to be determined by the DEPP MT

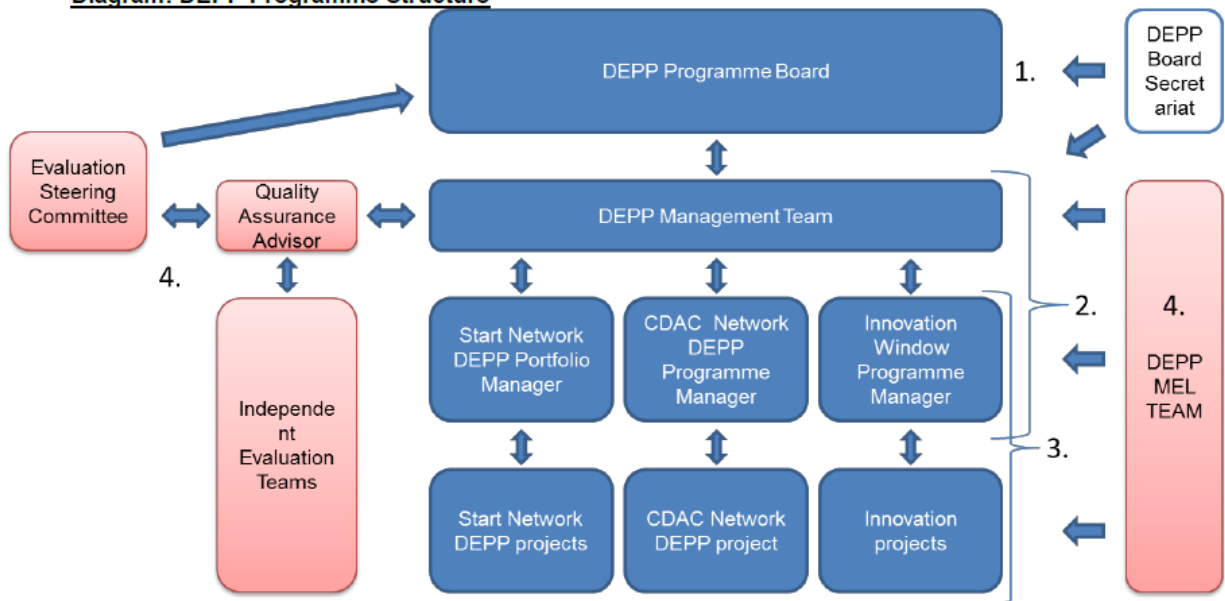
¹¹⁴ The 5 RLA's will be recruited using one of three proposed approaches; (a) via nominations of MEL experts to be seconded to DEPP from within Start and CDAC-N member agencies in DEPP focal countries; (b) via an open recruitment process; (c) via a tender of national NGOs, thinktanks, research institutes etc in DEPP focal countries.

The Team will itself become a community of practitioners tasked explicitly with learning about what does and does not work in capacity development through the experience of the DEPP programme.

Annex 3: DEPP Management Structure

A number of governance bodies and stakeholders are involved in delivering the DEPP, from the strategic level to implementation. The MEL framework for the programme involves most of these stakeholders in some way and also includes a MEL team. To avoid duplication of efforts or confusion, this document aims to clarify the accountability lines within the DEPP as they relate to the MEL framework and MEL team.

Diagram: DEPP Programme Structure



1. *Strategy and Governance* – DEPP Programme Board
2. *Management* – DEPP Management Team; Start Network DEPP Portfolio Manager, CDAC Network Programme Manager, Innovation Window Programme Manager (TBD)
3. *Implementation* – Start Network DEPP Projects, CDAC Network DEPP project, Innovation projects (TBD); Start Network DEPP Programme Portfolio, CDAC Network DEPP Programme, Innovation Projects
4. *Advisory and Service Provision (in red)* – Evaluation Steering Committee; Quality Assurance Advisor; Independent Evaluation Teams; DEPP MEL Team

Description: Accountability lines

The DEPP Programme is implemented through a series of consortia projects in the Start Network, CDAC Network and through the Innovation Window (TBD). Each of these implementing projects report to a central manager within each Network who in turn report to the DEPP Management Team. The DEPP Management Team is accountable in turn both to the Board and to the Evaluation Steering Committee (for implementing the evaluation management response).

To maintain independence, the evaluation teams are accountable to the Senior Programme Quality Assurance Advisor, who supports the Evaluation Steering Committee. The Evaluation Steering Committee is responsible for supporting a robust and credible evaluation of the DEPP programme and overseeing the evaluation management response implemented by the DEPP Management Team. It in turn is accountable to the DEPP Programme Board.

The MEL framework outlines a MEL service to the DEPP that is responsible for connecting the various accountability lines at different layers to avoid silos and leverage the collective learning of the whole programme. As such, the MEL Team provides cross-cutting interconnectedness as partnership brokers for learning but is not integrated into the project level accountability lines. Rather, the MEL Team is led by the MEL Manager, who is accountable to the DEPP Management Team, which in turn is responsible for the programme delivery as described above.

Annex 4: Literature review: Strategic research into national and local capacity building for disaster risk management risk management (conducted by OPM)

To access the Literature Review, please see the link below:

<http://r4d.dfid.gov.uk/Output/199905/>

Annex 5: DEPP Business Case

To access the business case, please see the link below:

<http://devtracker.dfid.gov.uk/projects/GB-1-203044/documents/>

Annex 6: DEPP Projects and Diagram

Project 1 Title: Strengthening capacity of humanitarian actors to deliver age and disability inclusive response	
Countries of operation	Two countries from Kenya, Pakistan or Democratic Republic of Congo
Lead Agency	HelpAge International
Consortium members	HelpAge International, Handicap International, RedR UK, CBM International and Disaster ready
Implementing / Technical/ Interested Partners	NDMA-Pakistan, Austrian Red Cross, IFRC, Tearfund, Christian Aid, IRC, Islamic Relief, World Vision, GenCap, WRC and UNHCR
Beneficiaries	Older people and persons with disabilities
Duration	3 years
Dfid Contribution (to Start Network)	£1,043,673

Project 2 Title: Shifting the power through developing the capacity of local organisations	
Countries of operation	Bangladesh, DRC, Kenya, Pakistan and Ethiopia
Lead Agency	Action Aid and CAFOD
Consortium members	Tearfund, Cristian Aid, Concern, Oxfam
Implementing / Technical/ Interested Partners	xxx
Beneficiaries	Local (humanitarian) organisations
Duration	3 years
DfID Contribution (to Start Network)	£4,876,636

Project 3 Title: Talent development: Building national and regional capacity in the humanitarian sector	
Countries of operation	Three regions to be selected from the following West Africa (DRC), East Africa (Ethiopia and Kenya), the Middle East, Bangladesh and Pakistan

Lead Agency	Save the Children UK
Consortium members	Oxfam, Relief International, People in Aid
Implementing / Technical/ Interested Partners	n/a
Beneficiaries	National humanitarian workers
Duration	3 years
DfID Contribution (to Start Network)	£5,811,124

Project 4 Title: Transforming surge capacity	
Countries of operation	Pakistan and Philippines (with a regional hub in Thailand- Bangkok)
Lead Agency	Action Aid
Consortium members	ACF, Cristian Aid, CAFOD, Care, International Medical Corps, Islamic relief, Muslim Aid, Plan, Save the Children and Tearfund
Implementing / Technical/ Interested Partners	Communicating with Disaster Affected Communities Network (CDAC-N) People in Aid
Beneficiaries	xxx
Duration	3 years
DfID Contribution (to Start Network)	£2,482,824

Project 5 Title: Protection in Practice: Building National Capacity for Protection Response and Coordination	
Countries of operation	tbc
Lead Agency	Oxfam GB
Consortium members	Oxfam, IRC and World Vision International
Implementing / Technical/ Interested Partners	n/a
Beneficiaries	National humanitarian organisations
Duration	3 years
DfID Contribution (to Start Network)	£804,000

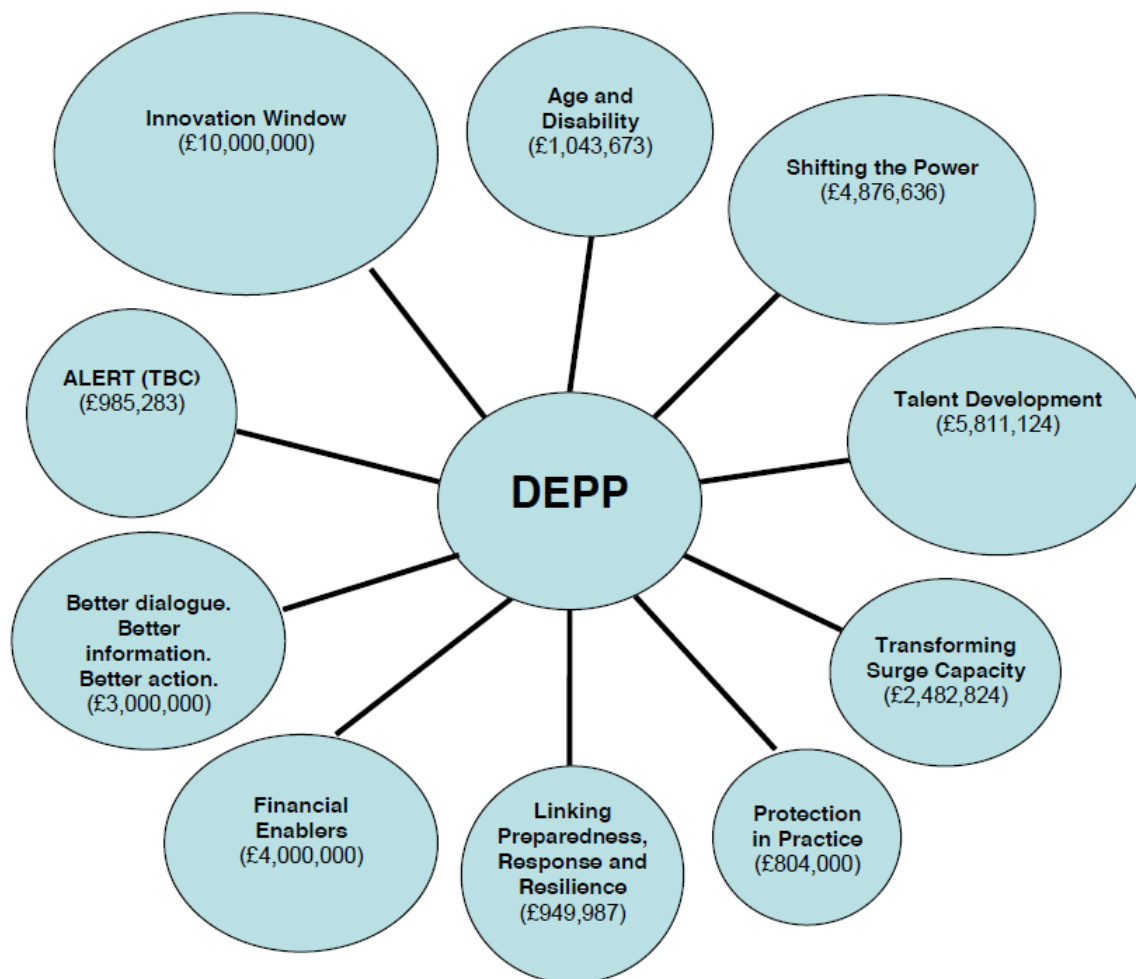
Project 6 Title: Linking Preparedness, Response and Resilience in Emergency Contexts	
Countries of operation	Bangladesh, Kenya, DRC, Pakistan, Philippines
Lead Agency	Christian Agency
Consortium members	Action Aid, CAFOD, Concern, Help Age, King's College London, Muslim Aid, Oxfam, Safer World, World Vision
Implementing / Technical/ Interested Partners	n/a
Beneficiaries	Local communities and humanitarian agencies
Duration	3 years
DfID Contribution (to Start Network)	£949,987

Project 7 Title: Financial Enablers	
Countries of operation	TBC- disaster prone countries
Lead Agency	Oxfam GB
Consortium members	Christian Aid, Tearfund
Implementing / Technical/ Interested Partners	n/a
Beneficiaries	xxx
Duration	3 years
DfID Contribution (to Start Network)	£4,000,000 Direct Costs (£3,577,000 Project costs) Indirect Costs (£423,000 Staff, benefits, equipment)

Project 8 Title: ALERT: Preparing to respond now (TBC)	
Countries of operation	Six regions - East/Central Africa; Middle East; South America; South-East Asia and Asia through country office/partners “opt-in” approach in 12 countries
Lead Agency	HelpAge
Consortium members	Oxfam, CARE, Islamic Relief, Handicap and Concern
Implementing / Technical/ Interested Partners	n/a
Beneficiaries	xxx
Duration	3 years
DfID Contribution (to Start Network)	£985,283 £710,371 Direct Costs £274,912 Indirect Costs

Project 9 Title: Strengthening information sharing and two-way communication preparedness capacity for better dialogue, better information and better action (TBC)	
Countries of operation	Bangladesh and South Sudan
Lead Agency	World Vision UK
Consortium members	ActionAid; BBC Media Action; DAHLIA; the ICRC; IOM; International Media Support (IMS); Internews Europe; Merlin; UNFPA; UNHCR; UNOCHA; Plan UK; Save the Children; Thomson Reuters Foundation; Translators without Borders; UNICEF; United Methodist Communications; WFP; and World Vision International
Implementing / Technical/ Interested Partners	FdL Development; FilmAid; First Response Radio; Freeplay Energy; Frontline SMS; Ground Truth; HFCC-International Broadcasting Delivery and PECOJON
Beneficiaries	xxx
Duration	3.5 years
Starting Date	01 April 2014
Ending Date	30 September 2017
DfID Contribution (to CDAC Network)	£3,000,000

Diagram. DEPP Programme Framework and Related Projects



Annex 7: Evaluation Steering Committee TORs

Evaluation Steering Committee

Terms of Reference

05.12.2014

Programme Background

The Disasters and Emergencies Preparedness Programme (DEPP) is a three year £40m capacity development programme funded by the Department for International Development (DFID), and

delivered by two NGO consortia¹¹⁵, the Start Network¹¹⁶ and CDAC (Communicating with Disaster-affected Communities)¹¹⁷.

The programme objectives are:

- To contribute to improved knowledge and understanding of individuals by sharing best practice for humanitarian preparedness and response.
- To develop coalitions, partnerships and networks which are able to work together to address humanitarian needs in a wide range of emergency situations.
- To improve institutional arrangements and policy environments so that national systems for humanitarian response and preparedness are better supported and more sustainable.
- To improve preparedness systems for early action with communities at risk of disasters.
- To strengthen the evidence base for what works to help build humanitarian capacity at scale, by scaling up tested innovations.

The DEPP programme serves as umbrella framework to 9 projects:

- **Age and Disability** (£1,043,673)
- **Shifting the Power** (£4,876,636)
- **Talent Development** (£5,811,124)
- **Transforming Surge Capacity** (£2,482,824)
- **Protection in Practice** (£804,000)
- **Linking Preparedness, Response and Resilience** (£949,987)
- **Financial Enablers** (£4,000,000)
- **Better dialogue. Better information. Better action.** (£3,000,000)
- **TBC: ALERT** (£985,283)
- **Innovation window** (£10,000,000)

The Evaluation Process

There will be four specific reports (not including the flexible evaluation products), one for each phase of the evaluation:

- Inception phase (1 to 4 months) – *Inception report* (after 4 months)
- Formative phase (5 to 16 months) – *Formative phase report* (after 16 months)
- Interim phase (17 to 28 months) – *Interim phase report* (after 28 months)
- Summative phase (29 to 35 months) – *Draft summative phase report* (after 33 months for finalisation after 35 months)

The evaluation will be structured around the following core elements:

¹¹⁵ There will also be an innovation window for new projects (TBD).

¹¹⁶ Members of the Start Network: ActionAid, Action Against Hunger, CAFOD, Care International, Concern Worldwide, Christian Aid, Concern Worldwide, Help Age International, International Medical Corps, International Rescue Committee, Islamic Relief, Muslim Aid, Oxfam, Plan International, Relief International UK, Save the Children, Tearfund, War Child, World Vision.

¹¹⁷ Members of the CDAC Network: ActionAid; BBC Media Action; DAHLIA; the ICRC; IOM; International Media Support (IMS); Internews Europe; Merlin; UNFPA; UNHCR; UNOCHA; Plan UK; Save the Children; Thomson Reuters Foundation; Translators without Borders; UNICEF; United Methodist Communications; WFP; and World Vision International.

- **Addressing the evaluation criteria and answering the evaluation questions:** Relevance, Design, Effectiveness and connectedness (including effectiveness of management arrangements), Efficiency and Value for Money (VfM), Sustainability (refer to 5 key questions in full ToRs)
- **Defining Lessons Learned:** What are the key lessons that can be learned from the programme implementation process?
- **Identifying Good Practices:** What are the good practices that can be replicated and/or up-scaled in future?
- **Defining Recommendations:** What are the recommendations the management needs to act upon to improve the programme implementation against the evaluation criteria (adaptive management)?

Objectives of the Steering Committee

- Support a robust and credible evaluation of the DEPP Programme;
- Oversee the evaluation management response.

Steering Committee Composition

The Steering Committee will comprise 6 people from the DEPP partnership (2), DFID (2) and external evaluation experts (2). In addition, the Senior Programme Quality Assurance Advisor will attend to provide updates on the evaluation process and collect inputs when required. At least two members of the Steering Committee will have evaluation expertise.

Steering Committee Meetings

The Evaluation Steering Committee will meet on a quarterly basis to discuss the evaluation process with ACF Senior Programme Quality Assurance Advisor. XXX will chair the meetings. The Senior Programme Quality Assurance Advisor will provide an agenda and briefing notes if necessary prior to each meeting.

Outputs

Steering Committee members will be asked to provide inputs on the following:

- Evaluation TORs
- Selection of Evaluation Team
- Inception Report
- Draft evaluation reports
- Evaluation presentation
- Evaluation Management Response Matrix

Annex 8: Evaluation Criteria and Questions

The evaluation team will be required to answer the evaluation questions. To answer the questions as credibly as possible, the evaluation team will identify what evidence are needed and define the most appropriate data collection tools in the inception report, building on the existing data being collected by the projects and the MEL framework to avoid duplication.

Relevance and effectiveness of the interventions

In what ways have DEPP capacity building programmes strengthened response capacity amongst participants?

- What delivery mechanisms have worked effectively and why?
- What difference does talent management make (a programme going to scale, but how strong was the proof of concept analysis and evidence)?
- What are the effects and unintended consequences of the capacity development for local organisations?
- To what extent is the DEPP programme complementing the Save the Children Humanitarian Leadership Academy (HLA)? Has the learning been shared?
- Assess the extent to which the DEPP has enhanced the scale of preparedness programmes by taking proven innovative approaches to scale

Effectiveness of management arrangements (in relation to connectedness)

A key theory underpinning the programme is that capacity development (eg technical transfer, behaviour and organisational change) is more effective when undertaken as a multi-agency collaborative approach. To what extent was this proven?

- Was the 'collaborative' approach of multi-stakeholder platforms an effective delivery mechanism?
- How was the mutual accountability between partners demonstrated?

Focus on coalitions, partnerships and connectedness – what can be said about the effects of strengthened networks?

- What have been the main patterns of collaboration, and the benefits and disadvantages of each?
- In what ways has mutual accountability been demonstrated, and what effects did this have?
- What change has occurred at an institutional level, and what has worked particularly well to bring it about?
- What is perceived (qualitative analysis) to be the most significant change, and why?
- Assess the contribution made by the relationships and 'multi-stakeholder platforms' to build coherence, collaboration and deepen cross-programme learning to link project design and delivery

Efficiency and Value for Money (VfM)¹¹⁸

How economically have resources/inputs (funds, expertise, time, etc.) been converted to results? To what extent does preparedness improve the efficiency of humanitarian response?

- Have resources (funds, human resources, time, expertise, etc.) been allocated strategically to achieve the programme objectives?
- Have resources been used efficiently? In general, do the results achieved justify the costs? Could the same results be attained with fewer resources?
- Have programme funds and activities been delivered in a timely manner?

Sustainability of the interventions and likelihood of impact of the programme

¹¹⁸ <http://betterevaluation.org/sites/default/files/Evaluating%20methods%20for%20assessing%20VfM%20-%20Farida%20Fleming.pdf>

To what extent and in what ways have the benefits of the programme (coalitions and partnerships, learning, competencies and technical skills) become embedded?

- Assess the contribution the programme has made in strengthening the local humanitarian workers at national level and national preparedness systems
- Examine whether prioritised target group (people with disabilities, older people) and gender aspects are taken into consideration regarding the sustainability of the programme results and assess whether actions have been taken to sensitize national and local institutions and target groups on these issues.

Relevance and validity of design

To what extent are the objectives of the programme intervention are consistent with stakeholders' requirements and the design logical and coherent?

- Has the programme targeted the right people in the right places?
- Which capacities are perceived to be the most important for effective humanitarian workers?
- To what extent does the programme design (theory of change) support the projects' design (logframe)?
- Has the DEPP and related projects identified any other constraints or opportunities that need to be accommodated in the design in order to increase the impact and relevance of the project?
- Was the programme design process participatory? If so, what were the role of the different stakeholders?
- To what extent was the programme design logical and coherent?
 - Were the objectives of the programme clear, realistic and likely to be achieved within the established time schedule and with the allocated resources (including human resources)?

Annex 9: Ethics Principles for Evaluation and Duty of Care

Ethics Principles for Evaluation

Note that these Ethics Principles have been adopted and adapted from DFID's Ethics Principles for Evaluation.

The responsibility for conduct of research and evaluation in line with these principles generally rests with the principal investigator.

1. Researchers and evaluators are responsible for identifying the need for and securing any necessary ethics approval for the study they are undertaking.
2. Research and evaluation must be relevant and high quality with clear developmental and practical value.
3. Researchers and evaluators should avoid harm to participants in studies.
4. Participation in research and evaluation should be voluntary and free from external pressure.
5. Researchers and evaluators should ensure confidentiality of information, privacy and anonymity of study participants.

6. Researchers and evaluators should operate in accordance with international human rights conventions and covenants to which the United Kingdom is a signatory, regardless of local country standards.
7. All research and evaluation should respect cultural sensitivities.
8. ACF-UK is committed to publication and communication of all evaluations and research studies.
9. Research and evaluation should be independent of those implementing the intervention or programme under study
10. All research and evaluation should have particular emphasis on ensuring participation from women and socially excluded groups

Bids for research and/or evaluation work should state that these ethics principles will be upheld.

Duty Of Care

The Supplier is responsible for the safety and well-being of their Personnel and Third Parties affected by their activities under this contract, including appropriate security arrangements. They will also be responsible for the provision of suitable security arrangements for their domestic and business property.

ACF-UK will share available information with the Supplier on security status and developments in-country where appropriate – all Supplier Personnel will be offered a security briefing. All such Personnel must register with their respective Embassies to ensure that they are included in emergency procedures.

The Supplier is responsible for ensuring appropriate safety and security briefings for all of their Personnel working under this contract and ensuring that their Personnel register and receive briefing as outlined above. Travel advice is also available on the FCO website and the Supplier must ensure they (and their Personnel) are up to date with the latest position.

This Procurement may require the Supplier to operate in conflict-affected areas. Travel to many zones within the region will be subject to travel clearance from the UK government in advance. The security situation is volatile and subject to change at short notice. The Supplier should be comfortable working in such an environment and should be capable of deploying to any areas required within the region in order to deliver the Contract (subject to travel clearance being granted).

The Supplier is responsible for ensuring that appropriate arrangements, processes and procedures are in place for their Personnel, taking into account the environment they will be working in and the level of risk involved in delivery of the Contract (such as working in dangerous, fragile and hostile environments etc). The Supplier must ensure their Personnel receive the required level of training and safety in the field training prior to deployment.

Tenderers must develop their Tender on the basis of being fully responsible for Duty of Care in line with the details provided above. They must confirm in their Tender that:

- They fully accept responsibility for Security and Duty of Care.
- They understand the potential risks and have the knowledge and experience to develop an effective risk plan.

- They have the capability to manage their Duty of Care responsibilities throughout the life of the contract.
- If you are unwilling or unable to accept responsibility for Security and Duty of Care as detailed above, your Tender will be viewed as non-compliant and excluded from further evaluation.
- Acceptance of responsibility must be supported with evidence of capability and ACF-UK reserves the right to clarify any aspect of this evidence. In providing evidence Tenderers should consider the following questions:
- They have completed an initial assessment of potential risks that demonstrates knowledge and understanding, and they are satisfied that they understand the risk management implications, not solely relying on information provided by ACF-UK
- They have prepared an outline plan that they consider appropriate to manage these risks at this stage (or will do so if awarded the contract) and are confident/comfortable that they can implement this effectively
- They have ensured or will ensure that their staff are appropriately trained (including specialist training where required) before they are deployed and will ensure that on-going training is provided where necessary
- They have an appropriate mechanism in place to monitor risk on a live / ongoing basis (or will put one in place if awarded the contract)
- They have ensured or will ensure that their staff are provided with and have access to suitable equipment and will ensure that this is reviewed and provided on an on-going basis

They have appropriate systems in place to manage an emergency / incident if one arises

ANNEX 5

EVALUATION CRITERIA AND QUESTIONS

Annex 5: Evaluation Criteria and Questions

The evaluation was designed based on five criteria which have been adapted from the Development Assistance Committee's (DAC) principles for Evaluating Development Assistance: relevance and fulfilment of objectives, efficiency, effectiveness, impact and sustainability¹¹⁹. The evaluation gathers data in order to answer the following five key evaluation questions and associated sub-questions. This report focuses primarily on evaluation questions one to four.

Evaluation Question #1: Relevance and Validity of Design

1. To what extent are the objectives of the programme intervention consistent with stakeholders' requirements and the programme design logical and coherent?

- a) Has the programme targeted the right people in the right places?
- b) To what extent does the programme design (theory of change) support the projects' design (log frame)?
- c) In what ways was the programme design process participatory? Were project beneficiaries adequately engaged before, during and after?
- d) To what extent was the programme design logical and coherent?
 - a. Were the objectives of the programme clear, realistic and likely to be achieved within the established time schedule and with the allocated resources (including human resources)?
- e) Have prioritised target groups (people with disabilities, older people) and gender aspects been taken into consideration in the program design?

Evaluation Question #2: Relevance and Effectiveness of the Interventions

2. In what ways have DEPP capacity building programmes strengthened preparedness and response capacity amongst participants?

- a) What delivery mechanisms are working effectively and why?
- b) To what extent is DEPP contributing to greater preparedness and response among local organisations and communities?
 - a. Has local capacity to respond to disasters changed since the start of DEPP? If yes, how has it changed? If not, why not.
 - b. Has DEPP led to improved knowledge and understanding of best practices relating to disaster and emergency preparedness and response? If yes, in what ways?

Evaluation Question #3: Effectiveness of Management Arrangements

¹¹⁹ The DAC Principles for the Evaluation of Development Assistance, OECD (1991), Glossary of Terms Used in Evaluation, in 'Methods and Procedures in Aid Evaluation', OECD (1986), and the Glossary of Evaluation and Results Based Management (RBM) Terms, OECD (2000).

3. To what extent was the programme's theory that capacity development is more effective when undertaken as a multi-agency collaborative approach proven?

- a) Is the 'collaborative' approach of multi-stakeholder platforms an effective delivery mechanism?
- b) Focusing on coalitions, partnerships and connectedness – what can be said about the effects of strengthened networks?
- c) What have been the main patterns of collaboration, and the benefits and disadvantages of informal vs. formal collaboration?
- d) What unique contribution did collaborative relationships and 'multi-stakeholder platforms' make toward deepening cross-programme learning?

Evaluation Question #4: Efficiency and Value for Money (VFM)

4. How economically have resources/ inputs (funds, expertise, time etc.) been converted to results? To what extent does preparedness improve the efficiency of humanitarian response?

- a) Have resources (funds, human resources, time, expertise, etc.) been allocated strategically to achieve the programme objectives?
- b) Have resources been used efficiently? In general, do the results achieved justify the costs? Could the same results be attained with fewer resources?
- c) Have programme funds and activities been delivered in a timely manner?

Evaluation Question #5: Sustainability of the Intervention and Likelihood of Impact of the Programme

5. To what extent and in what ways have the benefits of the programme become embedded?

- a) What contribution has the programme made in strengthening national preparedness systems?
- b) Has the programme taken into consideration prioritised target groups (people with disabilities, older people, women, children and youth)? What contribution has the programme made in strengthening inclusion of target groups and gender aspects at the level of national and local institutions?
- c) In what ways has DEPP influenced institutional and policy environments?
- d) What is perceived (qualitative analysis) to be the most significant change attributed to DEPP, and why?

ANNEX 6

DATA COLLECTION TOOLS

Annex 6: Data Collection Tools

FORMATIVE PHASE DATA COLLECTION TOOLS

T1: In-depth Interview Guide

In-depth Interview Questions

For use in: Qualitative data collection for minimum evaluation activities; Organisation level data collection

Staff and key stakeholders (DEPP)

Staff humanitarian organisations (non-DEPP)

To be completed by the interviewer:

Participant ID ____

Interviewer ID ____

Note taker ID ____

Date: ____ / ____ / ____ (DD/MM/YY)

To be completed by the interviewer:

Age of participant:	Organisation:	Country(ies) where you are currently working:
Role in organisation:	Length of time working for organisation:	Length of time working in humanitarian field:
Gender:	Participant nationality:	Participant language(s):
Highest Level of Education completed:		

Time interview / focus

group started:

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Time interview ended:

--	--	--	--

Background:	Questions
<p>Notes to interviewer: complete information above while asking these questions.</p>	<ul style="list-style-type: none"> • Interviewer to read: Thank you for agreeing to participate in this interview. The interview will take approximately 60-90 minutes of your time and will be audio-recorded. All information you provide will remain confidential and anonymous. You have the right to pause or terminate the interview at any time. Do you have any questions before we proceed? • All: First I will ask you some basic demographic information. You are free to decline to respond to any of the questions. • All: Briefly tell me about the role you play in the organisation? • All: How long have you worked for the organisation? • All: How long have you worked in the humanitarian field?
Evaluation Objective	Questions
<p>Objective 1: To improve knowledge and understanding of people in the system regarding best practice for humanitarian preparedness and response</p>	<ul style="list-style-type: none"> • Interviewer to read: Let's start by discussing capacity building as it relates to humanitarian preparedness and response. • For DEPP staff/stakeholders: In what ways have DEPP capacity building programmes affected humanitarian response capacity among DEPP organisational staff? Probe: Has there been any transfer of technical knowledge and if so please provide an example of transfer of technical knowledge. Please provide an example of behaviour change. Can you provide an example of organisational change? • DEPP staff/stakeholders: In what ways have DEPP capacity building programmes affected humanitarian response capacity among local organisations and staff? Probe: Has there been any transfer of technical knowledge and if so please provide an example of transfer of technical knowledge. Please provide an example of behaviour change. Can you provide an example of organisational change? • All: What delivery mechanisms have worked to improve knowledge and understanding of humanitarian preparedness and response and why? Probe: Please provide an example.

	<ul style="list-style-type: none"> • All: What challenges have you or your organisation encountered with the delivery of capacity building programmes? Probe: Please provide an example. How did you deal with this challenge? • All: What challenges have you or your organisation encountered with the maintenance (i.e. talent management) of capacity? Probe: Please provide an example. How did you deal with this challenge?
Objective 2: To increase the number of coalitions, networks and partnerships developed	<ul style="list-style-type: none"> • Interviewer to read: Next, I'd like to ask you some questions about collaboration. • All: Tell me how collaboration is related to humanitarian preparedness? Tell me how collaboration is related to humanitarian response? Probe: Please provide examples. • All: Describe to me how your organisation approached the development of networks, coalitions and partnerships? Probe: What have been the main patterns of collaboration that you have observed? • All: What has worked to strengthen networks, coalitions and partnerships? Probe: Can you give me an example? • All: What kinds of obstacles have you and your organisation encountered when building networks, coalitions and partnerships? Probe: Can you give me an example? • All: Can you tell me more about whether these partnerships, networks and coalitions have been mutually beneficial or not? Probe: Why or why not? Probe: How has trust been built? • All: What have been the outputs or products of successful partnerships, networks and coalitions? • All: Do you think that capacity development is more effective or less effective when undertaken as a multi-agency collaborative approach? Probe: Why or why not? • All: What are your thoughts about collaborating informally versus in a more formal way (such as within consortia)? Probe: Is one approach more effective than another? Why or why not? • What are your thoughts about collaborating with the government versus with INGOs versus with local NGOS? What are the benefits and challenges of collaborating with these different types of actors?
Objective 3: To improve institutional and policy environments for building humanitarian capacity.	<ul style="list-style-type: none"> • Interviewer to read: Next, I'd like to ask you questions about institutions and policies as they relate to building humanitarian capacity. • All: Has DEPP influenced the wider humanitarian system through evidence generation and sharing? How?
Objective 4: To improve preparedness systems for communities at risk of disaster.	<ul style="list-style-type: none"> • Interviewer to read: There has been increased attention on improving preparedness systems for communities at risk of disaster.

	<ul style="list-style-type: none"> • DEPP staff/stakeholders: In what ways have DEPP capacity building programmes strengthened preparedness systems for communities at risk of disaster? Probe: Please provide an example. • All: What obstacles have you or your organisation encountered in improving preparedness systems in general? At the community level? At the national level? Probe: Please give me an example.
Objective 5: Strengthened evidence base for what works to help build humanitarian capacity at scale	<p>Interviewer to read: Next, I'd like to ask you some questions related to strengthening the evidence base for what works to build humanitarian capacity at scale.</p> <ul style="list-style-type: none"> • All: Do you think it is important to strengthen evidence base for what works to build humanitarian capacity? Why is evidence needed in humanitarian preparedness and response? • All: Has your organisation integrate evidence into programming related to building humanitarian capacity? Can you give me an example?
Improving Organisational Preparedness and capacity to respond to disasters and emergencies	<p>Interviewer to read: Next I'd like to ask you some questions related to organisational preparedness to respond to disasters and crises</p> <ul style="list-style-type: none"> • All: What could be done to improve the organisation's level of preparedness? • All: What could be done to strengthen your organisation's ability to respond to a disaster or emergency in the next year? • All: How inclusive is your organisation's approach to preparedness and response of vulnerable groups such as women, children, people with disabilities and the elderly? Probe: give an example.
Contextual factors (socioeconomic, political, humanitarian setting, other non-DEPP programming in country / region)	<p>Interviewer to read: There are numerous contextual factors, such as the political environment, socioeconomic and/or cultural factors, specifics related to the humanitarian context, other programming, that influence your work. Next, I'd like to ask you some questions to better understand the context in which you are working.</p> <ul style="list-style-type: none"> • All: Can you briefly describe to me the context(s) in which you work? Probe: Are the targeted communities at risk of natural disaster, conflict, or both? • All: Can you describe how the sociocultural environment has or has not influenced how you and your organisation have approached humanitarian capacity building? Preparedness? • All: Can you tell me about how the political environment has or has not influenced how you and your organisation have approached humanitarian capacity building? • All: What is the most significant factor related to the context in which you work that has the greatest impact on your programming?

<p>Relevance and validity of program design</p>	<p>Introduction: To end the interview, I would like to ask you some questions that will allow you to reflect on the design and implementation of the DEPP.</p> <ul style="list-style-type: none"> • DEPP staff/stakeholders: To what extent has the DEPP targeted the right institution, right people in the right places? • DEPP staff/stakeholders: To what extent were the objectives of the DEPP clear? What about to the extent to which the objectives of DEPP are realistic and likely to be achieved within the established time line? • DEPP staff/stakeholders: To what extent were the resources of the DEPP sufficient (including human resources)? If not sufficient, please explain why not? What additional resources would have strengthened the DEPP? • DEPP staff/stakeholders: How effective has DEPP intervention implementation been thus far? Why? • DEPP staff/stakeholders: At this stage in the DEPP implementation, have you identified any opportunities that need to be addressed to increase the impact and relevance of the project? Have you identified any specific constraints that need to be addressed to increase the impact and relevance of the project? • DEPP staff/stakeholders: To date, what would you say is the most significant change that DEPP has achieved? • DEPP staff/stakeholders: To what extent have the needs of vulnerable groups such as women, children, people with disabilities and the elderly been considered in the design and implementation of the DEPP? • DEPP staff/stakeholders: To what extent is evidence and learning about the impact of DEPP being generated and shared? Who is this evidence being shared with?
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T1: Organisational Survey

BASELINE ORGANIZATIONAL LEVEL SURVEY

Identification Number: | | | | | | | | | |

1. What country is this?	Ethiopia Kenya South Sudan Myanmar Philippines Mozambique Sudan Jordan Bangladesh India United Kingdom United States Pakistan Democratic Republic of the Congo Other, specify
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Enumerator Information

2. Name and codes of enumerator	_____ _ _ _
3. Name and codes of the supervisor	_____ _ _ _

Identification

4.	District		_ _ _
5.	City/Village, name and code		_ _ _
6.	Name of respondent		
7.	Location of organization	1. [] Urban 2. [] Rural	

8.	Address of organization's primary office (write down names of road, alley, house number, country)	
9.	Organizational email address of respondent	
10.	Personal email address of respondent	
11.	Phone number of respondent	
12.	Organization website	

A. Demographics and General Information

Respondent information: <i>To begin, I would like to ask you some general background information</i>		
A1.	What is your age?	[] Years (18 as minimum age)
A2.	What is your gender?	[] Male [] Female
A3.	What is your nationality? (may select more than one)	Ethiopia Kenya South Sudan Myanmar Philippines Mozambique Sudan Jordan Bangladesh India United States Pakistan Democratic Republic of the Congo Other, please specify
A4.	What is your highest level of education completed?	None Primary incomplete Primary complete Middle incomplete Middle complete High School incomplete High School complete University complete University incomplete

		Vocational school Masters Degree Completed Advanced/Professional Degree Completed (MD, PhD) Other type of school
A5.	What type of organization do you currently work for?	International NGO International organization (eg, UN, IOM, World Bank, etc.) National NGO (has projects throughout the country) Local NGO (has projects in a specific locality or region within country) Academic institution Government Private sector Health facility Other, specify
A6.	What organization do you currently work for?	
A7.	What is your job category in this organization?	Operations/programs Senior management/executive Student Technical advisor Administration/finance Policy/advocacy Monitoring and Evaluation Research Other, specify
A8.	What is your job title in this organization	
A9.	At what level would you consider your job?	Entry Level Mid Level Senior Level Other, specify
A10.	In your current position, which of the following areas are you most engaged in as part of your job?	none Food security and livelihoods WaSH Health Shelter Education Child Protection Nutrition Generalist MEL Logistics Fundraising Awards Emergency telecommunications Surge Management Other, specify

A11.	Do you primarily work at the organization's headquarters, regional office, country office, local office?	Headquarters Regional Office Country Office Local Office Other, specify
A12.	Do you work for this organization on a fulltime or part time basis?	Full time Part time
A13.	How long have you worked at this organization?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years
A14.	How long have you been in your current position with this organization?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years
A15.	How long have you worked in the humanitarian sector?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years
Basic organization information: <i>Next, I would like to ask you some basic information about the organization where you currently work</i>		
A16.	What is the size of the organization or country office in [Country of survey]?	< 10 employees 10 – 100 employees 100-1,000 employees >1000 employees
A17.	Where is the organization's country office located?	Regions
A18.	Does your organization/country office have a policy about inclusion	Yes No

	of vulnerable groups such as women, children, people with disabilities, the elderly?	I don't know
EXPOSURE TO DEPP: Notes: Assess whether organization is a DEPP implementing organization, DEPP consortium member or DEPP beneficiary and whether respondent directly works on one of DEPP projects		
A19.	Is your organization part of any of the following networks?	START Network CDAC DEPP Not part of any of the above networks I don't know
A20.	In your role are you formally employed by any of the following projects?	ADCAP Shifting the Power CDAC Financial Enablers Urban Early Warning, Early Action Alert Transforming Surge Capacity Talent Development LPRR Public Health Preparedness in Gambella Shifting Emergency Preparedness Systems in Myanmar Protection in Practice Improved Early Warning, Early Action - ETHIOPIA My organization is not receiving any resources or support from these projects I don't know
A21.	Is your organization implementing any of the following projects?	ADCAP Shifting the Power CDAC Financial Enablers Urban Early Warning, Early Action Alert Transforming Surge Capacity Talent Development LPRR Public Health Preparedness in Gambella Shifting Emergency Preparedness Systems in Myanmar Protection in Practice Improved Early Warning, Early Action - ETHIOPIA No my organization is not implementing any of these projects I don't know
A22.	Is your organization receiving any resources, trainings, capacity building activities or other support from any of these projects?	ADCAP Shifting the Power CDAC Financial Enablers Urban Early Warning, Early Action

		Alert Transforming Surge Capacity Talent Development LPRR Public Health Preparedness in Gambella Shifting Emergency Preparedness Systems in Myanmar Protection in Practice Improved Early Warning, Early Action - ETHIOPIA My organization is not receiving any resources or support from these projects I don't know
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B. Preparedness Level of Organization

Preparedness Activities of Organization: <i>The following questions are focused on your organization's preparedness activities for humanitarian disasters and emergencies</i> Notes: (including type, level of action, geographic scope, perceptions on how well each one works, inclusion of vulnerable groups)		
B1.	What type of preparedness activities has your organization been involved in during the last year?	Hazard / Risk Analysis & Early Warning Contingency / preparedness & response training Training and exercises Information management & communication Capacity analysis and capacity building Institutional and legislative frameworks Coordination None Other, specify
B2.	In general, what is the geographic scope of your organization's preparedness activities?	Regions, choices dependent on country selection
B3.	In what sectors/areas do your organization's preparedness activities focus on? (may select more than one)	none Food security and livelihoods WaSH Health Shelter Education Child Protection Nutrition Generalist MEL Logistics Fundraising Awards Emergency telecommunications Surge Management

		Other, specify
B4.	How would you rate the appropriateness (of these preparedness activities?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate
B5.	How would you rate the effectiveness of these preparedness activities?	Very ineffective Ineffective Somewhat Effective Effective Very Effective
B6.	<p>Were members of any of the following groups involved in the design and implementation of the preparedness activities/programming?</p> <p>a) Women b) Children c) People with disabilities d) Elderly persons e) Other</p>	<p>Yes No I don't know</p>
Perceptions on organization's level of preparedness: Next, I would like to ask you some questions about your perceptions on the organization's (in-country) level of preparedness for disasters and emergencies.		
B7.	How would you rate your organization's overall level of preparedness to respond to disasters and emergencies?	<p>Not prepared at all A little prepared Moderately prepared Very prepared Extremely prepared</p>
B8.	Why would you rate it at this level?	
B9.	What could be done to improve the organization's level of preparedness?	
Risk and Hazard Analysis: Next, I would like to ask you about how your in-country organization conducts risk and hazard analysis in relation to disasters and emergencies.		
B10.	Does your organization (in-country) currently analyze hazards as part of your preparedness process?	<p>Yes No I don't know</p>
B11.	Is risk analysis part of your preparedness process?	<p>Yes No I don't know</p>

Minimum preparedness activities: <i>Next, I would like to ask you about your in-country organization's minimum preparedness activities.</i>		
B12.	Does your organization (in-country) have an emergency preparedness plan (EPP) to respond to disasters and emergencies?	Yes No I don't know
B13.	Does your organization (in-country) have a system to measure its preparedness for an emergency response?	Yes Being carried out now Planned for the future No I don't know
B14.	How does (or will) your organization (in-country) assess its level of emergency preparedness? (check all that apply)	Online platform ALERT A checklist A dashboard Annual Report Other, specify
B15.	What is (or will be) being measured by this system? (may select more than one response)	Timeliness of preparedness activities Effectiveness of preparedness activities Performance in core priority sectors/clusters Appropriateness/relevance of preparedness activities Quality and accountability Staff capacity Other, specify
B16.	Does your organization (in-country) have an Emergency Response Team (ERT)?	Yes No I don't know

C. Capacity to Respond

Response Activities of Organization: <i>Next, I would like to ask you about your in-country organization's activities related to disaster and emergency response.</i> Notes: including type, level of action, geographic scope, perceptions on how well each one works, inclusion of vulnerable groups)		
	What type of disaster and emergency response activities has your organization (in-country) been involved in in the last year?	none Food security and livelihoods WaSH Health Shelter Education Child Protection Nutrition Generalist MEL Logistics Fundraising

		Awards Emergency telecommunications Surge Management Other, specify
C2.	How would you rate <u>the appropriateness</u> of these response activities?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate
C3.	How would you rate the <u>effectiveness</u> of these response activities?	Very ineffective Ineffective Somewhat Effective Effective Very Effective
C4.	Were members of any of the following groups involved <u>in the design</u> and implementation of the activities/programming? a) Women b) Children c) People with disabilities d) Elderly persons e) Other	Yes No I don't know
C5.	Does your organization (in-country) have a system to measure its performance during an emergency response?	Yes Being carried out now Planned for the future No I don't know
C6.	If yes (if answered 1, 2 or 3) to previous question: What is (or will be) being measured by this system?	Timeliness of response Effectiveness of response Performance in core priority sector-clusters Appropriateness of response Quality and Accountability Staff capacity Other, specify
C7.	Did your organization respond to a disaster or emergency in the last 1 year in [country of survey]?	Yes No I don't know
C8.	What types of disasters or emergencies did your organization respond to in the last year in [country of survey]? [Select all that apply]	Landslides Flooding Typhoons Drought

		Storm surge Volcanic eruptions Earthquakes Infectious Disease Epidemic War/violence/conflict Displacement Mass Exposure to Toxin/Chemical Monsoon NONE Other, specify
C9.	Within what period of time following the disaster or emergency, did your organization respond?	< 24 hours 1 week 2-4 weeks 1-3 months 3-6 months > 6 months
C10.	How would you rate your organization's <u>overall response</u> to the disaster?	Poor Fair Good Very good Excellent
C11.	Why would you rate it at that level?	
C12.	How would you rate <u>the appropriateness</u> of your organizations' response to the disaster?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate
C13.	How would you rate <u>the timeliness</u> of your organizations' response to the disaster?	Very untimely Untimely Somewhat timely Timely Very timely
C14.	How would you rate <u>the effectiveness</u> of your organizations' response to the disaster?	Very ineffective Ineffective Somewhat Effective Effective Very Effective
C15.	Did your organization collaborate with other agencies in this response?	Yes No I don't know

C16.	Which types of agencies did your organization collaborate with in responding to the disaster or emergency?	International NGO International organization (eg, UN, IOM, World Bank, etc.) National NGO (has projects throughout the country) Local NGO (has projects in a specific locality or region within country) Academic institution Government Private sector Health facility Other, specify
C17.	Why did your organization collaborate with other agencies in this response?	We are under contract to collaborate with this organization Our organization lacked critical resources Our organization lacked capacity to respond independently Other agencies asked our organization to collaborate Our organization felt that we could deliver a more effective response through collaboration Our organization lacked expertise in a specific area (such as local knowledge, M-E etc) I don't know Other, specify
C18.	If no, why did your organization not collaborate with other agencies in this response ?	We have sufficient resources Other organizations do not have the capacity to respond We do not have a contract with another organization for this Collaborating during a response is not usual practice Our organization felt we could deliver a more effective response by working independently Our organization has the specific expertise needed to implement this response I don't know Other, specify
C19.	How would you rate your organization's ability to respond to a similar disaster or emergency in the future in [country of survey]?	Poor Fair Good Very good Excellent
C20.	Why would you rate it at that level?	
C21.	What could be done to improve your organization's ability to respond to a disaster or emergency in the future in [country of survey]?	Increase staff capacity Collaborate with other organizations Hold more training exercises Receive more resources

	DO NOT READ OPTIONS	Improve organizational preparedness Improve organizational policies Change organizational management structure Other, specify
C22.	Has your organization carried out a systematic assessment of the emergency response capacity within the organization (in-country) within the past 12 months?	Yes Being carried out now Planned for the future No I don't know
C23.	Which of the following approaches did your organization use to assess staff capacity to respond to emergencies or disasters in country of survey, within the past 1 year?	Self Assessments Interviews / surveys Trainings (coaching) Drills / Simulations No formal approach I don't know Other, specify
C24.	Have any activities to build capacity (in-country) around disaster and emergency response been conducted within your organization in the last 12 months?	Yes No I don't know
C25.	If yes, what type of organizational capacity building activities around disaster and emergency response and preparedness have been conducted in the last 12 months?	Classroom based short lectures (1-2 hour session) Hands-on training and workshops (1-2 days) Longer in person training Written materials Online learning and online simulations In person simulations/drills Combination of in person and online training Job placement/ internship Other, specify
C26.	How many capacity building activities (trainings/drills/simulations etc) in the last 12 months were conducted for your in-country organizational staff	
C27.	How many did you personally participate in over the past year?	
C28.	In your view, what is the most effective approach to building individual staff capacity around emergency and disaster response and preparedness?	Organizational Leadership Increased trainings Collaboration with other organizations Hands-on experience Mentoring within the organization Simulations/Drills

		Other, specify
C29.	In your view, what is the most effective approach to building organizational capacity around emergency and disaster response and preparedness?	Organizational leadership Changing organizational policy/practice Improved management of human resources Increased trainings Collaboration with other organizations Hands-on experience Mentoring within the organization Increased funding Increased resources Increased individual staff capacity Simulations/drills Other, specify
C30.	Have any of the staff from your country office participated in courses, training or other forms of staff development designed to improve <u>their humanitarian leadership skills</u> in the last 1 year?	Yes No Don't know
C31.	If yes, who implemented this training?	
C32.	Have any of the staff from your country office participated from courses, training or other forms of staff development designed to improve <u>the core humanitarian skills</u> of local staff in key positions in the last 1 year?	Yes No I don't know
C33.	If yes, who implemented this training?	

D. Institutional environment

<p>Perceptions around institutional environment: <i>Next, I would like to ask you about your perception of the institutional and policy environment within your organization and country as it relates to disaster and emergency preparedness and humanitarian capacity building. [Add to this prompt a reminder that the survey is completely confidential, only anonymous results will be published, etc]</i></p> <p>Notes: what does it look like, what factors influence it, how does it compare to one year ago (because in follow up will ask the same thing to compare to "baseline"); is it supportive of national partners? Funding mechanisms?</p>		
D1.	In your opinion, how conducive is the institutional and policy environment within [country of survey] in relation to building humanitarian capacity to prepare for and/or respond to disasters and emergencies?	Not at all conducive Not conducive Somewhat conducive Conductive Very conducive
D2.	Compared to one year ago how has the institutional and policy environment for building humanitarian capacity to prepare for and/or respond to humanitarian disaster	Strengthened significantly Slightly strengthened No change Slightly worse

	and/or emergencies changed In your country?	Significantly worse Don't know
D3.	If you work in a country office of an international organization or national/local NGO, how would you rate your country office's ability to influence the institutional and policy environment [within country of survey], on a scale of 1-5?	No voice or influence Minimal influence Some influence Significant influence Strong influence, seen as equal partner
D4.	On a scale of 1-5, how would you rate <u>your ability</u> to influence the institutional and policy environment <u>within your organization?</u>	No voice or influence Minimal influence Some influence Significant influence Strong influence, seen as equal partner
Perceptions around policy and government: <i>Next, I would like to ask you about your perceptions on policy and government related to capacity to prepare for and respond to disaster and emergencies)?</i>		
D5.	On a scale of 1-5, how well is your organization or country office able to influence government policies related to national preparedness systems [in country of survey]?	No voice or influence Minimal influence Some influence Significant influence Strong influence, seen as equal partner
D6.	Which of the following best describes your organization's current practice with respect to government disaster management plans?	Staff are not aware of local or national government disaster management plans (where a plan exists) Staff design programs to support the plan (where a plan exists) Staff work to influence/revise government disaster management plans. Don't know No government disaster management plan exists
Perceptions around INGOs vs NGOs vs Government: <i>Next, I would like to ask you about your perceptions of the roles of international NGOs, local/national NGOs and governments in relation to humanitarian capacity to prepare for and respond to disasters and emergencies.</i> Notes: which are more effective, which should be making decisions/leading response, barriers in working with other types of organizations (ie if respondent is in a national org, what are the challenges in working with INGO)		
D7.	How effective do you believe the following type of institution are in preparing for and responding to disasters in country: a) National NGOS b) Local NGOs c) The Government d) The Private Sector e) The UN	Very ineffective Ineffective Somewhat Effective Effective Very Effective
D8.	For INGOs: On a scale of 1 to 5, how inclusive is your organization's policy / approach to working with local / national NGOs?	Very exclusive Exclusive Somewhat Inclusive Inclusive Very inclusive

D9.	For INGOs: Has there been any change in your organization's policy/approach to working with local or national NGOs in the last 1 year?	More Inclusive Less Inclusive No change I don't know
D10.	For INGOs: Do you feel that your organization has more, the same or fewer partnerships with national/local NGOs than one year ago?	More The Same Fewer I don't know
D11.	For national/local NGOs: Do you feel that your organization has more, the same or fewer partnerships with INGOs than one year ago?	More The Same Fewer I don't know
D12.	For BOTH: In your opinion, in the country in which you are working, how would you describe the current relationship between local/national NGOs and INGOs?	Good – relationships between L/NGOs and INGOs lead to effective humanitarian response Fair – good relationships but room for improvements Poor – weaknesses in relations may limit the effectiveness of humanitarian response Don't know Other, specify
D13.	On a scale of 1-5, do you agree or disagree with the following statements (where 1=Strongly disagree, 2=Disagree, 3=Neither agree nor disagree, 4=Agree, 5=Strongly agree): a) Local/national NGOS do not currently have the technical capacity to play a greater role in the humanitarian system in this country b) Most local/national NGOs we partner with do not have the governance structures and leadership capacity to play a bigger role in humanitarian response c) INGOs working in this country tend to treat national partners more as subcontractors than as real partners d) Local/national NGOs should have more power compared to other actors than they do at present	1 2 3 4 5
D14.	Does your organization have a mechanism in place for increasing surge capacity during a disaster?	Yes No I don't know

D15.	If so, what is this mechanism? (i.e emergency funding, emergency roster, agreements, networks / platforms?)	
D16.	Which of these entities have been involved in the planning and development of surge mechanisms within your organization? Check all that apply.	International NGO International organization (eg, UN, IOM, World Bank, etc.) National NGO (has projects throughout the country) Local NGO (has projects in a specific locality or region within country) Academic institution Government Private sector Health facility Other, specify

E. Collaboration, Networks and Consortium

Network Survey: <i>Next, I would like to ask you about organizations that you collaborate with, to better understand what type of collaborations, you are participating in, and to be able to map how organizations are working together within the humanitarian sector in this country. As part of this section I will ask you to list organizations you are collaborating with and to also provide contact names and details. This information will be kept strictly confidential, and won't be shared with anyone. The purpose of collecting this information is to enable us to invite the organizations you collaborate with to also participate in the research study if they are interested.</i>		
E1.	Please indicate what your organization / program / department contributes, or can potentially contribute, to other local, national or international organizations.	Advocacy Agriculture Expertise Climate Change and Adaptation Community Capacity Building Community Connections Community Planning Community-Based Risk Analysis Conflict Mitigation Expertise Data Resources including data sets, collection and analysis Early Warning Systems Expertise Education Facilitation Funding Gender-based violence Health/Public Health Expertise In-Kind Resources (e.g., meeting space) Journalism/Media Leadership Local Expertise Logistics Management MEL Expertise Policy

		Project Design Project Implementation Proposal Writing Research TA Technology/web resources (e.g. server space, web site development, social media) Volunteers and Volunteer staff Vulnerable Groups WaSH Other, specify
E2.	Have you/your organization collaborated with any organizations in the past 6 months on preparedness and/or response to disasters and emergencies?	Yes No I don't know
E3.	Select the names of organizations you have collaborated with in the past 6 months. This may include: securing financial resources, new skills development and training, shared implementation responsibility or new knowledge acquisition.	
E4.	What is the name of the primary contact person whom you collaborate with at the organization?	
E5.	What is the email address of the primary contact person whom you collaborate with at the organization?	
E6.	What is the phone number of the primary contact person whom you collaborate with at the organization?	
E7.	What is the website for the organization?	
E8.	What is the address of the organization?	
E9.	How would you characterize the nature of your collaboration with the organization around issues relating to humanitarian response and preparedness?	My organization goes to this organization mainly for information sharing and communication My organization partners informally with this organization My organization has a formal contractual relationship with this organization Other, specify
E10.	Which of the following best describes your collaboration with the organization?	My organization entered into this collaboration because we share mutual interests with the other member(s) of the partnership or consortium My organization was required to enter into this collaboration in order to receive funding for one or more projects Other, specify

E11.	Please specify the ways in which you have collaborated with organization in the past 6 months around issues related to humanitarian response and preparedness	Advocacy Agriculture Expertise Climate Change and Adaptation Community Capacity Building Community Connections Community Planning Community-Based Risk Analysis Conflict Mitigation Expertise Data Resources including data sets, collection and analysis Early Warning Systems Expertise Education Facilitation Funding Gender-based violence Health/Public Health Expertise In-Kind Resources (e.g., meeting space) Journalism/Media Leadership Local Expertise Logistics Management MEL Expertise Policy Project Design Project Implementation Proposal Writing Research TA Technology/web resources (e.g. server space, web site development, social media) Volunteers and Volunteer staff Vulnerable Groups WaSH Other, specify
E12.	Please indicate the frequency with which you have engaged with the organization for work related to humanitarian response and preparedness/	Rarely (1-2 times in the past 6 months) Occasionally (3-4 times in the past 6 months) Often (5 or more times in the past 6 months)
E13.	How long have you been collaborating with the organization?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years

E14.	How likely is it that you would recommend organization to a colleague for work related to humanitarian response and preparedness?	1 (not at all likely) 2 3 4 5 (fairly likely) 6 7 8 9 10 (extremely likely)
E15.	Has there been any concrete output of this collaboration with the organization?	Yes No I don't know
E16.	If yes, what were the outputs of this collaboration?	There have been no concrete outputs of this collaboration Coordination of programs Report Proposal to seek funding for new project Implementation of a new joint Project The development of a new focus area within the organization A change in the overall mission and vision of the organization This collaboration paved the way for future collaborations A change in the beliefs, values, customs, attitudes and norms of the organization New ideas for the operation and service delivery of the organization A change in the rules and internal guidelines of the organization Adoption of new technologies to support the organizations objectives A change in how the organization organizes and mobilizes its staff in the event of an emergency Other, specify
Perceptions & activities related to collaborations, networks and consortia: <i>Next, I would like to ask you about your perceptions on collaborations, consortia and networks and related activities.</i>		
E17.	In general, how collaborative do you feel the decision-making process is <u>during preparedness activities</u> in the country in of the survey?	No collaboration; decisions are made alone/independently A little collaboration occurs between certain organizations during the decision-making process Somewhat collaborative Moderate collaboration occurs during decision-making Very strongly collaborative- decisions are made with input and involvement of many actors including local/national NGOs
E18.	In general, how collaborative do you feel the decision-making process is <u>during response activities</u> in the country of the survey?	No collaboration; decisions are made alone/independently A little collaboration occurs between certain organizations during the decision-making process Somewhat collaborative Moderate collaboration occurs during decision-making Very strongly collaborative- decisions are made with input and involvement of many actors including local/national NGOs

E19.	In the event of a disaster, are there other organizations you will look to collaborate with in regard to humanitarian response?	Yes No I don't know
E20.	If yes, what type of organization do you look to collaborate with in regard to humanitarian response?	International NGO International organization (eg, UN, IOM, World Bank, etc.) National NGO (has projects throughout the country) Local NGO (has projects in a specific locality or region within country) Academic institution Government Private sector Health facility Other, specify
E21.	Based on your experiences, what are the advantages of working with other organizations through informal collaborations compared to other types of collaborations? [tick all that are mentioned]	Exchange of ideas Sharing of resources Other organizations possess skills not available in my organization Improved networking Informal collaborations lead to formal collaborations The work becomes less of a burden I am able to learn from this collaboration Improvement of program design and delivery Improved the capacity of my organization Other projects and collaborations have been developed as a result of this one Able to access other sources of funding when applying as a consortium Program design and delivery is more effective Other projects and collaborations have been developed as a result of this one Able to access other sources of funding when applying as a consortium Program design and delivery is more effective Improved the capacity of my organization I don't have any experience in this Other, specify

E22.	<p>Based on your experiences, what are the challenges of working with other organizations <u>through informal collaborations</u>?</p> <p>[tick all that are mentioned]</p>	<p>Organizations are not willing to participate in exchange of ideas</p> <p>Intellectual property challenges</p> <p>Sharing of resources</p> <p>Unequal distribution of work</p> <p>The work becomes more of a burden</p> <p>I am not able to learn from this collaboration</p> <p>Informal collaborations are less of a priority compared to formal collaborations</p> <p>Too optimistic goals</p> <p>Unclear objectives</p> <p>Slow and cumbersome decision-making process</p> <p>Difficult to collaborate effectively when organizations have different policies and processes</p> <p>Setting up a collaboration is extremely time consuming</p> <p>It is not cost-effective to work in consortia</p> <p>Difficult to manage disagreements</p> <p>May take up a lot of time without yielding any concrete outputs</p> <p>I don't have any experience in this</p> <p>Other, specify</p>
E23.	<p>Based on your experiences, what are the advantages of working with other organizations through formal collaborations (i.e. formal <u>networks, consortia</u>)?</p> <p>[tick all that are mentioned]</p>	<p>Exchange of ideas</p> <p>Sharing of resources</p> <p>Other organizations possess skills not available in my organization</p> <p>Improved networking</p> <p>Informal collaborations lead to formal collaborations</p> <p>The work becomes less of a burden</p> <p>I am able to learn from this collaboration</p> <p>Improvement of program design and delivery</p> <p>Improved the capacity of my organization</p> <p>Other projects and collaborations have been developed as a result of this one</p> <p>Able to access other sources of funding when applying as a consortium</p> <p>Program design and delivery is more effective</p> <p>Other projects and collaborations have been developed as a result of this one</p> <p>Able to access other sources of funding when applying as a consortium</p> <p>Program design and delivery is more effective</p> <p>Improved the capacity of my organization</p> <p>I don't have any experience in this</p> <p>Other, specify</p>
E24.	<p>Based on your experiences, what are the challenges of working with other organizations through formal collaborations (i.e. formal <u>networks, consortia</u>)?</p> <p>[tick all that are mentioned]</p>	<p>Organizations are not willing to participate in exchange of ideas</p> <p>Intellectual property challenges</p> <p>Sharing of resources</p> <p>Unequal distribution of work</p> <p>The work becomes more of a burden</p> <p>I am not able to learn from this collaboration</p> <p>Informal collaborations are less of a priority compared to formal collaborations</p>

		<p>Too optimistic goals</p> <p>Unclear objectives</p> <p>Slow and cumbersome decision-making process</p> <p>Difficult to collaborate effectively when organizations have different policies and processes</p> <p>Setting up a collaboration is extremely time consuming</p> <p>It is not cost-effective to work in consortia</p> <p>Difficult to manage disagreements</p> <p>May take up a lot of time without yielding any concrete outputs</p> <p>I don't have any experience in this</p> <p>Other, specify</p>
Monitoring, Evaluation and Learning and Evidence: <i>Next, I would like to ask you questions about your organization's activities related to monitoring, evaluation and learning.</i>		
E25.	<p>On a scale of 1-5, how often does your organization (in country) carry out the following monitoring and learning approaches?</p> <p>(where 1=Never, 2=Rarely, 3=Occasionally, 4=Often, 5=Always)</p> <ul style="list-style-type: none"> a) Systematic needs assessments b) Routine monitoring and evaluation activities to report project progress to donors c) Rigorous evaluations (beyond routine monitoring and evaluation) to assess changes in outcomes and impact among beneficiaries d) Periodic program reviews in order to ensure learning within the organization e) Results are shared with beneficiaries f) Results are shared with other organizations g) Results are shared with decision makers 	<p>1</p> <p>2</p> <p>3</p> <p>4</p> <p>5</p>

F. Implementation of DEPP

ALL RESPONDENTS WILL ANSWER QUESTIONS F1-F4;		
F1.	Have you ever heard of the DFID funded Disasters and Emergencies Preparedness Programme (DEPP)?	<p>Yes</p> <p>No</p> <p>I don't know</p>
F2.	If yes, how?	
F3.	Are you, personally involved with the DEPP?	<p>Yes</p> <p>No</p>

		I don't know
F4.	If yes, how?	
FOR MEMBERS OF DEPP CONSORTIA LEADING DEPP PROJECTS		
F5.	How appropriate do you believe the DEPP approach of working through consortia is in your context?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate
F6.	How well is the DEPP consortium, that your organization is part of, functioning?	Not well at all Not well Somewhat well Well Very well I don't know
F7.	How relevant are the DEPP interventions for the country in which you are working?	Not at all relevant Irrelevant Somewhat Relevant Relevant Extremely relevant I don't know
F8.	How effective has DEPP intervention delivery been in the country in which you are working?	Very ineffective Ineffective Somewhat Effective Effective Very Effective I don't know
F9.	Describe one key success of the DEPP in your country so far.	Increased collaboration Increased organizational capacity Increased staff capacity Improved disaster preparedness Improved disaster response Improved learning Improved policy environment Improved evidence sharing I don't know Other, specify
F10.	Describe one key challenge with the DEPP in your country so far.	Retention of skills Beneficiary interest The DEPP activities are not relevant here Lack of resources to make the DEPP successful The DEPP lacks contextual understanding Lack of project leadership Lack of end-user participation Too optimistic goals Unclear objectives

		Slow and cumbersome decision-making process Resistance of beneficiaries Lack of government buy-in I don't know Other, specify
F11.	Have you participated in any learning events related to the DEPP?	Yes No I don't know
F12.	If yes, how many in total?	
F13.	Are you aware of any sharing of evidence from the DEPP a) within the project you are involved with b) across projects in your country c) across different DEPP countries d) with stakeholders outside of the DEPP	Yes No I don't know
F14.	Have you interacted with individuals involved with other DEPP projects in your country in the last 6 months?	Yes No I don't know
F15.	How many times have you interacted with these individuals in the last 6 months?	
F16.	Have you interacted with individuals involved with the DEPP Monitoring Evaluation and Learning (MEL) project team in the last 6 months?	Yes No I don't know
F17.	With whom have you interacted?	DEPP MEL Regional Learning Advisor (RLA) Other, specify
F18.	How many times have you interacted with this member of the DEPP MEL team in the last 6 months?	
F19.	How useful do you consider the MEL project to be in relation to your work?	Not useful at all Not useful Neither useful nor not useful Useful Very useful
F20.	Which of the following DEPP-related activities has your organization implemented <u>since the start of the DEPP program?</u>	capacity development programs developed and implemented Training early warning systems developed Preparedness training Preparedness activities Drills/simulations Evaluations Research Other, specify
FOR DEPP BENEFICIARIES		

Notes: (Organizations who may receive training / funding / support / benefit from DEPP)		
F21.	Has your organization received any funding through the DEPP programme?	Yes No I don't know
F22.	If yes, what was the grant for?	
F23.	If yes, what activities have been implemented with the funds?	capacity development programs developed and implemented Training early warning systems developed Preparedness training Preparedness activities Drills/simulations Evaluations Research Other, specify
F24.	Have you, personally, participated in any trainings through the DEPP programme?	Yes No I don't know
F25.	If yes, how many?	
F26.	Have you participated in any working groups through the DEPP programme?	Yes No I don't know
F27.	If yes, how many?	
F28.	How appropriate do you believe the DEPP approach of working through consortia is in your context?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate I don't know
F29.	On a scale of 1-5, how relevant are the DEPP interventions for the country in which you are working?	Not at all relevant Irrelevant Somewhat Relevant Relevant Extremely relevant I don't know
F30.	On a scale of 1-5, how effective has DEPP intervention delivery been in the country in which you are working?	Very ineffective Ineffective Somewhat Effective Effective Very Effective I don't know
F31.	Describe one key success of the DEPP in your country so far.	

F32.	Describe one key challenge with the DEPP in your country so far.	
F33.	Have you participated in any learning events related to the DEPP?	Yes No I don't know
F34.	How many in total?	
F35.	Are you aware of any sharing of evidence from the DEPP a) within the project you are involved with b) across projects in your country c) across different DEPP countries d) with stakeholders outside of the DEPP	Yes No I don't know
FOR THOSE NOT INVOLVED WITH DEPP BUT WHO HAVE HEARD ABOUT IT – ONLY ANSWER THE FOLLOWING:		
F36.	How appropriate do you believe the DEPP approach of working through consortia is in your context?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate I don't know
F37.	On a scale of 1-5, how relevant are the DEPP interventions for the country in which you are working?	Not at all relevant Irrelevant Somewhat Relevant Relevant Extremely relevant I don't know
F38.	On a scale of 1-5, how effective has DEPP intervention delivery been in the country in which you are working?	Very ineffective Ineffective Somewhat Effective Effective Very Effective I don't know
F39.	Have you participated in any learning events related to the DEPP?	Yes No I don't know
F40.	How many?	
F41.	Has any evidence from the DEPP been shared with you?	Yes No I don't know

G. Contextual Factors: *Next, I would like to ask you about how contextual factors such as geographical factors, political factors, social and or cultural factors in the setting in which you are working influence your organization's ability to prepare for and respond to disasters and emergencies.*

G1.	What type of geographical, political, social and cultural contextual factors have influenced project implementation in the past year?	Political takeover or military coup War or revolution Unexpected changes in government policies Misalignment of project and cultural values Inadequate communication Difficulties due to religion, customs, or ethnicities of project beneficiaries Security of stakeholders Resistance of beneficiaries to project Other, specify
G2.	Looking ahead to the next 12 months, what contextual factors do you anticipate will influence your project?	Political takeover or military coup War or revolution Unexpected changes in government policies Misalignment of project and cultural values Inadequate communication Difficulties due to religion, customs, or ethnicities of project beneficiaries Security of stakeholders Resistance of beneficiaries to project Other, specify
G3.	In what ways did your project design and / or implementation take into account these contextual factors? (how has the project considered contextual factors in the design)	Free form

T1: Knowledge, Attitudes and Practices (KAP) Survey

Enumerator Information

1. Name and codes of enumerator	_____ _ _ _
2. Name and codes of the supervisor	_____ _ _ _

Identification

[illegible]

A. Demographics and General Information

Respondent information: <i>To begin, I would like to ask you some general background information</i>			
A23.	What is your age?	[] Years (18 as minimum age)	
A24.	What is your gender?	[] Male [] Female [] Declined to respond	
A25.	What is your nationality? (may select more than one)	Ethiopia Kenya South Sudan Myanmar Philippines Mozambique Sudan	

		Jordan Bangladesh India United States Pakistan Democratic Republic of the Congo Other, please specify	
A26.	What is your highest level of education completed?	None Primary incomplete Primary complete Secondary incomplete Secondary complete Vocational school Tertiary (university) Master's Degree Professional/Advanced degree (PhD, MD)	
A27.	What type of organization do you currently work for?	1. <input type="checkbox"/> International NGO 2. <input type="checkbox"/> International organization (eg, UN, IOM, World Bank, etc.) 3. <input type="checkbox"/> National NGO (has projects throughout the country) 4. <input type="checkbox"/> Local NGO (Has projects in a specific locality or region within country) 5. <input type="checkbox"/> Academic institution 6. <input type="checkbox"/> Government 7. <input type="checkbox"/> Private sector 8. <input type="checkbox"/> Health facility 9. <input type="checkbox"/> Other	
A28.	What organization do you currently work for?		If A5 = INGO
A29.	What organization do you currently work for?		If A5 = Local NGO, CBO, etc.
A30.	What is your job category in this organization?	Operations/programs Senior management/executive Student Technical advisor Administration/finance Policy/advocacy Monitoring and Evaluation Research Other, specify	
A31.	At what level would you consider your job?	1. <input type="checkbox"/> Entry level	

		2. <input type="checkbox"/> Mid Level 3. <input type="checkbox"/> Senior level 4. <input type="checkbox"/> Other (specify)	
A32.	In your current position, which of the following areas are you most engaged in as part of your job?	1. <input type="checkbox"/> Food security and livelihoods 2. <input type="checkbox"/> WASH 3. <input type="checkbox"/> Health 4. <input type="checkbox"/> Shelter 5. <input type="checkbox"/> Education 6. <input type="checkbox"/> Child protection 7. <input type="checkbox"/> Nutrition 8. <input type="checkbox"/> Generalist 9. <input type="checkbox"/> MEL 10. <input type="checkbox"/> Logistics 11. <input type="checkbox"/> Fundraising 12. <input type="checkbox"/> Awards/Grant management 13. <input type="checkbox"/> Communication 14. <input type="checkbox"/> Management 15. <input type="checkbox"/> Other (specify)	
A33.	Do you primarily work at the organization's headquarters, regional office, country office, local office?	1. <input type="checkbox"/> Headquarters 2. <input type="checkbox"/> Regional Office 3. <input type="checkbox"/> Country office 4. <input type="checkbox"/> Local office	
A34.	Do you work for this organization on a fulltime or part time basis?	<input type="checkbox"/> Full-time staff <input type="checkbox"/> Part-time staff <input type="checkbox"/> Long-term consultants <input type="checkbox"/> Short-term consultants	
A35.	How long have you worked at this organization?	_ _ _ Months _ _ _ Years	
A36.	How long have you been in your current position with this organization?	_ _ _ Months _ _ _ Years	
A37.	How long have you worked in the humanitarian sector?	_ _ _ Months _ _ _ Years	
Basic organization information: Next, I would like to ask you some basic information about the organization where you currently work			
A38.	What is the size of the organization or country office in [Country of survey]?	1. <input type="checkbox"/> < 10 employees 2. <input type="checkbox"/> 10 – 100 employees 3. <input type="checkbox"/> 100-1,000 employees 4. <input type="checkbox"/> >1000 employees	

A39.	Where is the organization's country office located?	City	
A40.	Does your organization/country office have a policy about inclusion of vulnerable groups such as women, children, people with disabilities, the elderly?	Yes No I don't know	
EXPOSURE TO DEPP:			
A41.	Is your organization part of any of the following networks?	1. <input type="checkbox"/> START Network 2. <input type="checkbox"/> CDAC 3. <input type="checkbox"/> DEPP 4. <input type="checkbox"/> Other, please specify 5. <input type="checkbox"/> None	
A42.	In your role are you formally employed by any of the following projects?	Public Health Emergencies Preparedness in Gambella Strengthening Emergency Preparedness Systems in Myanmar Urban Early Warning, Early Action Strengthening Disaster Preparedness in Ethiopia Financial Enablers CDAC-N (Better Dialogue, Better Information, Better Action) Shifting the Power Age & Disability Capacity Building (ADCAP) ALERT Protection in Practice Transforming Surge Capacity None of the above	
A43.	Is your organization implementing any of the following projects?	Public Health Emergencies Preparedness in Gambella Strengthening Emergency Preparedness Systems in Myanmar Urban Early Warning, Early Action Strengthening Disaster Preparedness in Ethiopia Financial Enablers CDAC-N (Better Dialogue, Better Information, Better Action) Shifting the Power Age & Disability Capacity Building (ADCAP) ALERT Protection in Practice Transforming Surge Capacity None of the above	
A44.		Public Health Emergencies Preparedness in Gambella	

	Is your organization receiving any resources, trainings, capacity building activities or other support from any of these projects?	Strengthening Emergency Preparedness Systems in Myanmar Urban Early Warning, Early Action Strengthening Disaster Preparedness in Ethiopia Financial Enablers CDAC-N (Better Dialogue, Better Information, Better Action) Shifting the Power Age & Disability Capacity Building (ADCAP) ALERT Protection in Practice Transforming Surge Capacity None of the above	
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B. Knowledge, attitudes, skills and practices of humanitarian staff

Exposure to capacity building activities			Skip Logic
BEGIN NEW GROUP			
B7.	Have you participated in any capacity building activities such as training courses or workshops in the past 12 months?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. I don't know	
B8.	Which organization/project led the training?	[list of organizations/projects]	Only if B1=YES
B9.	How many days was the training?	Less than half day Half day 1 day 2 days 3 days 4 days one week >1 week	Only if B1=YES
B10.	What was the primary format of the training that you received?	1. <input type="checkbox"/> Classroom based short lectures (1-2 hour session) 2. <input type="checkbox"/> Hands-on training and workshops (1-2 days) 3. <input type="checkbox"/> Longer in person training 4. <input type="checkbox"/> Written materials 4. <input type="checkbox"/> Online learning and online simulations 5. <input type="checkbox"/> Disaster drills 6. <input type="checkbox"/> Combination of in person and online training 7. <input type="checkbox"/> Job placement/ internship 8. <input type="checkbox"/> Other (specify)	Only if B1=YES
B11.	What topics were covered in your training?	1. <input type="checkbox"/> Hazard, risk and vulnerability assessments	Select multiple Only if B1=YES

		2. <input type="checkbox"/> Response mechanisms and strategies 3. <input type="checkbox"/> Preparedness Plans 4. <input type="checkbox"/> Coordination 5. <input type="checkbox"/> Information Management 6. <input type="checkbox"/> Early warning systems 7. <input type="checkbox"/> Resource mobilization 8. <input type="checkbox"/> Public education, training and rehearsals 9. <input type="checkbox"/> Community based disaster preparedness 10. <input type="checkbox"/> First aid 11. <input type="checkbox"/> CPR (certified) 12. <input type="checkbox"/> Basic life support 13. <input type="checkbox"/> Advanced life support 14. <input type="checkbox"/> Trauma life support 15. <input type="checkbox"/> Disaster triage 16. <input type="checkbox"/> Decontamination 17. <input type="checkbox"/> Hazardous material medical response, involving chemical, biological, radioactive, and nuclear substances 18. <input type="checkbox"/> Psychological first aid 19. <input type="checkbox"/> Monitoring and Evaluation 20. <input type="checkbox"/> Leadership skills 21. <input type="checkbox"/> Logistics 22. <input type="checkbox"/> Project management 23. <input type="checkbox"/> Accounting and finance 24. <input type="checkbox"/> Water and sanitation 25. <input type="checkbox"/> Nutrition 26. <input type="checkbox"/> Shelter and camp design 27. <input type="checkbox"/> Statistical analysis 28. <input type="checkbox"/> Protection 29. <input type="checkbox"/> Education 30. <input type="checkbox"/> Security issues 31. <input type="checkbox"/> Humanitarian law 32. <input type="checkbox"/> Other, please specify:	
B12.	How useful was the training?	Not useful at all Slightly useful Somewhat useful Very useful Extremely useful	Only if B1=YES
B13.	Would you recommend this training to a colleague?	Yes No	Only if B1=YES
END GROUP, BEGIN NEW GROUP			
B14.	Have you participated in any disaster drills or simulations in the past 12 months?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. I don't know	
B15.	Which organization/project led the drill/simulation	[list of organizations/projects]	Only if B10=YES

B16.	How many days was the drill/simulation?	Less than half day Half day 1 day 2 days 3 days 4 days one week >1 week	Only if B10=YES
B13.2	How useful was the drill/ simulation?	Not useful at all Slightly useful Somewhat useful Very useful Extremely useful	Only if B10=YES
B13.5	Would you recommend this drill/simulation to a colleague?	Yes No	Only if B10=YES
END GROUP, BEGIN NEW GROUP			
Core Humanitarian concepts			
B17.	<i>This question is blank</i>		
B18.	What are the main phases of humanitarian response? [Tick all that are mentioned] NOTE: [DO NOT READ REPONSES]	1. <input type="checkbox"/> Preparedness and contingency 2. <input type="checkbox"/> Disaster risk reduction 3. <input type="checkbox"/> Response 4. <input type="checkbox"/> Recovery 5. <input type="checkbox"/> Other 6. Don't know	Select multiple
B19.	Please list the most commonly utilized standards in humanitarian assistance. NOTE: Record all that are mentioned (DO NOT GIVE OPTIONS)	Sphere standards Hyogo MIST INEE Don't know	Select multiple
B20.	You are deployed to a devastated region after a major natural disaster. While addressing any immediate life-threatening needs, your multi-disciplinary team's first priority should be to:	1. establish a functional medical clinic for emergency care. 2. dig wells or cap springs in areas lacking potable water. 3. distribute tents or other appropriate emergency shelter. 4. complete an initial assessment of needs and resources.	
B21.	Which UN institution has the mandate to protect refugees?	1. National government 2. UNHCR 3. UNHCHR 4. UN Blue Helmets Don't know	

B22.	15. Who is responsible for the protection of IDPs (Internally Displaced Persons)?	1. National government 2. UNHCR 3. UNHCHR 4. UN Blue Helmets Don't know	
B23.	Which humanitarian principle directly conflicts with a military partnership?	1. impartiality 2. humanity 3. neutrality 4. benevolence Don't know	
B24.	Which of the following is NOT a recognized United Nations humanitarian response 'cluster'?	1. Early Recovery 2. Coordination 3. Protection 4. Emergency Telecommunications 5. Don't know	
B25.	<p>Two NGOs, decide to work together to improve community preparedness for disasters and emergencies by developing and implementing an early warning system. Both organizations contribute to the design and implementation of the project.</p> <p>In your opinion would this be considered coordination or collaboration?</p>	1. <input type="checkbox"/> Coordination 2. <input type="checkbox"/> Collaboration 3. <input type="checkbox"/> Both	
B26.	<p>Name forms of gender based violence that occur in humanitarian settings.</p> <p>PROBE: ask, what else</p> <p>NOTE DO NOT READ RESPONSES; Record all that are mentioned</p>	1. <input type="checkbox"/> Sexual violence 2. <input type="checkbox"/> Domestic/ ad or Intimate partner violence 3. <input type="checkbox"/> early/forced marriage 4. <input type="checkbox"/> FGM and/or cutting 5. <input type="checkbox"/> Trafficking 6. <input type="checkbox"/> Sexual exploitation / abuse 7. <input type="checkbox"/> Other	Select Multiple
B27.	Do you agree or disagree with the following statement: In humanitarian settings, it is unethical to collect data to monitor progress of humanitarian programs	Agree Disagree It depends	
END GROUP, BEGIN NEW GROUP			
B28.	<p>On a scale of 1-5, how knowledgeable do you feel you are regarding the following?</p> <p>a) Disaster preparedness b) Disaster risk reduction c) Response to emergencies and disasters d) Recovery e) International humanitarian law f) Protection</p>	1. No knowledge 2. 3. 4. 5. Expert knowledge	

	g) Coordination mechanisms h) Water and sanitation i) Nutrition j) Gender based violence k) Conducting needs assessments l) Conducting vulnerability assessments m) Developing emergency preparedness plans n) Conducting evaluations o) Using evidence p) Ethical issues q) Project cycle r) Resource management s) Design of projects t) Implementation of projects u) Engaging crisis affected populations v) Identification and communication of risks and threats to the safety of crisis affected people and other stakeholders		
END GROUP, BEGIN NEW GROUP			
B29.	Please rate your comfort level in....		
	<u>implementing</u> disaster preparedness initiatives.	1= Very uncomfortable 2= Uncomfortable 3= Somewhat Comfortable 4= Comfortable 5 = Very Comfortable	
	<u>implementing</u> response initiatives in a humanitarian emergency.		
	<u>leading</u> disaster preparedness initiatives.		
	<u>leading</u> response initiatives in a humanitarian emergency.		
	<u>making decisions</u> about humanitarian response within the context of your job duties.		
	working as a part of a team.		
	collaborating with local NGOS		
	collaborating with INGOS		
	collaborating with government		
	collaborating with private sector		
	collaborating with communities/ crisis affected people		
	collaborating with colleagues in your organization.		
END GROUP, BEGIN NEW GROUP			
B30.	Please rate your ability to....		
B31.	work constructively in difficult and challenging environments.	Poor Fair	

B32.	recognize personal stress.	Good Very good Excellent	
B33.	take steps to reduce personal stress.		
B34.	use your position responsibly and fairly		
END GROUP, BEGIN NEW GROUP			
B35.	Is there a system in place within your organization to evaluate your performance and provide feedback?	Yes No I don't know	If B35 = YES;
B36.	Who provides this feedback? [tick all that apply]	Supervisor/ management Peers Organizational partners Community members	
B37.	Please rate your ability to...	Poor Fair Good Very good Excellent	
	reflect on feedback to improve your performance.		
	actively listen to encourage team collaboration.		
	influence others to achieve program goals.		
	use critical judgment in challenging situations.		
	initiate and suggest improvements and better ways of working		
END GROUP, BEGIN NEW GROUP			
B38.	In the last two years, have you participated in any official humanitarian working group, network, or coordination mechanisms (such as UN cluster meetings, humanitarian agencies coordination groups etc)	Yes No I don't know	
B39.	How often did you attend humanitarian working group, network or coordination mechanisms?	Every meeting Every second meeting Once a quarter Once a year Once every six months I've never attended Don't know	IF B40 = YES
END GROUP, BEGIN NEW GROUP			
Ageing, disability, gender and other cross-cutting themes			
B40.	Are there particular groups that are more vulnerable to disasters? NOTE: [DO NOT READ OPTIONS]	1. [] Men 2. [] Women 3. [] Children 4. [] Elderly people 5. [] People with disabilities 6. [] Religious groups	Select Multiple

		7. [] Ethnic groups 8. [] Other (specify)	
B41.	Are men and women affected differently by disasters?	Yes No I don't know	
END GROUP, BEGIN NEW GROUP			
B42.	Do women and men have equal opportunities and responsibilities within your organization?	1. [] Yes 2. [] No I don't know	
B43.	Have you received any specific training with respect to inclusion of the following vulnerable groups in disasters response?	Yes No I don't know	
	Women		
	Children		
	Elderly people		
	People with disabilities		
	Other, specify		
B44.	When did the training occur?		Loop for each option selected in B43
B45.	How long was the training?		Loop for each option selected in B43
B46.	Who conducted/sponsored the training?	[list of organizations]	Loop for each option selected in B43
END GROUP, BEGIN NEW GROUP			
B47.	How knowledgeable do you feel you are regarding...		
	age related issues in a disaster?	Not at all knowledgeable Knowledgeable Somewhat knowledgeable Very knowledgeable Highly knowledgeable	
	disability related issues in a disaster?		
	issues related to women in a disaster?		
	issues related to children in a disaster?		
END GROUP, BEGIN NEW GROUP			

National and International Standards									
B48.	What national and international humanitarian frameworks, standards, principles and codes does your organization adhere to?	Sphere ICRC DFID UN OCHA National Standards	Select multiple						
B49.	How closely does the program you work on adhere to key national and international framework, standards and principles?	1. No adherence 2. Rarely adheres 3. Sometimes Adheres 4. Often adheres 5. Always adheres 6. I don't know	If B62=Selected Any						
B50.	How comfortable do you feel applying these national and international frameworks, standards, principles and codes within the context of your job duties?	Very uncomfortable Somewhat Comfortable Comfortable Very Comfortable	If B62=Selected Any						
B51.	<div>Please give your opinion on how the following actors have demonstrated respect for and adherence to the core humanitarian principles of independence, impartiality, neutrality, do no harm</div> <table border="1"> <tr> <td>INGOs</td> <td rowspan="6"> 1. No respect at all 2. Very little respect 3. Some respect 4. Respectful 5. Very respectful </td> </tr> <tr> <td>Local/National NGOs</td> </tr> <tr> <td>Donors</td> </tr> <tr> <td>Host Governments</td> </tr> <tr> <td>Your own organization</td> </tr> <tr> <td>Yourself</td> </tr> </table>	INGOs	1. No respect at all 2. Very little respect 3. Some respect 4. Respectful 5. Very respectful	Local/National NGOs	Donors	Host Governments	Your own organization	Yourself	
INGOs	1. No respect at all 2. Very little respect 3. Some respect 4. Respectful 5. Very respectful								
Local/National NGOs									
Donors									
Host Governments									
Your own organization									
Yourself									
END GROUP, BEGIN NEW GROUP									
Safety and Security									
B52.	Have you ever received any training on personal safety and security protocols?	Yes/No							
B53.	Are you aware of your organization's personal safety and security protocols?	Yes/no	SKIP to B61						
B54.	How often do you comply with those protocols?	1. Never 2. Rarely 3. Occasionally 4. Often 5. Always							
Attitudes and perceptions									

B55.	As a responder, how would you rate your level of preparedness to respond to a disaster?	Extremely unprepared Unprepared Somewhat Prepared Prepared Very prepared	
B56.	What are your gaps in preparedness?	Free form	
B57.	What could be done to improve your own capacity to respond to disasters?	Free form	
B58.	In your view, What is the most effective approach to strengthening individual capacity?	Organizational Leadership Increased trainings Collaboration with other organizations Hands-on experience Mentoring within the organization Simulations/drills Other, specify	
B59.	At what level would you rate your organization's preparedness to respond to disasters and emergencies?	Not prepared at all A little prepared Moderately prepared Very prepared Extremely prepared	
B60.	What are the organization's gaps in preparedness?	Free form	
B61.	In your opinion, what is the most effective approach to building organizational capacity around preparedness?	Organizational leadership Changing organizational policy/practice Improved management of human resources Increased trainings Collaboration with other organizations Hands-on experience Mentoring within the organization Increased funding Increased resources Increased individual staff capacity Simulations/drills Other, specify	
B62.	How important do you believe it is to engage disaster affected populations in a humanitarian response?	Not important at all Not very important Somewhat important Very important Extremely important	
END GROUP, BEGIN NEW GROUP			
Experience and Skills			
B63.	Have you ever responded to any of the following events in your area or elsewhere? (select all that apply)	Natural Disaster [] Earthquakes	

		<input type="checkbox"/> Typhoon <input type="checkbox"/> Flooding <input type="checkbox"/> Drought <input type="checkbox"/> Storm surges <input type="checkbox"/> Landslide <input type="checkbox"/> Volcanic eruption Public Health Emergency <input type="checkbox"/> Infectious disease outbreak <input type="checkbox"/> Mass exposure to toxin/chemical <input type="checkbox"/> Other Public health War, conflict, violence <input type="checkbox"/> war, conflict, violence <input type="checkbox"/> Displacement <input type="checkbox"/> Others, please specify: <input type="checkbox"/> None	
B64.	In what capacity were you involved in the response?	Free form	Loop for each selected in B84
B65.	How would you rate your performance during this response?	Poor Fair Good Very good Excellent	Loop for each selected in B84
B66.	How would you rate your ability to respond to a disaster in the future?	Poor Fair Good Very good Excellent	
END GROUP. BEGIN NEW GROUP.			
FROM TALENT DEVELOPMENT SELF ASSESSMENT			
B67.	Please select how confident you feel about meeting the statement below..... <p>a. I can give good examples about how to design a good quality program</p> <p>b. I understand and can explain how we need to think about gender and diversity in emergency programmes</p> <p>c. I understand and can explain the concepts neutrality, impartiality, independence and humanity</p> <p>d. I am aware of and can give examples of good accountability in humanitarian responses</p> <p>e. I understand and can explain how best to share knowledge and useful information with beneficiaries</p> <p>f. I understand and can explain the principle of "Do No Harm" and can give examples</p>	Not confident at all Slightly confident Somewhat confident Very confident Extremely confident I don't have this experience yet	

	<p>g. I understand and can explain what is meant by "personal safety" in given scenarios</p> <p>h. I have experience and can give examples of having worked in a difficult situation while remaining focused and able to cope with stress</p> <p>i. I have experience and give examples of having maintained ethical and professional behaviour in accordance with the relevant codes of conduct</p> <p>j. I speak out about humanitarian values and principles</p>		
END GROUP, BEGIN NEW GROUP			
Talent development leadership assessment * (ONLY IF PERSON RESPONDS THAT THEY ARE IN A POSITION OF LEADERSHIP)			
B68.	<p>Please select how confident you feel about meeting the statement below....</p> <p>a. I always set clear objectives with teams and staff members</p> <p>b. I support others to carry out their roles and responsibilities</p> <p>c. I use resources efficiently and responsibly</p> <p>d. I make a point of holding informal conversations with my staff frequently</p> <p>e. I react to external influences consciously and do not let myself get upset easily</p> <p>f. I consistently offer feedback to others to achieve improved results</p>	<p>Not confident at all</p> <p>Slightly confident</p> <p>Somewhat confident</p> <p>Very confident</p> <p>Extremely confident</p> <p>I don't have this experience yet</p>	

C. Collaboration, Networks and Consortium

Network Survey: <i>Insert introduction from network survey.</i>			
C1.	INSERT NETWORK SURVEY HERE (17 questions—some don't need to be repeated)		
Perceptions & activities related to collaborations, networks and consortia: <i>Next, I would like to ask you about your perceptions on collaborations, consortia and networks and related activities.</i>			
C2.	In general, how collaborative do you feel the decision-making process is during preparedness activities in the country in of the survey?	<p>1. No collaboration; decisions are made alone/independently</p> <p>2. A little collaboration occurs between certain organizations during the decision-making process</p> <p>3. Neither collaborative nor not collaborative</p>	

		4. Moderate collaboration occurs during decisionmaking 5. Very strongly collaborative- decisions are made with input and involvement of many actors including local/national NGOs	
C3.	In general, how collaborative do you feel the decision-making process is during response activities in the country of the survey?	1. No collaboration; decisions are made alone/independently 2. A little collaboration occurs between certain organizations during the decision-making process 3. Neither collaborative nor not collaborative 4. Moderate collaboration occurs during decisionmaking 5. Very strongly collaborative- decisions are made with input and involvement of many actors including local/national NGOs	
C4.	In the event of a disaster, are there other organizations you will look to collaborate with in regard to humanitarian response?	Yes No I don't know	
C5.	If yes, what type of organization do you look to collaborate with in regard to humanitarian response?	List from A6 and A7	If E4 = Yes
C6.	Based on your experiences, what are the advantages of working with other organizations through informal collaborations compared to other types of collaborations? [tick all that are mentioned]	Exchange of ideas Sharing of resources Other organizations possess skills not available in my organization Improved networking Informal collaborations lead to formal collaborations The work becomes less of a burden I am able to learn from this collaboration Improvement of program design and delivery Improved the capacity of my organization Other projects and collaborations have been developed as a result of this one	Select Multiple Develop response items during piloting

		<p>Able to access other sources of funding when applying as a consortium</p> <p>Program design and delivery is more effective</p> <p>Other projects and collaborations have been developed as a result of this one</p> <p>Able to access other sources of funding when applying as a consortium</p> <p>Program design and delivery is more effective</p> <p>Improved the capacity of my organization</p> <p>I don't have any experience in this</p> <p>Other, specify</p>	
C7.	<p>Based on your experiences, what are the challenges of working with other organizations <u>through informal collaborations</u>?</p> <p>[tick all that are mentioned]</p>	<p>Organizations are not willing to participate in exchange of ideas</p> <p>Intellectual property challenges</p> <p>Sharing of resources</p> <p>Unequal distribution of work</p> <p>The work becomes more of a burden</p> <p>I am not able to learn from this collaboration</p> <p>Informal collaborations are less of a priority compared to formal collaborations</p> <p>Too optimistic goals</p> <p>Unclear objectives</p> <p>Slow and cumbersome decision-making process</p> <p>Difficult to collaborate effectively when organizations have different policies and processes</p> <p>Setting up a collaboration is extremely time consuming</p> <p>It is not cost-effective to work in consortia</p> <p>Difficult to manage disagreements</p> <p>May take up a lot of time without yielding any concrete outputs</p> <p>I don't have any experience in this</p> <p>Other, specify</p>	
C8.	<p>Based on your experiences, what are the advantages of working with other organizations through formal collaborations (i.e. formal <u>networks, consortia</u>)?</p>	<p>Exchange of ideas</p> <p>Sharing of resources</p> <p>Other organizations possess skills not available in my organization</p>	<p>Same response options as E9</p> <p>Select multiple</p>

	[tick all that are mentioned]	Improved networking Informal collaborations lead to formal collaborations The work becomes less of a burden I am able to learn from this collaboration Improvement of program design and delivery Improved the capacity of my organization Other projects and collaborations have been developed as a result of this one Able to access other sources of funding when applying as a consortium Program design and delivery is more effective Other projects and collaborations have been developed as a result of this one Able to access other sources of funding when applying as a consortium Program design and delivery is more effective Improved the capacity of my organization I don't have any experience in this Other, specify	
C9.	Based on your experiences, what are the challenges of working with other organizations through formal collaborations (i.e. formal <u>networks, consortia</u>)? [tick all that are mentioned]	Organizations are not willing to participate in exchange of ideas Intellectual property challenges Sharing of resources Unequal distribution of work The work becomes more of a burden I am not able to learn from this collaboration Informal collaborations are less of a priority compared to formal collaborations Too optimistic goals Unclear objectives Slow and cumbersome decision-making process Difficult to collaborate effectively when organizations have different policies and processes	Same response options as E10 Select multiple

		Setting up a collaboration is extremely time consuming It is not cost-effective to work in consortia Difficult to manage disagreements May take up a lot of time without yielding any concrete outputs I don't have any experience in this Other, specify	
Monitoring, Evaluation and Learning and Evidence: <i>Next, I would like to ask you questions about your organization's activities related to monitoring, evaluation and learning.</i>			
C10.	How often does your organization (in country) carry out the following monitoring and learning approaches? h) Systematic needs assessments i) Routine monitoring and evaluation activities to report project progress to donors j) Rigorous evaluations (beyond routine monitoring and evaluation) to assess changes in outcomes and impact among beneficiaries k) Periodic program reviews in order to ensure learning within the organization l) Results are shared with beneficiaries m) Results are shared with other organizations n) Results are shared with decision makers	Never Rarely Occasionally Often Always	Matrix style

F. Implementation of DEPP

ALL RESPONDENTS WILL ANSWER QUESTIONS F1-F4;			
F1.	Have you ever heard of the DFID funded Disasters and Emergencies Preparedness Programme (DEPP)?	Yes No	
F2.	If yes, how?	Free form	
F3.	Are you, personally, involved with the DEPP?	Yes No I don't know	
F4.	If yes, how?	Free form	
FOR MEMBERS OF DEPP CONSORTIA LEADING DEPP PROJECTS			
F5.	How appropriate do you believe the DEPP approach of working through consortia is in your context?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate	

F6.	On a scale of 1-5, how well is the DEPP consortium, that your organization is part of, functioning?	Not well at all Not well Neither well nor not well Well Very well	
F7.	On a scale of 1-5, how relevant are the DEPP interventions for the country in which you are working?	Not at all relevant Irrelevant Somewhat relevant Relevant Extremely relevant	
F8.	On a scale of 1-5, how effective has DEPP intervention delivery been in the country in which you are working?	Very ineffective Ineffective Somewhat Effective Effective Very Effective	
F9.	Describe one key success of the DEPP in your country so far.	Free form Improved early warning activities Increased collaboration Increased organizational capacity Increased staff capacity Improved disaster preparedness Improved disaster response Improved learning Improved policy environment Improved evidence sharing Other, specify	If other, specify Refine during piloting
F10.	Describe one key challenge with the DEPP in your country so far.	Free form Retention of skills Beneficiary interest The DEPP activities are not relevant here Lack of resources to make the DEPP successful The DEPP lacks contextual understanding Lack of project leadership Lack of end-user participation Too optimistic goals Unclear objectives Slow and cumbersome decision-making process Resistance of beneficiaries Lack of government buy-in Other, specify	If other, specify Refine during piloting
F11.	Have you participated in any learning events related to the DEPP?	Yes No I don't know	

F12.	If yes, how many in total?	number	
F13.	Are you aware of any sharing of evidence from the DEPP e) within the project you are involved with f) across projects in your country g) across different DEPP countries h) with stakeholders outside of the DEPP	Yes No	Matrix style
F14.	Have you interacted with individuals involved with other DEPP projects in your country in the last 6 months?	Yes No I don't know	
F15.	How many times have you interacted with these individuals in the last 6 months?	number	If F17 = Yes
F16.	Have you interacted with individuals involved with the DEPP Monitoring Evaluation and Learning (MEL) project team in the last 6 months?	Yes No I don't know	
F17.	With whom have you interacted? a) DEPP MEL Regional Learning Advisor (RLA) b) Other?	Select multiple	If F19 = Yes
F18.	How many times have you interacted with the DEPP MEL RLA in the last 6 months? (or any of the options from F20)	number	If F19 = Yes
F19.	How useful do you consider the MEL project to be in relation to your work?	Not useful at all Not useful Neither useful nor not useful Useful Very useful	
F20.	Which of the following DEPP-related activities has your organization implemented <u>since the start of the DEPP program?</u> a) capacity development programs developed and implemented (Yes/No) b) Training (if yes, # of national staff trained) c) early warning systems developed (if yes # of early warning systems developed/improved, if yes, # of community members trained) d) Preparedness training (if yes, # of community members trained on preparedness) e) Preparedness activities (if yes, # of community preparedness activities implemented) f) Drills/simulations g) Evaluations h) research i) Other (Specify)	Select one	
FOR DEPP BENEFICIARIES Notes: (Organizations who may receive training / funding / support / benefit from DEPP)			

F21.	Has your organization received any funding through the DEPP programme?	Yes No I don't know	
F22.	If yes, what was the grant for?		If F24 = Yes
F23.	If yes, what activities have been implemented with the funds? a) Capacity development programs developed and implemented (Yes/No) b) Training (if yes, # of national staff trained) c) Early warning systems developed (if yes # of early warning systems developed/improved, if yes, # of community members trained) d) Preparedness training (if yes, # of community members trained on preparedness) e) Preparedness activities (if yes, # of community preparedness activities implemented) f) Drills/simulations g) Evaluations h) research i) Other?	List activities	If F24 = Yes
F24.	Have you, personally, participated in any trainings through the DEPP programme?	Yes No I don't know	
F25.	If yes, how many?	_ _ _ _	If F29 = Yes
F26.	Have you participated in any working groups through the DEPP programme?	Yes No I don't know	
F27.	If yes, how many?	_ _ _ _	If F30 = Yes
F28.	How appropriate do you believe the DEPP approach of working through consortia is in your context?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate	
F29.	On a scale of 1-5, how relevant are the DEPP interventions for the country in which you are working?	Not at all relevant Irrelevant Somewhat relevant Relevant Extremely relevant	
F30.	On a scale of 1-5, how effective has DEPP intervention delivery been in the country in which you are working?	Very ineffective Ineffective Somewhat Effective Effective Very Effective	
F31.	Describe one key success of the DEPP in your country so far.	Improved early warning activities Increased collaboration	

		Increased organizational capacity Increased staff capacity Improved disaster preparedness Improved disaster response Improved learning Improved policy environment Improved evidence sharing Other, specify	
F32.	Describe one key challenge with the DEPP in your country so far.	Retention of skills Beneficiary interest The DEPP activities are not relevant here Lack of resources to make the DEPP successful The DEPP lacks contextual understanding Lack of project leadership Lack of end-user participation Too optimistic goals Unclear objectives Slow and cumbersome decision-making process Resistance of beneficiaries Lack of government buy-in Other, specify	
F33.	Have you participated in any learning events related to the DEPP?	Yes No I don't know	
F34.	How many in total?	_ _ _ _	
F35.	Are you aware of any sharing of evidence from the DEPP e) within the project you are involved with f) across projects in your country g) across different DEPP countries h) with stakeholders outside of the DEPP	Yes No	Matrix
FOR THOSE NOT INVOLVED WITH DEPP BUT WHO HAVE HEARD ABOUT IT – ONLY ANSWER Q F40-F45			
F36.	How appropriate do you believe the DEPP approach of working through consortia is in your context?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate	
F37.	On a scale of 1-5, how relevant are the DEPP interventions for the country in which you are working?	Not at all relevant Irrelevant Somewhat Relevant Relevant	

		Extremely relevant	
F38.	On a scale of 1-5, how effective has DEPP intervention delivery been in the country in which you are working?	Very ineffective Ineffective Somewhat Effective Effective Very Effective	
F39.	Have you participated in any learning events related to the DEPP?	Yes No I don't know	
F40.	How many?	_ _ _ _	If F43 = Yes
F41.	Has any evidence from the DEPP been shared with you?	Yes	

G. Contextual Factors: *Next, I would like to ask you about how contextual factors such as geographical factors, political factors, social and or cultural factors in the setting in which you are working influence your organization's ability to prepare for and respond to disasters and emergencies.*

G4.	What type of geographical, political, social and cultural contextual factors have influenced project implementation in the past year?	Political takeover or military coup War or revolution Unexpected changes in government policies Misalignment of project and cultural values Inadequate communication Difficulties due to religion, customs, or ethnicities of project beneficiaries Security of stakeholders Resistance of beneficiaries to project Other (specify)
G5.	Looking ahead to the next 12 months, what contextual factors do you anticipate will influence your project?	Political takeover or military coup War or revolution Unexpected changes in government policies Misalignment of project and cultural values Inadequate communication Difficulties due to religion, customs, or ethnicities of project beneficiaries Security of stakeholders Resistance of beneficiaries to project Other (specify)
G6.	In what ways did your project design and / or implementation take into account these contextual factors? (how has the project considered contextual factors in the design)	Free form

T1: Network Survey (Standalone)

Network Survey

1. What country is this?	Ethiopia Kenya South Sudan Myanmar Philippines Mozambique Sudan Jordan Bangladesh India United Kingdom United States Pakistan Democratic Republic of the Congo Other, specify
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Enumerator Information

2. Name and codes of enumerator	_____ _ _ _
3. Name and codes of the supervisor	_____ _ _ _

Respondent information

To begin, I would like to ask you some general background information

4. What type of organization do you currently work for?	International NGO International organization (eg, UN, IOM, World Bank, etc.) National NGO (has projects throughout the country) Local NGO (has projects in a specific locality or region within country) Academic institution Government Private sector Health facility Other, specify
5. What is the name of the organization where you work?	

<p>6. What is your job category in this organization?</p>	<p>Operations/programs Senior management/executive Student Technical advisor Administration/finance Policy/advocacy Monitoring and Evaluation Research Other, specify</p>
<p>7. What is your job title in this organization?</p>	
<p>8. At what level would you consider your job?</p>	<p>Entry Level Mid Level Senior Level Other, specify</p>
<p>9. How long have you been in this position?</p>	<p>fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years</p>
<p>10. Please indicate what your organization / program / department contributes, or can potentially contribute, to other local, national or international organizations. If other, please specify</p>	<p>Advocacy Agriculture Expertise Climate Change and Adaptation Community Capacity Building Community Connections Community Planning Community-Based Risk Analysis Conflict Mitigation Expertise Data Resources including data sets, collection and analysis Early Warning Systems Expertise Education Facilitation Funding Gender-based violence Health/Public Health Expertise In-Kind Resources (e.g., meeting space) Journalism/Media Leadership Local Expertise Logistics Management MEL Expertise Policy Project Design Project Implementation</p>

	Proposal Writing Research TA Technology/web resources (e.g. server space, web site development, social media) Volunteers and Volunteer staff Vulnerable Groups WaSH Other, specify
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Collaboration, Networks and Consortium

Network Survey: <i>Next, I would like to ask you about organizations that you collaborate with, to better understand what type of collaborations, you are participating in, and to be able to map how organizations are working together within the humanitarian sector in this country. As part of this section I will ask you to list organizations you are collaborating with and to also provide contact names and details. This information will be kept strictly confidential, and won't be shared with anyone. The purpose of collecting this information is to enable us to invite the organizations you collaborate with to also participate in the research study if they are interested.</i>		
11.	Have you/your organization collaborated with any organizations in the past 6 months on preparedness and/or response to disasters and emergencies?	Yes No I don't know
12.	Select the names of organizations you have collaborated with in the past 6 months. This may include: securing financial resources, new skills development and training, shared implementation responsibility or new knowledge acquisition.	
13.	What is the name of the primary contact person whom you collaborate with at the organization?	
14.	What is the email address of the primary contact person whom you collaborate with at the organization?	
15.	What is the phone number of the primary contact person whom you collaborate with at the organization?	
16.	What is the website for the organization?	
17.	What is the address of the organization?	
18.	How would you characterize the nature of your collaboration with the organization around issues relating to humanitarian response and preparedness?	My organization goes to this organization mainly for information sharing and communication My organization partners informally with this organization My organization has a formal contractual relationship with this organization Other, specify

19.	Which of the following best describes your collaboration with the organization?	My organization entered into this collaboration because we share mutual interests with the other member(s) of the partnership or consortium My organization was required to enter into this collaboration in order to receive funding for one or more projects Other, specify
20.	Please specify the ways in which you have collaborated with organization in the past 6 months around issues related to humanitarian response and preparedness	Advocacy Agriculture Expertise Climate Change and Adaptation Community Capacity Building Community Connections Community Planning Community-Based Risk Analysis Conflict Mitigation Expertise Data Resources including data sets, collection and analysis Early Warning Systems Expertise Education Facilitation Funding Gender-based violence Health/Public Health Expertise In-Kind Resources (e.g., meeting space) Journalism/Media Leadership Local Expertise Logistics Management MEL Expertise Policy Project Design Project Implementation Proposal Writing Research TA Technology/web resources (e.g. server space, web site development, social media) Volunteers and Volunteer staff Vulnerable Groups WaSH Other, specify
21.	Please indicate the frequency with which you have engaged with the organization for work related to humanitarian response and preparedness/	Rarely (1-2 times in the past 6 months) Occasionally (3-4 times in the past 6 months) Often (5 or more times in the past 6 months)
22.	How long have you been collaborating with the organization?	fewer than 3 months 3-6 months 6-9 months

		9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years
23.	How likely is it that you would recommend organization to a colleague for work related to humanitarian response and preparedness?	1 (not at all likely) 2 3 4 5 (fairly likely) 6 7 8 9 10 (extremely likely)
24.	Has there been any concrete output of this collaboration with the organization?	Yes No I don't know
25.	If yes, what were the outputs of this collaboration?	There have been no concrete outputs of this collaboration Coordination of programs Report Proposal to seek funding for new project Implementation of a new joint Project The development of a new focus area within the organization A change in the overall mission and vision of the organization This collaboration paved the way for future collaborations A change in the beliefs, values, customs, attitudes and norms of the organization New ideas for the operation and service delivery of the organization A change in the rules and internal guidelines of the organization Adoption of new technologies to support the organizations objectives A change in how the organization organizes and mobilizes its staff in the event of an emergency Other, specify

T1: Household Survey

HOUSEHOLD SURVEY QUESTIONNAIRE

COMPLETE ONE QUESTIONNAIRE PER HOUSEHOLD

Household No:

GPS location:

Enumerator, Team Leader Information

	1. Enumerator	2. Supervisor
Names and Codes of Officers	_____ __ __	_____ __ __

Identification

3.	What country is this?	4.	District/ Region
5.	State	6.	Community/ Village _____ __
7.	Township _____ __	8.	Village _____ __ __ __
9.	Location of Household: Urban Rural		
10.	Name of Respondent: _____		
11.	Telephone	__ __ __ __ __ __ __ __ __	
12.	What is respondents gender? Male Female		

SECTION 1: Background Info/Education/Community Participation/SES

No	Question	Answer
1.	What is your relationship to the head of the household?	Head Wife Husband Partner (not married) Daughter in Law Son in Law Son Daughter Other, specify
2.	What is your current marital status?	1. <input type="checkbox"/> Married (civil or religious) 2. <input type="checkbox"/> Married (common or customary law) 3. <input type="checkbox"/> Not married and NOT living with a sexual partner under the same roof >>>> SKIP TO 6 4. <input type="checkbox"/> Separated>>>> SKIP TO 4 5. <input type="checkbox"/> Divorced>>>> SKIP TO 4 6. <input type="checkbox"/> Widowed>>>> SKIP TO 4
3.	If married or cohabiting, how long have you been living with your spouse or sexual partner?	Fewer than 6 months 6 months - 1 year 1-3 years 3-5 years 5-10 years 10-20 years Over 20 years
4.	How old were you when you first got married or started living with a sexual partner under the same roof?	_ _ years old
5.	How old are you?	_ _ Years
6.	In what day, month and year were you born?	_ _ / _ _ / _ _ _ _ Day month Year
7.	Have you ever attended school?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No >>> SKIP to 11 3. <input type="checkbox"/> I don't know >>> SKIP to 11
8.	What type of school do/did you attend?	Government school Non-formal education Monastery school
9.	What is the highest level of school you attended?	None

		Primary incomplete Primary complete Secondary incomplete Secondary complete Middle incomplete Middle complete Vocational school Tertiary (university)
10.	Are you able to read Amharic/Burmese/local language?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No >>>>> SKIP TO 11 3. <input type="checkbox"/> I don't know >>>>> SKIP TO 11
11.	How often do you read a newspaper or magazine? [Read responses]	1. <input type="checkbox"/> Every day 2. <input type="checkbox"/> Almost every day 3. <input type="checkbox"/> At least once a week 4. <input type="checkbox"/> Less than once a week 5. <input type="checkbox"/> Not at all
12.	How often do you listen to the radio? [read responses]	1. <input type="checkbox"/> Every day 2. <input type="checkbox"/> Almost every day 3. <input type="checkbox"/> At least once a week 4. <input type="checkbox"/> Less than once a week 5. <input type="checkbox"/> Not at all
13.	What is your religion?	Catholic Other Christian Islam Buddhist Animist Traditionalist Other, specify
14.	What is your ethnic group?	Kayin Kayar Mon Shan Buma Palong PaOh Kayan Kayaw Gaybar Other, specify

15.	How many family members in total live in this dwelling ?	_ _	
16.	How many elderly family members (>60 years of age) live in this dwelling?	_ _	
17.	How many children under 5 years of age live in this dwelling?	_ _	
18.	How many children under 18 years of age live in this dwelling?	_ _	
19.	How many family members with disabilities live in this dwelling?	_ _	
20.	What is your occupation?	Does not work Works for daily wages on other people's land Cultivation on own land Manual labourer Self employed in non-farm work Government employee Non-government employee Woodworker Perennial Ping Agricultures Migrant Farm Student Retired Unemployed (able to work) Unemployed (unable to work) Other, specify	
21.	Are you a member of any of the following voluntary organizations? a) Women's savings group/co-operative. b) Religious organization's society (specify) c) Occupational groups (e.g. Tailor's association, market women's association) d) Other organization (specify)		IF YES, which one?
		a) 1. []Yes 2. []No	
		b) 1. []Yes 2. []No	
		c) 1. []Yes 2. []No	
		d) 1. []Yes 2. []No	

22.	How many years have you lived in this community?	_ _
23.	The building that you sleep in – of what material are the walls made? (Tick all that apply)	Stone, Solid Cement Fired Brick Clay/mud Cement Sticks, reeds Bamboo Timber Thatch Other, specify
24.	What is the roof of your house made of?	Zinc Grass or reeds Mud, branches Palm leaves Mud, cement Thatch Tarpaulin Leaf Plastic Sheet Other, specify
25.	What is the floor of your house made of?	Cement Cow dung/soil Timber Bamboo Earth Other, specify
26.	Does your house have a latrine? If yes, what type of latrine?	1. <input type="checkbox"/> Yes, outdoor pit latrine, shared 2. <input type="checkbox"/> Yes, outdoor pit latrine, private 3. <input type="checkbox"/> Yes, indoor latrine 4. <input type="checkbox"/> Yes, outdoor pit latrine and indoor latrine 5. <input type="checkbox"/> No, neither type of latrine
27.	Does your household have:	a. 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know b. 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know c. 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know d. 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know e. 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know f. 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know g. 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know h. 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know i. 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know j. 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know k. 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know

28.	What is the main source of water for this household?	Surface water (river, pond etc) Rainwater Borehole Unprotected spring or well Protected spring or well Tanker truck or cart Public tap Piped into house Bottled Other, specify
29.	How many rooms are there in your house?	_ _
30.	If one walked at an average pace, approximately how many minutes would it take to walk from your home to the nearest place where you can catch a bus?	_ _ _ minutes
31.	If one walked at an average pace, approximately how many minutes would it take to walk from your home to the nearest health center?	_ _ _ minutes
Disasters and Emergencies: I will now be asking you some questions about disasters and emergencies.		
32.	What different kinds of disasters and emergencies can you think of? [DO NOT READ RESPONSE, TICK ALL THAT ARE MENTIONED]	Landslides Flooding Typhoons Drought Storm surge Volcanic eruptions Earthquakes Infectious Disease Epidemic War/violence/conflict Displacement Mass Exposure to Toxin/Chemical forest fires None Other, specify
33.	Which type of disaster or emergency do you think is the biggest problem for your area?	Landslides Flooding Typhoons Drought Storm surge Volcanic eruptions Earthquakes Infectious Disease Epidemic War/violence/conflict Displacement

		Mass Exposure to Toxin/Chemical forest fires None Other, specify
	Now let's only discuss the natural disaster that you have identified as being the biggest problem in your area.	
34.	In your lifetime, how many times have you personally experienced this specific natural disaster?	<input type="text"/> <input type="text"/>
35.	When was the last time you experienced this specific natural disaster?	Day/month/year
36.	How likely do you think it is that your household will be affected by this natural disaster in the next one year?	Not likely at all Not likely Somewhat likely Likely Very likely I don't know
37.	Compared to 5 years ago, do you think this natural disaster occurs more or less frequently?	Much more frequently More frequently Same as always Less frequently Much less frequently Don't know
38.	What do you think are the main causes of natural disaster?	Nature God Climate change Deforestation Poverty Lack of development Don't know Other, specify
39.	When your community was last affected by this specific disaster, what part of the community was affected?	The entire community Most of the community About half of the community Less than half/very few No one in the community Other, specify
40.	What were the main effects of this disaster in your community?	Injury or Death Damage to houses Damage to infrastructure Loss of productive assets Loss of crops

		Loss of income Loss of livestock Debt Disease Other, specify
41.	Were there parts of your community's infrastructure that were more affected by the disaster?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know
42.	Which parts of your community's infrastructure were most affected by the disaster? DO NOT READ LIST, TICK ALL THAT APPLY	Houses Farmland Fishing resources Trees/Forests/Orchards Schools Health Facilities Water and Sanitation facilities Roads Bridges Don't know Other, specify
43.	Were there any types of jobs or work that were more affected by this disaster?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No>>>>>>SKIP to 45 3. <input type="checkbox"/> I don't know >>>>>>SKIP to 45
44.	Which types of jobs or work were more affected by this disaster? DO NOT READ LIST, TICK ALL THAT APPLY	Does not work Fisherman Livestock herder Farmer Wage labourer Shopkeeper/businessman Government employee Woodworker Perennial Ping Agricultures Migrant Farm Government Police/Army Ethnic Police/Army Don't know Other, specify
45.	Were there any types of people who were more affected by the disaster?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No>>>>>>SKIP to 51 3. <input type="checkbox"/> I don't know >>> SKIP to 51
46.	Which types of people who were more affected by the disaster? DO NOT READ LIST, TICK ALL THAT APPLY	Older people Adults Children Men Women

		People with disability Richer people Poorer people People living in certain areas Other, specify
47.	How satisfied were you with the response to this disaster?	Not satisfied at all Slightly satisfied Somewhat satisfied Satisfied Very satisfied Don't know
48.	Why?	
49.	Do you think your community was adequately prepared for the disaster?	Yes No I don't know
50.	Why?	
51.	Over the past 5 years, are there any changes that have happened in your area which might make the effects of the disaster worse?	Deforestation Mangrove degradation Increased population Increased poverty Bad government Worse community relations Conflict Building or farming in unsafe places Bad farming practices Worse infrastructure Climate change Nothing Other, specify
52.	Compared to other problems in your community, how big of a priority is it to reduce the risk from these disasters?	1. <input type="checkbox"/> Low priority 2. <input type="checkbox"/> Medium priority 3. <input type="checkbox"/> High priority
53.	If a disaster happens in your area, where does your community get forecasts or information from? [DO NOT PROMPT, SELECT AS MANY AS APPLY]	Radio television Friends/family/neighbors Village administration Government Army/police Ethnic Police/Army Other government Alarm/siren/loudspeaker Nothing Don't know Other, specify

54.	<p>I'm going to read you a series of information sources. For each, I would like you to tell me how trustworthy a source of information they are about disasters.</p> <ol style="list-style-type: none"> 1. Friends and family 2. Radio 3. TV 4. Village administration 5. Army 	1 2 3 4 5
Household Disaster Preparedness		
55.	Are there any traditional ways people in this area use to predict disasters?	1. <input type="checkbox"/> Yes If Yes – describe: _____ 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know
56.	<p>In your own household, what steps would you take if you heard that a disaster was forecast?</p> <p>DO NOT READ OPTIONS, TICK ALL THAT APPLY</p>	Evacuate everyone to a safe place Evacuate some people to a safe place, but leave some people behind Secure important documents Secure valuables Secure productive assets Bring livestock to safe areas Prepare emergency supplies Strengthen the house against wind/rain None/nothing Don't know Other, specify
57.	Have you ever discussed disaster preparation and response with your family?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know
58.	Does your household currently have any of the following?	An agreed place to evacuate to Emergency food supply Emergency bag with enough clothing, cash and other supplies for each family member List of important telephone numbers Important documents stored in one place Any kind of disaster insurance policy Separate savings account for emergency/disaster None of the above Don't know Other, specify
59.	Have you taken any other measures to prepare your household for disasters and emergencies?	Structural changes to dwelling Regular checks of household structure Regular checks of neighborhood for potential hazards Keeping a medical kit

		Discussing emergency plan with household members Discussing mutual aid with neighbors Protected raised belongings Moved livestock None of the above Other, specify
60.	If [an agreed place to evacuate to] was selected for Q57: Where is the evacuation point?	Storm shelter Monastery/Church Big house High ground Don't know Other, specify
61.	If [an agreed place to evacuate to] was selected for Q57: How safe do you think the evacuation area is?	1. <input type="checkbox"/> Unsafe 2. <input type="checkbox"/> Somewhat safe 3. <input type="checkbox"/> Safe
62.	Are there any reasons why some or all of your family would NOT evacuate if you heard this disaster was forecast?	It is safe here Too expensive or time consuming to evacuate Afraid to leave Need to stay to look after property Forecasts are not reliable No we would all evacuate Don't know Other, specify
63.	Overall, how prepared do you feel your household is for a future disaster?	1. <input type="checkbox"/> Not prepared at all 2. <input type="checkbox"/> Slightly prepared 3. <input type="checkbox"/> Somewhat prepared 4. <input type="checkbox"/> Prepared 5. <input type="checkbox"/> Very prepared
64.	Why do you feel your level of preparedness is at this level?	We have taken adequate steps Prefer to leave preparedness to village authorities/professionals Risk of disaster is small Don't have money to better prepare Don't know what to do Other, specify
65.	Is there anything else you would like to do in the future to increase your household's level of preparedness? DO NOT READ OPTIONS	Structural changes to dwelling Regular checks of household structure Regular checks of neighborhood for potential hazards Keeping a medical kit Discussing emergency plan with household members Discussing mutual aid with neighbors Saving money Stocking food and water Moving to a safer location Want to be more prepared but don't now what to do

		No other, specify
66.	Is there anything that might prevent you from carrying out these actions?	FREE FORM
67.	Which sentence best describes your area?	If there is a disaster people will only help their own families If there is a disaster, people will work together to support each other, but without much organization. If there is a disaster people will work together to support each other in an organized, well planned way None of the above
68.	Who do you think plays a key role in <u>PREPARING</u> for disasters in your area?	Ordinary people Village authorities Religious leaders Government Army Ethnic Army Health services INGOs Local NGOs Disaster management committees Other volunteers Don't know Other, specify
69.	I'm going to read out a list of actors. Please tell me how effective you think each one is in <u>PREPARING</u> for disasters in your area. 1. Village authorities 2. Army 3. Religious leaders 4. INGOs 5. Local NGOs 6. UN 7. Local disaster management committee or similar body	1 2 3 4 5
70.	Who do you think plays a key role in <u>RESPONDING</u> to disasters in your area?	Ordinary people Village authorities Religious leaders Government Army Ethnic Army Health services INGOs Local NGOs Disaster management committees Other volunteers Don't know Other, specify

71.	<p>I'm going to read out a list of actors. Please tell me how effective you think each one is in RESPONDING to disasters in your area.</p> <ol style="list-style-type: none"> 1. Village authorities 2. Army 3. Religious leaders 4. INGOs 5. Local NGOs 6. UN 7. Local disaster management committee or similar body 	1 2 3 4 5
72.	<p>How clearly do you understand who is responsible for doing what when disasters happen in your area?</p>	Don't understand at all Understand a little bit Partially understand Mostly understand Fully understand
73.	<p>Are you aware of any national government laws or policies concerning disasters?</p>	1. <input type="checkbox"/> Yes – IF yes then describe them 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know
74.	<p>If your household suffered as a result of a disaster who could you rely on to help you?</p> <p>Do not read options, tick all that are mentioned</p>	Friends or neighbors Relatives Rich people in the area Religious leaders Government authorities Savings groups/ self-help groups NGOs Nobody Don't know Other, specify
75.	<p>For each of these statements, on a scale of 1-5, tell me whether you agree or disagree, where 1=strongly disagree, 2=disagree, 3=neither agree nor disagree, 4=agree, 5=strongly agree:</p> <ol style="list-style-type: none"> a. I do not believe preparation will make any difference in emergency events b. I am very interested in emergency related information/news c. I do not pay attention to warnings issued by government authorities d. I often discuss with my friends and family members about emergency response e. I am confident in governments ability to respond to disasters and emergencies f. Community preparedness plans and actions have taken into account the needs of women 	1 2 3 4 5

	<p>g. Community preparedness plans and actions have taken into account the needs of the elderly</p> <p>h. Community preparedness plans and actions have taken into account the needs of the people with disabilities</p> <p>i. I believe that I could easily assemble an emergency kit</p> <p>j. I believe that I could easily assemble an emergency plan for my household</p>	
	Community disaster preparedness	
76.	Does your area have an organized way to warn people about disasters?	<p>1. <input type="checkbox"/> Yes</p> <p>2. <input type="checkbox"/> No</p> <p>3. <input type="checkbox"/> I don't know</p>
77.	Who is involved in running this system?	<p>Village authorities/heads</p> <p>Township authorities</p> <p>Community volunteers</p> <p>Disaster management committee</p> <p>INGOs</p> <p>NGOs</p> <p>Don't know</p> <p>Other, specify</p>
78.	Does your area have an early warning system?	<p>1. <input type="checkbox"/> Yes</p> <p>2. <input type="checkbox"/> No</p> <p>3. <input type="checkbox"/> I don't know</p>
79.	If yes, when was it put in place?	Day/month/year
80.	Is it currently functioning?	<p>1. <input type="checkbox"/> Yes</p> <p>2. <input type="checkbox"/> No</p> <p>3. <input type="checkbox"/> I don't know</p>
81.	Have you ever received messages from the early warning system? Only if 78=YES	<p>1. <input type="checkbox"/> Yes</p> <p>2. <input type="checkbox"/> No (skip to 85)</p> <p>3. <input type="checkbox"/> I don't know (skip to 85)</p>
82.	What messages did you receive?	FREE FORM
83.	How well did you understand the meaning of the messages?	<p>Didn't understand at all</p> <p>Understood a little bit</p> <p>Partially understood</p> <p>Mostly understood</p>

		Fully understood
84.	When you received these messages, what did you do?	FREE FORM
85.	For each of these statements, please tell me whether you strongly agree, agree, neither agree nor disagree, disagree or strongly disagree: a. Early warning systems for disaster are relevant to this community b. I do not understand the information put out by the early warning system in this community c. The early warning system in this community is helpful to improve response	1. <input type="checkbox"/> Strongly agree 2. <input type="checkbox"/> Agree 3. <input type="checkbox"/> Neither agree nor disagree 4. <input type="checkbox"/> Disagree 5. <input type="checkbox"/> Strongly disagree
86.	Does your community have a disaster management committee (or similar body)?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know
87.	If yes, have you taken part in this committee?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know
88.	Does your community have any type of plan to deal with disasters?	1. <input type="checkbox"/> YES 2. <input type="checkbox"/> NO >>> Skip to 91 3. <input type="checkbox"/> I don't know >>> Skip to 91
89.	If yes, what is in the plan?	Risk assessment Evacuation plan Identify evacuation routes Identify evacuation points Evacuating/protecting productive assets Drills Training/awareness-raising Relief to affected people Don't know Other, specify
90.	If yes, did you take part in making this plan?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know
91.	Has your area ever practiced responding to a disaster?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No >>> Skip to 94 3. <input type="checkbox"/> I don't know >>> Skip to 94
92.	Did you participate in this practice?	1. <input type="checkbox"/> Yes

		2. <input type="checkbox"/> No >>> Skip to 94 3. <input type="checkbox"/> I don't know >>> Skip to 94
93.	Did participation in this practice make you feel more confident about your safety?	Not at all more confident A little more confident Somewhat more confident More confident Substantially more confident
94.	Have you ever received any education or training about natural disasters?	1. <input type="checkbox"/> YES 2. <input type="checkbox"/> No >>> SKIP to 98 3. <input type="checkbox"/> I don't know >>> SKIP to 98
95.	If yes, from what source?	TV radio Books/newspapers School NGO training Word of mouth Other, specify
96.	What was the education/training about?	Effects of disasters Early warning systems What to do during disasters How to prepare for disasters How to mitigate disasters Don't know Other, specify
97.	How useful do you think this education/training has been?	Not useful at all Slightly useful Somewhat useful Very useful Extremely useful
98.	Have there been any measures put into place in the last year within the community to minimize risk from disasters?	1. <input type="checkbox"/> YES 2. <input type="checkbox"/> No >> skip to 101 3. <input type="checkbox"/> I don't know >> skip to 101
99.	If yes, which ones?	Improved building construction New/improved early warning system Trainings Improved planning Improved health system/services Emergency shelters built Training/awareness-raising Hazard mapping conducted Implementation of sustainable environmental management practices Stockpiling of food and water Individual or collective savings

		Building dams or dikes to eliminate flooding Disposal of hazardous waste Other, specify
100.	Who was responsible for implementing these measures?	Village authorities Government Government Army Ethnic Army INGOs Local or community based NGOs UN agencies Local disaster management committee Other, specify
101.	Were there any measures put into place to strengthen health facilities ability to respond to disasters in the last year?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No >> >SKIP to 115 3. <input type="checkbox"/> I don't know >> >SKIP to 115
102.	If yes, which ones?	Improvements to health facility buildings Improvements to health facility infrastructure (electricity/water etc) Trainings/education to health workers increased number of health workers Implementation of early warning system Stockpiling drugs Addition of ambulances or other early response systems Other, specify
103.	Do you know of any organizations that work in your community that help prepare communities for disasters?	1. <input type="checkbox"/> YES 2. <input type="checkbox"/> NO >>> skip to 105 3. <input type="checkbox"/> I don't know >>> skip to 105
104.	Name these organizations	<i>Organization list dependent on country selection</i>
105.	How prepared do you feel your community is to respond to disasters in the future?	Not prepared at all Slightly prepared Somewhat prepared Prepared Very prepared
106.	Why do you feel the level of preparedness is at this level?	
107.	How prepared do you think local health facilities are to respond to disasters in the future?	Not prepared at all A little prepared Moderately prepared Very prepared Extremely prepared

108.	Why do you feel the level of preparedness is at that level?	
109.	What do you think your community needs to help it better prepare and respond to disasters?	Improved building construction New/improved early warning system Training/education/awareness Improved planning improved health system/services Build emergency shelters Training/awareness-raising Conduct Hazard mapping Implementation of sustainable environmental management practices Stockpiling of food and water Individual or collective savings More support from NGOs More support from government improved community organization (committees etc) Poverty reduction/livelihoods Improved roads and transport Don't know Other, specify
	Community violence/conflict [all respondents answer this section]	
110.	How big of a problem is violence/conflict in your community?	1. <input type="checkbox"/> Small 2. <input type="checkbox"/> Medium 3. <input type="checkbox"/> Large
111.	What forms of violence occur in your community? TICK ALL THAT ARE MENTIONED	Violence against women and girls Sexual violence/Rape female genital cutting childhood marriage violence between different ethnicities violence related to natural resources Family/domestic violence Violence at schools War Armed attacks Psychological violence None Don't know Other (specify)
112.	Which one of these forms of violence (identified in q110) is the biggest problem in your area?	Violence against women and girls Sexual violence/Rape female genital cutting childhood marriage violence between different ethnicities violence related to natural resources Family/domestic violence

		Violence at schools War Armed attacks Psychological violence None Don't know Other (specify)
113.	How frequently does violence occur in your community?	Never Rarely Occasionally Often Always
114.	How likely do you think it is that your household will be affected by conflict or violence in the next one year?	Not likely at all Not likely Somewhat likely Likely Very likely I don't know
115.	In the last year has the level of violence worsened, improved or remained the same?	Improved Worsened Remained the Same
116.	What do you think is the main cause of this conflict/violence?	Nature God Climate change Deforestation Poverty Lack of development Don't know Other, specify
117.	Have there been any measures/programs put into place in the last year to address violence?	1. <input type="checkbox"/> YES 2. <input type="checkbox"/> NO >>> SKIP to 121 3. <input type="checkbox"/> I don't know >>> SKIP to 121
118.	If yes, which ones? Tick all that apply	Education/training programs Community groups Economics/livelihoods programs Addressing food security Peace and reconciliation programs Conflict resolution programs Other, specify
119.	Who was responsible for implementing these measures? Tick all that apply	Village authorities Government Government Army Ethnic Army

		INGOs Local or community based NGOs UN agencies Local disaster management committee Other, specify
120.	Do you think these measures have been useful?	Not useful at all Slightly useful Somewhat useful Very useful Extremely useful
121.	How prepared do you feel your community is to respond to conflict/ violence in the future?	1. <input type="checkbox"/> Not prepared at all 2. <input type="checkbox"/> A little bit prepared 3. <input type="checkbox"/> Somewhat prepared 4. <input type="checkbox"/> Prepared 5. <input type="checkbox"/> Very prepared
Health Next we would like to ask you about your general health, and children. We assure you that the information you provide will be kept confidentially.		
122.	On most days of the last week, how did you feel? (Read out options)	Very well Well Tired/weak Sick Extremely sick
123.	Overall, in the last 30 days, how much difficulty did you have with moving around? (Read out options)	None Mild Moderate Severe Extremely severe
124.	In the last 30 days how much difficulty did you have in doing vigorous activities (such as walking long distances or fetching numerous buckets of water from the well). (Read out options)	None Mild Moderate Severe Extremely severe
125.	Overall, in the last 30 days, how much difficulty did you have with concentrating or remembering things? (Read out options)	None Mild Moderate Severe Extremely severe
Gender and domestic violence		
126.	Who usually decides how the money in your household: mainly you, mainly your	1. <input type="checkbox"/> Respondent 2. <input type="checkbox"/> Husband/wife/partner 3. <input type="checkbox"/> Respondent and husband/wife jointly

	husband/partner or you and your husband/partner jointly?	4. <input type="checkbox"/> Other_____
127.	Who usually makes decisions about visits to your family or relatives: you, your husband/partner, you and your husband/partner jointly, or someone else?	1. <input type="checkbox"/> Respondent 2. <input type="checkbox"/> Husband/wife/partner 3. <input type="checkbox"/> Respondent and husband/wife jointly 4. <input type="checkbox"/> Other_____
128.	Do you have any of your children currently living with you?	1. Yes <input type="checkbox"/> 2. No <input type="checkbox"/> >>>> Skip to 130 3. I don't know <input type="checkbox"/> >>>> Skip to 130
129.	In this household, who makes the decision on the following in relation to your children... a) Education (which school to enter, stop going to school, etc) b) Health (such as which health facility to take the children to etc) c) Disciplinary enforcement	Respondent Husband/wife/partner Respondent and husband/wife/partner jointly Person living outside the household Other Household member (specify)
130.	Do you have to ask permission of other household members to buy... a) Vegetables and fruits b) Clothing for yourself c) Medicines for yourself d) Personal needs (soap, shampoo, dental paste, sanitary napkins etc)	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know
	<i>Now, some people may believe that a man has a good reason to hit his wife in certain situations. I am going to read you a list of situations. For each one, please tell me if you believe that a man has a good reason to hit his wife in this situation.</i>	
131.	a. She disobeys him. b. She answers back to him. c. She disrespects his relatives. d. He suspects that she is unfaithful. e. He finds out that she has been unfaithful. f. She spends her time gossiping with neighbors. g. She neglects taking care of the children. h. She does not complete her household work to his satisfaction. i. She accuses him of infidelity. j. She tells his secrets to others in the community. k. He is angry with her. l. She burns the food. m. She goes out without telling him.	Do you agree a man would have a good reason to hit his wife in this situation? 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know

	<p><i>Now I would like to ask you questions about some other important aspects of a woman's life. I know some of these questions are very personal. However, your answers are crucial for helping to understand the condition of women in Ethiopia/Myanmar. Let me assure you that your answers are completely confidential and will not be told to anyone and no one else will know that you were asked these questions.</i></p> <p><i>Questions 132-136 for everyone</i> <i>From 137- on: Only women</i></p>	
132.	Out of 10 women living in your village, how many do you think are experiencing any type of physical violence from their husbands?	└─┐ women
133.	Out of 10 women living in your village, how many do you think are experiencing any type of sexual violence from their husbands?	└─┐ women
134.	<p>What are some of the consequences of violence against women?</p> <p>Tick all that are mentioned. DO NOT READ OPTIONS</p>	<p>Psychological outcomes</p> <p>Physical injuries</p> <p>Sexual and reproductive health problems</p> <p>Suicide or death</p> <p>Health or psychological risks for children</p> <p>HIV or STIs</p> <p>Don't Know</p> <p>Other, specify</p>
135.	<p>If a woman in your village was experiencing violence from her husband, who could she go to for help?</p> <p>Tick all that are mentioned. DO NOT READ OPTIONS</p>	<p>Female relative/friend</p> <p>Male relative</p> <p>Police officer</p> <p>Health worker</p> <p>Religious leader</p> <p>Community leader</p> <p>Neighbor</p> <p>Other, specify</p>
136.	<p>If a woman in your village told you that she was experiencing violence from her husband, what would you do?</p> <p>DO NOT READ OPTIONS</p> <p>Tick all that apply.</p>	<p>Discuss the problem of violence with her</p> <p>Encourage her to visit a health facility for treatment</p> <p>Encourage her to report violence to a police officer</p> <p>Encourage her to discuss this problem with traditional / religious leaders</p> <p>Inform your husband about your conversation</p> <p>Inform other women in the village about your conversation</p> <p>Speak to the woman's husband or family about the problem of violence.</p> <p>Nothing, since we should not interfere in other people's private lives.</p> <p>Tell her that violence is common/normal and she should accept it.</p> <p>Discourage her from telling other people</p> <p>Advise her to resolve conflict elicited with her husband</p> <p>Other, specify</p>

137.	<p>I am now going to ask you about some situations that are true for many women. Thinking about your current husband/partner, would you say it is generally true that he:</p> <ul style="list-style-type: none"> a) Tries to keep you from seeing your friends? b) Tries to restrict contact with your family of birth? c) Insists on knowing where you are at all times? d) Ignores you and treats you indifferently? e) Gets angry if you talked to other men? f) Is often suspicious that you are unfaithful? g) Expects you to ask his permission before leaving home? h) Expects you to ask his permission before seeking health care for yourself? i) Prevent you from expressing your opinion in public? 	<ul style="list-style-type: none"> 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know
138.	<p>Now, I'd like to ask you some questions about how your husband interacts with you. In the <u>last twelve months</u>, did your husband ever:</p> <ul style="list-style-type: none"> a) Insulted you or made you feel bad about yourself b) Belittled or humiliated you in front of other people? c) Do things to scare or intimidate you on purpose (eg by the way he looked at you, by yelling and smashing things)? d) Threatened to hurt you or someone you care about? 	<ul style="list-style-type: none"> 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No 3. <input type="checkbox"/> I don't know <p>IF YES: then ask: How often did this happen <u>in the last 12 months</u>: often, only sometimes or rarely.</p> <ul style="list-style-type: none"> 1. <input type="checkbox"/> Often 2. <input type="checkbox"/> Sometimes 3. <input type="checkbox"/> Rarely
139.	<p>Has your husband <u>ever done</u> any of the following things to you in the last twelve months?</p> <ul style="list-style-type: none"> a) Slapped you or thrown something at you that could hurt you? b) Pushed you or shoved you? c) Hit you with his fist or something that could hurt you? d) Kicked you, dragged you or beaten you up? 	<ul style="list-style-type: none"> 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No <p>IF YES: then ask: Has this happened <u>in the last 12 months</u>?</p> <ul style="list-style-type: none"> 1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No <p>IF YES: then ask: How often did this happen <u>in the last 12 months</u>: often, only sometimes or rarely.</p> <ul style="list-style-type: none"> 1. <input type="checkbox"/> Often 2. <input type="checkbox"/> Sometimes 3. <input type="checkbox"/> Rarely

	<p>e) Choked or burnt you on purpose?</p> <p>f) Threatened to use or actually used a gun, knife or other weapon against you?</p> <p>g) Physically force you to have sexual intercourse with him even when you did not want to?</p> <p>h) Force you to perform sexual acts you did not want to?</p> <p>i) Did you ever have sexual intercourse because you were intimidated by him or afraid he would hurt you?</p>	
	<p>Self Efficacy</p> <p>Now I would like to ask you some questions about how you deal with problems. For each of the following statement, please tell me if the statement is not true at all, hardly true, moderately true or exactly true.</p>	
140.	<ol style="list-style-type: none"> 1. I can always manage to solve difficult problems if I try hard enough. 2. If someone opposes me, I can find the means and ways to get what I want. 3. It is easy for me to stick to my aims and accomplish my goals. 4. I am confident that I could deal efficiently with unexpected events. 5. Thanks to my resourcefulness, I know how to handle unforeseen situations. 6. I can solve most problems if I invest the necessary effort. 7. I can remain calm when facing difficulties because I can rely on my coping abilities. 8. When I am confronted with a problem, I can usually find several solutions. 9. If I am in trouble, I can usually think of a solution. 10. I can usually handle whatever comes my way. 	<p>Not at all true</p> <p>Hardly true</p> <p>Moderately true</p> <p>Exactly true</p>

T1: Community Survey

Community Survey

Community Number

GPS Location of household

Organizational Details

3. Name of enumerator	_____	
4. Name and codes of the supervisor	_____ _ _ _	
5. What country is this?	Ethiopia Myanmar Other, specify	
6. District/Region OR State		Select one, depending on country
7. Community/Village OR Township		Select one, depending on country
8. Village track		
9. Village		

Respondent Details

10. Name of Respondent	
11. Phone number of respondent	
12. Sex	Male Female
13. Occupation	Does not work Works for daily wages on other people's land Cultivation on own land Manual labourer Self employed in non-farm work Government employee Non-government employee Student Retired Unemployed (able to work)

	Unemployed (unable to work) Other, specify
14. Position in Community	
15. Length of time residing in community (years)	
16. Age	

VILLAGE CHARACTERISTICS

17. How many years has this community been in existence?	More than 20 years Between 10 and 20 years Less than 10 years	
18. What is the size of the population?		Integer
19. What is the number of households in this village?		Integer
20. Overall, the quality of living of this community may be characterized as	Wealthy Well-to-do Average Poor Very poor	
21. In the last three years, has the number of people living in this community increased, decreased or remained the same?	Increased Decreased Remained the same	
22. Do any of the following problems exist in your community?	Burglaries Assaults Gangs Vandalism Violent disputes Alcohol Abuse Drug abuse Child abuse Prostitution Other, please specify	
23. What is the main religion of people living in this community?	Christian Hindu Islam Buddhist Animist Traditionalist Other, specify	
24. Have most people in this village lived here their whole lives or have they arrived more recently?	Have lived here their whole lives Have arrived more recently	

25. What is the largest ethnic group?	Kayin Kayar Mon Shan Buma Palong PaOh Kayan Kayaw Gaybar Other, specify	
26. What percentage of the population do they represent in this village?		
27. What is the main source of livelihood in this village?	Does not work Works for daily wages on other people's land Cultivation on own land Manual labourer Self employed in non-farm work Government employee Non-government employee Student Retired Unemployed (able to work) Unemployed (unable to work) Other, specify	

INFRASTRUCTURE AND ACCESS TO SERVICES

28. How many years has this community been in existence?	More than 20 years Between 10 and 20 years Less than 10 years	
29. What is the size of the population?		Integer
30. What is the number of households in this village?		Integer
31. What part of the community has household electrical services?	The entire community Most of the community About half of the community Less than half/very few No one in the community	
32. Currently, the quality of electric service within the homes of this community is	Very good Good Average Poor Very poor/no service	

33. What part of the community has access to public lighting services?	The entire community Most of the community About half of the community Less than half/very few No one in the community	
34. Currently, the quality of public lighting service within the homes of this community is	Very good Good Average Poor Very poor/no service	
Drinking Water		
35. Which of the following do the people of this village use for drinking/cooking?	Surface water (river, pond etc) Rainwater Borehole Unprotected spring or well Protected spring or well Tanker truck or cart Public tap Piped into house Bottled Other, specify	
36. Which of the following do the people of this village use for washing/ bathing?	Surface water (river, pond etc) Rainwater Borehole Unprotected spring or well Protected spring or well Tanker truck or cart Public tap Piped into house Bottled Other, specify	
37. What part of the community has access to piped water?	The entire community Most of the community About half of the community Less than half/very few No one in the community	
38. Currently, the quality of clean and drinkable water within this community is	Very good Good Average Poor Very poor/no service	
Telephone and Internet Service		
39. What part of the community has home telephone services (landline/cellphone)?	The entire community Most of the community About half of the community	

	Less than half/very few No one in the community	
40. Currently, the quality of telephone service within the this community is	Very good Good Average Poor Very poor/no service	
41. What part of the community has access to public internet service?	The entire community Most of the community About half of the community Less than half/very few No one in the community	
Sanitation		
42. Which sanitation facilities are used by people of this village?	Own latrine with septic tank Own latrine without septic tank Common latrine Public latrine River/canal/ditch/yard/field Other, specify	
43. What part of the community is served by a public sewage system?	The entire community Most of the community About half of the community Less than half/very few No one in the community	
44. Currently, the quality of public sewage system within this community is	Very good Good Average Poor Very poor/no service	
45. Do the streets of this community have sufficient sewers and drains to handle excess water and prevent flooding when it rains?	Yes No I don't know	
Transportation		
46. What part of the community is accessible by car during a storm?	The entire community Most of the community About half of the community Less than half/very few No one in the community	
47. Currently, the quality of the roads leading to this community are	Very good Good Average Poor Very poor/no service	

48. Public transportation is available	Every day Some days of the week One day per week or less No public transportation	
Housing		
49. The availability of housing in the community is	Adequate Deficient	
50. The quality of housing to withstand a natural disaster is	Very good Good Average Poor Very poor/no service	
Security		
51. Security or police services are provided by:	The police The non-government police A private company The community No service	
52. What part of the community has access to security/police services?	The entire community Most of the community About half of the community Less than half/very few No one in the community	
EDUCATION		
53. Are there primary schools in this village?	Yes No I don't know	
54. Is the number of primary schools/classrooms in this community sufficient to serve the number of school aged children in the community?	Yes No I don't know	
55. Is the number of teachers in these schools sufficient for the number of students?	Yes No I don't know	
56. How would you describe the physical condition of the primary school(s)?	Very good Good Average Poor Very poor/no school	
57. What percentage of eligible school-age children attend public primary schools?	All children Most children About half of children Less than half Very few/none	

58. Are there middle schools in this village?	Yes No I don't know	
59. Is the number of middle schools/classrooms in this community sufficient to serve the number of secondary school aged children in the community?	Yes No I don't know	
60. Is the number of teachers in these schools sufficient for the number of students?	Yes No I don't know	
61. How would you describe the physical condition of the middle school(s)?	Very good Good Average Poor Very poor/no school	
62. What percentage of middle school-age children attend secondary schools?	All children Most children About half of children Less than half Very few/none	
HEALTH		
63. Is there a health clinic/primary health center in this community?	Yes No I don't know	
If yes, then proceed with the next group of questions:		
64. Does the health clinic/primary health center have sufficient, insufficient or none of the following: <ul style="list-style-type: none"> - Basic medicines - Equipment/instruments - Patient beds - Ambulances - Physicians - Nurses - Other Health staff 	Sufficient Insufficient None	
65. Is there a hospital in this community?	Yes No I don't know	
66. Does the hospital have sufficient, insufficient or none of the following: <ul style="list-style-type: none"> - Basic medicines - Equipment/instruments - Patient beds - Ambulances - Physicians - Nurses 		

- Other Health staff		
67. What are the three main health problems in this community?		
68. Were there any health programs in this village in the last 12 months?	Yes No I don't know	
69. If yes, by who were they organized?	Government INGO Local NGO Village Other, specify	
70. What did the programs do?		
Community cohesion and connectedness		
71. Compared to other communities, how much do people in this community trust each other?	More trust than other communities Less trust than in other communities Same as in other communities	
72. Which of the following organizations exist in your community?	Community development committee Cooperative (fishing, agriculture, crafts) Health committee Youth group Women's group Cultural group Water and sanitation committee	
Disaster/Emergencies		
73. How often do the following hazards affect this community? <ul style="list-style-type: none"> - Earthquakes - Typhoon - Flooding - Drought - Storm surges - Landslide - Volcanic eruption - Infectious disease outbreak - Mass exposure to toxin/chemical - War, conflict, violence - Displacement - Other, specify - Other another hazard affects this community, please specify 	Monthly Semi-annual Less than annual Never	
74. Which one of these is the biggest problem for your area?	Landslides Flooding Typhoons Drought	

	Storm surge Volcanic eruptions Earthquakes Infectious Disease Epidemic War/violence/conflict Displacement Mass Exposure to Toxin/Chemical None - we have no disasters in this area Other, specify	
75. When was the last time this specific hazard occurred in your community?		Date
76. What part of the community was affected?	The entire community Most of the community About half of the community Less than half/very few No one in the community	
77. What were the main effects of this disaster in your community?	Injury or Death Damage to houses Damage to infrastructure Loss of productive assets Loss of crops Loss of income Loss of livestock Debt Disease Other (Specify)_____	
78. Were there any people who were more affected by the disaster?	Older people Adults Children Men Women People with disability Richer people Poorer people People living in certain areas Other (Specify)_____	
79. How satisfied were you with the response to this disaster?	Not satisfied at all A little satisfied Somewhat satisfied Satisfied Very satisfied	
80. Why?		
81. Compared to other problems in your community, how big of a priority is it to reduce the risk from these disasters?	Low priority Medium priority High priority	

82. If a disaster happens in your community, where does your community get forecasts or information from?	Radio television Friends/family/neighbors Village administration Army (government) Army (non government) Police (government) Police (non government) Myanmar government Neighboring Government Alarm/siren/loudspeaker Nothing Don't know Other (Specify)	
83. Does your community have an organized way to warn people about disasters?	Yes No I don't know	
84. Who is involved in running this warning system?	Village authorities/heads Township authorities Community volunteers Disaster management committee Don't know Other (Specify)_____	
85. Does your community have an early warning system?	Yes No I don't know	
86. If yes, when was it put in place?		date
87. Is it currently functioning?	Yes No I don't know	
88. Does your community have a disaster management committee (or similar body)?	Yes No I don't know	
89. If yes, have you taken part in this committee?	Yes No I don't know	
90. Does your community have any type of plan to deal with disasters?	Yes No I don't know	
91. If yes, what is in the plan?	Risk assessment Evacuation plan Identify evacuation routes Identify evacuation points Evacuating/protecting productive assets Drills	

	Training/awareness-raising Relief to affected people Don't know Other (Specify)_____	
92. If yes, did you take part in making this plan?	Yes No I don't know	
93. Has your area ever practiced responding to a disaster?	Yes No I don't know	
94. Did you participate in this practice?	Yes No I don't know	
95. Have you ever received any education or training about natural disasters?	Yes No I don't know	
96. If yes, from what source?	TV Radio Books/newspapers School NGO training Word of mouth Other (specify)	
97. What was the education/training about?	Effects of disasters Early warning systems What to do during disasters How to prepare for disasters How to mitigate disasters Don't know Other (specify)	
98. How useful do you think this education/training has been?	Not useful at all Slightly useful Somewhat useful Very useful Extremely useful	
99. Have there been any measures put into place in the last year to minimize risk from disasters?	Yes No I don't know	
100.If yes, which ones?	Improved building construction New/improved early warning system Trainings Improved planning Improved health system/services	

	Emergency shelters built Training/awareness-raising Hazard mapping conducted Implementation of sustainable environmental management practices Stockpiling of food and water Individual or collective savings Other (Specify)_____	
101. Who was responsible for implementing these measures?	Village authorities Government Non-Government employee Army (government) Army (non government) INGOs Local or community based NGOs UN agencies Local disaster management committee Other, specify	
102. If an International Organization, which one?		
103. If a local organization, which one?		Organization options dependent on country selection
104. Were there any measures put into place to strengthen health facilities ability to respond to disasters in the last year?	Yes No I don't know	
105. If yes, which ones?	Improvements to health facility buildings Improvements to health facility infrastructure (electricity/water etc) Trainings/education to health workers Increased number of health workers Implementation of early warning system Stockpiling drugs Other (Specify)_____	
106. How prepared do you feel your community is to respond to disasters in the future?	Not prepared at all A little prepared Moderately prepared Very prepared Extremely prepared Don't know	
107. Why do you feel the level of preparedness is at this level?		
108. How prepared do you think local health facilities are to respond to disasters in the future?	Not prepared at all	

	A little prepared Moderately prepared Very prepared Extremely prepared Don't know	
109. Why do you feel the level of preparedness is at this level?		
110. What do you think your community needs to help it better prepare and respond to disasters?	Improved building construction New/improved early warning system Trainings Improved planning Improved health system/services Build emergency shelters Training/awareness-raising Conduct Hazard mapping Implementation of sustainable environmental management practices Stockpiling of food and water Individual or collective savings More support from NGOs More support from government Improved community organization (committees etc) Poverty reduction/livelihoods Don't know Other (Specify)	
111. How big of a problem is violence/conflict in your community?	Small Medium Large	
112. What forms of violence occur in your community?	Violence against women and girls Sexual violence/Rape Female genital cutting Childhood marriage Violence between different ethnicities Violence related to natural resources Family/domestic violence Violence at schools War Armed attacks None Don't know Other, specify	
113. Which one of these forms of violence is the biggest problem in your area?	Violence against women and girls Sexual violence/Rape Female genital cutting Childhood marriage Violence between different ethnicities	

	Violence related to natural resources Family/domestic violence Violence at schools War Armed attacks None Don't know Other, specify	
114. How frequently does violence occur in your community?	Never Rarely Occasionally Often Always	
115. In the last year has the level of violence in this community worsened, improved or remained the same?	Improved Worsened Remained the same	
116. Have there been any measures/programs put into place in the last year to address violence?	Yes No I don't know	
117. If yes, which ones?	Education/training programs Community groups Economics/livelihoods programs Addressing food security Peace and reconciliation programs Conflict resolution programs Other, specify	
118. Who was responsible for implementing these measures?	Village authorities Government Non-Government employee Army (government) Army (non government) INGOs Local or community based NGOs UN agencies Local disaster management committee Other, specify	
119. If an International Organization, which one?		ß
120. If a local organization, which one?		
121. Do you think these measures have been useful?	Not useful at all Slightly useful Somewhat useful Very useful Extremely useful	
122. How prepared do you feel your community is to respond to conflict/violence in the future?	Not prepared at all A little prepared	

	Moderately prepared Very prepared Extremely prepared Don't know	
123. That is all of the questions I had, is there anything else that you would like to add, or any issues that we have missed?		

INTERIM PHASE DATA COLLECTION TOOLS

T2: In-depth Interview Guide for Minimum Set Evaluation Activities

In-Depth Interview Guide	
General	
<p>Notes to interviewer: complete information above while asking these questions.</p>	<p>Interviewer to read: Thank you for agreeing to participate in this interview. The interview will take approximately 60-90 minutes of your time and will be audio-recorded. All information you provide will remain confidential and anonymous. You have the right to pause or terminate the interview at any time. Do you have any questions before we proceed?</p> <p>All: First I will ask you some basic demographic information. Then we will ask questions about capacity building, working on consortia, implementation of DEPP, national preparedness, and then institutional arrangement. You are free to decline to respond to any of the questions.</p> <ol style="list-style-type: none"> 1. What is your age? 2. Which organisation do you work for? 3. Which country or countries do you currently work in? 4. What is your role in this organisation? 5. How long have you worked for this organisation? 6. How long have you worked in the humanitarian field? 7. What is your nationality? 8. What is your highest level of education completed? 9. Briefly tell me how long have you been involved with the project/DEPP? <p>To start with, it would be great to hear an update about your project?</p>
<p>ALL: Capacity Building</p>	<p>First, I would like to start by discussing capacity building approaches. I'm going to ask you to think about your own project and also about the DEPP as a whole. I understand that you may be able to speak best about your own project, but any perspectives at the level of the DEPP would be greatly appreciated.</p> <p>As you know there are many different types of capacity building approaches that are being used across the DEPP projects.</p> <p>There are various types of INDIVIDUAL capacity building efforts directed towards humanitarian staff or community members (trainings, webinars, mentoring), others directed at building ORGANISATIONAL CAPACITY (such as changing organisational policy), and other approaches to build capacity at the systems or government level.</p> <p>10. First, at what levels (individual, organisational, systems, government) do you feel <u>your project</u> is working to build capacity?</p>

	<p>Question 2.A.</p> <p>11.Ok, let's first discuss building individual capacity. In your opinion, which capacities are perceived to be the most important for humanitarian workers to be effective?</p> <p>11a. Looking back on your own project and/or on the DEPP, which projects/delivery mechanisms/capacity building approaches have been them MOST effective in building INDIVIDUAL capacity?</p> <p>Probe: Why? What makes them effective?</p> <ul style="list-style-type: none"> • What is perceived to be the most significant change you have observed in relation to individual capacity building? Why? • Was there any approach that you expected to lead to change but it didn't? Why or why not? <p>Probe: Which projects/delivery mechanisms/capacity building approaches have been the LEAST effective in building individual capacity?)</p> <ul style="list-style-type: none"> • Why? What makes them ineffective? <p>12. What about ORGANISATIONAL capacity? Which projects/delivery mechanisms/capacity building approaches have been the MOST effective in building organisational capacity?</p> <p>Probe: Why? What makes them effective?</p> <ul style="list-style-type: none"> • What is perceived to be the most significant change you have observed in relation to organisational capacity building? Why? • Was there any approach that you expected to lead to change but it didn't? Why or why not? <p>12b. And the least effective? (Which projects/delivery mechanisms/capacity building approaches have been the LEAST effective in building organisational capacity?)</p> <p>Probe: Why? What makes them ineffective?</p> <p>Question 2.B.</p> <p>14. To what extent are these capacity building activities contributing to greater preparedness and response among local organisations and communities?</p>
<p>ALL: Collaboration/ Consortia</p>	<p>Now, let's talk about collaboration and consortia, which is such an important part of the DEPP's approach.</p> <p>Question 3.A.</p> <p>16. Now that collaboration and consortia are formed, what have been the overall benefits of working together via consortia?</p> <p>17. Now that collaboration and consortia are formed, what have been the overall disadvantages of working together via consortia?</p> <p>18. In your opinion, how have these multi-stakeholder platforms/consortia facilitated or hindered capacity building?</p>

	<p>19. Do you think such partnerships creation is a good use of funds? Do you think collaboration activities are likely to lead to efficiencies as measured by reductions in costs and time taken for humanitarian response?</p> <p>Question 3.B.</p> <p>20. Looking back on your project and also the programme, has working through consortia been an effective way to build INDIVIDUAL capacity? Why or why not? What about ORGANISATIONAL capacity? Why or why not?</p> <ul style="list-style-type: none"> • If yes, has it been more effective for individual OR organisational capacity building? Why? • What elements of the consortia are helpful to build individual and organisational capacity? What elements are not helpful?
All: Implementation of Project and Program Activities	<p>Now let's speak about implementation of project and programme activities</p> <p>21. What are the key lessons that can be learned from the programme implementation process?</p> <p>Probes: What challenges have you or your organisation encountered with the delivery of capacity building programmes?</p> <ul style="list-style-type: none"> • Please provide an example. How did you deal with this challenge? <p>What challenges have you or your organisation encountered with the maintenance (i.e. talent management) of capacity?</p> <ul style="list-style-type: none"> • Please provide an example. How did you deal with this challenge? <p>22. What are the good practices that can be replicated and/or up-scaled in future?</p>
All: Preparedness System Change	<p>Now, let's move on to speak more about to changes that may or may not have resulted due to your project and/ or the DEPP.</p> <p>Question 5.A.</p> <p>23. In your opinion, have national preparedness systems changed since the beginning of the DEPP?</p> <p>Probe: If yes, how has it changed? What was the role of your project / DEPP in this?</p> <p>Probe (DEPP Programme Board and Learning Project): If yes, which countries and why in those specific countries and not in other countries where there are DEPP activities?</p> <p>Question 5.D.</p> <p>24. What is the most significant change attributed to your project, and why? (DEPP Programme Board and Learning Project): What projects have led to the most significant change and why?</p> <p>25. What is the most significant change attributed to the DEPP as a whole in your country, and why?</p> <p>Question 5.C.</p> <p>26. Has your project worked to influence the institutional arrangements related to humanitarian preparedness at the organisational level?</p> <p>Probe: If yes, how? Has it been effective in strengthening policies, systems, and processes at the organisational level?</p> <ul style="list-style-type: none"> • Has it led to collaboration with local or national organisations?

	<p>(DEPP Programme Board and Learning Project): Are there specific projects within the DEPP that have been effective in influencing the institutional arrangements related to humanitarian preparedness at the organisational level?</p> <ul style="list-style-type: none"> • If yes, how has it been effective in strengthening policies, systems, and processes at the organisational level? • Why have these specific projects have been particularly effective at this compared to others? Has it to led to collaboration with local or national organisations? <p>27. Has your project worked to influence the policy environment related to humanitarian preparedness in your country?</p> <ul style="list-style-type: none"> • If yes, how? Has it been effective in strengthening policy at the local, national and international levels? • Have you been collaborating with UN or government agencies on these policies? Or have they been disseminated to these outlets? Who have you collaborated with specifically? <p>(DEPP Programme Board and Learning Project): Are there specific projects within the DEPP that have been effective in influencing the policy environment related to humanitarian preparedness at the local, national or international levels?</p> <ul style="list-style-type: none"> • If yes, how has it been effective in strengthening policy at the local, national and international levels? • Has there been collaboration with UN or government agencies on these policies? Or have they been disseminated to these outlets? <p>28. How do you feel now that the DEPP is coming to a close? What can you say about the longer-term sustainability of the programme?</p> <ul style="list-style-type: none"> • Will the capacities that have been built be able to be used in the long-term? <p>29. What would you do differently in a future emergency?</p> <p>30. Looking back at your project, is there anything you would have done differently to increase its impact? If yes, what?</p> <p>31. Looking back at the DEPP as a whole, is there anything you would recommend having done differently to increase its impact? If yes, what?</p>
All: Being Part of DEPP	<p>Question 2.A.</p> <p>32. In your opinion, is there value added in being part of a larger program like the DEPP rather than a standalone project? If yes, why? If not, why not?</p> <p>33. In your opinion, has being part of a larger program like DEPP <u>affected project delivery and impact</u>?</p> <p>Probes: If yes, how? If not, why not?</p> <p>34. If not, what could have been done to ensure that being part of a larger program was beneficial for your project?</p> <p>35. Do you think the project would have had greater impact, the same impact or lesser impact if it had been a standalone project?</p>
All: Prioritised Groups	<p>Question 5.B.</p> <p>36. Has your project had any innovative or effective approaches to strengthening inclusion of prioritised groups? (women, children, the elderly, people living with disabilities)</p>

	<p>Probe: What about those approaches were particularly effective? And for which prioritised groups was it effective for?</p> <ul style="list-style-type: none"> What change has occurred across the DEPP because of this with respect to inclusion? <p>(DEPP Programme Board and Learning Project): Which projects have had innovative or effective approaches to strengthening inclusion of prioritised groups? What about those approaches were particularly effective? What change has occurred across the DEPP because of this with respect to inclusion?</p> <p>(If ADCAP, ask: are there any others?)</p>
Additional Questions for In-Country Leads	
	<p>Question 2. A. Can you describe any of the skills that you have acquired/been trained in over the course of the DEPP?</p> <ul style="list-style-type: none"> Have you participated in capacity building activities since the beginning of the DEPP? Which types of capacity building activities have you participated in? Could you tell me more about these [trainings, workshops, etc.] How long has it been since [capacity building activity]? Did you find that [capacity building activity] was useful for you? Why or why not? <p>What has your experience been with applying the knowledge from the [capacity building activity] in your everyday work?</p> <ul style="list-style-type: none"> Have you used these skills since the [capacity building activity]? If a disaster or emergency happened, what might you do differently than before? <p>What type of capacity building activities has DEPP or your project implemented in your country?</p> <ul style="list-style-type: none"> How have these activities affected beneficiaries? <p>In general, which types of capacity building activities are most useful in your country?</p>
	<p>Question 2.C. Has YOUR individual capacity to respond to disasters changed since the start of DEPP?</p> <ul style="list-style-type: none"> If yes, how has it changed? If not, why not? <p>Have OTHER people's individual capacity to respond to disasters changed since the start of DEPP?</p> <ul style="list-style-type: none"> If yes, who's capacity? If yes, how has it changed? If not, why not?
	<p>Question 2.C. Has your organisations' capacity to respond to disasters changed since the start of DEPP?</p> <ul style="list-style-type: none"> If yes, how has it changed? If not, why not? In your view, how much of the change is because of the DEPP? What other programs have contributed to this change?
	<p>Question 2.D. In your opinion, has local knowledge and understanding of best practices relating to disaster and emergency preparedness and response changed since the beginning of the programme?</p> <ul style="list-style-type: none"> If yes, in what ways? If yes, are you seeing any changes at the organisational level? System level?
	<p>Question 2.D. What activities have led to the biggest changes in knowledge and understanding of best practices for local and national organisations?</p>
Additional Questions for UK Leads	

	<p>Question 2.A.</p> <p>13. What has your experience been in IMPLEMENTING capacity building activities?</p> <ul style="list-style-type: none"> • Which type do you perceive to be most useful for your in-country partners? • Have these activities been evaluated? If so, could you tell us the results?
	<p>Question 2.D.</p> <p>14. Has knowledge and understanding of best practices relating to disaster and emergency preparedness and response changed since the beginning of the program?</p> <p>Probe: If yes, in what ways? Do you believe these changes can be attributed directly to your project?</p> <p>Question 2.D</p> <p>15. IF yes, Do you feel that the knowledge has been applied by the participants? retained in the longer term?</p> <p>Probe: In your opinion, have country partners become more empowered (or become self-reliant) over course of the DEPP?</p>
<p>Additional Questions for DEPP Programme Board and Learning Project</p>	
	<p>Question 2.D.</p> <p>What activities have led to the biggest changes in knowledge and understanding of best practices for local and national organisations?</p> <ul style="list-style-type: none"> • If yes, which countries? Which projects? Why have these activities been particularly effective for these projects or countries? <p>In your opinion, has local knowledge and understanding of best practices relating to disaster and emergency preparedness and response changed since the beginning of the programme?</p> <ul style="list-style-type: none"> • If yes, in what ways? Which countries? Which projects? • If yes, are you seeing any changes at the organisational level? System level? • Do you feel that the knowledge has been applied by the participants? • If yes, do you think that knowledge will be retained in the longer term? • Do you believe these changes can be attributed directly to any of the project? <p>In your opinion, have country partners become more empowered (or become self-reliant) over course of the DEPP?</p>

T2: Follow up Questionnaire

Follow-up Questionnaire
This questionnaire is an optional supplement to the in-depth interviews for the DEPP external evaluation. It was created to provide an additional opportunity to share experiences, perspectives and lessons learned from the DEPP and your individual projects. Please keep in mind that the questions below are not mandatory but serve as an additional way to document learnings that may not have been captured in your interviews.
What is your name?
What project are you working with?
Capacity building
Based on your experience with the DEPP, what are the most effective activities for building the individual capacity of humanitarian staff? (trainings/workshops/coaching/mentoring/training of trainers, combination of activities, etc.)
Why are these approaches or activities effective?
Based on your experience with the DEPP, what are the least effective activities for building individual capacity of humanitarian staff?
Why aren't these approaches or activities effective?
Based on your experience with the DEPP, what are the most effective activities for building organisational capacity of humanitarian organisations preventing and responding to disaster and emergency?
Why are these approaches or activities effective?
Based on your experience with the DEPP, what are the least effective activities for building organisational capacity of humanitarian organisations preventing and responding to disaster and emergency?
Why aren't these approaches or activities effective?
Based on your experience with the DEPP, which capacities are perceived to be the most important for humanitarian workers to be effective?
Do you feel that the knowledge gained through capacity building activities has been applied by the participants? Has it been retained in the longer term?
What challenges have you or your organisation encountered with the delivery of capacity building programmes?
What challenges have you or your organisation encountered with the maintenance (i.e. talent management) of capacity? Please provide an example. How did you deal with these challenges?
In your experience, have the capacity building activities you have implemented or participated in contributed to greater preparedness and response among local organisations and communities?
Collaboration and consortia
What kind of impact has working in a consortium had on preparedness levels? What about response?
Do you believe the investment in consortia (e.g., time and funds) was worth it? Why or why not?
Now that collaboration and consortia are formed, what have been the overall benefits of working together in a consortium? What are the disadvantages?
Have you seen any changes in knowledge or understanding of best practices relating to emergency preparedness and response since the beginning of the DEPP? If yes, please share examples of these changes.
Do you think collaboration activities are likely to lead to efficiencies as measured by reductions in costs and time taken for humanitarian response?
Looking back on the DEPP, has working through consortia been an effective way to build individual capacity? Why or why not?
Has working through consortia been an effective way to build organisational capacity? Why or why not?
Systems and policies

Based on your experience, have national preparedness systems in the countries where you are working changed since the beginning of the DEPP?
Do you feel that these changes be attributed to your project? Why?
Has your project had any innovative or effective approaches to strengthening inclusion of prioritised groups? (women, children, the elderly, people living with disabilities)
What about those approaches were particularly effective?
Has your project worked to influence the institutional arrangements (systems, policies, processes) related to humanitarian preparedness at the organisational level? If yes, how?
Has it been effective?
Has your project been effective in strengthening policy at the local, national and international levels?
Significant changes and impact
What is the most significant change attributed to your project? Why?
What is the most significant change attributed to the DEPP as a whole in your country? Why?
Looking back at your project, is there anything you would have done differently to increase its impact? If yes, what?
Looking back at the DEPP as a whole, is there anything you would recommend having done differently to increase its impact? If yes, what?
In your opinion, is there value added in being part of a larger program like the DEPP rather than a standalone project? If yes, why? If not, why not?
Key lessons learned and best practices
What are the key lessons that can be learned from the design and implementation of the DEPP?
What are the good practices that can be replicated and/or up-scaled in future?
How do you feel now that the DEPP is coming to a close? To what extent do you feel that there is longer-term sustainability of the programme?
Please share any additional thoughts or comments on the DEPP. This may include successes and challenges, areas for improvement, examples of effective capacity building approaches, perspectives on consortia, or other topics that were not covered in the interview that you feel are important lessons to document for this evaluation.
Thank you for your responses.

SUMMATIVE PHASE DATA COLLECTION TOOLS

T2: In-Depth Interview Guide

In-depth Interview guide - Endline

Interviewer to read: Thank you for agreeing to participate in this interview. The interview will take approximately 60-90 minutes of your time and will be audio-recorded. All information you provide will remain confidential and anonymous. You have the right to pause or terminate the interview at any time. Do you have any questions before we proceed?

First I will ask you some basic demographic information. Then we will ask questions about capacity building, working on consortia, implementation of DEPP, national preparedness, and then institutional arrangement. You are free to decline to respond to any of the questions.

10. What is your age?
11. Which organization do you work for?
12. Which country or countries do you currently work in?
13. What is your role in this organization?
14. How long have you worked for this organization?
15. How long have you worked in the humanitarian field?
16. What is your nationality?
17. What is your highest level of education completed?
18. Briefly tell me how long have you been involved with the project/DEPP?
19. To start with, it would be great to hear any updates about your project?

Capacity Building

First, I would like to start by discussing capacity building approaches. I'm going to ask you to think about your own project and also about the DEPP as a whole. I understand that you may be able to speak best about your own project, but any perspectives at the level of the DEPP would be greatly appreciated.

As you know there are many different types of capacity building approaches that are being used across the DEPP projects.

There are various types of INDIVIDUAL capacity building efforts directed towards humanitarian staff or community members (trainings, webinars, mentoring), others directed at building ORGANIZATIONAL CAPACITY (such as changing organizational policy), and other approaches to build capacity at the systems or government level.

20. First, **at what levels** (individual, organizational, systems, government) do you feel **your project** is working to **build capacity**?
21. Looking back at your project, what activities have been the most effective in building individual/organizational/community/government capacity?
22. What made these capacity building activities particularly effective?
23. What are the main results that you are seeing from these capacity building activities?

24. What is the most **SIGNIFICANT CHANGE** you are seeing as a result of these activities?
25. To what extent are the capacity building activities **contributing** to **greater preparedness and response** among local organisations and communities?
26. What are the main changes you are seeing in **organizations** as a result of your project's activities?
27. What are the main changes you are seeing in **communities** as a result of your project's activities?
28. What do you think is leading to these changes?
29. [if changes are mentioned] Have these changes in levels of preparedness contributed to improved response?
- If yes – describe the response and how it was improved.
 - [perhaps probe on timeliness, locally led, coverage, and overall effectiveness of current response and compared to previous]
30. Has knowledge and skills related to disaster and emergency preparedness and response changed since the beginning of your project?
Probe: If yes, in what ways?
31. IF yes, do you feel that the knowledge has been applied by the participants? Has the knowledge been retained in the longer term?

Probe: In your opinion, have country partners become more empowered (or become self-reliant) over the course of the DEPP?

Collaboration & Consortia

Now, let's talk about **collaboration and consortia**, which is such an important part of the DEPP's approach.

32. In your opinion, how have the multi-stakeholder platforms/consortia **facilitated or hindered capacity building**?
33. Do you think such partnerships creation is a good use of funds?
34. Do you think collaboration activities are likely to lead to efficiencies as measured by reductions in costs and time taken for humanitarian response?
35. Looking back on your project and also the programme, has working through consortia been an effective way to build **INDIVIDUAL** capacity? Why or why not? What about ORGANIZATIONAL capacity? Why or why not?
- If yes, has it been more effective **for individual OR organizational capacity building**? Why?
 - What elements of the consortia are helpful to build individual and organizational capacity? What elements are not helpful?

Project & Programme Implementation

Now let's speak about implementation of project and programme activities

36. What are the key lessons that can be learned from the project implementation process?
- Probes: What challenges have you or your organization encountered with the delivery of capacity building programmes?
 - Please provide an example. How did you deal with this challenge?
 - What challenges have you or your organization encountered with the maintenance of capacity (ie talent management)?

- Please provide an example. How did you deal with this challenge?

37. Has the project achieved its objectives / targets?

38. What are the good practices from your project that can/should be replicated and/or up-scaled in future?

Preparedness Systems Change

Now, let's move on to speak more about to changes that may or may not have resulted due to your project and/ or the DEPP.

39. In your opinion, have national preparedness systems changed since the beginning of the DEPP?

- Probe: If yes, how has it changed? What was the role of your project / DEPP in this?

40. What is the most **significant change** attributed to **your project**, and why?

41. What is the most **significant change** attributed to all the **DEPP** projects together in your country, and why?

42. Has your project worked to influence the institutional arrangements related to humanitarian preparedness at the organizational level?

- Probe: If yes, how? Has it been effective in strengthening policies, systems, and processes at the organizational level?
- Has it led to collaboration with local or national organizations? How?

43. Has your project worked to influence the policy environment related to humanitarian preparedness in your country?

- If yes, how? Has it been effective in strengthening policy at the local, national and international levels?
- Have you been collaborating with UN or government agencies on these policies? Or have they been disseminated to these outlets? Who have you collaborated with specifically?

44. How do you feel now that the DEPP is coming to a close? What can you say about the **longer-term sustainability** of the programme?

- How was sustainability built into the project design and implementation?
- Will the capacities that have been built be able to be used in **the long-term**?
- What could have been (could be) done to improve sustainability of your DEPP project?

45. Looking back at **your project**, is there anything you would have done differently to increase its impact? If yes, what?

46. Looking back at the **DEPP** as a whole, is there anything you would recommend having done differently to increase its impact? If yes, what?

Being part of DEPP

47. In your opinion, is there value added in being part of a larger program like the DEPP rather than a standalone project? If yes, why? If not, why not?
48. In your opinion, has being part of a **larger program like DEPP** affected project delivery and impact?
- Probes: If yes, how? If not, why not?
49. If not, what could have been done to ensure that being part of a larger program was beneficial for your project?
50. Do you think the project would have had greater impact, the same impact or lesser impact if it had been a standalone project?

Prioritized groups

51. Has your project or organization implemented or benefited from any innovative or effective approaches to strengthening inclusion of prioritized groups? (women, children, the elderly, people living with disabilities)
- Probe: What about those approaches were particularly effective? And for which prioritized groups was it effective for?
 - What changes have occurred because of this with respect to inclusion?

T2: KAP Questionnaire

DEPP External Evaluation

KAP Questionnaire

Eligibility of study subject

1. Age 18 and older
2. Language (English) or Local Language

ENDLINE KAP SURVEY

Enumerator Information

MMR08. Name of enumerator	_____
MMR09. Name of the supervisor	_____

MMR01. GPS Location of organization	GPS coordinates
MMR02. Respondent code	-----
Consent form	
MMR04. Would you like to consent?	Yes No
Note for enumerator: Please ask the respondent if they would like a paper copy of this consent.	
MMR05. Please indicate the following:	Handed participant a copy of the consent Participant stated s/he did not want to receive this form

MMR06. If the participant does not want to participate, why?	Text
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MMR07. What country is this?	Ethiopia Kenya South Sudan Myanmar Philippines Mozambique Sudan Jordan Bangladesh India United Kingdom United States Pakistan Democratic Republic of the Congo Other, specify
MMR10. District/Region	List of districts/regions
MMR11. City	List of cities

MMR12. Name of respondent	Text
MMR13. Location of organization	Urban Rural
MMR14. Address of organization's primary office	Text
MMR15. Organizational email address of respondent	Text
MMR16. Personal email address of respondent	Text
MMR17. Phone number of respondent	Number
MMR18. Organization website	Text

A. Respondent Information

To begin, I would like to ask you some general background information	
A1. What is your age?	Years (18 as minimum age)
A2. What is your gender?	Male Female

A3. What is your nationality?	Ethiopia Kenya South Sudan Myanmar Philippines Mozambique Sudan Jordan Bangladesh India United States Pakistan Democratic Republic of the Congo Other, please specify
A4. What is your highest level of education completed?	None Primary incomplete Primary complete Middle incomplete Middle complete High School incomplete High School complete University complete University incomplete Vocational school Masters Degree Completed Advanced/Professional Degree Completed (MD, PhD) Other type of school
A5. What type of organization do you currently work for?	International NGO International organization (eg, UN, IOM, World Bank, etc.) National NGO (has projects throughout the country) Local NGO (has projects in a specific locality or region within country) Academic institution Government Private sector Health facility Other, specify
A6. What organization/institution do you currently work for?	List of organizations and institutions
A7. What is your job category in this organization?	Operations/programs Senior management/executive Student Technical advisor Administration/finance Policy/advocacy Monitoring and Evaluation Research Other

A9. At what level would you consider your job?	Entry Level Mid Level Senior Level Other
A10. In your current position, which of the following areas are you most engaged in as part of your job?	None Food security and livelihoods WaSH Health Shelter Education Child Protection Nutrition Generalist MEL Logistics Fundraising Awards Emergency telecommunications Surge Management Other
A13. How long have you worked at this organization?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years
A14. How long have you been in your current position with this organization?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years
A15. How long have you worked in the humanitarian sector?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years

Basic Organizational Information

Next, I would like to ask you some basic information about the organization	
A24/ Does your organization/country office have a policy about inclusion of vulnerable groups such as women, children, people with disabilities, the elderly?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know
A28. Is your organization part of any of the following networks?	<input type="checkbox"/> 1 START Network <input type="checkbox"/> 2 CDAC <input type="checkbox"/> 3 DEPP <input type="checkbox"/> 4 Other, please specify <input type="checkbox"/> 5 None
A29. Do you work on any of the following projects?	<input type="checkbox"/> Public Health Emergencies Preparedness in Gambella <input type="checkbox"/> Strengthening Emergency Preparedness Systems in Myanmar <input type="checkbox"/> Urban Early Warning, Early Action <input type="checkbox"/> Strengthening Disaster Preparedness in Ethiopia <input type="checkbox"/> Financial Enablers <input type="checkbox"/> CDAC-N (Better Dialogue, Better Information, Better Action) <input type="checkbox"/> Shifting the Power <input type="checkbox"/> Age & Disability Capacity Building (ADCAP) <input type="checkbox"/> ALERT <input type="checkbox"/> Protection in Practice <input type="checkbox"/> Transforming Surge Capacity <input type="checkbox"/> My organization is not receiving any resources or support from these projects
A30. Is your organization implementing any of the following projects?	<input type="checkbox"/> Public Health Emergencies Preparedness in Gambella <input type="checkbox"/> Strengthening Emergency Preparedness Systems in Myanmar <input type="checkbox"/> Urban Early Warning, Early Action <input type="checkbox"/> Strengthening Disaster Preparedness in Ethiopia <input type="checkbox"/> Financial Enablers <input type="checkbox"/> CDAC-N (Better Dialogue, Better Information, Better Action) <input type="checkbox"/> Shifting the Power <input type="checkbox"/> Age & Disability Capacity Building (ADCAP) <input type="checkbox"/> ALERT <input type="checkbox"/> Protection in Practice <input type="checkbox"/> Transforming Surge Capacity <input type="checkbox"/> My organization is not receiving any resources or support from these projects
A31. Is your organization receiving any resources, trainings, capacity building activities or other support from any of these projects?	<input type="checkbox"/> Public Health Emergencies Preparedness in Gambella <input type="checkbox"/> Strengthening Emergency Preparedness Systems in Myanmar <input type="checkbox"/> Urban Early Warning, Early Action <input type="checkbox"/> Strengthening Disaster Preparedness in Ethiopia <input type="checkbox"/> Financial Enablers <input type="checkbox"/> CDAC-N (Better Dialogue, Better Information, Better Action) <input type="checkbox"/> Shifting the Power <input type="checkbox"/> Age & Disability Capacity Building (ADCAP) <input type="checkbox"/> ALERT

	Protection in Practice Transforming Surge Capacity My organization is not receiving any resources or support from these projects
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B1. Have you participated in any capacity building activities such as training courses or workshops in the past 12 months?	Yes No I don't know
B2. Which organization/project led the training?	list of organizations/projects
B3. How many days was the training?	Less than half day Half day 1 day 2 days 3 days 4 days one week >1 week
B4. What was the primary format of the training that you received?	Classroom based short lectures (1-2 hour session) Hands-on training and workshops (1-2 days) Longer in person training Written materials Online learning and online simulations Disaster drills Combination of in person and online training Job placement/ internship Other
B5. What topics were covered in your training?	Hazard, risk and vulnerability assessments Response mechanisms and strategies Preparedness Plans Coordination Information Management Early warning systems Resource mobilization Public education, training and rehearsals Community based disaster preparedness First aid CPR (certified) Basic life support Advanced life support Trauma life support Disaster triage Decontamination Hazardous material medical response, involving chemical, biological, radioactive, and nuclear substances Psychological first aid Monitoring and Evaluation Leadership skills

	Logistics Project management Accounting and finance Water and sanitation Nutrition Shelter and camp design Statistical analysis Protection Education Security issues Humanitarian law Other, please specify
B6. How useful was the training?	Not useful at all Slightly useful Somewhat useful Very useful Extremely useful
B10. Have you participated in any disaster drills or simulations in the past 12 months?	1 Yes 2 No 3. I don't know
B11. Which organization/project led the drill/simulation	List of organizations/projects
B12. How many days was the drill/simulation?	Less than half day Half day 1 day 2 days 3 days 4 days one week >1 week
B13. 2 How useful was the drill/ simulation?	Not useful at all Slightly useful Somewhat useful Very useful Extremely useful

Core Humanitarian Concepts

NOTE: [DO NOT READ REPONSES]	
B14. What are the main phases of humanitarian response?	1 Preparedness and contingency 2 Disaster risk reduction 3 Response 4 Recovery 5 Other 6. Don't know

B15. Please list the most commonly utilized standards in humanitarian assistance.	Sphere standards Hyogo MIST INEE Don't know
B16. You are deployed to a devastated region after a major natural disaster. While addressing any immediate life-threatening needs, your multi-disciplinary team's first priority should be to:	<ol style="list-style-type: none"> 1. establish a functional medical clinic for emergency care. 2. dig wells or cap springs in areas lacking potable water. 3. distribute tents or other appropriate emergency shelter. 4. complete an initial assessment of needs and resources.
B17. Which UN institution has the mandate to protect refugees?	<ol style="list-style-type: none"> 1. National government 2. UNHCR 3. UNHCHR 4. UN Blue Helmets Don't know
B18. Who is responsible for the protection of IDPs (Internally Displaced Persons)?	<ol style="list-style-type: none"> 1. National government 2. UNHCR 3. UNHCHR 4. UN Blue Helmets Don't know
B19. Which humanitarian principle directly conflicts with a military partnership?	<ol style="list-style-type: none"> 1. impartiality 2. humanity 3. neutrality 4. benevolence Don't know
B20. Which of the following is NOT a recognized United Nations humanitarian response 'cluster'?	<ol style="list-style-type: none"> 1. Early Recovery 2. Coordination 3. Protection 4. Emergency Telecommunications 5. Don't know
B22. Name forms of gender based violence that occur in humanitarian settings.	<ol style="list-style-type: none"> 1 Sexual violence 2 Domestic/ ad or Intimate partner violence 3 early/forced marriage 4 FGM and/or cutting 5 Trafficking 6 Sexual exploitation / abuse 7 Other
B24. On a scale of 1-5, how knowledgeable do you feel you are regarding the following? w) Disaster preparedness x) Disaster risk reduction	<ol style="list-style-type: none"> 1. No knowledge 2.

y) Response to emergencies and disasters z) Recovery aa) International humanitarian law bb) Protection cc) Coordination mechanisms dd) Water and sanitation ee) Nutrition ff) Gender based violence gg) Conducting needs assessments hh) Conducting vulnerability assessments ii) Developing emergency preparedness plans jj) Conducting evaluations kk) Using evidence ll) Ethical issues mm) Project cycle nn) Resource management oo) Design of projects pp) Implementation of projects qq) Engaging crisis affected populations rr) Identification and communication of risks and threats to the safety of crisis affected people and other stakeholders	3. 4. 5. Expert knowledge
B25. Please rate your comfort level in the following:	
<u>implementing</u> disaster preparedness initiatives.	1= Very uncomfortable 2= Uncomfortable 3= Somewhat Comfortable 4= Comfortable 5 = Very Comfortable
<u>implementing</u> response initiatives in a humanitarian emergency.	
<u>leading</u> disaster preparedness initiatives.	
<u>leading</u> response initiatives in a humanitarian emergency.	
<u>making decisions</u> about humanitarian response within the context of your job duties.	
working as a part of a team.	
collaborating with local NGOS	
collaborating with INGOS	
collaborating with government	
collaborating with private sector	
collaborating with communities/ crisis affected people	
collaborating with colleagues in your organization.	
B26. Please rate your ability to....	
work constructively in difficult and challenging environments.	Poor Fair Good Very good Excellent
recognize personal stress.	
take steps to reduce personal stress.	
use your position responsibly and fairly	

B35. Is there a system in place within your organization to evaluate your performance and provide feedback?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know
B36. Who provides this feedback?	<input type="checkbox"/> Supervisor/ management <input type="checkbox"/> Peers <input type="checkbox"/> Organizational partners <input type="checkbox"/> Community members
B37. Please rate your ability to...	
reflect on feedback to improve your performance.	<input type="checkbox"/> Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good <input type="checkbox"/> Very good <input type="checkbox"/> Excellent
actively listen to encourage team collaboration.	
influence others to achieve program goals.	
use critical judgment in challenging situations.	
initiate and suggest improvements and better ways of working	
B40. In the last two years, have you participated in any official humanitarian working group, network, or coordination mechanisms (such as UN cluster meetings, humanitarian agencies coordination groups etc)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know
B41. How often did you attend humanitarian working group, network or coordination mechanisms?	<input type="checkbox"/> Every meeting <input type="checkbox"/> Every second meeting <input type="checkbox"/> Once a quarter <input type="checkbox"/> Once a year <input type="checkbox"/> Once every six months <input type="checkbox"/> I've never attended <input type="checkbox"/> Don't know
B42. Are there particular groups that are more vulnerable to disasters? NOTE: [DO NOT READ OPTIONS]	<input type="checkbox"/> 1 Men <input type="checkbox"/> 2 Women <input type="checkbox"/> 3 Children <input type="checkbox"/> 4 Elderly people <input type="checkbox"/> 5 People with disabilities <input type="checkbox"/> 6 Religious groups <input type="checkbox"/> 7 Ethnic groups <input type="checkbox"/> 8 Other (specify)
B43. Are men and women affected differently by disasters?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know
B45. Have you received any specific training with respect to inclusion of the following vulnerable groups in disasters response?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know
Women	

Children	
Elderly people	
People with disabilities	
Other, specify	
B46. When did the training occur?	Date
B49. How knowledgeable do you feel you are regarding...	
age related issues in a disaster?	Not at all knowledgeable Knowledgeable Somewhat knowledgeable Very knowledgeable Highly knowledgeable
disability related issues in a disaster?	
issues related to women in a disaster?	
issues related to children in a disaster?	
B51. What national and international humanitarian frameworks, standards, principles and codes does your organization adhere to?	Sphere ICRC DFID UN OCHA National Standards
B52. How closely does the project you work on adhere to key national and international framework, standards and principles?	No adherence Rarely adheres Sometimes Adheres Often adheres Always adheres I don't know
B53. How comfortable do you feel applying these national and international frameworks, standards, principles and codes within the context of your job duties?	Very uncomfortable Uncomfortable Somewhat Comfortable Comfortable Very Comfortable
B56. Have you ever received any training on personal safety and security protocols?	Yes/No
B57. Are you aware of your organization's personal safety and security protocols?	Yes/no
B59. How often do you comply with those protocols?	Never Rarely Occasionally Often Always
B61. As a responder, how would you rate your level of preparedness to respond to a disaster?	Extremely unprepared Unprepared Somewhat Prepared

	Prepared Very prepared
B63. What are your gaps in preparedness? DO NOT READ LIST	Insufficient technical knowledge Insufficient opportunity to practice applying knowledge Insufficient hands-on field experience Not able to apply knowledge due to organizational policy/structure Lack of management or leadership skills insufficient financial skills Insufficient knowledge on inclusion of vulnerable groups Lack of support/guidance on how to apply knowledge Other (specify)
B64. What could be done to improve your own capacity to respond to disasters? DO NOT READ LIST	Changing organizational leadership or structure Participate in additional trainings Increase collaboration with other organizations Gain more hands-on experience Being mentored /coached within the organization Participating in simulations/drills Providing resources Other
B67. At what level would you rate your organization's preparedness to respond to disasters and emergencies?	Not prepared at all A little prepared Moderately prepared Very prepared Extremely prepared
B69. What are the organization's gaps in preparedness? DO NOT READ LIST	Lack of organizational leadership support for preparedness activities Organizational culture/practice does not adequately consider preparedness Lack of funds for preparedness activities Lack of staff capacity Not enough staff working on humanitarian preparedness Organization not well connected in humanitarian network Lack of surge mechanism Lack of organizational policies related to preparedness Lack of organizational financial rigor Lack of emergency response team Lack of monitoring and evaluation Other
B72. How important do you believe it is to engage disaster affected populations in a humanitarian response?	Not important at all Not very important Somewhat important Very important Extremely important
B73. Have you responded to any of the following events in your area or elsewhere in the past 12 months?	Earthquakes Typhoon

	Flooding Drought Storm surges Landslide Volcanic eruption Infectious disease outbreak Mass exposure to toxin/chemical Other Public health War, conflict, violence Displacement Others, please specify None
B75. How would you rate your performance during this response?	Poor Fair Good Very good Excellent
B79. How would you rate your ability to respond to a disaster in the future?	Poor Fair Good Very good Excellent

<p>81. Please select how confident you feel about meeting the statement below.....</p> <ul style="list-style-type: none"> a. I can give good examples about how to design a good quality program b. I understand and can explain how we need to think about gender and diversity in emergency programmes c. I understand and can explain the concepts neutrality, impartiality, independence and humanity d. I am aware of and can give examples of good accountability in humanitarian responses e. I understand and can explain how best to share knowledge and useful information with beneficiaries f. I understand and can explain the principle of "Do No Harm" and can give examples g. I understand and can explain what is meant by "personal safety" in given scenarios h. I have experience and can give examples of having worked in a difficult situation while remaining focused and able to cope with stress i. I have experience and give examples of having maintained ethical and professional behaviour in accordance with the relevant codes of conduct j. I speak out about humanitarian values and principles 	<p>Not confident at all Slightly confident Somewhat confident Very confident Extremely confident I don't have this experience yet</p>
<p>B82. Please select how confident you feel about meeting the statement below....</p> <ul style="list-style-type: none"> a. I always set clear objectives with teams and staff members b. I support others to carry out their roles and responsibilities c. I use resources efficiently and responsibly d. I make a point of holding informal conversations with my staff frequently e. I react to external influences consciously and do not let myself get upset easily f. I consistently offer feedback to others to achieve improved results 	<p>Not confident at all Slightly confident Somewhat confident Very confident Extremely confident I don't have this experience yet</p>

Monitoring, Evaluation and Learning and Evidence

Next, I would like to ask you questions about your organization's activities related to monitoring, evaluation and learning.	
<p>E16. On a scale of 1-5, how often does your organization (in country) carry out the following monitoring and learning approaches?</p> <p>(1=Never, 2=Rarely, 3=Occasionally, 4=Often, 5=Always)</p> <p>a) Systematic needs assessments</p>	<p>1 2 3 4 5</p>

<ul style="list-style-type: none"> b) Routine monitoring and evaluation activities to report project progress to donors c) Rigorous evaluations (beyond routine monitoring and evaluation) to assess changes in outcomes and impact among beneficiaries d) Periodic program reviews in order to ensure learning within the organization e) Results are shared with beneficiaries f) Results are shared with other organizations g) Results are shared with decision makers 	
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F. Implementation of DEPP

F1. Have you ever heard of the DFID funded Disasters and Emergencies Preparedness Programme (DEPP)?	Yes No I don't know
F3. Are you, personally involved with the DEPP?	Yes No I don't know
F4. If yes, how?	Part of DEPP consortium Received grant Received DEPP training Other
F4.1 What is the most significant change you can attribute to the DEPP?	Improved community preparedness Improved organizational preparedness Improved individual preparedness Improved government preparedness Improved community response Improved organizational response Improved individual response Improved government response More time-efficient response More cost-efficient response More inclusion of vulnerable groups More collaboration among INGOs/Local and National NGOs Other
F4.2 Did the DEPP project you are involved in aim to build capacity at the individual (staff) level?	Yes No I don't know
F4.3 Did the DEPP project you are involved in aim to build capacity at the organizational level?	Yes No I don't know

F4.4 How many organizational policies on disaster and emergency PREPAREDNESS created or strengthened since the beginning of the project?	Number
F4.5 How many organizational policies on disaster and emergency RESPONSE created or strengthened since the beginning of the project?	Number
F4. 6 Did your project involve working with the government?	Yes No I don't know
F4.7 Did your project aim to build capacity of government institutions?	Yes No I don't know
F4.8 If yes, at what level?	National State/Province District City/municipal Other
F4. 9 Is your project working with government to improve national preparedness systems?	Yes No I don't know
F4.10 How many governmental policies on disaster and emergency preparedness created or strengthened since the beginning of the project?	Number
F4. 11 How many governmental policies on disaster and emergency response created or strengthened since the beginning of the project?	Number
F4. 12 Did your project aim to strengthen community preparedness?	Yes No I don't know

<i>(For respondents that are part of a DEPP consortium)</i>	
F5. How appropriate do you believe the DEPP approach of working through consortia is in your context?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate
F6. How well is the DEPP consortium, that your organization is part of, functioning?	Not well at all Not well Somewhat well Well Very well I don't know
F9. How relevant are the DEPP interventions for the country in which you are working?	Not at all relevant Irrelevant Somewhat Relevant

	Relevant Extremely relevant I don't know
F10. How effective has DEPP intervention delivery been in the country in which you are working?	Very ineffective Ineffective Somewhat Effective Effective Very Effective I don't know
F11. What were the main results of your DEPP project?	Improved knowledge of staff Improved preparedness systems for communities at risk Increased number of coalitions, partnerships and networks Improved institutional arrangements and policy environments Strengthened evidence base Other
F11.1 What types of changes has <u>the project</u> led to?	Improved community preparedness Improved organizational preparedness Improved individual preparedness Improved government preparedness Improved community response Improved organizational response Improved individual response Improved government response More time-efficient response More cost-efficient response More inclusion of vulnerable groups More collaboration among INGOs/Local and National NGOs Other
F11.2 What is the MOST significant change <u>the project</u> has led to?	Improved community preparedness Improved organizational preparedness Improved individual preparedness Improved government preparedness Improved community response Improved organizational response Improved individual response Improved government response More time-efficient response More cost-efficient response More inclusion of vulnerable groups More collaboration among INGOs/Local and National NGOs Other
F12. Describe one key success of the DEPP in your country so far.	Increased collaboration

	Increased organizational capacity Increased staff capacity Improved disaster preparedness Improved disaster response Cheaper disaster response Quicker disaster response Improved learning Improved policy environment Improved evidence sharing I don't know Other, specify
F13. Describe one key challenge with the DEPP in your country so far.	Retention of skills Beneficiary interest The DEPP activities are not relevant here Lack of resources to make the DEPP successful The DEPP lacks contextual understanding Lack of project leadership Lack of end-user participation Too optimistic goals Unclear objectives Slow and cumbersome decision-making process Resistance of beneficiaries Lack of government buy-in I don't know Other
F13.1 What is the MOST significant change <u>the DEPP</u> has led to?	Improved community preparedness Improved organizational preparedness Improved individual preparedness Improved government preparedness Improved community response Improved organizational response Improved individual response Improved government response More time-efficient response More cost-efficient response More inclusion of vulnerable groups More collaboration among INGOs/Local and National NGOs Other
F14. How many times have you participated in learning events related to the DEPP?	Number
F16. Are you aware of any sharing of evidence from the DEPP i) within the project you are involved with j) across projects in your country k) across different DEPP countries l) with stakeholders outside of the DEPP	Yes No I don't know

F17. How many times have you interacted with individuals involved with other DEPP projects in your country in the last 6 months?	Number
F19. How many times have you interacted with individuals involved with the DEPP Learning Project team in the last 6 months?	Number
F21. How many times have you interacted with this member of the DEPP Learning project RLA (regional learning advisor) in the last 6 months?	Number
F22. How useful do you consider the Learning Project to be in relation to your work?	Not useful at all Not useful Neither useful nor not useful Useful Very useful
F23. Which of the following DEPP-related activities has your organization implemented <u>since the start of the DEPP program?</u>	Capacity development programs developed and implemented Training Early warning systems development Preparedness training Preparedness activities Drills/simulations Evaluations Research Workshops Blended learning (online and in-person training) Coaching Mentoring Response activities Other
F23. 1 How many [activity] were implemented?	Number

<i>(For respondents that are DEPP beneficiaries – receiving grants or training)</i>	
F24. Has your organization received any funding through the DEPP programme?	Yes No I don't know
F27. If yes, what activities have been implemented with the funds?	Capacity development programs developed and implemented Training Early warning systems development Preparedness training Preparedness activities Drills/simulations Evaluations Research Workshops

	Blended learning (online and in-person training) Coaching Mentoring Response activities Other
F28. How many trainings have you personally participated in through the DEPP programme?	Number
F30. How many working groups have you participated in through the DEPP programme?	Yes No I don't know
F31. How appropriate do you believe the DEPP approach of working through consortia is in your context?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate I don't know
F33. How relevant are the DEPP interventions for the country in which you are working?	Not at all relevant Irrelevant Somewhat Relevant Relevant Extremely relevant I don't know
F34. How effective has DEPP intervention delivery been in the country in which you are working?	Very ineffective Ineffective Somewhat Effective Effective Very Effective I don't know
F35. Describe one key success of the DEPP in your country so far.	Increased collaboration Increased organizational capacity Increased staff capacity Improved disaster preparedness Improved disaster response Cheaper disaster response Quicker disaster response Improved learning Improved policy environment Improved evidence sharing I don't know Other, specify
F36. Describe one key challenge with the DEPP in your country so far.	Retention of skills Beneficiary interest The DEPP activities are not relevant here Lack of resources to make the DEPP successful The DEPP lacks contextual understanding

	Lack of project leadership Lack of end-user participation Too optimistic goals Unclear objectives Slow and cumbersome decision-making process Resistance of beneficiaries Lack of government buy-in I don't know Other
F37. How many learning events have you participated in during the DEPP?	Number
F39. Are you aware of any sharing of evidence from the DEPP i) within the project you are involved with j) across projects in your country k) across different DEPP countries l) with stakeholders outside of the DEPP	Yes No I don't know

<i>(For organizations that have heard of DEPP but are not personally involved)</i>	
F40. How appropriate do you believe the DEPP approach of working through consortia is in your context?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate I don't know
F41. How relevant are the DEPP interventions for the country in which you are working?	Not at all relevant Irrelevant Somewhat Relevant Relevant Extremely relevant I don't know
F42. How effective has DEPP intervention delivery been in the country in which you are working?	Very ineffective Ineffective Somewhat Effective Effective Very Effective I don't know
F43. How many learning events have you participated in during the DEPP?	Number
F45. Has any evidence from the DEPP been shared with you?	Yes No I don't know

H. Contextual Factors

Next, I would like to ask you about how contextual factors such as geographical factors, political factors, social and or cultural factors in the setting in which you are working influence your organization's ability to prepare for and respond to disasters and emergencies.	
G1. What type of geographical, political, social and cultural contextual factors have influenced project implementation in the past year?	Political takeover or military coup War or revolution Unexpected changes in government policies Misalignment of project and cultural values Inadequate communication Difficulties due to religion, customs, or ethnicities of project beneficiaries Security of stakeholders Resistance of beneficiaries to project Other

E. Collaboration, Networks and Consortium (Network Survey)

Next, I would like to ask you about organizations that you collaborate with, to better understand what type of collaborations, you are participating in, and to be able to map how organizations are working together within the humanitarian sector in this country. As part of this section I will ask you to list organizations you are collaborating with and to also provide contact names and details. This information will be kept strictly confidential, and won't be shared with anyone. The purpose of collecting this information is to enable us to invite the organizations you collaborate with to also participate in the research study if they are interested.	
In the event of a disaster, are there other organizations you will look to collaborate with in regard to humanitarian response?	Yes No I don't know
If yes, what type of organization do you look to collaborate with in regard to humanitarian response?	International NGO International organization (eg, UN, IOM, World Bank, etc.) National NGO (has projects throughout the country) Local NGO (has projects in a specific locality or region within country) Academic institution Government Private sector Health facility Other

A4. Please indicate what your organization / program / department contributes, or can potentially contribute, to other local, national or international organizations.	Advocacy Agriculture Expertise Climate Change and Adaptation Community Capacity Building Community Connections Community Planning Community-Based Risk Analysis Conflict Mitigation Expertise Data Resources including data sets, collection and analysis Early Warning Systems Expertise Education Facilitation Funding Gender-based violence
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	Health/Public Health Expertise In-Kind Resources (e.g., meeting space) Journalism/Media Leadership Local Expertise Logistics Management MEL Expertise Policy Project Design Project Implementation Proposal Writing Research TA Technology/web resources (e.g. server space, web site development, social media) Volunteers and Volunteer staff Vulnerable Groups WaSH Other, specify
Have you/your organization collaborated with any organizations in the past 6 months on preparedness and/or response to disasters and emergencies?	Yes No I don't know
Select the names of organizations you have collaborated with in the past 6 months. This may include: securing financial resources, new skills development and training, shared implementation responsibility or new knowledge acquisition.	
E3. What is the name of the primary contact person whom you collaborate with at the organization?	
E4. What is the email address of the primary contact person whom you collaborate with at the organization?	
E5. What is the phone number of the primary contact person whom you collaborate with at the organization?	
E6. What is the website for the organization?	
E7. What is the address of the organization?	
N7a. How would you characterize the nature of your collaboration with the organization around issues relating to humanitarian response and preparedness?	My organization goes to this organization mainly for information sharing and communication My organization partners informally with this organization My organization has a formal contractual relationship with this organization Other, specify
N7b. Which of the following best describes your collaboration with the organization?	My organization entered into this collaboration because we share mutual interests with the other member(s) of the partnership or consortium

	My organization was required to enter into this collaboration in order to receive funding for one or more projects Other, specify
N7c. Please specify the ways in which you have collaborated with organization in the past 6 months around issues related to humanitarian response and preparedness	Advocacy Agriculture Expertise Climate Change and Adaptation Community Capacity Building Community Connections Community Planning Community-Based Risk Analysis Conflict Mitigation Expertise Data Resources including data sets, collection and analysis Early Warning Systems Expertise Education Facilitation Funding Gender-based violence Health/Public Health Expertise In-Kind Resources (e.g., meeting space) Journalism/Media Leadership Local Expertise Logistics Management MEL Expertise Policy Project Design Project Implementation Proposal Writing Research Technical Assistance Technology/web resources (e.g. server space, web site development, social media) Volunteers and Volunteer staff Vulnerable Groups WaSH Other, specify
N7d. Please indicate the frequency with which you have engaged with the organization for work related to humanitarian response and preparedness/	Rarely (1-2 times in the past 6 months) Occasionally (3-4 times in the past 6 months) Often (5 or more times in the past 6 months)
N7e. How long have you been collaborating with the organization?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years

	more than 15 years
N7f. How likely is it that you would recommend organization to a colleague for work related to humanitarian response and preparedness?	1 (not at all likely) 5 (fairly likely) 10 (extremely likely)
N7g. Has there been any concrete output of this collaboration with the organization?	Yes No I don't know
N7h. If yes, what were the outputs of this collaboration?	There have been no concrete outputs of this collaboration Coordination of programs Report Proposal to seek funding for new project Implementation of a new joint Project The development of a new focus area within the organization A change in the overall mission and vision of the organization This collaboration paved the way for future collaborations A change in the beliefs, values, customs, attitudes and norms of the organization New ideas for the operation and service delivery of the organization A change in the rules and internal guidelines of the organization Adoption of new technologies to support the organizations objectives A change in how the organization organizes and mobilizes its staff in the event of an emergency Other, specify

T2: Minimum Set Questionnaire - KAP

Study Title: External Evaluation of the Disasters and Emergencies Preparedness Programme

Principal Investigators: Dr. Phuong Pham, PhD

Funding Source: Action Against Hunger / Department for International Development

The Harvard Humanitarian Initiative is working in collaboration with researchers from the Harvard School of Public Health. This survey is being conducted to learn about the emergency preparedness situation in your country and learn more about your current situation and the challenges you may experience. With your permission, we would like to ask you some questions on this topic.

You have been selected as a possible participant because you are:

1. Currently or formerly engaged as a staff member of a project within the DEPP. We received your contact information through a list of staff members at your organization. We expect to enroll up to 300 participants across 10 countries; or
2. Currently or formerly engaged in DEPP as a stakeholder. We received your contact information through a list of DEPP stakeholders. We expect to enroll up to 300 participants across 10 countries; or
3. Currently or formerly engaged in DEPP as DEPP management for projects in the 10 countries. We received your contact information through a list of DEPP stakeholders. We expect to enroll up to 300 participants across 10 countries.

Key Points: If you agree to participate: This is a two-time survey that takes about 15-45 minutes. Participation is voluntary and you can skip any questions you don't wish to answer. There are no costs to you to participate in this research. You will not receive any compensation for your participation. Finally, you must be 18 years of age or older to take part in this study.

Your participation in this study does not involve any risk to you beyond that of everyday life. Participation will not affect your present or future employment at your organization.

You are not likely to have any direct benefit from being in this research study. Taking part in this study may help researchers to better understand and monitor how disaster preparedness contributes to improved response.

Your privacy is very important to us and we will use many safety measures to protect your privacy. However, in spite of all of the safety measures that we will use, we cannot guarantee that your identity will never become known. Study records and responses that can identify you will be kept confidential by the researchers and we also ask that you do not discuss the interview with anyone. Only the researchers involved in this study will have access to the interview notes and data, which will be stored under lock and key at our university offices.

The results of this study may be published or presented, but your name or anything else that might identify you personally will not be used. Your responses will be combined with those from all the other study participants.

It is YOUR choice! You are free to choose whether or not you wish to join this study. You can even decide to take part and later change your mind. You can refuse, skip questions, or quit at any time without penalties of any kind or loss of any benefits you are otherwise entitled.

If you have any questions or comments about:

General questions about this study please contact: Dr. Phuong Pham, Harvard Humanitarian Initiative, 14 Story Street, Cambridge, MA 02138, phone: + 1-617-384-8368, email: ppham@hsph.harvard.edu.

Reporting a study-related problem or injury, please contact: Dr. Phuong Pham, Harvard Humanitarian Initiative, 14 Story Street, Cambridge, MA 02138, phone: + 1-617-384-8368, email: ppham@hsph.harvard.edu

Your rights as a research participant; or to report problems, concerns, or complaints, please contact: The Harvard Longwood Medical Area Office of Human Research Administration at 617-432-2157 or toll-free at 1-866-606-0573. You can also reach them via email at irb@hsph.harvard.edu. Their mailing address is 90 Smith Street, Boston, Massachusetts 02120.

Statement of Consent: By completing this survey, you confirm that:

1. You understand the information provided in this consent form and by the study staff.

2. All your questions about the research have been answered to your satisfaction.

3. You agree to take part in this study.

4. A copy of this form has been made available to you.

To protect your privacy, your signature will not be required. If privacy is still a concern, you can always opt out of this study.

Note: This survey is being hosted by KoBo Toolbox and involves a secure connection.

04.	Would you like to consent?
06.	If you do not want to participate, why?
07.	07. What country are you completing this survey in? If other, please specify In this country, what is the District/Region where your organization based? In this country, what is the City/Village where your organization based?
	What is your name?
	How would you classify the location of this organization?
	Address of organization's primary office (write down names of road, alley, house number, country)
	What is your ORGANIZATIONAL email address?
	What is your PERSONAL email address?
	What is your phone number?
	What is your organization's website?

	Respondent information To begin, we would like to ask you some general background information
A1	What is your age
A2	What is your gender
A3	What is your nationality? If other, please specify
A4	What is your highest level of education completed? If other, please specify
A5	What type of organization do you currently work for? If other, please specify Which organization do you work for? What is the name of the Academic Institution where you work? What is the name of the Government institution where you work? What is the name of the Private institution where you work? What is the name of the Health institution where you work? What country do you currently work in? If other, please specify
A8	What is your job category in this organization? If other, please specify At what level would you consider your job? If other, please specify In your current position, which of the following areas are you most engaged in as part of your job? If other, please specify

	How long have you worked at this organization? How long have you worked in the humanitarian sector?
A28	Is your organization part of any of the following networks?
A29	In your role are you formally employed by any of the following projects?
A30	Is your organization implementing any of the following projects?
A31	Is your organization receiving any resources, trainings, capacity building activities or other support from any of the following projects?
B1	Have you participated in any capacity building activities such as training courses or workshops in the past 12 months?
B2	Which organization/project led the training? If you attended more than one training, select all organizations that led a training you attended.
B3	How many days was the training with <selected organization>?
B4	What was the primary format of the training that you received from <selected organization>? If other, specify
B5	What topics were covered in the training with <selected organization>? If other, specify
B6	How useful was the training with <selected organization>?
B10	Have you participated in disaster drills or simulations over the past 12 months?
B11	Which organization/project led the drill/simulation? If you attended more than one drill/simulation select all organizations that led a drill/simulation you attended.
B12	How many days was the drill/simulation with <selected organization>?
B13	How useful was the drill/simulation with <selected organization>?
B24	On a scale of 1-5, how knowledgeable do you feel you are regarding the following? Where 1=No knowledge at all, 2=Little knowledge, 3=Some knowledge, 4= Knowledgeable, 5= Very knowledgeable Disaster preparedness Disaster risk reduction Response to emergencies and disasters Recovery International humanitarian law Protection Coordination mechanisms Water and sanitation Nutrition Gender based violence Conducting needs assessments Conducting vulnerability assessments Developing emergency preparedness plans Conducting evaluations Using evidence Ethical issues Project cycle Resource management Design of projects Implementation of projects Engaging crisis affected populations

	Identification and communication of risks and threats to the safety of crisis affected people and other stakeholders
B25	<p>Please rate your comfort level in the following, where 1=Very uncomfortable, 2=Uncomfortable, 3=Somewhat comfortable, 4=Comfortable, 5=Very comfortable</p> <p>Implementing disaster preparedness initiatives.</p> <p>Implementing response initiatives in a humanitarian emergency.</p> <p>Leading disaster preparedness initiatives.</p> <p>Leading response initiatives in a humanitarian emergency.</p> <p>Making decisions about humanitarian response within the context of your job duties.</p> <p>Working as a part of a team.</p> <p>Collaborating with local NGOS</p> <p>Collaborating with INGOS</p> <p>Collaborating with government</p> <p>Collaborating with private sector</p> <p>Collaborating with communities/ crisis affected people</p> <p>Collaborating with colleagues in your organization.</p>

B40	In the last two years, have you participated in any official humanitarian working group, network, or coordination mechanisms (such as UN cluster meetings, humanitarian agencies coordination groups etc.)
B41	<p>How often did you attend humanitarian working group, network or coordination mechanisms?</p> <p>If other, specify</p>
Ageing, disability, gender and other cross-cutting themes	
B42	<p>Are there particular groups that are more vulnerable to disasters?</p> <p>If other, please specify</p>
B45	<p>Have you received any specific training with respect to inclusion of the following vulnerable groups in disasters response?</p> <p>Women</p> <p>Children</p> <p>Elderly people</p> <p>People with disabilities</p> <p>Other, specify</p>
B49	<p>How knowledgeable do you feel you are regarding...(where 1=No knowledge at all, 2=little knowledge, 3=somewhat knowledgeable, 4=knowledgeable, 5=very knowledgeable)</p> <p>Age related issues in a disaster?</p> <p>Disability related issues in a disaster?</p> <p>Issues related to women in a disaster?</p> <p>Issues related to children in a disaster?</p>
National and International Standards	
B51	<p>What national and international humanitarian frameworks, standards, principles and codes does your organization adhere to?</p> <p>If other, please specify</p>
B53	How comfortable do you feel applying these national and international frameworks, standards, principles and codes within the context of your job duties?

Attitudes and Perceptions	
B61	As a responder, how would you rate your level of preparedness to respond to a disaster?
B65	In your view, what is the most effective approach to strengthening individual capacity? If other, please specify
B67	At what level would you rate your organization's preparedness to respond to disasters and emergencies?
B70	In your opinion, what is the most effective approach to building organizational capacity around preparedness? If other, please specify
B73	Have you ever responded to any of the following events in your area or elsewhere? (select all that apply) If other, please specify
B79	How would you rate your ability to respond to a disaster in the future?
B81	Please select how confident you feel about meeting the statement below.....(where 1=Not confident at all, 2=Slightly confident, 3= Some confidence, 4=Very confident, 5=Extremely confident) I can give good examples about how to design a good quality program I understand and can explain how we need to think about gender and diversity in emergency programmes I understand and can explain the concepts neutrality, impartiality, independence and humanity I am aware of and can give examples of good accountability in humanitarian responses I understand and can explain how best to share knowledge and useful information with beneficiaries I understand and can explain the principle of "Do No Harm" and can give examples I understand and can explain what is meant by "personal safety" in given scenarios I have experience and can give examples of having worked in a difficult situation while remaining focused and able to cope with stress I have experience and give examples of having maintained ethical and professional behaviour in accordance with the relevant codes of conduct I speak out about humanitarian values and principles

F3	Are you, personally, involved with the DEPP?
F4	If yes, how? If other, please specify F4. 1 What is the most significant change you can attribute to the DEPP? F4. 2 Did the DEPP project you are involved with aim to build capacity at the individual (staff) level? F4. 3 Did the DEPP project you are involved in aim to build capacity at the organizational level? F4. 4 How many organizational policies on disaster and emergency PREPAREDNESS created or strengthened since the beginning of the project? F4. 5 How many organizational policies on disaster and emergency RESPONSE created or strengthened since the beginning of the project? F4. 6 Did your project involve working with the government? F4. 7 Did your project aim to build capacity of government institutions? F4. 8 At what level? F4. 9 Is your project working with government to improve national preparedness systems? F4. 10 How many governmental policies on disaster and emergency PREPAREDNESS created or strengthened since the beginning of the project? F4. 11 How many governmental policies on disaster and emergency RESPONSE created or strengthened since the beginning of the project? F4. 12 Did your project aim to strengthen community preparedness?
F5	How appropriate do you believe the DEPP approach of working through consortia is in your context?
F6	How well is the DEPP consortium, that your organization is part of, functioning?
F9	How relevant are the DEPP interventions for the country in which you are working?
F10	How effective has DEPP intervention delivery been in the country in which you are working?

F14	How many times have you participated in learning events related to the DEPP?
F17	How many times have you interacted with individuals involved with other DEPP projects in your country in the last 6 months?
F19	How many times have you interacted with individuals involved with the DEPP Learning Project team in the last 6 months?
F20	With whom have you interacted? If other, please specify How useful do you consider the Learning Project to be in relation to your work?
F23	Which of the following DEPP-related activities has your organization implemented since the start of the DEPP program?
F24	Has your organization received any funding through the DEPP programme?
F25	If yes, what was the grant for?
F27	If yes, what activities have been implemented with the funds? If other, please specify

Contextual Factors	
	What type of geographical, political, social and cultural contextual factors have influenced project implementation in the past year? If other, please specify

T2: Minimum Set Questionnaire – Org

What country are you completing this survey in?

if other, please specify

In this country, what is the District/Region where your organization based ?

In this country, what is the City/Village where your organization based ?

What is your name?

How would you classify the location of this organization?

Address of organization's primary office (write down names of road, alley, house number, country)

What is your ORGANIZATIONAL email address?

What is your PERSONAL email address?

What is your phone number?

What is your organization's website?

	Respondent information To begin, we would like to ask you some general background information
A1	What is your age
A2	What is your gender
A3	What is your nationality? If other, please specify
A4	What is your highest level of education completed? If other, please specify
A5	What type of organization do you currently work for? If other, please specify Which organization do you work for? What is the name of the Academic Institution where you work? What is the name of the Government institution where you work? What is the name of the Private institution where you work? What is the name of the Health institution where you work? What country do you currently work in? If other, please specify
	At what level would you consider your job? If other, please specify In your current position, which of the following areas are you most engaged in as part of your job? If other, please specify How long have you worked at this organization? How long have you worked in the humanitarian sector?
A28	Is your organization part of any of the following networks? If other, please specify
A29	Do you work on any of the following projects?

A30	Is your organization implementing any of the following projects?
A31	Is your organization receiving any resources, trainings, capacity building activities or other support from any of the following projects?

Preparedness Level of Organization: Preparedness Activities of Organization	
B1	What type of preparedness activities has your organization been involved in during the last year? If other, please specify
B5	In what sectors/areas do your organization's preparedness activities focus on? (may select more than one)
B6	How would you rate the appropriateness of these preparedness activities?
B7	How would you rate the effectiveness of these preparedness activities? On a scale of 1-5, to what extent have the preparedness activities helped improve the speed of response? On a scale of 1-5, to what extent have the preparedness activities helped reduce the cost of response?
Perceptions on organization's level of preparedness	
B12	How would you rate your organization's overall level of preparedness to respond to disasters and emergencies?

C38	Have any activities to build capacity in \${country} around disaster and emergency response and preparedness been conducted within your organization in the last 12 months?
C39	If yes, what type of organizational capacity building activities around disaster and emergency RESPONSE and preparedness have been conducted in the last 12 months? If other, please specify

Minimum preparedness activities: Next, I would like to ask you about your in-country organization's minimum preparedness activities.	
B25	Does your organization in \${country} have an emergency preparedness plan (EPP) to respond to disasters and emergencies?

Capacity to Respond Next, we would like to ask you about your in-country organization's activities related to disaster and emergency response.	
C1	What type of disaster and emergency RESPONSE activities has your organization in {country} been involved in in the last year?
C13	Did your organization respond to a disaster or emergency in the last 1 year in \${country}?
C14	What is the MOST RECENT disaster or emergency that your organization responded to in {country}? If other, please specify
C15	Within what period of time following the disaster did your organization respond?
C17	How would you rate your organization's overall response to the disaster?
C19	How would you rate the appropriateness of your organizations' response to the disaster?
C21	How would you rate the timeliness of your organizations' response to the disaster? How would you rate the costliness of your organization's response to the disaster?
C22	How would you rate the effectiveness of your organizations' response to the disaster? What percent of the affected population was covered in your organization's response?
C23	How well did this response take into account the needs of vulnerable groups including the elderly, women and people with disabilities?
C24	Did your organization's response include a functioning feedback/complaint system for the affected population that documented feedback from the beneficiaries of the response ?
C25	Did your organization collaborate with other agencies in this response?
C26	Which types of agencies did your organization collaborate with in responding to this disaster?
C27	Why did your organization collaborate with other agencies in this response?

	If other, please specify
C28	If no, why did your organization not collaborate with other agencies in this response?
C29	Was this the first time that your organization collaborated with these other partners in an actual response?
C30	Had your organization collaborated with these partners in any preparedness activities such as capacity building, prior to the response? Was this response locally led? Did your organization use a surge mechanism to ensure adequate human resources to respond?
C31	How would you rate your organization's ability to respond to a disaster or emergency in the future in {country}?
C33	What could be done to improve your organization's ability to respond to a disaster or emergency in the future in \${country}?
C36	Has your organization carried out a systematic assessment of the emergency response capacity within the organization \${country} within the past 12 months?
C37	Which of the following approaches did your organization use to assess staff capacity to respond to emergencies or disasters in \${country}, within the past 1 year?
C38	Have any activities to build capacity in {country} around disaster and emergency response and preparedness been conducted within your organization in the last 12 months?

Perceptions around INGOs vs NGOs vs Government:

Next, we would like to ask you about your perceptions of the roles of international NGOs, local/national NGOs and governments in relation to humanitarian capacity to prepare for and respond to disasters and emergencies

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Next, we would like to ask you a few questions related to your organization's policies and approaches.

D12	On a scale of 1 to 5, how inclusive is your organization's policy / approach to working with local / national NGOs?
D13	Has there been any change in your organization's policy/approach to working with local or national NGOs in the last 1 year?
D16	In your opinion, in the country in which you are working, how would you describe the current relationship between local/national NGOs and INGOs? Other, specify

Implementation of DEPP

F3	Are you, personally, involved with the DEPP?
F4	If yes, how? Other, specify What is the most significant change you can attribute to the DEPP? Did the DEPP project you are involved with aim to build capacity at the individual (staff) level? Did the DEPP project you are involved in aim to build capacity at the organizational level? How many organizational policies on disaster and emergency PREPAREDNESS created or strengthened since the beginning of the project? How many organizational policies on disaster and emergency RESPONSE created or strengthened since the beginning of the project? Did your project involve working with the government? Did your project aim to build capacity of government institutions? At what level? Is your project working with government to improve national preparedness systems? How many governmental policies on disaster and emergency PREPAREDNESS created or strengthened since the beginning of the project? How many governmental policies on disaster and emergency RESPONSE created or strengthened since the beginning of the project?

	Did your project aim to strengthen community preparedness?
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Consortia Group	
F5	How appropriate do you believe the DEPP approach of working through consortia is in your context?
F6	How well is the DEPP consortium, that your organization is part of, functioning?
F9	How relevant are the DEPP interventions for the country in which you are working?
F10	How effective has DEPP intervention delivery been in the country in which you are working?
F14	How many times have you participated in learning events related to the DEPP?
F17	How many times have you interacted with individuals involved with other DEPP projects in your country in the last 6 months?
F19	How many times have you interacted with individuals involved with the DEPP Learning Project team in the last 6 months?
F20	With whom have you interacted? If other, please specify How useful do you consider the Learning Project to be in relation to your work?
F23	Which of the following DEPP-related activities has your organization implemented since the start of the DEPP program?

DEPP Beneficiaries	
F24	Has your organization received any funding through the DEPP programme?
F27	If yes, what activities have been implemented with the funds? If other, please specify
F32	On a scale of 1-5, how appropriate do you believe the DEPP approach of working through consortia is in your context?
F33	On a scale of 1-5, how relevant are the DEPP interventions for the country in which you are working?
F34	On a scale of 1-5, how effective has DEPP intervention delivery been in the country in which you are working?

Contextual Factors	
Next, we would like to ask you about how contextual factors such as geographical factors, political factors, social and or cultural factors in the setting in which you are working influence your organization's ability to prepare for and respond to disasters and emergencies.	
G1	What type of geographical, political, social and cultural contextual factors have influenced project implementation in the past year? If other, please specify

T2: Network Survey

Collaboration, Networks and Consortium (Network Survey)

<p>Next, I would like to ask you about organizations that you collaborate with, to better understand what type of collaborations, you are participating in, and to be able to map how organizations are working together within the humanitarian sector in this country. As part of this section I will ask you to list organizations you are collaborating with and to also provide contact names and details. This information will be kept strictly confidential, and won't be shared with anyone. The purpose of collecting this information is to enable us to invite the organizations you collaborate with to also participate in the research study if they are interested.</p>	
<p>In the event of a disaster, are there other organizations you will look to collaborate with in regard to humanitarian response?</p>	<p>Yes No I don't know</p>
<p>If yes, what type of organization do you look to collaborate with in regard to humanitarian response?</p>	<p>International NGO International organization (eg, UN, IOM, World Bank, etc.) National NGO (has projects throughout the country) Local NGO (has projects in a specific locality or region within country) Academic institution Government Private sector Health facility Other</p>
<p>A4. Please indicate what your organization / program / department contributes, or can potentially contribute, to other local, national or international organizations.</p>	<p>Advocacy Agriculture Expertise Climate Change and Adaptation Community Capacity Building Community Connections Community Planning Community-Based Risk Analysis Conflict Mitigation Expertise Data Resources including data sets, collection and analysis Early Warning Systems Expertise Education Facilitation Funding Gender-based violence Health/Public Health Expertise In-Kind Resources (e.g., meeting space) Journalism/Media Leadership Local Expertise Logistics Management MEL Expertise Policy Project Design</p>

	Project Implementation Proposal Writing Research TA Technology/web resources (e.g. server space, web site development, social media) Volunteers and Volunteer staff Vulnerable Groups WaSH Other, specify
Have you/your organization collaborated with any organizations in the past 6 months on preparedness and/or response to disasters and emergencies?	Yes No I don't know
Select the names of organizations you have collaborated with in the past 6 months. This may include: securing financial resources, new skills development and training, shared implementation responsibility or new knowledge acquisition.	
E3. What is the name of the primary contact person whom you collaborate with at the organization?	
E4. What is the email address of the primary contact person whom you collaborate with at the organization?	
E5. What is the phone number of the primary contact person whom you collaborate with at the organization?	
E6. What is the website for the organization?	
E7. What is the address of the organization?	
N7a. How would you characterize the nature of your collaboration with the organization around issues relating to humanitarian response and preparedness?	My organization goes to this organization mainly for information sharing and communication My organization partners informally with this organization My organization has a formal contractual relationship with this organization Other, specify
N7b. Which of the following best describes your collaboration with the organization?	My organization entered into this collaboration because we share mutual interests with the other member(s) of the partnership or consortium My organization was required to enter into this collaboration in order to receive funding for one or more projects Other, specify
N7c. Please specify the ways in which you have collaborated with organization in the past 6 months around issues related to humanitarian response and preparedness	Advocacy Agriculture Expertise Climate Change and Adaptation Community Capacity Building Community Connections Community Planning

	Community-Based Risk Analysis Conflict Mitigation Expertise Data Resources including data sets, collection and analysis Early Warning Systems Expertise Education Facilitation Funding Gender-based violence Health/Public Health Expertise In-Kind Resources (e.g., meeting space) Journalism/Media Leadership Local Expertise Logistics Management MEL Expertise Policy Project Design Project Implementation Proposal Writing Research Technical Assistance Technology/web resources (e.g. server space, web site development, social media) Volunteers and Volunteer staff Vulnerable Groups WaSH Other, specify
N7d. Please indicate the frequency with which you have engaged with the organization for work related to humanitarian response and preparedness/	Rarely (1-2 times in the past 6 months) Occasionally (3-4 times in the past 6 months) Often (5 or more times in the past 6 months)
N7e. How long have you been collaborating with the organization?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years
N7f. How likely is it that you would recommend organization to a colleague for work related to humanitarian response and preparedness?	1 (not at all likely) 2 3 4 5 (fairly likely) 6 7 8

	9 10 (extremely likely)
N7g. Has there been any concrete output of this collaboration with the organization?	Yes No I don't know
N7h. If yes, what were the outputs of this collaboration?	There have been no concrete outputs of this collaboration Coordination of programs Report Proposal to seek funding for new project Implementation of a new joint Project The development of a new focus area within the organization A change in the overall mission and vision of the organization This collaboration paved the way for future collaborations A change in the beliefs, values, customs, attitudes and norms of the organization New ideas for the operation and service delivery of the organization A change in the rules and internal guidelines of the organization Adoption of new technologies to support the organizations objectives A change in how the organization organizes and mobilizes its staff in the event of an emergency Other, specify

T2: Organizational Checklist

ENDLINE ORGANIZATIONAL CHECKLIST

Enumerator Information

MMR08. Name of enumerator	_____
MMR09. Name of the supervisor	_____

MMR01. GPS Location of organization	GPS coordinates
MMR02. Respondent code	=====
Consent form	
MMR04. Would you like to consent?	Yes No
Note for enumerator: Please ask the respondent if they would like a paper copy of this consent.	
MMR05. Please indicate the following:	Handed participant a copy of the consent Participant stated s/he did not want to receive this form
MMR06. If the participant does not want to participate, why?	Text

MMR07. What country is this?	Ethiopia Kenya South Sudan Myanmar Philippines Mozambique Sudan Jordan Bangladesh India United Kingdom United States Pakistan Democratic Republic of the Congo Other, specify
MMR10. District/Region	List of districts/regions
MMR11. City	List of cities
MMR12. Name of respondent	Text

MMR13. Location of organization	Urban Rural
MMR14. Address of organization's primary office	Text
MMR15. Organizational email address of respondent	Text
MMR16. Personal email address of respondent	Text
MMR17. Phone number of respondent	Number
MMR18. Organization website	Text

B. Respondent Information

To begin, I would like to ask you some general background information	
1. What is your age?	Years (18 as minimum age)
2. What is your gender?	Male Female
3. What is your nationality?	Ethiopia Kenya South Sudan Myanmar Philippines Mozambique Sudan Jordan Bangladesh India United States Pakistan Democratic Republic of the Congo Other, please specify
4. What is your highest level of education completed?	None Primary incomplete Primary complete Middle incomplete Middle complete High School incomplete High School complete University complete University incomplete Vocational school Masters Degree Completed Advanced/Professional Degree Completed (MD, PhD)

	Other type of school
5. What type of organization do you currently work for?	International NGO International organization (eg, UN, IOM, World Bank, etc.) National NGO (has projects throughout the country) Local NGO (has projects in a specific locality or region within country) Academic institution Government Private sector Health facility Other, specify
6. What organization/institution do you currently work for?	List of organizations and institutions
7. What is your job category in this organization?	Operations/programs Senior management/executive Student Technical advisor Administration/finance Policy/advocacy Monitoring and Evaluation Research Other
8. At what level would you consider your job?	Entry Level Mid Level Senior Level Other
9. In your current position, which of the following areas are you most engaged in as part of your job?	None Food security and livelihoods WaSH Health Shelter Education Child Protection Nutrition Generalist MEL Logistics Fundraising Awards Emergency telecommunications Surge Management Other
10. How long have you worked at this organization?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years

	3-5 years 5-10 years 10-15 years more than 15 years
11. How long have you been in your current position with this organization?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years
12. How long have you worked in the humanitarian sector?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years

Area 1: Emergency Preparedness Plan Information. I'm now going to ask you some questions related to emergency preparedness plans or EPPs at your organization.

A13.	Emergency Preparedness Plan (EPP) Developed	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A14.	EPP was updated within the last 12 months	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A15.	EPP updated after the last emergency, After Action Review, or evaluation?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A16.	EPP Action Plan is being implemented	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A17.	EPP has been approved by Senior Management Team	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A18.	EPP has been shared with office staff	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A19.	EPP has been shared with partner organisations	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A20.	Office EPP is aligned with National or Partner Preparedness Plans	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A21.	Community Based Emergency Preparedness and Response Plans available?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A22.	How often are EPP triggers measured?	1. <input type="checkbox"/> Weekly 2. <input type="checkbox"/> Monthly 3. <input type="checkbox"/> Quarterly

		4. <input type="checkbox"/> Semi-annually 5. <input type="checkbox"/> Annually
A23.	Emergency Response Concept Notes developed and can be submitted to donors within 24 hours of emergency?	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No

Area 2: Systems and Procedures. I would now like to ask you about the systems and procedures related to disaster and emergency response that are in place at your organization. I will read a list of systems or procedures, and for each one please answer yes if it is in place in your organization, or no if it is not.

A24.	Potential Emergency Program Partners Identified	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A25.	MOUs with Emergency Partners Signed	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A26.	Complaints mechanism established in Country Office	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A27.	CO has M&E systems and staff that can be adapted to emergencies	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A28.	Requirements for Emergency relief supplies identified: Source, type, specification and quantities	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A29.	Emergency stockpiles available for immediate distribution during an emergency	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A30.	Emergency Procurement Procedures Defined	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A31.	Potential Emergency Vendors & Suppliers identified, including their backups	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A32.	Storage facilities are identified and will be available for emergency	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A33.	Transport options and contractors identified (road, rail, boat/ship, air, etc.)	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A34.	Transport pre-agreements are in place	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A35.	Requirements for Communication Systems (Email, Telephone, Satellite, Radio) identified and will be available during emergency	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A36.	Import, customs clearing and taxes exemption procedures identified	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A37.	Emergency Program Support Systems established (Administration, Vehicles, Warehousing)	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A38.	Asset inventory available (vehicles, computers, generators, communication equipment)	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A39.	Asset back up plan in place (for vehicles, computers, generators, office space, etc)	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A40.	Emergency Finance Procedures Defined	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No

A41.	HR Policies and Procedures include Emergency Requirements	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A42.	HR back-up plan in place for Country Office Key Personnel (Project Manager level and above)	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A43.	Staff Emergency Roster available	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A44.	Percentage of the Country Office Budget Allocated for emergency and preparedness	_____ %
A45.	Key Safety and Security Procedures in place	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A46.	Key Country Office staff understand the Cluster mechanism of coordination and funding	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A47.	How often Country Office Participates in National Cluster activities	1. <input type="checkbox"/> Weekly 2. <input type="checkbox"/> Monthly 3. <input type="checkbox"/> Quarterly 4. <input type="checkbox"/> Semi-annually 5. <input type="checkbox"/> Annually
A48.	Country Office coordinates emergency preparedness and response activities (design, joint assessment, etc) with other organisations	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A49.	Emergency Response Team (ERT) members understand basic humanitarian principles	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A50.	Simulation exercise completed (or recent real emergency response)	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A51.	Degree to which Disaster risk reduction activities are integrated in regular programs	[scale of 0-10 with 10 being the highest]
Emergency Response Team (ERT) and staffing. Now I'm going to ask you about the existence of emergency response team within your organization.		
A52.	ERT has been formed and is functioning	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No >>> IF NO SKIP To A71
A53.	Job descriptions and Internal operating procedures of ERT members include emergency preparedness and response	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A54.	Frequency of ERT meetings	1. <input type="checkbox"/> Weekly 2. <input type="checkbox"/> Monthly 3. <input type="checkbox"/> Quarterly 4. <input type="checkbox"/> Semi-annually 5. <input type="checkbox"/> Annually
A55.	Each ERT member has a back-up person	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A56.	ERT includes focal point for supply chain/logistics	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A57.	ERT includes focal point for Shelter	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No
A58.	ERT includes focal point for Wash	1. <input type="checkbox"/> Yes 2. <input type="checkbox"/> No

A59.	ERT includes focal point for Food Security	1. <input type="checkbox"/> Yes	2. <input type="checkbox"/> No
A60.	ERT includes focal point for Gender	1. <input type="checkbox"/> Yes	2. <input type="checkbox"/> No
A61.	The ERT Coordinator has the capacity to lead large scale emergency response	1. <input type="checkbox"/> Yes	2. <input type="checkbox"/> No
A62.	The ERT Coordinator has the capacity to lead small scale emergency response	1. <input type="checkbox"/> Yes	2. <input type="checkbox"/> No
A63.	ERT has capacity to carry out rapid needs assessment	1. <input type="checkbox"/> Yes	2. <input type="checkbox"/> No
A64.	ERT has adequate overall experience to respond to a Type 1 Emergency (small scale emergency)	1. <input type="checkbox"/> Yes	2. <input type="checkbox"/> No
A65.	ERT has adequate overall experience to respond to a Type 2 Emergency (large scale emergency)	1. <input type="checkbox"/> Yes	2. <input type="checkbox"/> No
A66.	Additional staffing requirements during emergency have been identified	1. <input type="checkbox"/> Yes	2. <input type="checkbox"/> No
Communication and Media. I will now ask some questions related to your organization's communication and media with respect to disasters and emergencies.			
A67.	Protocol on how media issues should be handled at country office and sub-office level is in place	1. <input type="checkbox"/> Yes	2. <input type="checkbox"/> No
A68.	Key communications staff member to work on communication/media outputs when there is an emergency has been identified.	1. <input type="checkbox"/> Yes	2. <input type="checkbox"/> No
A69.	Role of key communications staff member during emergency has been agreed with their line manager and included in their Job description	1. <input type="checkbox"/> Yes	2. <input type="checkbox"/> No
Logistics. I will now ask some questions related to your organization's logistics with respect to disaster and emergencies.			
A70.	Extra-storing capacity for both paper and electronic documentation has been procured and a back up to be stored in off-site locations has been prepared	1. <input type="checkbox"/> Yes	2. <input type="checkbox"/> No
A71.	The safety and functionality of offices and accommodation is regularly verified	1. <input type="checkbox"/> Yes	2. <input type="checkbox"/> No
A72.	Additional venues for setting up new offices (field and central) and additional accommodation have been identified	1. <input type="checkbox"/> Yes	2. <input type="checkbox"/> No
A73.	Shortlists of transporters and other logistical service providers are up-to-date.	1. <input type="checkbox"/> Yes	2. <input type="checkbox"/> No

T2: Organizational Level Quantitative Survey

DEPP External Evaluation

Organizational Level Quantitative Questionnaire

Eligibility of study subject

3. Age 18 and older
4. Language (English) or Local Language

ENDLINE ORGANIZATIONAL LEVEL SURVEY

Enumerator Information

MMR08. Name of enumerator	_____
MMR09. Name of the supervisor	_____

MMR01. GPS Location of organization	GPS coordinates
MMR02. Respondent code	-----
Consent form	
MMR04. Would you like to consent?	Yes No
Note for enumerator: Please ask the respondent if they would like a paper copy of this consent.	
MMR05. Please indicate the following:	Handed participant a copy of the consent Participant stated s/he did not want to receive this form
MMR06. If the participant does not want to participate, why?	Text

MMR07. What country is this?	Ethiopia Kenya South Sudan Myanmar Philippines Mozambique Sudan Jordan Bangladesh
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	India United Kingdom United States Pakistan Democratic Republic of the Congo Other, specify
MMR10. District/Region	List of districts/regions
MMR11. City	List of cities

MMR12. Name of respondent	Text
MMR13. Location of organization	Urban Rural
MMR14. Address of organization's primary office	Text
MMR15. Organizational email address of respondent	Text
MMR16. Personal email address of respondent	Text
MMR17. Phone number of respondent	Number
MMR18. Organization website	Text

C. Respondent Information

To begin, I would like to ask you some general background information	
A1. What is your age?	Years (18 as minimum age)
A2. What is your gender?	Male Female
A3. What is your nationality?	Ethiopia Kenya South Sudan Myanmar Philippines Mozambique Sudan Jordan Bangladesh India United States Pakistan Democratic Republic of the Congo Other, please specify

A4. What is your highest level of education completed?	None Primary incomplete Primary complete Middle incomplete Middle complete High School incomplete High School complete University complete University incomplete Vocational school Masters Degree Completed Advanced/Professional Degree Completed (MD, PhD) Other type of school
A5. What type of organization do you currently work for?	International NGO International organization (eg, UN, IOM, World Bank, etc.) National NGO (has projects throughout the country) Local NGO (has projects in a specific locality or region within country) Academic institution Government Private sector Health facility Other, specify
A6. What organization/institution do you currently work for?	List of organizations and institutions
A7. What is your job category in this organization?	Operations/programs Senior management/executive Student Technical advisor Administration/finance Policy/advocacy Monitoring and Evaluation Research Other
A9. At what level would you consider your job?	Entry Level Mid Level Senior Level Other
A10. In your current position, which of the following areas are you most engaged in as part of your job?	None Food security and livelihoods WaSH Health Shelter Education Child Protection Nutrition Generalist MEL

	Logistics Fundraising Awards Emergency telecommunications Surge Management Other
A13. How long have you worked at this organization?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years
A14. How long have you been in your current position with this organization?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years
A15. How long have you worked in the humanitarian sector?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years

Basic Organizational Information

Next, I would like to ask you some basic information about the organization.	
A28. Is your organization part of any of the following networks?	START Network CDAC DEPP Not part of any of the above networks I don't know Other Philippines only: START Network CDAC

	DEPP Code NGO HRC NCCP NSSA/Caritas Not part of any of the above networks I don't know
A29. Do you work on any of the following projects?	Shifting the Power CDAC Financial Enablers Urban Early Warning, Early Action Alert ADCAP Transforming Surge Capacity Talent Development LPRR Public Health Preparedness in Gambella Shifting Emergency Preparedness Systems in Myanmar Protection in Practice Improved Early Warning, Early Action – ETHIOPIA My organization is not receiving any resources or support from these projects I don't know
A30. Is your organization implementing any of the following projects?	Shifting the Power CDAC Financial Enablers Urban Early Warning, Early Action Alert ADCAP Transforming Surge Capacity Talent Development LPRR Public Health Preparedness in Gambella Shifting Emergency Preparedness Systems in Myanmar Protection in Practice Improved Early Warning, Early Action - ETHIOPIA No my organization is not implementing any of these projects I don't know
A31. Is your organization receiving any resources, trainings, capacity building activities or other support from any of these projects?	Shifting the Power CDAC Financial Enablers Urban Early Warning, Early Action Alert ADCAP Transforming Surge Capacity Talent Development LPRR Public Health Preparedness in Gambella Shifting Emergency Preparedness Systems in Myanmar

	Protection in Practice Improved Early Warning, Early Action - ETHIOPIA My organization is not receiving any resources or support from these projects I don't know
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D. Preparedness Level of Organization

Preparedness Activities of Organization: The following questions are focused on your organization's PREPAREDNESS activities for humanitarian disasters and emergencies. We will ask you a series of questions related to response activities later in the next section.	
B1. What type of preparedness activities has your organization been involved in during the last year?	Hazard / Risk Analysis & Early Warning Contingency / preparedness & response training Training and exercises Information management & communication Capacity analysis and capacity building Institutional and legislative frameworks Coordination None Other
B5. In what sectors/areas do your organization's preparedness activities focus on?	None Food security and livelihoods WaSH Health Shelter Education Child Protection Nutrition Generalist MEL Logistics Fundraising Awards Emergency telecommunications Surge Management Other
B6. How would you rate the appropriateness of these preparedness activities?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate I don't know
B7. How would you rate the effectiveness of these preparedness activities?	Very ineffective Ineffective Somewhat Effective Effective

	Very Effective I don't know
B7. 1 On a scale from 1-5, to what extent have the preparedness activities improved speed of response?	1 2 3 4 5 Not applicable - My organization has not responded since participating in these preparedness activities
B7. 2 On a scale from 1-5 to what extent have the preparedness activities reduced the cost of response	1 2 3 4 5 Not applicable - My organization has not responded since participating in these preparedness activities
B8. Were members of any of the following groups involved in <u>the design</u> and/or implementation of the preparedness activities/programming? f) Women g) Children h) The elderly i) People with disabilities j) Other	Yes No I don't know

Perceptions on Organization's Level of Preparedness

Next, I would like to ask you some questions about your perceptions on the organization's (in-country) level of preparedness for disasters and emergencies.	
B12. How would you rate your organization's overall level of preparedness to respond to disasters and emergencies?	Not prepared at all A little prepared Moderately prepared Very prepared Extremely prepared
B14. What could be done to improve the organization's level of preparedness?	Increase funding for capacity building activities (drills/simulations, trainings/workshops) Improve quality of capacity building activities (drills/simulations, trainings/workshops) Increase number of organizational staff Create or improve surge rosters Create or increase contingency fund Increase number of collaboration partners Increase number of collaboration activities with existing partners Improve quality of partnerships/collaboration Other

Risk and Hazard Analysis

Next, I would like to ask you about how your in-country organization conducts risk and hazard analysis in relation to disasters and emergencies.	
B23. Does your organization (in-country) currently analyze hazards as part of your preparedness process?	Yes No I don't know
B24. Is risk analysis part of your preparedness process?	Yes No I don't know

Minimum preparedness activities

Next, I would like to ask you about your in-country organization's minimum preparedness activities.	
B25. Does your organization (in-country) have an emergency preparedness plan (EPP) to respond to disasters and emergencies?	Yes No I don't know
B26. Does your organization (in-country) have a system to measure its preparedness for an emergency response?	Yes Being carried out now Planned for the future No I don't know
B27. How does (or will) your organization (in- country) assess its level of emergency preparedness? (check all that apply) <i>Only if answered: Yes, Being carried out now, or Planned for the future in previous question</i>	Online platform ALERT A checklist A dashboard Annual Report Other
B28. What is (or will be) being measured by this system? (may select more than one response) <i>Only if answered: Yes, Being carried out now, or Planned for the future in previous question</i>	Timeliness of preparedness activities Effectiveness of preparedness activities Performance in core priority sectors/clusters Appropriateness/relevance of preparedness activities Quality and accountability Staff capacity Other

E. Capacity to Respond

Next, I would like to ask you about your in-country organization's activities related to disaster and emergency response.

C1. What type of disaster and emergency RESPONSE activities has your organization (in-country) been involved in in the last year?	None Food security and livelihoods WaSH Health Shelter Education Child Protection Nutrition Monitoring, evaluation and learning Logistics Fundraising Awards Emergency telecommunications Surge Management Other
C11. Does your organization (in-country) have a system to measure its performance during an emergency response?	Yes Being carried out now Planned for the future No I don't know
C12. What is (or will be) being measured by this system? <i>Only if answered: Yes, Being carried out now, or Planned for the future in previous question</i>	Timeliness of response Effectiveness of response Performance in core priority sector-clusters Appropriateness of response Quality and Accountability Staff capacity Other
C13. Did your organization respond to a disaster or emergency in the last 1 year in [country of survey]?	Yes No I don't know
C14. What is the MOST RECENT disaster or emergency your organization respond to in the last year in [country of survey]? [Select all that apply] <i>Only if answered: Yes in previous question</i>	Landslides Flooding Typhoons Drought Storm surge Volcanic eruptions Earthquakes Infectious Disease Epidemic War/violence/conflict Displacement Mass Exposure to Toxin/Chemical Monsoon NONE Other, specify

C15.1 Within what period of time following the disaster or emergency, did your organization respond?	< 24 hours 1 week 2-4 weeks 1-3 months 3-6 months > 6 months
C17.1 How would you rate your organization's <u>overall response</u> to the disaster?	Poor Fair Good Very good Excellent
C19.1 How would you rate <u>the appropriateness</u> of your organizations' response to the disaster?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate
C21.1 How would you rate <u>the timeliness</u> of your organizations' response to the disaster?	Very untimely Untimely Somewhat timely Timely Very timely
C21. 2 How would you rate <u>the costliness</u> of your organization's response to the disaster?	Very expensive expensive Somewhat expensive Expensive Not expensive I don't know
C22. 1 How would you rate <u>the effectiveness</u> of your organizations' response to the disaster?	Very ineffective Ineffective Somewhat Effective Effective Very Effective
C22.2 What percentage of the affected population was covered in your organization's response?	0-25% of affected population 25-50% 50-75% 75-100% I don't know
C23.1 How well did this response take into account the needs of vulnerable groups including the elderly, women and people with disabilities?	Poor Fair Good Very good Excellent

C24. Did your organization's response include a functioning feedback/complaint system for the affected population that documented feedback from the beneficiaries of the response?	Yes No I don't know
C25.1 Did your organization collaborate with other agencies in this response?	Yes No I don't know
C26.1 Which types of agencies did your organization collaborate with in responding to the disaster or emergency?	International NGO International organization (eg, UN, IOM, World Bank, etc.) National NGO (has projects throughout the country) Local NGO (has projects in a specific locality or region within country) Academic institution Government Private sector Health facility Other
C27.1 Why did your organization collaborate with other agencies in this response?	We are under contract to collaborate with this organization Our organization lacked critical resources Our organization lacked capacity to respond independently Other agencies asked our organization to collaborate Our organization felt that we could deliver a more effective response through collaboration Our organization lacked expertise in a specific area (such as local knowledge, M-E etc) I don't know Other, specify
C29. Was this the first time that your organization collaborated with these other partners in an actual response?	Yes No I don't know
C30. Had your organization collaborated with these partners in any preparedness activities such as capacity building, prior to the response?	Yes No I don't know
C30.1 Was the response locally led?	Yes No Mixed – some aspects were led locally and other aspects were led at the national level I don't know
C28. 1 If no, why did your organization not collaborate with other agencies in this response?	We have sufficient resources Other organizations do not have the capacity to respond We do not have a contract with another organization for this Collaborating during a response is not usual practice

	Our organization felt we could deliver a more effective response by working independently Our organization has the specific expertise needed to implement this response I don't know Other
C30.2 Did your organization use a surge mechanism to ensure adequate human resources to respond?	Yes No I don't know
C31. How would you rate your organization's ability to respond to a similar disaster or emergency in the future in [country of survey]?	Poor Fair Good Very good Excellent
C33. What could be done to improve your organization's ability to respond to a disaster or emergency in the future in [country]? <u>DO NOT READ OPTIONS</u>	Increase staff capacity Collaborate with other organizations Hold more training exercises Receive more resources Improve organizational preparedness Improve organizational policies Change organizational management structure Create / use a surge mechanism Improve early warning systems Other

Next, I would ask you about your in-country organization's capacity building activities and capacity assessments.

C36. Has your organization carried out a systematic assessment of the emergency response capacity within the organization (in-country) within the past 12 months?	Yes Being carried out now Planned for the future No I don't know
C37. Which of the following approaches did your organization use to assess staff capacity to respond to emergencies or disasters in country of survey, within the past 1 year?	Self Assessments Interviews / surveys Trainings (coaching) Drills / Simulations No formal approach I don't know Other, specify
C38. Have any activities to build capacity (in-country) around <u>disaster and emergency response</u> been conducted within your organization in the last 12 months?	Yes No I don't know

C39. If yes, what type of organizational capacity building activities around disaster and emergency response and preparedness have been conducted in the last 12 months?	Classroom based short lectures (1-2 hour session) Hands-on training and workshops (1-2 days) Longer in person training Written materials Online learning and online simulations In person simulations/drills Combination of in person and online training Job placement/ internship Other
C40. How many [capacity building activity] in the last 12 months were conducted for your in-country organizational staff?	Number
C41.9 How many did you personally participate in over the past year?	Number
C48. Have any of the staff from your country office participated in courses, training or other forms of staff development designed to improve <u>their humanitarian leadership skills</u> in the last 1 year?	Yes No Don't know
C49. If yes, who implemented this training?	
C50. Have any of the staff from your country office participated from courses, training or other forms of staff development designed to improve <u>the core humanitarian skills</u> of local staff in key positions in the last 1 year?	Yes No I don't know
C51. If yes, who implemented this training?	List of organizations

D. Management Arrangements & Institutional Environments

Next, I would like to ask you about your perception of the institutional and policy environment within your organization and country as it relates to disaster and emergency preparedness and humanitarian capacity building. A reminder that this survey is completely confidential, only anonymous results will be published.	
D1. In your opinion, how conducive is the institutional and policy environment within [country of survey] in relation to building humanitarian capacity to prepare for and/or respond to disasters and emergencies?	Not at all conducive Not conducive Somewhat conducive Conductive Very conducive
D3. If you work in a country office of an international organization or national/local NGO, how would you rate your country office's ability to influence the institutional and policy environment [within country of survey], on a scale of 1-5?	No voice or influence Minimal influence Some influence Significant influence Strong influence, seen as equal partner

D4. How would you rate <u>your ability</u> to influence the institutional and policy environment <u>within your organization?</u>	No voice or influence Minimal influence Some influence Significant influence Strong influence, seen as equal partner
D5. On a scale from 1-5, how much does the institutional and policy environment impact the speed of your response?	1 2 3 4 5 I don't know
D6. On a scale from 1-5, how much does the institutional and policy environment impact the cost of your response?	1 2 3 4 5 I don't know

Perceptions around Policy and Government

Next, I would like to ask you about your perceptions on policy and government related to capacity to prepare for and respond to disaster and emergencies.	
D7. On a scale of 1-5, how well is your organization or country office able to influence government policies related to national preparedness systems [in country of survey]?	No voice or influence Minimal influence Some influence Significant influence Strong influence, seen as equal partner
D8. Which of the following best describes your organization's current practice with respect to government disaster management plans?	Staff are not aware of local or national government disaster management plans (where a plan exists) Staff design programs to support the plan (where a plan exists) Staff work to influence/revise government disaster management plans. Don't know No government disaster management plan exists
A24. Does your organization/country office have a policy about inclusion of vulnerable groups such as women, children, people with disabilities, the elderly?	Yes No I don't know

Next, I would like to ask you a few questions related to your organization's policies and approaches.	
D12. On a scale of 1 to 5, how inclusive is your organization's policy / approach to working with local / national NGOs?	Very exclusive Exclusive Somewhat Inclusive Inclusive Very inclusive
D13. Has there been any change in your organization's policy/approach to working with local or national NGOs in the last 1 year?	More Inclusive Less Inclusive No change I don't know

D14. Do you feel that your organization has more, the same or fewer partnerships with national/local NGOs than one year ago?	More The Same Fewer I don't know
D15. Do you feel that your organization has more, the same or fewer partnerships with INGOs than one year ago?	More The Same Fewer I don't know
D16. In your opinion, in the country in which you are working, how would you describe the current relationship between local/national NGOs and INGOs?	Good – relationships between L/NNGOs and INGOs lead to effective humanitarian response Fair – good relationships but room for improvements Poor – weaknesses in relations may limit the effectiveness of humanitarian response Don't know Other, specify
D30. Does your organization have a mechanism in place for increasing surge capacity during a disaster?	Yes No I don't know
D31. Does your organization have any of the following: Surge roster [for your organization only] Shared surge roster (multiple organizations in same theme) Policy around surge Surge network / platform (multiple organizations/ multiple themes/multiple countries) Contingency funds Contingency plans Contingency policies	Yes No I don't know

Monitoring, Evaluation and Learning and Evidence

Next, I would like to ask you questions about your organization's activities related to monitoring, evaluation and learning.	
E16. On a scale of 1-5, how often does your organization (in country) carry out the following monitoring and learning approaches? (1=Never, 2=Rarely, 3=Occasionally, 4=Often, 5=Always)	1 2 3 4 5
<ul style="list-style-type: none"> h) Systematic needs assessments i) Routine monitoring and evaluation activities to report project progress to donors j) Rigorous evaluations (beyond routine monitoring and evaluation) to assess changes in outcomes and impact among beneficiaries k) Periodic program reviews in order to ensure learning within the organization l) Results are shared with beneficiaries m) Results are shared with other organizations n) Results are shared with decision makers 	

F. Implementation of DEPP

F1. Have you ever heard of the DFID funded Disasters and Emergencies Preparedness Programme (DEPP)?	Yes No I don't know
F3. Are you, personally involved with the DEPP?	Yes No I don't know
F4. If yes, how?	Part of DEPP consortium Received grant Received DEPP training Other
F4.1 What is the most significant change you can attribute to the DEPP?	Improved community preparedness Improved organizational preparedness Improved individual preparedness Improved government preparedness Improved community response Improved organizational response Improved individual response Improved government response More time-efficient response More cost-efficient response More inclusion of vulnerable groups More collaboration among INGOs/Local and National NGOs Other
F4.2 Did the DEPP project you are involved in aim to build capacity at the individual (staff) level?	Yes No I don't know
F4.3 Did the DEPP project you are involved in aim to build capacity at the organizational level?	Yes No I don't know
F4.4 How many organizational policies on disaster and emergency PREPAREDNESS created or strengthened since the beginning of the project?	Number
F4.5 How many organizational policies on disaster and emergency RESPONSE created or strengthened since the beginning of the project?	Number
F4. 6 Did your project involve working with the government?	Yes No I don't know
F4.7 Did your project aim to build capacity of government institutions?	Yes No I don't know
F4.8 If yes, at what level?	National State/Province

	District City/municipal Other
F4. 9 Is your project working with government to improve national preparedness systems?	Yes No I don't know
F4.10 How many governmental policies on disaster and emergency preparedness created or strengthened since the beginning of the project?	Number
F4. 11 How many governmental policies on disaster and emergency response created or strengthened since the beginning of the project?	Number
F4. 12 Did your project aim to strengthen community preparedness?	Yes No I don't know

<i>(For respondents that are part of a DEPP consortium)</i>	
F5. How appropriate do you believe the DEPP approach of working through consortia is in your context?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate
F6. How well is the DEPP consortium, that your organization is part of, functioning?	Not well at all Not well Somewhat well Well Very well I don't know
F9. How relevant are the DEPP interventions for the country in which you are working?	Not at all relevant Irrelevant Somewhat Relevant Relevant Extremely relevant I don't know
F10. How effective has DEPP intervention delivery been in the country in which you are working?	Very ineffective Ineffective Somewhat Effective Effective Very Effective I don't know
F11. What were the main results of your DEPP project?	Improved knowledge of staff Improved preparedness systems for communities at risk Increased number of coalitions, partnerships and networks Improved institutional arrangements and policy environments

	<p>Strengthened evidence base</p> <p>Other</p>
F11.1 What types of changes has <u>the project</u> led to?	<p>Improved community preparedness</p> <p>Improved organizational preparedness</p> <p>Improved individual preparedness</p> <p>Improved government preparedness</p> <p>Improved community response</p> <p>Improved organizational response</p> <p>Improved individual response</p> <p>Improved government response</p> <p>More time-efficient response</p> <p>More cost-efficient response</p> <p>More inclusion of vulnerable groups</p> <p>More collaboration among INGOs/Local and National NGOs</p> <p>Other</p>
F11.2 What is the MOST significant change <u>the project</u> has led to?	<p>Improved community preparedness</p> <p>Improved organizational preparedness</p> <p>Improved individual preparedness</p> <p>Improved government preparedness</p> <p>Improved community response</p> <p>Improved organizational response</p> <p>Improved individual response</p> <p>Improved government response</p> <p>More time-efficient response</p> <p>More cost-efficient response</p> <p>More inclusion of vulnerable groups</p> <p>More collaboration among INGOs/Local and National NGOs</p> <p>Other</p>
F12. Describe one key success of the DEPP in your country so far.	<p>Increased collaboration</p> <p>Increased organizational capacity</p> <p>Increased staff capacity</p> <p>Improved disaster preparedness</p> <p>Improved disaster response</p> <p>Cheaper disaster response</p> <p>Quicker disaster response</p> <p>Improved learning</p> <p>Improved policy environment</p> <p>Improved evidence sharing</p> <p>I don't know</p> <p>Other, specify</p>
F13. Describe one key challenge with the DEPP in your country so far.	<p>Retention of skills</p> <p>Beneficiary interest</p> <p>The DEPP activities are not relevant here</p> <p>Lack of resources to make the DEPP successful</p> <p>The DEPP lacks contextual understanding</p> <p>Lack of project leadership</p> <p>Lack of end-user participation</p>

	Too optimistic goals Unclear objectives Slow and cumbersome decision-making process Resistance of beneficiaries Lack of government buy-in I don't know Other
F13.1 What is the MOST significant change <u>the DEPP</u> has led to?	Improved community preparedness Improved organizational preparedness Improved individual preparedness Improved government preparedness Improved community response Improved organizational response Improved individual response Improved government response More time-efficient response More cost-efficient response More inclusion of vulnerable groups More collaboration among INGOs/Local and National NGOs Other
F14. How many times have you participated in learning events related to the DEPP?	Number
F16. Are you aware of any sharing of evidence from the DEPP m) within the project you are involved with n) across projects in your country o) across different DEPP countries p) with stakeholders outside of the DEPP	Yes No I don't know
F17. How many times have you interacted with individuals involved with other DEPP projects in your country in the last 6 months?	Number
F19. How many times have you interacted with individuals involved with the DEPP Learning Project team in the last 6 months?	Number
F21. How many times have you interacted with this member of the DEPP Learning project RLA (regional learning advisor) in the last 6 months?	Number
F22. How useful do you consider the Learning Project to be in relation to your work?	Not useful at all Not useful Neither useful nor not useful Useful Very useful
F23. Which of the following DEPP-related activities has your organization implemented <u>since the start of the DEPP program</u> ?	Capacity development programs developed and implemented Training Early warning systems development Preparedness training

	Preparedness activities Drills/simulations Evaluations Research Workshops Blended learning (online and in-person training) Coaching Mentoring Response activities Other
F23. 1 How many [activity] were implemented?	Number

<i>(For respondents that are DEPP beneficiaries – receiving grants or training)</i>	
F24. Has your organization received any funding through the DEPP programme?	Yes No I don't know
F27. If yes, what activities have been implemented with the funds?	Capacity development programs developed and implemented Training Early warning systems development Preparedness training Preparedness activities Drills/simulations Evaluations Research Workshops Blended learning (online and in-person training) Coaching Mentoring Response activities Other
F28. How many trainings have you personally participated in through the DEPP programme?	Number
F30. How many working groups have you participated in through the DEPP programme?	Yes No I don't know
F31. How appropriate do you believe the DEPP approach of working through consortia is in your context?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate I don't know
F33. How relevant are the DEPP interventions for the country in which you are working?	Not at all relevant Irrelevant

	Somewhat Relevant Relevant Extremely relevant I don't know
F34. How effective has DEPP intervention delivery been in the country in which you are working?	Very ineffective Ineffective Somewhat Effective Effective Very Effective I don't know
F35. Describe one key success of the DEPP in your country so far.	Increased collaboration Increased organizational capacity Increased staff capacity Improved disaster preparedness Improved disaster response Cheaper disaster response Quicker disaster response Improved learning Improved policy environment Improved evidence sharing I don't know Other, specify
F36. Describe one key challenge with the DEPP in your country so far.	Retention of skills Beneficiary interest The DEPP activities are not relevant here Lack of resources to make the DEPP successful The DEPP lacks contextual understanding Lack of project leadership Lack of end-user participation Too optimistic goals Unclear objectives Slow and cumbersome decision-making process Resistance of beneficiaries Lack of government buy-in I don't know Other
F37. How many learning events have you participated in during the DEPP?	Number
F39. Are you aware of any sharing of evidence from the DEPP m) within the project you are involved with n) across projects in your country o) across different DEPP countries p) with stakeholders outside of the DEPP	Yes No I don't know

(For organizations that have heard of DEPP but are not personally involved)

F40. How appropriate do you believe the DEPP approach of working through consortia is in your context?	Very inappropriate Inappropriate Somewhat Appropriate Appropriate Very appropriate I don't know
F41. How relevant are the DEPP interventions for the country in which you are working?	Not at all relevant Irrelevant Somewhat Relevant Relevant Extremely relevant I don't know
F42. How effective has DEPP intervention delivery been in the country in which you are working?	Very ineffective Ineffective Somewhat Effective Effective Very Effective I don't know
F43. How many learning events have you participated in during the DEPP?	Number
F45. Has any evidence from the DEPP been shared with you?	Yes No I don't know

I. Contextual Factors

Next, I would like to ask you about how contextual factors such as geographical factors, political factors, social and or cultural factors in the setting in which you are working influence your organization's ability to prepare for and respond to disasters and emergencies.	
G1. What type of geographical, political, social and cultural contextual factors have influenced project implementation in the past year?	Political takeover or military coup War or revolution Unexpected changes in government policies Misalignment of project and cultural values Inadequate communication Difficulties due to religion, customs, or ethnicities of project beneficiaries Security of stakeholders Resistance of beneficiaries to project Other

E. Collaboration, Networks and Consortium (Network Survey)

Next, I would like to ask you about organizations that you collaborate with, to better understand what type of collaborations, you are participating in, and to be able to map how organizations are working together within the humanitarian sector in this country. As part of this section I will ask you to list organizations you are collaborating with and to also provide contact names and details. This information will be kept strictly confidential, and won't be shared with anyone. The purpose of collecting this

information is to enable us to invite the organizations you collaborate with to also participate in the research study if they are interested.	
In the event of a disaster, are there other organizations you will look to collaborate with in regard to humanitarian response?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know
If yes, what type of organization do you look to collaborate with in regard to humanitarian response?	<input type="checkbox"/> International NGO <input type="checkbox"/> International organization (eg, UN, IOM, World Bank, etc.) <input type="checkbox"/> National NGO (has projects throughout the country) <input type="checkbox"/> Local NGO (has projects in a specific locality or region within country) <input type="checkbox"/> Academic institution <input type="checkbox"/> Government <input type="checkbox"/> Private sector <input type="checkbox"/> Health facility <input type="checkbox"/> Other
A4. Please indicate what your organization / program / department contributes, or can potentially contribute, to other local, national or international organizations.	<input type="checkbox"/> Advocacy <input type="checkbox"/> Agriculture Expertise <input type="checkbox"/> Climate Change and Adaptation <input type="checkbox"/> Community Capacity Building <input type="checkbox"/> Community Connections <input type="checkbox"/> Community Planning <input type="checkbox"/> Community-Based Risk Analysis <input type="checkbox"/> Conflict Mitigation Expertise <input type="checkbox"/> Data Resources including data sets, collection and analysis <input type="checkbox"/> Early Warning Systems Expertise <input type="checkbox"/> Education <input type="checkbox"/> Facilitation <input type="checkbox"/> Funding <input type="checkbox"/> Gender-based violence <input type="checkbox"/> Health/Public Health Expertise <input type="checkbox"/> In-Kind Resources (e.g., meeting space) <input type="checkbox"/> Journalism/Media <input type="checkbox"/> Leadership <input type="checkbox"/> Local Expertise <input type="checkbox"/> Logistics <input type="checkbox"/> Management <input type="checkbox"/> MEL Expertise <input type="checkbox"/> Policy <input type="checkbox"/> Project Design <input type="checkbox"/> Project Implementation <input type="checkbox"/> Proposal Writing <input type="checkbox"/> Research <input type="checkbox"/> TA <input type="checkbox"/> Technology/web resources (e.g. server space, web site development, social media) <input type="checkbox"/> Volunteers and Volunteer staff

	Vulnerable Groups WaSH Other, specify
Have you/your organization collaborated with any organizations in the past 6 months on preparedness and/or response to disasters and emergencies?	Yes No I don't know
Select the names of organizations you have collaborated with in the past 6 months. This may include: securing financial resources, new skills development and training, shared implementation responsibility or new knowledge acquisition.	
E3. What is the name of the primary contact person whom you collaborate with at the organization?	
E4. What is the email address of the primary contact person whom you collaborate with at the organization?	
E5. What is the phone number of the primary contact person whom you collaborate with at the organization?	
E6. What is the website for the organization?	
E7. What is the address of the organization?	
N7a. How would you characterize the nature of your collaboration with the organization around issues relating to humanitarian response and preparedness?	My organization goes to this organization mainly for information sharing and communication My organization partners informally with this organization My organization has a formal contractual relationship with this organization Other, specify
N7b. Which of the following best describes your collaboration with the organization?	My organization entered into this collaboration because we share mutual interests with the other member(s) of the partnership or consortium My organization was required to enter into this collaboration in order to receive funding for one or more projects Other, specify
N7c. Please specify the ways in which you have collaborated with organization in the past 6 months around issues related to humanitarian response and preparedness	Advocacy Agriculture Expertise Climate Change and Adaptation Community Capacity Building Community Connections Community Planning Community-Based Risk Analysis Conflict Mitigation Expertise Data Resources including data sets, collection and analysis Early Warning Systems Expertise Education Facilitation Funding

	Gender-based violence Health/Public Health Expertise In-Kind Resources (e.g., meeting space) Journalism/Media Leadership Local Expertise Logistics Management MEL Expertise Policy Project Design Project Implementation Proposal Writing Research Technical Assistance Technology/web resources (e.g. server space, web site development, social media) Volunteers and Volunteer staff Vulnerable Groups WaSH Other, specify
N7d. Please indicate the frequency with which you have engaged with the organization for work related to humanitarian response and preparedness/	Rarely (1-2 times in the past 6 months) Occasionally (3-4 times in the past 6 months) Often (5 or more times in the past 6 months)
N7e. How long have you been collaborating with the organization?	fewer than 3 months 3-6 months 6-9 months 9-12 months 1-3 years 3-5 years 5-10 years 10-15 years more than 15 years
N7f. How likely is it that you would recommend organization to a colleague for work related to humanitarian response and preparedness?	1 (not at all likely) 2 3 4 5 (fairly likely) 6 7 8 9 10 (extremely likely)
N7g. Has there been any concrete output of this collaboration with the organization?	Yes No I don't know

<p>N7h. If yes, what were the outputs of this collaboration?</p>	<p>There have been no concrete outputs of this collaboration</p> <p>Coordination of programs</p> <p>Report</p> <p>Proposal to seek funding for new project</p> <p>Implementation of a new joint Project</p> <p>The development of a new focus area within the organization</p> <p>A change in the overall mission and vision of the organization</p> <p>This collaboration paved the way for future collaborations</p> <p>A change in the beliefs, values, customs, attitudes and norms of the organization</p> <p>New ideas for the operation and service delivery of the organization</p> <p>A change in the rules and internal guidelines of the organization</p> <p>Adoption of new technologies to support the organizations objectives</p> <p>A change in how the organization organizes and mobilizes its staff in the event of an emergency</p> <p>Other, specify</p>
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ANNEX 7

LIST OF DOCUMENTS CONSULTED

Annex 7: List of Documents Consulted

10 lessons from the DEPP anecdote tracker
2013 Response to Armed Conflict & Forced Displacement in Colombia
2015 DEPP Learning Report
2016 DEPP Learning Report
A guest blog on DEPP Learning Conference, Kenya
A Journey Towards the Localisation of Aid
A step forward as NNGOs in Ethiopia establish the first humanitarian forum
Action for Public Health Emergency Preparedness
Action Learning Research Methodology
ADCAP Minimum Standards for Age and Disability Inclusion in Humanitarian Action
Adinolfi et al. Humanitarian Response Review. An independent report commissioned by the United Nations Emergency Relief Coordinator & Under-Secretary-General for Humanitarian Affairs Office for the Coordination of Humanitarian Affairs (OCHA). 2005.
Africa delegation on Manila event
Against all odds
Aid organisations and the need to change
Alert Software Development Report
All ADCAP Quarterly Reports (14)
All Alert Quarterly Reports (12)
All CDAC Quarterly Reports (12)
All Financial Enablers Quarterly Reports (11)
All Improved Early Warning Early Action Quarterly Reports (10)
All Learning Project Quarterly Reports (10)
All LPRR Quarterly Reports (13)
All Protection in Practice Quarterly Reports (13)
All Public Health Emergency Preparedness in Gambella Quarterly Reports (11)
All Shifting the Power Quarterly Reports (14)
All Strengthening Emergency Preparedness Systems in Myanmar Quarterly Reports (11)
All Talent Development Quarterly Reports (14)
All Transforming Surge Capacity Quarterly Reports (14)
All Urban Early Warning Early Action Quarterly Reports (9)
Amena's Journey
Approaches to collaboration at the local level: learnings from Financial Enablers
Are you thinking about inclusion in the localisation agenda?
Asia December Snapshot: Bangladesh
Asia December Snapshot: Pakistan
Asia December Snapshot: Philippines

Asia December Snapshot: Regional
Assessment report on the opportunities and challenges for LNNGOs participation in the humanitarian architecture in Ethiopia
Assisting flood-affected households in Benin
August F, Pembe AB, Mpembeni R, Axemo P, Darj E. Community health workers can improve male involvement in maternal health: evidence from rural Tanzania [internet]. 2016. Available from: http://www.tandfonline.com/doi/pdf/10.3402/gha.v9.30064?needAccess=true
Austin L, O'Neil G. Transforming Surge Capacity: Success Measures Against Outcomes and Outputs [internet]. 2015. Available from: http://www.chsalliance.org/files/files/Resources/Articles-andResearch/Surge-Humanitarian-Report-Final.pdf
Averting disease outbreaks in Ethiopia
AWARE success story
Bahadur's Journey
Bangladesh Floods 2016: A Review of Surge Practices
Bangladesh National Learning Conference - Conference Pack
Beck T. Evaluating humanitarian action using the OECD-DAC criteria. 2006.
Benefits and Challenges of KOBO Toolbox in Needs Assessment
Better together: How joint capacity building can improve NGO preparedness for emergencies
Beyond DEPP in the Philippines
Blended Learning - What do participants find most useful?
Block By Block- Building Disaster Risk Reduction
Blog compilation: Preparing for Shock: Is Preparedness the New Frontier?
Bond for International Development. Evidence Principles Case Study: Reviewing Evaluations [internet]. Available at: https://www.bond.org.uk/data/files/Effectiveness_Programme/Case_Study_1_-_Using_the_Evidence_Principles_to_systematically_review_evaluations_World_Vision_Final.pdf
BRACED Knowledge Manager. M&E Guidance Notes: BRACED Programme. 2015.
Bridges, Walls and a Collaboration Ladder
Briefing Paper: Capacity Development
Briefing Paper: Collaboration
Briefing Paper: DEPP Return on Investment
Briefing Paper: Localisation of Humanitarian Aid
Briefing Paper: Preparedness and Early Warning Systems
Briefing Paper: Women's Leadership in Preparedness -Why does it matter?
Building a Case Study - Webinar
Building on the Strengths of Philippine Civil Society Organizations in Responding to Emergencies
Building resilience in Myanmar
Building transitional shelters in Gambella, Ethiopia
Business Case Intervention Summary: Disasters and Emergencies Preparedness Programme
Can children help make the peace needed to prepare for disaster?

Can Grand Bargain signatories reach the 25% target by 2020?
Capacities of First Responders Need To Improve
Capacity Building in Disaster Preparedness and Response
Capacity Building in the Light of Contextualization/Localization
Capacity Strengthening Approaches Across DEPP
Case study guidance (comms)
Case Study Template
Case Study: 2004 Muslim Aid Tsunami Response, Banda Aceh, Indonesia
Case Study: 2010 Floods Response in Sindh, Pakistan
Case Study: Enabling Communities in Myanmar to Prepare for Disaster
Case study: Transforming surge capacity through training
Case Study: Typhoon Ketsana, Philippines
Case Study: Women's Leadership in Emergency Response in Myanmar
Chandra's Journey
Christian Aid's 2012 Response to Conflict in South Kivu, the Democratic Republic of Congo
Christmas on Catanduanes Island as Typhoon Nock-Ten Hit
Collaboration- a key to making aid action effective
Collaboration in disasters put to the test: simulation of the Go Team Asia roster
Collaboration in the Humanitarian Sector
Collaborative Partnership with Government to Influence Effective Preparedness and Response
Collaborative post-earthquake reconstruction in Ecuador
Collaborative Surge between Christian Aid and Save the Children during Cyclone Vardah
Communicating with Communities Gap and Needs Analysis: South Sudan
Communicating with Communities in the Philippines
Community-led resilience in the Yolanda response
Concept Note: ADCAP
Concept Note: Financial Enablers
Concept Note: Improved Early Warning Early Action
Concept Note: LPRR
Concept Note: Shifting the Power
Concept Note: Talent Development
Concept Note: Transforming Surge Capacity
Concept Note: Urban Early Warning, Early Action
Conference Pack: Regional Learning Conference on Localisation
Connect. Collaborate. Innovate. DEPP in the Philippines - Celebrating the Gains of Collaborative Learning for Effective Humanitarian Response (Video)
Connect. Collaborate. Innovate. DEPP in the Philippines - Closing Remarks (Video)
Connect. Collaborate. Innovate. DEPP in the Philippines - Conference Plenary Sessions (Videos)
Connect. Collaborate. Innovate. DEPP in the Philippines - Thematic Area 1 (Video)

Connect. Collaborate. Innovate. DEPP in the Philippines - Thematic Area 4: Part 1 (Video)
Connect. Collaborate. Innovate. DEPP in the Philippines - Thematic Area 4: Part 2 (Video)
Connect. Collaborate. Innovate. DEPP in the Philippines - Thematic Area 4: Part 3 (Video)
Connect. Collaborate. Innovate. DEPP in the Philippines - Welcome Remarks (Video)
Connect. Collaborate. Innovate. DEPP in the Philippines. Thematic Area 2 - Owning our future: Our vision of locally-led responses (Video)
Consortium of British Humanitarian Agencies. Dealing with Paradox: Stories and Lessons from the First Three Years of Consortium Building [internet]. 2013.Available from: http://www.alnap.org/resource/9755
Context in Kenya - A constant learning journey!
Context in Kenya-Boosting Humanitarian response
Contingency Planning Guidelines
Convergence: DEPP projects in the Philippines
Coordinating Disaster Response in the Philippines
Database of affected peoples is really essential for emergency support
Day Two of the DEPP Regional Learning Conference on Localisation – Communities, Complexity and Collective Experience
DCA Talks Cash Preparedness with Financial Service Providers, Government
Defying Distance to Broker Learning among DEPP Partners
Demonstrating Trust and Efficiency through Joint Surge Rosters
DEPP Briefing Paper 01: Developing a locally led response
DEPP Briefing Paper 02: Making Community Resilience A Reality
DEPP Call for Learning Submission 1
DEPP Call for Learning Submission 2
DEPP Call for Learning Submission 3
DEPP Call for Learning Submission 4
DEPP Call for Learning Submission 5
DEPP Call for Learning Submission 6
DEPP Capacity Strengthening Approaches: reflections on best practice and measuring effectiveness
DEPP Evaluation: Summary of Formative Phase Findings
DEPP External Evaluation Formative Report
DEPP External Evaluation Inception Report
DEPP Global Learning Conference 2016: Conference Learning Pack
DEPP Management Team review feedback
DEPP Overall Log frame
DEPP project log frames
DEPP Results Infographic - December 2017
DEPP Results Infographic - June 2017
Designing Learning Presentation
Developing Approaches to Disaster Risk Management in Pakistan

DFID, Rt Hon Justine Greening MP. UK aid in 2015: The progress so far and the priorities ahead [internet]. 2015. Available from: https://www.gov.uk/government/speeches/uk-aid-in-2015-the-progress-sofar-and-the-priorities-ahead
DFID. Corporate report: Single departmental plan: 2015 to 2020 [internet]. 2016. Available from: https://www.gov.uk/governmentpublications/dfid-single-departmental-plan-2015-to-2020/singledepartmental-plan-2015-to-2020
Disaster Preparedness is POWER: Let's Learn From The Community
Disaster Preparedness, a prerequisite for North Kivu Province
Disseminating Learning Presentation
Earthquake!!! Training senior media for the worst in Bangladesh
East Africa Humanitarian Trainee Scheme Graduation: Ethiopia
Enabling Local Action: Localisation and contextualisation of Disaster Risk Reduction Management in East Africa - Conference Report
Enabling post-disaster shelter recovery
Enlazando la preparación, respuesta y capacidad de recuperación (LPRR) Respuesta al conflicto armado y el desplazamiento forzado en Colombia en 2013
Ethical Recruitment Guidelines
Ethiopia National Learning Conference
Exploring Good Practice for Wellbeing
Fearon C. Humanitarian Quality Assurance: Sierra Leone. Evaluation of Oxfam's humanitarian response to West Africa Ebola Crisis [internet]. 2017. Available from: file:///C:/Users/res803/Downloads/er-humanitarian-sierra-leone-effectiveness-review-200217-en.pdf
Fighting bombs with perfume
Financial Enablers: Enabling Collaboration
Financial Sustainability of Surge Study
Finding a Solution to Food Insecurity in the Urban Slums of Kenya
Formative Phase Report: Value for Money
FRDP Pakistan Trainees and Volunteers at the University of Sindh, Jamshoro: Photo blog
From Strength to Strength
Gamification and gamified learning paper
Getting Assessment Right
Getting into SHAPE? A Review of Shifting the Power's Organisational Capacity Assessment Approach
Giving a voice to the local communities in East Africa
Global Lessons on Individual Capacity Building from the Talent Development Project
Global Protection Cluster Protection Mainstreaming Toolkit
Global Protection Cluster Protection Mainstreaming Training Package: Urdu
Guidance for Scribes/Note Takers
Guidelines for Establishing a HR Co-ordination Network during Surge Responses
Guidelines for the Role of HR in Supporting Staff Care
Have we ignored the urban informal settlements?
How can Humanitarian Organisations Encourage More Women in Surge?

How Can Humanitarian Response Interventions Contribute to Building Long-Term Resilience? An Evidence Based Research
How does localisation fit into the bigger picture?
How has the Shifting the Power project influenced local partners' emergency response work?
How Shifting the Power has influenced local partners' emergency response
How to make a video
Humanitarian Capacity Building in the Democratic Republic of Congo (French)
Humanitarian Collaboration and Capacity of Practice
I don't know what localisation is...
Identifying, Synthesising and Packaging Learning Webinar
If Disaster Hit - It Made the Children Most Vulnerable
Impact of the Context Staff Development Project - Participant's applications of Core Humanitarian Competencies
Improved disease Surveillance Reporting: Impact Story from the Public Health Emergency Preparedness Project
Improved early warning system in Ethiopia
Improving effectiveness of humanitarian actors at scale: a study of two eLearning courses available on the Kaya learning platform
Improving skills and competencies to prevent disease outbreaks
In a Disaster... Send More Women
In the face of adversity, gender and culture could not stop her
Inclusion Discussion (Christian Aid)
Inclusion of the Aged and Disabled in the Kongelai Emergency response
Inclusive Disaster Emergency Preparedness (DFID)
Inclusive programming in Pakistan
Increasing the voice and influence of local and national NGOs
Indigenous Knowledge: Learning and Sharing for the Humanitarian Industry
Information Video: The Disasters and Emergencies Preparedness Programme
Insights into Talent Development and DEPP simulation trainings
Integrated Conflict Prevention and Resilience Field Guide
Integrated Conflict Prevention and Resilience Handbook
Integrated Conflict Prevention and Resilience Handbook - Gabra and Borana
International Human Resources Good Practice Conference: Conference Report and Recommendations
International NGOs collaborating on humanitarian surge in Asia
Interview checklist (comms)
Is investment in preparedness worth the effort?
Is localisation thinking locally and acting globally, thinking globally and acting locally, or both?
Journey to Acceptance: A Case Study
Kletzing M, Bevan D. Preparing for Preparedness: Lessons from Designing and Setting-up the Disasters and Emergencies Preparedness Programme.

Knowledge and Learning Event: Shongjog Multi-Stakeholder Platform for Communicating with Communities
Knowledge sharing in protracted conflicts - the case of national humanitarian networks in South Sudan and Yemen
L'auto-Preparation aux Catastrophes at aux Urgences Dirigee Localement - Le Cas du Nord Kivu, République Démocratique du Congo: Rapport de la Conférence
Latrines that show a new age in aid response
Launch of the Learning Platform
Launch of the On Call Collaborative Roster for Improved Disaster Response in Philippines
Learning Exchange Visit - Participants
Learning Platform Analytics Report
Learning Platform Analytics Report: April-September 2017
Learnings and Reflections on a Field Visit to Pasig City, Manila
Learnings and Reflections on the DEPP Regional Conference on Localisation and Field Visit – Contributions from the Africa Delegation
Lessons learnt on the due diligence process so far
Life-saving Initiatives
Linking Preparedness Response & Resilience (LPRR) Action Aid's 2013 Response to Cyclone Mahasen in Patuakhali District, Bangladesh
Linking Preparedness Response and Resilience in Emergency Contexts' Humanitarian Strand Final Report: Community Resilience Building in Humanitarian Response; Insights from Crises Survivors and First Responders
Linking Preparedness Response and Resilience Project: Micro-Level Conflict Analysis report
Linking Preparedness, Resilience and Response in emergency context: A comparative analysis of humanitarian response intervention
Linking Preparedness, Resilience and Response: Half Way Review Reflections
Linking Preparedness, Resilience and Response: Philippines Case Study Policy Recommendations
Linking Preparedness, Response and Resilience in Emergency Context
Linking, Preparedness, Resilience and Response - Project summary
List of Participants - PBA
Local action and the role of international aid
Local humanitarian action in practice: Case studies and reflections of local humanitarian actors
Local perspectives on protection: Recommendations for a community based approach to protection in Humanitarian Action
Localisation and Contextualisation Webinar
Localisation in the Democratic Republic of Congo, a long way to go!
Localisation of Aid: INGOs Walking the Talk
Localisation of Aid: INGOs Walking the Talk
Localisation of Aid: INGOs Walking the Talk
Localisation of Aid: INGOs Walking the Talk
Localisation of Aid: INGOs Walking the Talk
Localisation of Learning Webinar

Localisation: A chance for the minority to be heard
Localisation: Working with National and Local Partners
Localising Disaster Emergency Preparedness in Asia
Locally led Preparedness - Experiences from the North Kivu, Democratic Republic of Congo - Conference Pack
Locally led surge response: Responding to the 2016 Bangladesh floods
Locally-led Humanitarian Response: Reflections on the Haian Response Experience of Local Development Organizations
Mahmud's Journey
Manila Earthquake: Pre-Crisis Information Mapping Survey and Consultation
Manual de integración entre prevención de conflictos y resiliencia
Marsabit County Resilience Study: Does investment in resilience work?
Maximising the impact through collaboration: Hosting the Talent in local humanitarian actions
Measuring the value-for-money of increased collaboration between UK International Non-Governmental Organisations in response to mega-disasters
More Than Just Money: ALERT's Journey in the World of Corporate Sector Partnerships
More than just money? Lessons learned about private sector partnerships from the ALERT project
More with less: Letting go in Palestine
Moving to more localised surge mechanisms in Pakistan – Future outlook
My localisation is different to your localisation
Nepal Earthquake 2015: Review of Surge Practices
New Collaborative Regional Roster for Humanitarian Response launched in Bangkok
New Report asks "Are Unethical Recruitment Practices undermining National Capacity?"
New Report into Surge Capacity in Slow Onset Crises
Not Only Poor but also Wealthy Farmers are Left Hopeless After Flash Floods in Haor
Note de plaidoyer: Appel pour le renforcement des systèmes locaux de préparation aux catastrophes et d'intervention d'urgence dans la province du Nord-Kivu
Online Learning Systems Webinar
Open source Surge Competencies Training
Overarching DEPP budget
Partner feature: Minimum Standards for Age and Disability Inclusion in Humanitarian Action (DFID)
Patrick J. Haiti Earthquake Response: Emerging Evaluation Lessons. Evaluation Insights 1 (June): 1-14. Issued by the Network on Development Evaluation of the OECD Development Assistance Committee (DAC). 2011.
Photography and video guidance
Please do Recognise the Added Value Women Bring to the Humanitarian Sector for Local Led Response
Policy Paper: Appeal for Strengthening Locally Led Preparedness Systems for Disasters and Emergencies Response in North Kivu Province
Pongracz S, Wheatly, A. Humanitarian Value for Money Toolkit: Tools and approaches for measuring VFM in rapid onset and prolonged crises [internet]. 2015. Available from: http://www.alnap.org/resource/24499
Power Café: 2nd Session
Power shift to locally owned and led responses through volunteer model

Preparedness Systems Webinar
Preparing for Shock - Day 1: Accountability Deficit, ROI and Impossible Dilemmas
Preparing for Shock - Day 2: Enough Talk, It's Time for Action
Preparing for Shock: Closing
Preparing for Shock: Communities are by nature resilient: does stronger community leadership in preparedness require international agencies to step back?
Preparing for Shock: Finding the right approach for 2030 - Innovative programming and funding models
Preparing for Shock: How do we ensure that investments in preparedness are sustainable?
Preparing for Shock: Is investment in disaster preparedness worth the effort? A look at the evidence - Part 1
Preparing for Shock: Is investment in disaster preparedness worth the effort? A look at the evidence - Part 2
Preparing For Shock: Is Preparedness the New Frontier? Conference Pack
Preparing for Shock: Is Preparedness the New Frontier? Conference Plenary Sessions - Videos
Preparing for Shock: Opening Keynote and Panel - Investment in Preparedness: Where are we now?
Programme Criteria for the designed programme element
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Reflections on upholding humanitarian principles and sustainable programming
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Regional Conference on Localisation: Improving hazard, risk and early warning systems – Learnings from Myanmar
Regional Conference on Localisation: Intro and Session 1 - Localising Disaster Emergency Preparedness
Regional Conference on Localisation: Journey to Localisation
Regional Conference on Localisation: Key findings from Formative Phase report - Harvard Humanitarian Initiative and Strengthening response -recovery-development continuum at the local level
Regional Conference on Localisation: Learnings from Africa
Regional Conference on Localisation: Recommendations from Conference on Localisation – Key messages
Regional Conference on Localisation: Strengthening local & national agencies for improved local response – Learnings from Bangladesh
Regional Learning Conference: Improving local response & enabling a more inclusive people-centred response - Learnings from Pakistan
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Shifting the Power: Recognising the Role of Community Voice in Strengthening Humanitarian Response - Case Study

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Shifting the Power: The role of Local & National NGOs in Influencing Disaster Co-ordination Platforms
Shifting the Power: The Role of Local and National NGOs in Influencing Disaster Co-ordination Platforms Case Study
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Summary - Localisation of Aid: Are INGOs Walking The Talk?
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Summary: Insights into Talent Development and DEPP simulation trainings
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Talent Development - Humanitarian Trainee Scheme Final Evaluation Report
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Talent Development graduates assist with government response to Rohingya Crisis
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Talent Development Mid-term Review Podcast
Talent Development Project External Final Evaluation
Talent Development Project Global Learning Forum: 'Meeting everyone made everything fall into place'

Talent Development: the Humanitarian Trainee Scheme Outcome Evaluation - a Process to Empower Stakeholders by Looking Back and Looking Forward
Tapping Women's Potential for Effective and Timely Humanitarian Response in Kenya
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Terms of Reference: Exposure visit to Manila, Buklod Tao DRRM community mobilization
Testing Humanitarian Collaboration with the Private Sector in the Bay of Bengal
The burning question: How can we balance emergency and development activities to reduce further harm and uphold humanitarian principles for all?
The conflict between individual capacity and institutional capacity is an illusion
The Executive Summary of the Mid-term review: Transforming Surge Capacity
The Future of Humanitarian Surge - Learning from the Transforming Surge Capacity project 2015-2018
The Integration of Gender and Security
The Learning Series - Learning So Far
The Nuts and Bolts of Collaboration in the DEPP Transforming Surge Capacity Project
The private sector in disasters- lessons from the Philippines
The role of LNNGOs in influencing humanitarian coordination platforms
The Shongjog Platform's first Knowledge & Learning Event - June 2016
The State of Surge Capacity in the Humanitarian Sector 2015
Time for HR to step up: National perspectives on transforming surge capacity
Time to Move On: National perspectives on transforming surge capacity
Time to Move On: National perspectives on transforming surge capacity - Executive Summary
Time to Move on: The Negative Impact of INGO Recruitment
ToR Template for External Evaluations
TOR: Independent Evaluation of the Disasters and Emergencies Preparedness Programme
Towards regionalisation of humanitarian action: Islamic Relief's involvement in the Transforming Surge Capacity project
Transforming Surge Capacity - Ethical Recruitment Guidelines
Transforming Surge Capacity - Final Evaluation Report
Transforming Surge Capacity - Guidelines for Establishing a HR Co-ordination Network during Surge Responses
Transforming Surge Capacity - Guidelines for the Role of HR in Supporting Staff Care
Transforming Surge Capacity - Resource Sheet
Transforming Surge Capacity - UN/INGO Collaboration
Transforming Surge Capacity Baseline
Transforming Surge Capacity Project - Baseline
Typhoon Haima - Preparing for a More Localised Response
Typhoon Nock-Ten: The first step to real localization by Humanitarian Response Consortium (HRC)
UN & INGO Collaboration
Understanding of the Localisation Debate

Urban Early Warning Early Action project in Kenya - Act Early, Save a life
Urban informal settlements are hotbeds of malnutrition.
Utilisation of digital mapping in Turkana
VIDEO - Transforming Surge Capacity Project
VIDEO - Typhoon Nock-Ten response - Action Against Hunger in the Philippines
Video Diary: Talent Development graduates respond to Rohingya crisis
Video: The Disasters and Emergencies Preparedness Programme in Kenya
Walking into the Whirlwind: The Case for Collaboration in Disaster Management
Webinar Slides: DEPP Learning Report 2016
Webinar: DEPP Learning Report 2016
Webinar: Learning Platform Website Training
Website Content TOR
Website User Guide
What is #inclusion? Do you agree with @cbm_eastafrica's Michael Mwenda?
What is 'blended' learning and what does it mean for the humanitarian sector?
What is the purpose of inclusion in #humanitarian contexts? Today, @christian_aid's Claire Grant explained her perspective.
What Works for Humanitarian Capacity Development? Learning from the Disasters and Emergencies Preparedness Programme (DEPP)
Why Ethiopia has lessons on emergency response
Why Private Sector Engagement in Disaster Management is Important
Why sustainability?
Why Urban Food Insecurity is a National Issue
Will this work at home?
Women as Change Makers in the Philippines
Women in Humanitarian Action: Shifting the Narrative
Women's leadership in preparedness - why does it matter?
Work update from Talent Development graduates responding to Rohingya crisis in Bangladesh
Working across divides in Myanmar
World Humanitarian Summit Video 1: Community reflection for localisation of aid: Shahnaz
World Humanitarian Summit Video 2: Local community reflect on the localisation of aid by Maleka
World Humanitarian Summit Video 3: Local community reflect on the localisation of aid by Moyez
Writing a Blog Post
Writing Learning Case Studies: A Simple Guide
Writing Learning Case Studies: Presentations
Writing Lessons Papers - Presentation
Writing Lessons Papers - Webinar
أكثر من أقل التخلي عن السيطرة في فلسطين

ANNEX 8

DISSEMINATION AND COMMUNICATION PLAN

Annex 8: Dissemination and Communication plan

Communication

Throughout each of the evaluation phases, HHI collaborated closely with the Learning Project team, including the Regional Learning Advisors and Country Learning Advisors, and key DEPP stakeholders to ensure that the evaluation process and findings were communicated on an on-going basis and to enhance learning at all levels of DEPP. This communication and learning plan highlights internal (within DEPP) and external (beyond DEPP) communication, learning and dissemination.

To foster communication internally among the DEPP stakeholders, regular communication via email, Skype, and/or in-person meetings was maintained. Communication with the Learning Project team occurred regularly via email, Skype, and in-person meetings to ensure harmonisation of efforts and synergy of data collection, and to minimise additional burden on DEPP project staff.

In all phases, the evaluation team engaged with project leadership at both headquarter and country level to communicate and coordinate the timing of planned evaluation activities. Upon arrival in intensive set evaluation countries, a member of the evaluation team met with project stakeholders and presented the evaluation methodology. The evaluation team maintained open communication channels with project leadership and staff for any recommendations and/or concerns related to the independent evaluation activities.

At the end of each evaluation phase, a report summarising evaluation methodology and findings was submitted to the Evaluation Steering Committee for review and was presented to the Committee members in person.

Learning and Dissemination

Over the course of the three-year evaluation, the HHI evaluation team participated in various Learning Project conferences, workshops and collaboration days, and planned learning events to disseminate evaluation findings. Participation at these events allowed for mutual learning and facilitated communication between the evaluation team, Learning Project team and DEPP project

Table 1: Summary of Meetings, Reports and Events Conducted by Evaluation Phase

Phase	Communication Goal	Communication	Learning
Inception	1) To inform the development of the evaluation framework 2) Disseminate the evaluation framework	1) Meetings: • DEPP management team: email, Skype, and/or in-person meetings	3) Events: • London collaboration day with project leadership at the headquarter level (October 2015)
		• Learning Project team: email, Skype, and/or in-person meetings	• Learning Project Launch and discussion with Regional Learning Advisors and DEPP project stakeholders on key evaluation criteria (October 2015)
		• Communication with every project lead at least once per phase via email, Skype, and/or in-person meeting	• Inception workshops on methodology with project leadership at the 4 intensive set countries level (March 2016) ²
		• Communication with Senior Programme Quality Assurance Advisor via email, Skype, and/or in-person meeting with communication prior to future in-country fieldwork for subsequent phases	• Presentation on methodology to Asian Development Bank staff (November 2016)
		2) Report: • Inception report submitted to the Evaluation Steering Committee for review and in-person presentation	• Presentation to HHI staff (bi-annual)
		• Final inception report disseminated to the Evaluation Steering Committee and DEPP management	
Formative	1) To inform the evaluation of programme outputs and efficiency and effectiveness of delivery 2) To summarize evidence on the relevance of programme outputs and evaluate efficiency and effectiveness	1) Meetings: • DEPP management team: email, Skype, and/or in-person meetings	3) Events: • London collaboration days with project leadership at the headquarter level (February 2016, November 2016)
		• Learning Project team: email, Skype, and/or in-person meetings	• START Conference presentation (May 2016)
		• Communication with every project lead at least once per phase via email, Skype, and/or in-person meeting	• Nairobi Learning Conference (November 2016)
		• Communication with Senior Programme Quality Assurance Advisor via email, Skype, and/or in-person meeting with communication prior to future in-country fieldwork	• DEPP Board Meeting (February 2017)
		2) Report: • Formative phase report draft submitted to the Evaluation Steering Committee for review and in-person presentation	• Refresher meeting on methodology in Ethiopia due to delays in data collection (June 2017)
		• Final report will be disseminated to the Evaluation Steering Committee and DEPP management	• Dissemination workshops in intensive set countries: The Philippines [at the DEPP Regional Conference] (July 2017) Ethiopia (November 2017) Kenya (January 2018)
Interim	1) To inform the evaluation of short-term outcomes and programme management process 2) To summarize evidence on short-term outcomes delivered by the programme and reflect on the programme management process	1) Meetings: • DEPP management team: email, Skype, and/or in-person meetings	3) Events: • DEPP Board Meeting (November 2017)
		• Learning Project team: email, Skype, and/or in-person meetings	• Adapted for course materials for the M&E course at Harvard (June 2017)
		• Communication with every project lead at least once per phase via email, Skype, and/or in-person meeting	• Workshop with DEPP UK project and programme level staff (July 2017)
		• Communication with Senior Programme Quality Assurance Advisor via email, Skype, and/or in-person meeting with communication prior to future in-country fieldwork for subsequent phases	• Update presentation to HHI staff (bi-annual)
		2) Report: • Interim phase report submitted to the Evaluation Steering Committee for review and in-person presentation	
		• Final report disseminated to the Evaluation Steering Committee and DEPP management	
Summative	1) To inform the evaluation of intermediate outcomes and preliminary impact 2) To summarize evidence on intermediate outcomes delivered by the programme and to highlight preliminary indicators of likelihood of impact	1) Meetings: • DEPP management team: email, Skype, and/or in-person meetings	3) Events: • Methodology update and data collection discussions with project leadership at the intensive set countries level (September - November 2016)
		• Learning Project team: email, Skype, and/or in-person meetings	• Dissemination and validation workshops in intensive set countries (March 2018)
		• Communication with every project lead at least once per phase via email, Skype, and/or in-person meeting	• Dissemination and validation workshop a Geneva Global Conference (March 2018)
		2) Report: • Summative phase report to be submitted to the Evaluation Steering Committee for review and in-person presentation	• Adapted for course materials for the M&E course at Harvard (Planned for June 2018)
		• Final report to be disseminated to the Evaluation Steering Committee and DEPP Management Team	

In regard to dissemination of the summative phase findings, broader dissemination plans will be discussed with the Evaluation Steering Committee and DEPP Management Team prior to external dissemination. Potential avenues for external dissemination include DEPP's external network, HHI's internal and external networks, and humanitarian sector events and platforms.

At HHI, there are three main avenues for the public communication of summative phase findings, including:

- 1) Disseminating the summative phase report through the HHI website, twitter feed, and newsletter to a mailing list of 5,000+ practitioners, students and researchers in the humanitarian field;
- 2) Recording a podcast with the Advanced Training Program on Humanitarian Action (ATHA) which produces monthly podcasts, hosts a blog, and distributes regular twitter and email updates on current themes in the humanitarian field.
- 3) Hosting events at Harvard, such as a panel discussions for students and faculty, or smaller round-table workshops to present the findings to more targeted groups of experts.

ANNEX 9

DEMOGRAPHIC TABLES

Annex 9: Demographic Tables

Table 1: ORG Demographic Tables T1

Variable	DEPP						Comparison				
	Kenya N=33	Myanmar N=24	Philippines N=23	Ethiopia N=23	Minimum set N=69	All N=172	Kenya N=22	Myanmar N=20	Philippines N=19	Ethiopia N=17	All N=78
Age (years)	42.3 ± 7.6	39.4 ± 11.1	48.9 ± 9.4	49.0 ± 10.5	40.1 ± 8.2	42.8 ± 9.7	42.5 ± 7.0	46.7 ± 10.8	52.8 ± 8.3	48.1 ± 7.6	47.4 ± 9.2
Sex											
Male	23 (69.70)	15 (62.50)	11 (47.83)	19 (82.61)	56 (81.16)	124 (72.09)	17 (77.27)	13 (65.00)	13 (68.42)	16 (94.12)	59 (75.64)
Female	10 (30.30)	9 (37.50)	12 (52.17)	4 (17.39)	13 (18.84)	48 (27.91)	5 (22.73)	7 (35.00)	6 (31.58)	1 (5.88)	19 (24.36)
Highest Level of Education completed											
Secondary School	0 (0.00)	1 (4.17)	0 (0.00)	0 (0.00)	0 (0.00)	1 (0.58)	-	-	-	-	-
Vocational school	1 (3.03)	0 (0.00)	0 (0.00)	0 (0.00)	1 (1.45)	2 (1.16)	5 (22.73)	0 (0.00)	0 (0.00)	0 (0.00)	5 (6.41)
Some University	1 (3.03)	0 (0.00)	0 (0.00)	1 (4.35)	5 (7.25)	7 (4.07)	0 (0.00)	2 (10.00)	0 (0.00)	0 (0.00)	2 (2.56)
University	13 (39.39)	15 (62.50)	11 (47.83)	2 (8.70)	16 (23.19)	57 (33.14)	2 (9.09)	8 (40.00)	12 (63.16)	1 (5.88)	23 (29.49)
Master's Degree	17 (51.52)	7 (29.17)	7 (30.43)	18 (78.26)	44 (63.77)	93 (54.07)	14 (63.64)	8 (40.00)	4 (21.05)	15 (88.24)	41 (52.56)
Professional / Advanced Degree	1 (3.03)	0 (0.00)	4 (17.39)	2 (8.70)	1 (1.45)	8 (4.65)	0 (0.00)	0 (0.00)	1 (5.26)	1 (5.88)	2 (2.56)
Other type of school	0 (0.00)	1 (4.17)	1 (4.35)	0 (0.00)	2 (2.90)	4 (2.33)	1 (4.55)	2 (10.00)	2 (10.53)	0 (0.00)	5 (6.41)
Type of Organization											
INGO	19 (57.58)	6 (25.00)	8 (34.78)	10 (43.48)	20 (28.99)	63 (36.63)	12 (54.55)	10 (50.00)	6 (31.58)	9 (52.94)	37 (47.44)
International Organization (UN, World Bank et)	-	-	-	-	-	-	3 (13.64)	0 (0.00)	0 (0.00)	0 (0.00)	3 (3.85)
National NGO	8 (24.24)	5 (20.83)	10 (43.48)	6 (26.09)	16 (23.19)	45 (26.16)	3 (13.64)	6 (30.00)	4 (21.05)	7 (41.18)	20 (25.64)

Local NGO	2 (6.06)	13 (54.17)	3 (13.04)	4 (17.39)	30 (43.48)	52 (30.23)	2 (9.09)	4 (20.00)	7 (36.84)	1 (5.88)	14 (17.95)
Government	1 (3.03)	0 (0.00)	0 (0.00)	3 (13.04)	0 (0.00)	4 (2.33)	2 (9.09)	0 (0.00)	0 (0.00)	0 (0.00)	2 (2.56)
Private Sector	-	-	-	-	-	-	0 (0.00)	0 (0.00)	1 (5.26)	0 (0.00)	1 (1.28)
Academic Institution	0 (0.00)	0 (0.00)	1 (4.35)	0 (0.00)	1 (1.45)	2 (1.16)	-	-	-	-	-
Other	3 (9.09)	0 (0.00)	1 (4.35)	0 (0.00)	2 (2.90)	6 (3.49)	0 (0.00)	0 (0.00)	1 (5.26)	0 (0.00)	1 (1.28)
Job Level											
Mid Level	4 (12.12)	4 (16.67)	0 (0.00)	1 (4.35)	7 (10.14)	16 (9.30)	0 (0.00)	2 (10.00)	1 (5.26)	0 (0.00)	3 (3.85)
Senior Level	29 (87.88)	20 (83.33)	23 (100.00)	22 (95.65)	61 (88.41)	155 (90.12)	22 (100.00)	18 (90.00)	18 (94.74)	17 (100.00)	75 (96.15)
Other	0 (0.00)	0 (0.00)	0 (0.00)	0 (0.00)	1 (1.45)	1 (0.58)	-	-	-	-	-
Length of time in current organization											
3-6 months	2 (6.06)	1 (4.17)	0 (0.00)	3 (13.04)	-	6 (5.83)	0 (0.00)	3 (15.00)	0 (0.00)	0 (0.00)	3 (3.85)
6-9 months	1 (3.03)	0 (0.00)	0 (0.00)	0 (0.00)	-	1 (0.97)	1 (4.55)	0 (0.00)	0 (0.00)	0 (0.00)	1 (1.28)
9-12 months	0 (0.00)	0 (0.00)	0 (0.00)	1 (4.35)	-	1 (0.97)	0 (0.00)	1 (5.00)	1 (5.26)	1 (5.88)	3 (3.85)
1-3 years	8 (24.24)	2 (8.33)	4 (17.39)	2 (8.70)	-	16 (15.53)	2 (9.09)	5 (25.00)	2 (10.53)	1 (5.88)	10 (12.82)
3-5 years	8 (24.24)	9 (37.50)	3 (13.04)	1 (4.35)	-	21 (20.39)	5 (22.73)	2 (10.00)	0 (0.00)	2 (11.76)	9 (11.54)
5-10 years	5 (15.15)	7 (29.17)	4 (17.39)	9 (39.13)	-	25 (24.27)	8 (36.36)	5 (25.00)	1 (5.26)	6 (35.29)	20 (25.64)
10-15 years	6 (18.18)	5 (20.83)	2 (8.70)	2 (8.70)	-	15 (14.56)	2 (9.09)	3 (15.00)	4 (21.05)	4 (23.53)	13 (16.67)
15+ years	3 (9.09)	0 (0.00)	10 (43.48)	5 (21.74)	-	18 (17.48)	4 (18.18)	1 (5.00)	11 (57.89)	3 (17.65)	19 (24.36)
Years working in humanitarian field											
Fewer than 3 months	0 (0.00)	5 (20.83)	0 (0.00)	0 (0.00)	-	5 (4.85)	0 (0.00)	2 (10.00)	1 (5.26)	0 (0.00)	3 (3.85)
3-6 months	1 (3.03)	1 (4.17)	0 (0.00)	0 (0.00)	-	2 (1.94)	-	-	-	-	-
9-12 months	0 (0.00)	2 (8.33)	1 (4.35)	1 (4.35)	-	4 (3.88)	-	-	-	-	-
1-3 years	3 (9.09)	2 (8.33)	3 (13.04)	2 (8.70)	-	10 (9.71)	0 (0.00)	1 (5.00)	1 (5.26)	1 (5.88)	4 (6.25)

3-5 years	2 (6.06)	0 (0.00)	4 (17.39)	1 (4.35)	-	7 (6.80)	4 (18.18)	1 (5.00)	1 (5.26)	2 (11.76)	8 (10.26)
5-10 years	13 (39.39)	7 (29.17)	4 (17.39)	6 (26.09)	-	30 (29.13)	5 (22.73)	7 (35.00)	2 (10.53)	2 (11.76)	16 (20.51)
10-15 years	7 (21.21)	6 (25.00)	0 (0.00)	4 (17.39)	-	17 (16.50)	3 (13.64)	3 (15.00)	3 (15.79)	7 (41.18)	16 (20.51)
15+ years	7 (21.21)	1 (4.17)	11 (47.83)	9 (39.13)	-	28 (27.18)	10 (45.45)	6 (30.00)	11 (57.89)	5 (29.41)	31 (41.03)

Table 2: ORG Demographic Tables T2

Variable	DEPP						Comparison				
	Kenya N=28	Myanmar N=24	Philippines N=21	Ethiopia N=21	Minimum set N=49	All N=143	Kenya N=15	Myanmar N=17	Philippines N=14	Ethiopia N=18	All N=64
Age (years)	42.1 ± 7.1	39.3 ± 11.2	50.2 ± 10.7	46.8 ± 11.0	41.9 ± 8.6	43.5 ± 10.0	44.5 ± 8.2	43.4 ± 12.6	52.2 ± 8.3	46.7 ± 8.7	46.6 ± 9.9
Sex											
Male	20 (71.4 3)	17 (70.83)	12 (57.14)	18 (71.43)	39 (79.59)	106 (74.1 2)	11 (73.3 3)	11 (64.71)	8 (57.14)	18 (100.00)	48 (75.00)
Female	8 (28.5 7)	7 (29.17)	9 (42.86)	3 (14.29)	10 (20.41)	37 (25.8 7)	4 (26.6 7)	6 (35.29)	6 (42.86)	0 (0.00)	16 (25.00)
Highest Level of Education completed											
Secondary School	0 (0.00)	2 (8.33)	0 (0.00)	0 (0.00)	2 (4.08)	4 (2.80)	-	-	-	-	-
Vocational school	1 (4.17)	1 (4.17)	0 (0.00)	1 (4.76)	1 (2.04)	4 (2.80)	2 (13.33)	0 (0.00)	0 (0.00)	0 (0.00)	2 (3.13)
Some University	0 (0.00)	0 (0.00)	1 (4.76)	1 (4.76)	4 (8.16)	6 (4.20)	0 (0.00)	1 (5.88)	1 (7.14)	0 (0.00)	2 (3.13)
University	10 (37.1)	16 (66.67)	9 (42.86)	3 (14.29)	9 (18.37)	47 (32.87)	0 (0.00)	6 (35.29)	9 (64.29)	1 (5.56)	16 (25.00)
Master's Degree	17 (60.71)	4 (16.67)	7 (33.33)	15 (71.43)	30 (61.22)	73 (51.05)	12 (80.00)	9 (52.94)	4 (28.57)	16 (88.89)	41 (64.06)
Professional/ Advanced Degree	0 (0.00)	0 (0.00)	4 (19.05)	1 (4.76)	3 (6.12)	8 (5.59)	1 (6.67)	0 (0.00)	0 (0.00)	1 (5.56)	2 (3.13)
Other type of school	0 (0.00)	1 (4.17)	0 (0.00)	0 (0.00)	0 (0.00)	1 (0.70)	0 (0.00)	1 (5.88)	0 (0.00)	0 (0.00)	1 (1.56)

Type of Organization											
INGO	14 (50.00)	6 (25.00)	6 (28.57)	7 (33.33)	16 (32.65)	49 (34.27)	9 (60.00)	7 (41.18)	4 (28.57)	8 (44.44)	28 (43.75)
International Organization (UN, World Bank et)	1 (3.57)	0 (0.00)	0 (0.00)	0 (0.00)	0 (0.00)	1 (0.70)	0 (00.0)	0 (0.00)	0 (0.00)	1 (5.56)	1 (1.56)
National NGO	7 (25.00)	1 (4.17)	8 (38.10)	6 (28.57)	15 (30.61)	37 (25.87)	4 (26.67)	1 (5.88)	4 (28.57)	8 (44.44)	17 (26.56)
Local NGO	5 (17.86)	17 (70.83)	7 (33.33)	5 (23.81)	16 (32.65)	50 (34.97)	0 (0.00)	9 (52.94)	4 (28.57)	1 (5.56)	14 (21.88)
Government	1 (3.57)	0 (0.00)	0 (0.00)	3 (14.29)	0 (0.00)	4 (2.80)	2 (13.33)	0 (0.00)	0 (0.00)	0 (0.00)	2 (3.13)
Private Sector	-	-	-	-	-	-	0 (0.00)	0 (0.00)	1 (7.14)	0 (0.00)	1 (1.56)
Health Facility	0 (0.00)	0 (0.00)	0 (0.00)	0 (0.00)	1 (2.04)	1 (0.70)	-	-	-	-	-
Other	0 (0.00)	0 (0.00)	0 (0.00)	0 (0.00)	1 (2.04)	1 (0.70)	0 (0.00)	0 (0.00)	1 (7.14)	0 (0.00)	1 (1.56)
Job Level	*										
Entry Level	0 (0.00)	0 (0.00)	0 (0.00)	0 (0.00)	1 (2.04)	1 (0.70)	-	-	-	-	-
Mid Level	3 (10.71)	2 (8.33)	2 (9.52)	2 (9.52)	4 (8.16)	13 (9.09)	0 (0.00)	1 (5.88)	1 (7.14)	1 (5.56)	3 (4.69)
Senior Level	25 (89.29)	22 (91.67)	18 (85.71)	19 (90.48)	41 (83.67)	125 (87.41)	15 (100.00)	16 (94.12)	13 (92.86)	17 (94.44)	61 (95.31)
Other	0 (0.00)	0 (0.00)	1 (4.76)	0 (0.00)	3 (6.12)	4 (2.80)	-	-	-	-	-
Length of time in current organization											
Fewer than 3 months	1 (3.57)	1 (4.17)	1 (4.76)	0 (0.00)	-	3 (3.23)	0 (0.0)	1 (5.88)	0 (0.00)	0 (0.00)	1 (1.56_)
3-6 months	2 (7.14)	1 (4.17)	0 (0.00)	0 (0.00)	-	3 (3.23)	1 (6.67)	1 (5.88)	0 (0.00)	0 (0.00)	2 (3.13)
6-9 months	1 (3.57)	0 (0.00)	1 (4.76)	0 (0.00)	-	2 (2.15)	0 (0.00)	1 (5.88)	0 (0.00)	0 (0.00)	1 (1.56)
9-12 months	1 (3.57)	0 (0.00)	0 (0.00)	0 (0.00)	-	1 (1.08)	-	-	-	-	-
1-3 years	5 (17.86)	2 (8.33)	1 (4.76)	4 (20.00)	-	12 (12.90)	2 (13.3)	1 (5.88)	2 (14.29)	3 (16.67)	8 (12.50)
3-5 years	7 (25.00)	8 (33.33)	2 (9.52)	2 (10.00)	-	19 (20.43)	3 (20.00)	4 (23.53)	2 (14.29)	0 (0.00)	9 (14.06)
5-10 years	6 (21.43)	8 (33.33)	4 (19.05)	6 (30.00)	-	24 (25.81)	3 (20.00)	6 (35.29)	1 (7.14)	8 (44.44)	18 (28.13)
10-15 years	2 (7.14)	3 (12.50)	4 (19.05)	5 (25.00)	-	14 (15.05)	2 (13.33)	2 (11.76)	3 (21.43)	4 (22.22)	11 (17.19)

15+ years	3 (10.71)	1 (4.17)	8 (38.10)	3 (15.00)	-	15 (16.03)	4 (26.67)	1 (5.88)	6 (42.86)	3 (16.67)	14 (21.88)
Years working in humanitarian field											
Fewer than 3 months	0 (0.00)	0 (0.00)	1 (4.76)	0 (0.00)	-	1 (1.08)	-	-	-	-	-
6-9 months	0 (0.00)	1 (4.17)	0 (0.00)	0 (0.00)	-	1 (1.08)	-	-	-	-	-
9-12 months	0 (0.00)	1 (4.17)	0 (0.00)	0 (0.00)	-	1 (1.08)	-	-	-	-	-
1-3 years	0 (0.00)	1 (4.17)	1 (4.76)	1 (5.00)	-	3 (3.23)	2 (13.33)	1 (5.88)	0 (0.00)	1 (5.56)	4 (6.25)
3-5 years	3 (10.71)	4 (16.67)	6 (28.57)	3 (15.00)	-	16 (17.20)	1 (6.67)	3 (17.65)	2 (14.29)	1 (5.56)	7 (10.94)
5-10 years	7 (25.00)	9 (37.50)	3 (14.29)	7 (35.00)	-	26 (27.96)	3 (20.00)	8 (47.06)	1 (7.14)	4 (22.22)	16 (25.00)
10-15 years	10 (35.71)	4 (16.67)	4 (19.05)	2 (10.00)	-	20 (21.51)	5 (33.33)	3 (17.65)	4 (28.57)	5 (27.78)	17 (26.56)
15+ years	8 (28.57)	4 (16.67)	6 (28.57)	7 (35.00)	-	25 (26.88)	4 (26.67)	2 (11.76)	7 (50.00)	7 (38.89)	20 (31.25)

Table 3: KAP survey T1

Variable	DEPP						Comparison				
	Kenya N=60	Myanmar N=34	Philippines N=61	Ethiopia N=59	Minimum Set N=265	All N=479	Kenya N=37	Myanmar N=23	Philippines N=29	Ethiopia N=49	All N=138
Age (years)	35.3 ± 8.2	33.3 ± 9.7	42.0 ± 11.0	40.9 ± 8.3	34.1 ± 7.9	36.0 ± 9.1	36.9 ± 8.2	34.7 ± 13.0	43.8 ± 11.8	42.5 ± 9.0	40.0 ± 10.7
Sex											
Male	38 (63.33)	17 (50.00)	21 (34.43)	54 (91.53)	174 (65.66)	304 (63.47)	23 (62.16)	16 (69.57)	19 (65.52)	40 (81.63)	98 (71.01)
Female	22 (36.67)	17 (50.00)	40 (65.57)	5 (8.47)	91 (34.34)	175 (36.53)	14 (37.84)	7 (30.43)	10 (34.48)	9 (18.37)	40 (28.99)
Highest Level of Education completed											
Some Secondary School	1 (1.67)	2 (5.88)	1 (1.64)	0 (0.00)	0 (0.00)	4 (0.84)	0 (0.00)	4 (17.39)	0 (0.00)	0 (0.00)	4 (2.90)
Secondary School	3 (5.00)	5 (14.71)	1 (1.64)	0 (0.00)	1 (0.38)	10 (2.09)	-	-	-	-	-
Some University	1 (1.67)	3 (8.82)	4 (6.56)	1 (1.69)	8 (3.02)	17 (3.55)	0 (0.00)	3 (13.04)	5 (17.24)	0 (0.00)	8 (5.80)
University	35 (58.33)	21 (61.76)	35 (57.38)	20 (33.90)	126 (47.55)	237 (49.48)	21 (56.76)	14 (60.87)	17 (58.62)	11 (22.45)	63 (45.65)
Vocational School	5 (8.33)	0 (0.00)	0 (0.00)	0 (0.00)	1 (0.38)	6 (1.25)	6 (16.22)	0 (0.00)	0 (0.00)	0 (0.00)	6 (4.35)

Master's Degree	14 (23.33)	2 (5.88)	16 (26.23)	35 (59.32)	117 (44.15)	184 (38.41)	10 (27.03)	2 (8.70)	6 (20.69)	33 (67.35)	51 (36.96)
Professional/ Advanced Degree	0 (0.00)	0 (0.00)	3 (4.92)	0 (0.00)	9 (3.40)	12 (2.51)	0 (0.00)	0 (0.00)	1 (3.45)	0 (0.00)	1 (0.72)
Other	1 (1.67)	1 (2.94)	1 (1.64)	3 (5.08)	3 (1.13)	9 (1.88)	0 (0.00)	0 (0.00)	0 (0.00)	5 (10.20)	5 (3.62)
Type of Organization											
INGO	27 (45.00)	8 (23.53)	20 (32.79)	25 (42.37)	127 (47.92)	207 (43.22)	26 (70.27)	8 (34.78)	11 (37.93)	25 (51.02)	70 (50.72)
International Organization (UN, World Bank et)	1 (1.67)	0 (0.00)	0 (0.00)	0 (0.00)	6 (2.26)	7 (1.46)	2 (5.41)	0 (0.00)	0 (0.00)	2 (4.08)	4 (2.90)
National NGO	13 (21.67)	2 (5.88)	18 (29.51)	10 (16.95)	49 (18.49)	92 (19.21)	2 (5.41)	0 (0.00)	6 (20.69)	11 (22.45)	19 (13.77)
Local NGO	11 (18.33)	21 (61.76)	21 (34.43)	15 (25.42)	76 (28.68)	144 (30.06)	4 (10.81)	14 (60.87)	12 (41.38)	11 (22.45)	29 (24.37)
Government	3 (5.00)	0 (0.00)	0 (0.00)	9 (15.25)	3 (1.13)	15 (3.13)	3 (8.11)	0 (0.00)	0 (0.00)	0 (0.00)	3 (2.17)
Health Facility	0 (0.00)	1 (2.94)	0 (0.00)	0 (0.00)	1 (0.38)	2 (0.42)	-	-	-	-	-
Other	5 (8.33)	2 (5.88)	2 (3.28)	0 (0.00)	3 (1.13)	12 (2.51)	0 (0.00)	1 (4.35)	0 (0.00)	0 (0.00)	1 (0.72)
Job Level											
Entry Level	5 (8.33)	2 (8.82)	6 (9.84)	0 (0.00)	52 (19.62)	66 (13.78)	3 (8.11)	5 (21.74)	0 (0.00)	0 (0.00)	8 (5.80)
Mid Level	42 (70.00)	19 (55.88)	25 (40.98)	17 (28.81)	93 (35.09)	196 (40.92)	18 (48.65)	7 (30.43)	14 (48.28)	8 (16.33)	47 (34.06)
Senior Level	13 (21.67)	12 (35.29)	30 (49.18)	42 (71.19)	116 (43.77)	213 (44.47)	16 (43.24)	11 (47.83)	14 (48.28)	41 (83.67)	82 (59.42)
Other	0 (0.00)	0 (0.00)	0 (0.00)	0 (0.00)	4 (1.51)	4 (0.84)	0 (0.00)	0 (0.00)	1 (3.45)	0 (0.00)	1 (0.72)
Length of time in current organization											
Fewer than 3 months	3 (5.00)	0 (0.00)	0 (0.00)	1 (1.69)	15 (5.66)	19 (3.97)	1 (2.70)	1 (4.35)	0 (0.00)	1 (2.04)	3 (2.17)
3-6 months	6 (10.00)	1 (2.94)	3 (4.92)	2 (3.39)	11 (4.15)	23 (4.80)	2 (5.41)	2 (8.70)	0 (0.00)	1 (2.04)	5 (3.62)
6-9 months	0 (0.00)	1 (2.94)	2 (3.28)	2 (3.39)	50 (18.87)	55 (11.48)	0 (0.00)	2 (8.70)	0 (0.00)	0 (0.00)	1 (1.45)
9-12 months	3 (5.00)	1 (2.94)	3 (4.92)	1 (1.69)	12 (4.53)	20 (4.18)	0 (0.00)	0 (0.00)	2 (6.90)	0 (0.00)	2 (1.45)
1-3 years	16 (26.67)	13 (38.24)	13 (21.31)	13 (22.03)	69 (26.04)	124 (25.89)	11 (29.73)	8 (34.78)	8 (27.59)	7 (14.29)	34 (24.64)
3-5 years	17 (28.33)	9 (26.47)	12 (19.67)	11 (18.64)	42 (15.85)	91 (19.00)	8 (21.62)	4 (17.39)	3 (10.34)	4 (8.16)	19 (13.77)
5-10 years	10 (16.67)	6 (17.65)	14 (22.95)	15 (25.42)	46 (17.36)	91 (19.00)	9 (24.32)	4 (17.39)	6 (20.69)	21 (42.86)	40 (28.99)
10-15 years	2	2	10	7	16	37	5	1	7	13	26

	(3.33)	(5.88)	(16.39)	(11.86)	(6.04)	(7.72)	(13.51)	(4.35)	(24.14)	(26.53)	(18.84)
15+ years	3 (5.00)	1 (2.94)	4 (6.56)	7 (11.86)	4 (1.51)	19 (3.97)	1 (2.70)	1 (4.35)	3 (10.34)	2 (4.08)	7 (5.07)
Years working in humanitarian field											
Fewer than 3 months	5 (8.33)	7 (20.59)	0 (0.00)	0 (0.00)	4 (1.51)	16 (3.34)	1 (2.70)	1 (4.35)	1 (3.45)	0 (0.00)	3 (2.17)
3-6 months	1 (1.67)	1 (2.94)	2 (3.28)	0 (0.00)	6 (2.26)	10 (2.09)	3 (8.11)	0 (0.00)	0 (0.00)	0 (0.00)	3 (2.17)
6-9 months	2 (3.33)	0 (0.00)	1 (1.64)	2 (3.39)	35 (13.21)	40 (8.35)	0 (0.00)	1 (4.35)	1 (3.45)	0 (0.00)	2 (1.45)
9-12 months	0 (0.00)	1 (2.94)	1 (1.64)	0 (0.00)	14 (5.28)	16 (3.34)	-	-	-	-	
1-3 years	11 (18.33)	6 (17.65)	10 (16.39)	6 (10.17)	57 (21.51)	90 (18.79)	3 (8.11)	4 (17.39)	2 (6.90)	2 (4.08)	11 (7.97)
3-5 years	14 (23.33)	3 (8.82)	8 (11.11)	10 (16.95)	34 (12.83)	69 (14.41)	5 (13.51)	8 (34.78)	3 (10.34)	1 (2.04)	17 (12.32)
5-10 years	18 (30.00)	12 (35.29)	14 (22.95)	17 (28.81)	62 (23.40)	123 (25.68)	11 (29.73)	6 (26.09)	11 (37.93)	16 (32.65)	44 (31.88)
10-15 years	4 (6.67)	3 (8.82)	13 (21.31)	16 (27.12)	36 (13.58)	72 (15.03)	8 (21.62)	1 (4.35)	3 (10.34)	15 (30.61)	27 (19.57)
15+ years	5 (8.33)	1 (2.94)	12 (19.67)	8 (13.56)	17 (6.42)	43 (8.98)	6 (16.22)	2 (8.70)	8 (27.59)	15 (30.61)	31 (22.46)

Table 4: KAP survey T2

Variable	DEPP						Comparison					
	Kenya N=43	Myanmar N=35	Philippines N=53	Ethiopia N=54	Minimum Set N=148	All N=333	Kenya N=30	Myanmar N=21	Philippines N=23	Ethiopia N=45	All N=119	
Age (years)	36.7 ± 8.7	35.1 ± 11.9	43.3 ± 10.9	40.7 ± 8.2	37.2 ± 8.5	38.5 ± 9.6	38.5 ± 8.9	34.0 ± 10.1	44.3 ± 12.5	42.6 ± 8.4	40.4 ± 10.3	
Sex												
Male	33 (76.74)	19 (54.29)	17 (32.08)	50 (92.59)	111 (75.00)	230 (69.07)	20 (66.67)	14 (66.67)	13 (56.52)	36 (80.00)	83 (69.75)	
Female	10 (23.26)	16 (45.71)	36 (67.92)	4 (7.41)	37 (25.00)	103 (30.93)	10 (33.33)	7 (33.33)	10 (43.48)	9 (20.00)	36 (30.25)	
Highest Level of Education completed												
Primary School	0 (0.00)	0 (0.00)	0 (0.00)	0 (0.00)	1 (0.068)	1 (0.03)	-	-	-	-	-	
Some Secondary School	1 (2.33)	1 (2.86)	1 (1.89)	0 (0.00)	0 (0.00)	3 (0.90)	0 (0.00)	2 (9.52)	0 (0.00)	0 (0.00)	2 (1.68)	
Secondary School	1 (2.33)	6 (17.14)	1 (1.89)	0 (0.00)	0 (0.00)	8 (2.40)	0 (0.00)	1 (4.76)	1 (4.35)	0 (0.00)	2 (1.68)	

Some University	0 (0.00)	4 (11.43)	1 (1.89)	0 (0.00)	9 (6.08)	14 (4.20)	1 (3.33)	2 (9.52)	4 (17.39)	1 (2.22)	8 (6.72)
University	26 (60.47)	19 (54.29)	32 (60.38)	18 (33.33)	45 (30.41)	140 (42.04)	19 (63.33)	15 (71.43)	14 (60.87)	10 (22.22)	58 (48.74)
Vocational School	4 (9.30)	0 (0.00)	1 (1.89)	2 (3.70)	0 (0.00)	7 (2.10)	2 (6.67)	0 (0.00)	0 (0.00)	0 (0.00)	2 (1.68)
Master's Degree	11 (25.58)	2 (5.71)	13 (24.53)	34 (62.96)	82 (55.41)	142 (42.64)	8 (26.67)	1 (4.76)	4 (17.39)	34 (75.56)	47 (39.50)
Professional/ Advanced Degree	0 (0.00)	0 (0.00)	4 (7.55)	0 (0.00)	7 (4.73)	11 (3.30)	-	-	-	-	-
Other	0 (0.00)	3 (8.57)	0 (0.00)	0 (0.00)	4 (2.70)	7 (2.10)	-	-	-	-	-
Type of Organization											
INGO	19 (44.19)	8 (22.86)	13 (24.53)	20 (37.04)	64 (43.24)	124 (37.24)	21 (70.00)	8 (38.10)	8 (34.78)	22 (48.89)	59 (49.58)
International Organization (UN, World Bank et)	1 (2.33)	0 (0.00)	0 (0.00)	0 (0.00)	7 (4.73)	8 (2.40)	1 (3.33)	0 (0.00)	0 (0.00)	2 (4.44)	3 (2.52)
National NGO	8 (18.60)	1 (2.86)	18 (33.96)	9 (16.67)	24 (16.22)	60 (18.02)	4 (13.33)	2 (9.52)	4 (17.39)	12 (26.67)	22 (18.49)
Local NGO	8 (18.60)	23 (65.71)	19 (35.85)	16 (29.63)	39 (26.35)	105 (31.53)	0 (0.00)	11 (52.38)	9 (39.13)	9 (20.00)	29 (24.37)
Academic Institution	0 (0.00)	0 (0.00)	0 (0.00)	0 (0.00)	1 (0.68)	1 (0.30)	-	-	-	-	-
Government	5 (11.63)	0 (0.00)	1 (1.89)	9 (16.67)	3 (2.03)	18 (5.41)	2 (6.67)	0 (0.00)	2 (8.70)	0 (0.00)	4 (3.36)
Private Sector	0 (0.00)	0 (0.00)	0 (0.00)	0 (0.00)	1 (0.68)	1 (0.30)	-	-	-	-	-
Health Facility	0 (0.00)	1 (2.86)	0 (0.00)	0 (0.00)	3 (2.03)	4 (1.20)	-	-	-	-	-
Other	2 (4.65)	2 (5.71)	2 (3.77)	0 (0.00)	6 (4.05)	12 (3.60)	2 (6.67)	0 (0.00)	0 (0.00)	0 (0.00)	2 (1.68)
Job Level											
Entry Level	1 (2.33)	0 (0.00)	4 (7.55)	0 (0.00)	15 (10.14)	20 (6.01)	1 (3.33)	3 (14.29)	1 (4.35)	0 (0.00)	5 (4.20)
Mid Level	28 (65.12)	26 (74.29)	21 (39.62)	17 (31.48)	56 (37.84)	148 (44.44)	18 (60.00)	8 (38.10)	10 (43.48)	8 (17.78)	44 (36.97)
Senior Level	13 (30.23)	9 (25.71)	25 (47.17)	37 (68.52)	73 (49.32)	157 (47.15)	11 (36.67)	10 (47.62)	12 (52.17)	37 (82.22)	70 (58.82)
Other	1 (2.33)	0 (0.00)	3 (5.66)	0 (0.00)	4 (2.70)	8 (2.40)	-	-	-	-	-
Length of time in current organization											
Fewer than 3 months	1 (2.33)	2 (5.71)	2 (3.77)	0 (0.00)	9 (6.08)	14 (4.20)	2 (6.67)	2 (9.52)	0 (0.00)	0 (0.00)	4 (3.36)
3-6 months	3 (6.98)	1 (2.86)	0 (0.00)	1 (1.85)	8 (5.41)	13 (3.90)	0 (0.00)	1 (4.76)	2 (8.70)	0 (0.00)	3 (2.52)

6-9 months	1 (2.33)	0 (0.00)	1 (1.89)	2 (3.70)	6 (4.05)	10 (3.00)	1 (3.33)	0 (0.00)	1 (4.35)	2 (4.44)	4 (3.36)
9-12 months	2 (4.65)	1 (2.86)	1 (1.89)	0 (0.00)	12 (8.11)	16 (4.80)	1 (3.33)	0 (0.00)	0 (0.00)	0 (0.00)	1 (0.84)
1-3 years	13 (30.23)	11 (31.43)	13 (24.53)	12 (22.22)	31 (20.95)	80 (24.02)	6 (20.00)	8 (38.10)	6 (26.09)	5 (11.11)	25 (21.01)
3-5 years	9 (20.93)	9 (25.71)	14 (26.42)	11 (20.37)	27 (18.24)	70 (21.02)	11 (36.67)	3 (14.29)	3 (13.04)	4 (8.89)	21 (17.65)
5-10 years	8 (18.60)	8 (22.86)	9 (16.98)	15 (27.78)	32 (21.62)	72 (21.62)	6 (20.00)	7 (33.33)	5 (21.74)	18 (40.00)	36 (30.25)
10-15 years	3 (6.98)	1 (2.86)	6 (11.32)	7 (12.96)	12 (8.11)	29 (8.71)	2 (6.67)	0 (0.00)	4 (17.39)	12 (26.67)	18 (15.13)
15+ years	3 (6.98)	1 (2.86)	6 (11.32)	7 (12.96)	12 (8.11)	29 (8.71)	1 (3.33)	0 (0.00)	2 (8.70)	4 (8.89)	7 (5.88)
Years working in humanitarian field											
Fewer than 3 months	0 (0.00)	3 (8.57)	1 (1.89)	2 (3.70)	0 (0.00)	6 (1.80)	0 (0.00)	0 (0.0)	1 (4.35)	0 (0.00)	1 (0.84)
3-6 months	1 (2.33)	0 (0.00)	0 (0.00)	0 (0.00)	0 (0.00)	1 (0.30)	-	-	-	-	-
6-9 months	0 (0.00)	1 (2.86)	1 (1.89)	0 (0.00)	6 (4.05)	8 (2.40)	-	-	-	-	-
9-12 months	0 (0.00)	1 (2.86)	1 (1.89)	0 (0.00)	14 (9.46)	16 (4.80)	-	-	-	-	
1-3 years	5 (11.63)	6 (17.14)	10 (18.87)	11 (20.37)	28 (18.92)	60 (18.02)	2 (6.67)	3 (14.29)	1 (4.35)	2 (4.44)	8 (6.72)
3-5 years	11 (25.58)	4 (11.43)	9 (16.98)	11 (20.37)	18 (12.16)	53 (15.92)	6 (20.00)	5 (23.81)	5 (21.74)	3 (6.67)	19 (15.97)
5-10 years	14 (32.56)	16 (45.71)	8 (15.09)	13 (24.07)	44 (29.73)	95 (28.53)	11 (36.67)	9 (42.86)	6 (26.09)	16 (35.56)	42 (35.29)
10-15 years	7 (16.28)	2 (5.71)	14 (26.42)	10 (18.52)	30 (20.27)	63 (18.92)	3 (10.00)	2 (9.52)	6 (26.09)	16 (35.56)	27 (22.69)
15+ years	5 (11.63)	2 (15.71)	9 (16.98)	7 (12.96)	8 (5.41)	31 (9.31)	8 (26.67)	2 (9.52)	4 (17.39)	8 (17.78)	22 (18.49)

Table 5: Household and Communities survey

Household Survey				
	T1		T2	
	DEPP	Comparison	DEPP	Comparison
Variable	Myanmar (N=589)	Myanmar (N=415)	Myanmar (N=570)	Myanmar (N=433)
Age, mean (SD)	44.8 ± 14.4	43.3 ± 13.9	45.1 ± 14.2	44.0 ± 14.2
% Female	299 (50.8%)	211 (50.8%)	288 (50.5%)	225 (52.0%)
Attended school	452 (76.7%)	306 (73.7%)	447 (79.1%)	329 (76.5%)
Literate	424 (72.0%)	298 (71.8%)	425 (75.0%)	315 (73.4%)

Average #of family members living in dwelling	5.1 ± 2.2	5.2 ± 2.2	5.5 ± 2.3	5.4 ± 2.2
Religion				
Christian	347 (58.9%)	294 (70.8%)	368 (64.6%)	311 (71.8%)
Buddhist	219 (37.2%)	117 (28.2%)	200 (35.1%)	121 (27.9%)
Other (Hindu, Islam, Traditionalist)	23 (3.9%)	4 (1.0%)	2 (0.4%)	1 (0.2%)
Community Survey				
	T1		T2	
	DEPP	Comparison	DEPP	Comparison
Variable	Myanmar (N=19)	Myanmar (N=20)	Myanmar (N=19)	Myanmar (N=19)
Age	45.6 ± 11.6	38.2 ± 10.9	43.4 ± 11.7	38.2 ± 10.6
% Female	1 (5.3%)	1 (5.0%)	1 (5.3%)	0 (0.0%)

Table 5: Minimum Set In-Depth Interviews

	DEPP Stakeholders N=5	Country-Level Project Leadership N=28	UK-Based Project Leadership N=19	TOTAL N=52
Variable				
Average Age (years)	41.3 ± 4.2	40.9 ± 10.7	38.6 ± 10.6	40.1 ± 10.3
Percent Female	3 (60.0%)	14 (50.0%)	13 (68.4%)	30 (57.7%)
Percent Male	2 (40.0%)	14 (50.0%)	6 (31.6)	22 (42.3%)
<i>Years in current organisation</i>				
<1 year	0 (0%)	0 (0%)	0 (0%)	0 (0%)
1-3 years	0 (0%)	17 (63.0%)	6 (35.3%)	23 (48.9%)
3-5 years	2 (66.7%)	5 (18.5%)	6 (35.3%)	13 (27.7%)
5-10 years	0 (0%)	4 (14.8%)	4 (23.5%)	8 (17.0%)
10-15 years	1 (33.3%)	1 (3.7%)	1 (5.9%)	3 (6.4%)
<i>Years in the humanitarian field</i>				
<1 year	0 (0%)	0 (0%)	0 (0%)	0 (0%)
1-3 years	0 (0%)	1 (3.8%)	3 (17.6%)	4 (8.7%)
3-5 years	0 (0%)	6 (23.1%)	2 (11.8%)	8 (17.4%)
5-10 years	1 (33.3%)	8 (30.8%)	8 (47.1%)	17 (37.0%)
10-15 years	2 (66.7%)	8 (30.8%)	0 (0%)	10 (21.7%)
>15	0 (0%)	3 (11.5%)	4 (23.5%)	7 (15.2%)

ANNEX 10 _____

CONTRIBUTION TO DEPP TO HUMANITARIAN RESPONSES _____

Annex 10: Contribution to DEPP to humanitarian responses

Contribution of DEPP Organisations to Humanitarian Response					
	Country	Event	Year Reported	Projects	Description from source
1	Kenya	Drought	2016 & 2017	Talent Development	Contributed to drought response strategy planning, data collection and output tracking.
				Shifting the Power	Six local partners are implementing drought emergency response projects with direct funding from various donors. These include rehabilitation of water sources, provision of livestock feed, and food relief.
				LPRR	In Kenya PACIDA, CIFA and MIONET received a total of 146 applications from formal and informal groups in Marsabit and were able to fund with micro-grants 15, reaching a total of 478 direct beneficiaries of which 371 were women's self-help groups.
				LPRR	Promoted peace and resource management meetings between tribal groups, established herders' camp, created links with local government and other government services, coordinated humanitarian response, rehabilitated shallow wells, and trained on conflict management. The type of community action plans (CAPs) which followed the participatory process of the conflict sensitive PVCA/COVACA focused on addressing the regular drought and inter-ethnic and resources-based conflict were: 1. Trainings on peace building (conflict prevention and mitigation) 2. Community representatives engaged in several inter-clan/ethnic peace and resource sharing dialogues 3. Community projects that promote inter-ethnic harmony ('connectors') such as sharing WASH and education 4. Community Reflection meetings 5. Herders Camps 6. Field monitoring visits to assess and document progress 7. Youth football tournaments
2	Kenya	2017 Election	2017	LPRR	The project structures, such as the peace committees, and strategies, such as peace dialogues and sport tournaments between conflicting tribes promoting peaceful co-existence, were reported to be quite effective during the 2017 critical elections as compared to the 2013 elections.
3	Kenya	Flooding	2015	ADCAP	Piloted a more inclusive approach in a flood response, whereby older people and people with disability were evacuated with a powered canoe boat, instead of being carried on other people's backs, as would be the usual practice.
4	Philippines	Marawi Crisis	2017	LPRR	Tested the integrated LPRR approach through and 'on the job' support during the Marawi response.

				Surge	Two deployments (a WASH engineer & hygiene promoter) made via the Surge roster
				Financial Enablers	L/NGO beneficiaries reportedly responded for the first time independent of INGOs. One of these organisations was asked to lead the Marawi response, and able to conduct a rapid-assessment directly and quickly. They shared the information with INGOs and relevant actors, coordinated with the UN and other international, national and local actors and facilitated communication throughout their consortium on the response. Interviewees reported that for the first time, the UN has included their local CSO partner organisations on their response maps as active responders in the current crisis.
				PIP	Responded to the Protection needs of thousands of displaced people in the Marawi crisis and led the national coordination efforts with OCHA.
5	Philippines	Typhoon Haima	2016	Financial Enablers	Partner led response programmes were initiated.
6	Philippines	Typhoon KnockTen	2016	Financial Enablers	In December 2016, HRC initiated their response to TS Nock Ten on their own, independent of Oxfam, their usual INGO partner for response.
				Surge	Three deployments were made from the Philippines roster to provide WASH and MEL support.
7	Philippines	Localised Drought	2016	Financial Enablers	It is reported that in areas where the consortia are based, most of them carried out responses.
8	Philippines	Fire	2016	Financial Enablers	ALTERPLAN/PHILSSA introduction of the Kobo App to a Valenzuela City community affected by fire helped trigger cash assistance from the city held calamity fund which according to community members provided appropriate levels of support to allow households to meet their essential needs.
9	Philippines	Fire	2018	Financial Enablers	PBHAC was able to carry out activities beyond what was funded by the project including responding to the fire slum dweller victims in Parola and Catmon through two rounds of relief delivery operations with 200 packs for 200 families.
10	Philippines	Landslides	2016	Financial Enablers	It is reported that in areas where the consortia are based, most of them carried out responses.
11	Philippines	Fire in Barangay Mapulang Lupa	2017	Financial Enablers	Immediate needs assessment was done and housing material assistance provided to affected families.
12	Philippines	Response in Virac and Bato, Catanduanes	2017	Financial Enablers	HRC mobilized its Quick Response Fund which was a critical part of the FE project's capacity strengthening, and initiated an assessment and response in Virac and Bato, Catanduanes.
13	Philippines	Flooding	2017	Financial Enablers	The consortium provided immediate relief assistance and conducted disaster quick appraisal (DQA) or rapid field assessment (RFA).

14	Philippines	Earthquake	2017	Financial Enablers	The consortium provided immediate relief assistance and conducted disaster quick appraisal (DQA) or rapid field assessment (RFA).
15	Philippines	Conflict	2017	Financial Enablers	The CHAP project team together with the peace monitoring network was able to expand its assessment and monitoring intervention in Butig, Lanao del Sur which was recently affected by armed encounters between the AFP and the alleged ISIS group.
16	Philippines	Several small-scale disasters	2017	Financial Enablers	CHIC assisted pastors responding to several disasters that hit the province at the latter part of the last quarter of 2017 and early 2018. The incidents were almost all localized at the barangay level affecting select portions of the community. The primary need has been food because affected families needed to evacuate on short notice. Nearly 28,000 food packs were distributed to affected families with the help of the pastor networks.
17	Philippines	TS/Typhoon Vinta	2017	Financial Enablers	HRC responded to TS Vinta in Balabac, an island municipality of Palawan, where hundreds of deaths were reported, especially in Mangsee island (near Malaysia) and 90% of houses were destroyed.
				Financial Enablers	MMAID was able to tap one of their local partners, the UCEAC (University Community Engagement Action Center of Ateneo de Davao University), in conducting rapid field assessment of the 4 severely affected Barangays (Barangays Maa, Tigatto, 10A, 8A) of Davao City by Typhoon Vinta.
18	Philippines	Flooding	2015	Surge	The project team was reported to have played a catalytic role in mobilising agencies for a response.
19	Philippines	Mayon Volcano eruption	2018	ALERT	In January, the Mayon Volcano erupted and some local and national organisations responded to the emergency.
20	Bangladesh	Flooding	2017	Shifting the Power	The Rapid Response Teams from five STP partners (under NAHAB) mobilised with support from StP country team to respond to the massive floods in the north-eastern part of the country. Funding to provide emergency assistance to a total of 3,500 households was secured by these partners.
21	Bangladesh	Cyclone Roanu	2016	CDAC	In Bangladesh the approved Message Library was used during Cyclone Roanu which hit the coastal region in May.
22	Bangladesh	Flooding	2016	CDAC	Bangladesh Project Manager, on behalf of Shongjog, facilitated the inclusion of CwC in the Joint Rapid Need Analysis and Joint Response Plan approved by the Humanitarian Coordination Task Team (HCTT). Community Concerns were also collected through Community Radio Stations to then feed into the cluster/sectoral meetings.
23	Bangladesh	Cyclone Mora	2017	Talent Development	BDRCS headquarters opened a control room on 29th May to respond to the disaster. The control room provided 24/7 service. Humanitarian trainees under talent Development Project worked closely under the supervision of the director, Disaster Response Department, with other colleagues of BDRCS.

24	Bangladesh	Flooding	2017	Talent Development	Beneficiaries were deployed by Bangladesh Red Crescent Society to support their emergency response activities.
25	Bangladesh	Rohingya refugee crisis	2017	Shifting the Power	Seven out of the 11 partners are implementing emergency projects in response to on-going Rohingya refugee crisis. Caritas Bangladesh secured funding from the START fund to respond to the Rohingya crisis
				Surge	Deployments made from the regional Surge roster to respond to the Rohingya crisis
				Talent Development	Graduates of the programme in Bangladesh deployed to the Rohingya crisis to assist the army and government prepare and distribute emergency supplies
				CDAC	Seven out of 11 partners are now responding to the crisis with a range of interventions that include food, NFI and shelter materials distribution, WASH, basic health care and psycho-social support with one partner acting as co-lead of the shelter cluster.
26	Pakistan	Earthquake in Shangla and Chitral districts	2015-2016	ADCAP	In Pakistan, inclusion of older people and people with disabilities was ensured in response to the earthquake in Shangla and Chitral districts.
27	Pakistan	Fire	2017	Shifting the Power	One partner responded to a fire emergency and distributed food packages within 72 hours.
28	Pakistan	Flooding	2016-2017	Shifting the Power	Around 20 partners responded to various emergencies including flooding in Pakistan.
29	Pakistan	Flooding	2015	Surge	The project team was reported to have played a catalytic role in mobilising agencies for a response
30	Myanmar	Conflict	2017	Protection in Practice	Negotiated the release of a child who was forcefully recruited by one of the region's armed groups.
31	Myanmar	Cyclone Mora	2018	SEPS-Myanmar	A village leader warned the community, through the community equipment facilitated by SEPS Project, with advice to stay in safe places vis-à-vis heavy rainfall and strong wind for several days, and secondary hazards like floods and landslides. Although the landslide occurred in Thar Yu Village due to deep depression/Cyclone Mora, there was no recorded casualty or injury.
32	South Sudan	Displacement	2017	Protection in Practice	In South Sudan the project continued to respond to the needs of displaced people in Bieh State. The team was reported to have a significant impact in the community, negotiating a peace deal between fighting clans caught in a cycle of revenge killing. This facilitated access to markets and decreased risks to civilians, ending a significant period of bloodshed in the community.
33	South Sudan	Violence	2016	Talent Development	In East Africa one of the trainees was caught up in the fighting in South Sudan and was able to put his AFT (Advanced Field Training) learning into practice. He remained calm throughout the process and successfully drove his team back to the UN compound amidst gunfire and several check points.

34	South Sudan	GBV	2017	Protection in Practice	Provided tailored responses to the needs of GBV survivors and mapped services in remote locations, contributing to the national cluster service mapping. Increased access to GBV services, facilitating self-referrals for the clinical management of rape.
35	South Sudan	Conflict	2018	Protection in Practice	Peace deal brokered between warring clans, decreasing violence and increasing freedom of movement and market access in Akobo. Humanitarian access negotiated for people trapped in parts of conflict affected Jonglei State
36	Ethiopia	Acute Watery Diarrhoea (AWD)	2016-2017	Shifting the Power	Around 20 partners responded to various emergencies including acute watery diarrhoea (AWD) outbreak in Ethiopia.
37	Ethiopia	Drought	2017	Shifting the Power	6 of 10 L/NGO partners responded to drought in Ethiopia including through livestock feed support, provision of cash transfers, and emergency food assistance
			2017	Improved Early Warning – Early Actions (EW-EA)	Coordination established between this project, Woreda early warning Committees, Woreda sector offices and Bokola Drought Emergency Project at Moyale Woreda contributed to early detection of Hagaya Rain failure and as a result immediate emergency response is provided on the basis of assessment report.
38	Ethiopia	Drought	2015	Improved Early Warning – Early Actions (EW-EA)	Implementing partners (both DRMFSS and NMA) and their regional and Woreda (district) counterparts are fully occupied responding to this crisis.
39	Ethiopia	SHADO Gender pilot deployments	2017	Surge	The deployments have aided the responses of the host organizations
40	DRC	Kasai Crisis	2017	Shifting the Power	In DRC, all 11 partners undertook a range of activities to respond to the Kasai crisis. A number of needs assessments for the Ebola/cholera/malaria outbreak were conducted, proposals developed and response projects initiated.
				Protection in Practice	In the DRC additional local actors were engaged for the Kasai response, replicating the co-implementation approach Oxfam and CEDIER applied in the Kivus.
41	DRC	Drought	2017	Shifting the Power	A number of needs assessments for the drought were conducted, proposals developed and response projects initiated.
42	India	Cyclone Vardha	2016	Surge	In December 2016 the project's first deployment, from the Regional roster was made. The staff member was released to support the Cyclone Vardha response in India.

ANNEX 11

BEST PRACTICES MATRIX

Annex 11: Best Practices Matrix

DEPP Programme Component	Best Practice
Individual capacity building	<ul style="list-style-type: none"> • Use multi-pronged approach - long course training, or multiple short course trainings, followed by a practical element such as simulations or coaching to apply and enhance learning and maximize knowledge / skills retention • Prioritise inclusion of women - involve women in design of projects and needs assessments, collect gender disaggregated data, implement trainings geared towards women in leadership, and address protection needs • Ensure training and materials available in local language and accessible to local actors - incorporate translation and adaptation of materials into design of projects to reach a wider audience • Assess and address structural barriers (such as organisational policy, organisational culture, external policy environment) in design of projects to contextualise activities • Compliment individual level efforts with capacity building at other levels (organisational, community, systems) to increase potential of impact
Organisational capacity building	<ul style="list-style-type: none"> • Conduct self-assessment exercise (at either organisation or consortia-level) to understand own capacity gaps; Develop modular trainings which can be implemented according to partner's own organisational needs to ensure interventions are relevant, and learning approaches are appropriate • Design projects to target senior management to influence organisational policy • Develop capacity development initiatives for all consortia members (with different knowledge levels) for cross-learning and sharing • Target all gaps (not just technical). Aim to strengthen organisational policies, processes, systems, advocacy, resource mobilisation, and strategies for developing partnerships for a more holistic approach that promotes increased capacity, empowerment and autonomy • Design projects to include a "learn by doing" component to build confidence and experience in a supportive way • Promote the co-implementation of activities with L/NNGOs and INGOs to help local actors demonstrate evidence of increased knowledge and experience • Reduce risk of staff turnover and "brain drain" (trained staff at L/NNGOs leaving for other posts at INGOs) through harmonising pay scales
Community capacity building	<ul style="list-style-type: none"> • Include all prioritised groups in design of activities to ensure inclusion is integrated into projects and planned actions • Work with community leaders and disaster committees to influence community disaster plans • Conduct awareness raising activities that inform all community members with a focus on prioritised groups
Systems capacity building	<ul style="list-style-type: none"> • Partner and collaborate with government to influence national policy. Where working with government is not possible, partner and collaborate with UN actors. • Develop relationships in design or inception phase to allow government or UN actors to play a central role in the project and increase potential for sustainability
Early warning systems	<ul style="list-style-type: none"> • Conduct needs assessment through consultations with stakeholders at national, organisational and community levels • Ensure community ownership of early warning systems through incorporating community leaders in activities or developing community disaster committees • Develop realistic timeline to ensure completion of early warning system development in project life cycle • Involve government and national actors into early warning system design and development

Multi stakeholders platforms	<ul style="list-style-type: none"> • Identify existing platforms and design project to strengthen efforts rather than create new platforms • Emphasise the inclusion of local and national NGOs on platforms • Raise awareness of multi-stakeholder platforms to increase the presence of national platforms in humanitarian cluster system
Surge platforms	<ul style="list-style-type: none"> • Include local and national NGOs on surge platforms to reduce costs and increase speed of response • Address gender imbalance on surge platforms through promotion of leadership roles and increased accessibility of training for women, and targeting organisational policies related to women in surge • Create strategy in project design to sustain developed platforms and to continue to support deployments, running costs, and ownership • Support ownership by allowing platforms to establish their own way of functioning • Emphasise collaboration and localisation between actors on surge platforms • Invest in technological capacities to improve user-design experience and minimise administrative burden • Facilitate regular communication to ensure that agencies are aware of the availability of roster members • Monitoring well-being of surge roster members. Incorporate training & care responses from agencies pre, post and during deployment
Flexible funding mechanisms	<ul style="list-style-type: none"> • Integrate flexible funding mechanisms to support and enable local actors to access funds for capacity building, pilot projects, and other activities • Disperse funds quickly and in tranches to match partner needs rather than traditional donor processes • Minimise administrative requirements. Create straightforward reporting processes • Provide cash awards rather than grants to limit administrative burdens for local partners • Embed quick response contingency funds into preparedness programmes to ensure a link between preparedness and response, and to promote earlier, more effective, locally driven response. Place funds at the programme or project level
Consortia	<ul style="list-style-type: none"> • Conduct partner mapping exercise to understand existing networks / partnerships before project design • Consider differences in consortia in terms of capacity, organisational experience and influence • Provide an open, flexible approach to provide space for local decision-making processes • Work within and strengthen existing consortia with pre-existing capacities • Structure consortia to include fewer, more targeted members • Formalise relationships through MOUs and partnership agreements to improve functioning • Promote effective and streamlined communication through in-person meetings, regular communication, open listening, openness to feedback, respectful discussions
Networks	<ul style="list-style-type: none"> • Develop partnerships with external actors to reduce risk of developing insular networks • Initiate new relationships with L/NGOs to localise response efforts • Create communication strategies to streamline information flow across network actors • Focus on the quality rather than quantity of relationships between network actors
Advocacy and policy	<ul style="list-style-type: none"> • Design projects to incorporate specific advocacy and policy focus • Collaborate with government and UN to increase influence on policy environment • Disseminate and train project staff on advocacy plans • Monitor and report against advocacy and policy initiatives throughout project timeline
Evidence generation	<ul style="list-style-type: none"> • Ensure the right balance between quantity and quality and between learning and empirical evidence • Ensure accessibility and translation of learning and evidence • Promote and assess knowledge uptake and behaviour change • Develop accountability mechanisms for evidence generation in project design
Protection	<ul style="list-style-type: none"> • Incorporate VAWG and child protection into capacity development activities to mainstream protection into humanitarian assistance • Integrate the collection of ethical data on VAWG and child protection risks into M&E plans • Include VAWG and child protection specialists on surge rosters or multi-stakeholder platforms to ensure that protection is considered in response

Inclusion of prioritised groups	<ul style="list-style-type: none"> • Conduct needs assessments prior to project design which includes prioritised groups • Design projects to incorporate the needs of prioritised groups (women, children, the elderly, people with disabilities) • Monitor inclusion within project activities
Localisation	<ul style="list-style-type: none"> • Strengthen localisation policies at INGOs to ensure inclusion of L/NNGOs • Examine due diligence processes to understand how they may potentially marginalise or exclude local actors • Ensure that meetings are conducted to facilitate national and local partner contributions • Define what localisation means before establishing project goals. Distinguish the level of localisation required (national, local) and plan for contextualisation • Aim to shift attitudes of INGOs from viewing local partners as sub-contractors. Adopt a co-implementing approach • Support national and local partners to establish their own coordination mechanisms

ANNEX 12

ROOT CHANGE REPORT

Annex 12: Root Change Report



DEPP Endline Evaluation Network Analysis Report *Research Notes*

Root Change

March 2018

Table of Contents

I. Executive Summary.....	339
II. Data Collection.....	344

III. Results	346
A. Overview of Data Collected	346
B. Collaboration Areas	348
C. Strength of Relationship	351
i. Frequency	351
ii. Likelihood to Recommend Others	352
IV. Understanding the Country-level Networks	353
A. Network Structures and Domination	354
B. Structure Analysis of Collaboration Area Networks	356
C. Engagement and Exploration in Network Analysis	361
D. Groups in DEPP Country-Level Networks	363
E. Collaboration Across Groups in Country-Level Networks	363
i. DEPP and Non-DEPP Cohorts	364
ii. Localization of Humanitarian Networks	367
F. Key Actors in Country-Level Networks	369
i. Top 50 Organizations by Total Degree Centrality	370
ii. Further Exploration into DEPP and Non-DEPP Roles	372
V. Treatment and Control Groups	374
A. Strength of Relationships	374
i. Frequency of Interaction	374
B. Change in Preparedness and Networking Over Time	375
VI. Learnings and Challenges	376
VII. Annex	378
Annex 1: Full Network Visualizations	378
Annex 2: DEPP Consortium Collaboration	386
Annex 3: Full Tables of Collaboration Area Link Counts	390
A. Baseline	390
B. Endline	394
Annex 4: Full Tables of Top 50 Actors by Degree Centrality	397
A. Baseline	397
B. Endline	405

Annex 5: Key Actor Tables By Country	412
Annex 6: Tests for Statistical Significance	419
i. Preparedness vs. Networking	419
ii. Relationship Strength.....	426

I. Executive Summary

The Harvard Humanitarian Initiative (HHI)’s program on Evaluation and Implementation Science is conducting an external evaluation of the Disasters and Emergency Preparedness (DEPP) program. The work has been ongoing since September 2015. The DEPP is a global capacity building program, which relies on strengthening networks and collaboration among local actors, on the assumption that greater collaboration leads to better disaster response.

A critical focus of this evaluation is identifying patterns of collaboration across DEPP and Non-DEPP actors, and the extent to which strong organizational ties are associated with higher performance. To support this component of the evaluation, Root Change joined the HHI evaluation team in 2016 and was tasked with developing a methodology to analyze DEPP collaboration networks. This included developing survey questions, data collection strategies and performing data analysis. Root Change is a non-profit organization based in Washington, DC. We provide technical and research design support for social innovators, local leaders and forward thinking development agencies to learn about and engage with the social systems where they work. Root Change hosts its own cloud-based network analysis platform and uses a variety of network analysis software to capture and analyze relationship data.

In the Formative Phase of the evaluation, Root Change met with the HHI team to provide input for gathering network data through an organizational survey, which was eventually programmed into KoBoToolbox and administered by the HHI Evaluation team in its focus countries. The survey was designed to identify key actors across 32 different collaboration networks, and to assess the overall viability (health) of each collaboration area. The promise of this systems-oriented approach is that it can be used to further inform data gathered by the HHI team about organizational capacity and performance in support of a whole-systems perspective.

HHI collected network data from four target countries: Kenya, Philippines, Myanmar, and Ethiopia at two different time periods. This report is a summary of the findings. The analysis of the data was facilitated using ORA, a network analysis tool developed by CASOS at Carnegie Mellon. The Root Change

team used ORA analytics to identify collaboration patterns, and to compare networks, groups and organizations from each country. The team used R for all statistical significance tests.

General Findings

- Not enough time was available between T1 and T2 to sufficiently document and test the hypothesis that strengthened networks and greater collaboration leads to better disaster response. In 2016, DEPP field operations were still adapting to local feedback and interventions were still evolving. Data collection in T1 inevitably picked up network effects caused by ever-shifting strategies that are common to first year project implementation. T2 more likely captured some of the distinctive program impacts of DEPP interventions, but sufficient time to follow network change requires at least an additional 12 months.
- In spite of the time constraints described above, we created a 'networking score' for DEPP and Non-DEPP cohorts, combining in-degree, out-degree, betweenness and eigenvector centrality measures. This was compared with a Disaster Preparedness survey score for both groups. No country was found to have a significant correlation between change in networking scores and change in preparedness scores.
- The DEPP theory of change did not include any reference to localization or mention of specific characteristics (pre-conditions) for high performing humanitarian response networks. Without a hypothesis of what high performing networks look like, it is difficult to fairly evaluate network health. Root Change therefore relied on its own research to test network viability. Preconditions we looked for included the emergence of local DEPP organizations as key resource hubs, networkers and influencers. We also looked for increased levels of trust between DEPP actors. A phase two of DEPP should incorporate an explicit localization agenda as well as a clear articulation of the characteristics of a high performing network.
- Although we observed several positive changes to the humanitarian response networks in the Philippines, Kenya and Ethiopia, there were only a few instances where local DEPP local organizations out performed local non-DEPP organizations. These included enhanced levels of trust among the DEPP cohort of actors (Philippines, Kenya and Ethiopia), and enhanced influence of local DEPP actors in the Philippines.

- Myanmar experienced very little positive change. During the study period, the number of relationships and overall trust levels declined. The DEPP cohort also grew more insular and dependent on international organizations. Non-DEPP organizations showed little interest in seeking new contact with DEPP actors.

Philippines

Key Findings

- The humanitarian assistance network in the Philippines is highly localized. Approximately seventy percent of the top fifty most connected organizations are local organizations. This finding was consistent for T1 and T2. In both time periods, there was a strong significance ($p < 0.001$) in the influence of National Non-DEPP actors. In T2, National DEPP actors, more specifically, had greater influence. Seventy percent of all relationships are targeting local actors, with these relationships being both initiated by local organizations and international agencies.
- Respondents reported approximately 50 percent fewer relationships in T2, and there was a 60 percent reduction in the total number of ties between T1 and T2. This reduction in reported relationships was distinctly different from the other countries included in the study. One hypothesis is that organizations have strategically targeted “smarter partnerships” over time. However, these patterns are consistent for both DEPP and Non-DEPP actors, so it is not possible to associate this change with DEPP interventions.
- The general trend in collaboration between T1 and T2 is an organizational concentration on fewer key relationships alongside a deepening of ties and trust. Organizations reported close to a 10 percent upward change in frequency of contact (from 3-4 times to more than 6 times over a six month time period, with a significance of $p = 0.009$). The top three collaboration areas, advocacy, project implementation, community capacity building, remained the same between T1 and T2. The biggest changes in collaboration were around funding, which was ranked 11th place in T1 and move to 6th place during T2. Networking around vulnerable groups and project design were more prominent in T2, while education and climate change moved downward in prominence. Collaboration areas that shifted downward in priority also became more isolated in their network structure.

- Between T1 and T2, organizations were 6 percent more likely to highly recommend one of the organizations that they collaborate with on humanitarian response efforts, indicating a slight increase in trust.
- National DEPP actors appear to be modestly outperforming National Non-DEPP actors in their networking and partnership development between T1 and T2. During this period, there was a 10 percent increase in the number of National DEPP actors scoring in the top fifty. However, the most prominent resource hubs for the full network remain Non-DEPP actors.
- Between T1 and T2, on average 77% of DEPP cohort relationships were to Non-DEPP actors. This is a positive sign that DEPP organizations are not forming insular cliques or prioritizing exclusive connections among themselves (*preferential attachment*).
- The DEPP cohort intensified its collaboration in T2. However, Non-DEPP actors were no more likely to reach out to DEPP organizations in T2 than they were in T1. For the DEPP cohort, large international project leaders seemed to contribute to bringing the DEPP group together. The DEPP network saw an increase in density and a tightening around these two project leaders.

Kenya

Key Findings

- Between T1 and T2, the number of links in Kenya's humanitarian assistance network nearly quadrupled. The number of relationships from DEPP actors in T2 was about 4.5 times that of T1, whereas relationships from Non-DEPP actors in T2 was about 3.5 times that of T1.
- Kenya shows clear signs of emerging local leadership in the humanitarian assistance network; however, international actors still continue to play a prominent role. Kenya is split evenly between local and international actors engaging in the humanitarian assistance system. This split can be seen across collaboration area networks, and in the top 50 networking actors, where an even number of local and international actors fill the top positions.
- International DEPP actors play a significant role as resource hubs (found in T2), but this network is neither fully localized nor entirely reliant on international actors. Between T1 and T2, there was a shift from dominance of International Non-DEPP actors ($p=0.023$) to dominance of National Non-DEPP ($p=0.009$) actors.

- The collaboration area with the most notable change was WASH, which moved from an international-centric and isolated network to a more evenly split and distributed network. The number of links reported in this specific collaboration area increased from 40 to 210, more than five-fold increase in the number of links.
- In Kenya, unlike the other countries in this evaluation, the DEPP cohort was able to attract relationships from non-DEPP actors, even in spite of a small cohort size (9% DEPP actors compared to 91% Non-DEPP). 35% of relationships from the Non-DEPP group targeted DEPP group actors.
- The DEPP cohort is building trust at a faster rate than non-DEPP actors. The increase in the likelihood of DEPP actors to recommend other DEPP organizations was significantly higher than the change in the Non-DEPP cohort to recommend Non-DEPP actors ($p < 0.001$). On average, the DEPP group saw a 0.41 increase and the Non-DEPP group saw a 0.68 decrease on the 10 point scale. While Kenya's DEPP cohort is small relative to the size of its Non-DEPP cohort, the actual number of organizations in the DEPP program in Kenya is not much different than the number of organizations in the DEPP program in other countries.

Myanmar

Key Findings

- Myanmar was found to have the smallest and most isolated humanitarian assistance network relative to other countries included in the evaluation. Organizations reported fewer links in T2 than in T1.
- International Non-DEPP actors play prominent roles in this country as resource hubs, active networkers, brokers, and influencers. Prominence of international actors is also seen in the 17% increase in relationships coming from international actors between T1 and T2, and the over-reliance of local NGOs on INGOs in T2. 83% of all local actor relationships target international actors.
- The DEPP cohort was not very successful in reaching those outside of the DEPP program. Although the total number of links from DEPP actors and Non-DEPP actors remained equal between T1 and T2, DEPP actors saw a substantial increase (35%) in their engagement with other DEPP actors. By T2, 93% of Non-DEPP actors' relationships were with other Non-DEPP actors and only 8 total relationships were reported from a Non-DEPP actor to a DEPP actor (out of 226 total relationships in the network). Low levels of cross collaboration between DEPP and Non-DEPP worsened over time.

Ethiopia

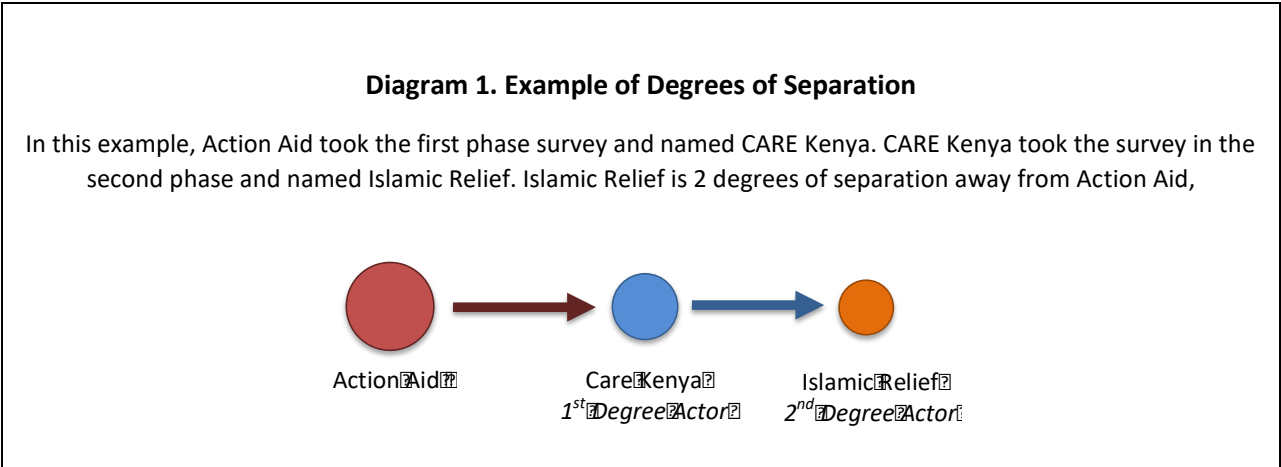
Key Findings

- Ethiopia's Humanitarian Network, like Myanmar, is characterized by a dominance of international actors. Most relationships between T1 and T2 were initiated by international actors, and most "relationship seeking" targeted international actors; between T1 and T2 on average 75% of relationships from both INGOs and local NGOs targeted INGOs. Less than 30% of INGO relationships were targeting local NGOs. International DEPP actors in Ethiopia are also filling most key actor roles (including resource hubs and influencers).
- Networking scores (combined in-degree, out-degree, betweenness and eigenvector centrality measures) for all organizations across the two time periods declined ($p=0.015$). A likely explanation for the decline is the over-sized impact of a few key international actors whose networking scores declined even as the number of links between T1 and T2 nearly doubled.
- Collaboration areas in Ethiopia remained highly international-centric between T1 and T2, and about half of the collaboration areas were decentralized, meaning there were only a few organizations prominent in each.
- The DEPP cohort is building trust at a faster rate than non-DEPP actors. For the DEPP cohort, the change in likelihood to recommend other DEPP actors was significantly higher ($p=0.013$) than the change in the Non-DEPP cohort. On average, the DEPP cohort saw a 0.53 increase and the Non-DEPP group saw a 0.01 decrease on the 10 point scale. Combined with findings from Kenya, this shows that members of the DEPP program increased their trust in one another between T1 and T2.

II. Data Collection

The network analysis survey was administered by HHI in two phases. The first phase was designed to interview an established set of actors in each country who represented a mix of DEPP program partners and others who were not part of DEPP (which served as the control group). The actors that were named by first phase survey participants we consider to be 1st degree actors. They are one degree of separation away from the survey informant. The 1st degree actors identified in phase one were then invited to also take the network survey. The actors they identified are 2nd degree actors, as they are two degrees of separation from the survey informant. The design was to conduct the network analysis survey for actors

up to three degrees of separation from the informant for all countries. Given time constraints, only 2nd degree actors were surveyed in the Philippines for both data collection periods.



Participants of the network survey were asked to identify with whom they collaborated over the last 6 months, and to describe the nature or purpose of the collaboration. Participants picked from a list of 32 collaboration areas, representing a menu of topics in which humanitarian actors are likely to engage. Participants could also nominate or name their own areas of collaboration. This report concentrates primarily on the full country network, which is the combination of all collaboration areas, but it does look at individual collaboration area networks to paint a larger picture of country trends. Collaboration areas were also used to help track change in specific relationships between the first data collection and the second.

Table 1. Collaboration Areas

1. Advocacy
2. Agriculture Expertise
3. Climate Change and Adaptation
4. Community Capacity Building
5. Community Connections
6. Community Planning
7. Community-Based Risk Analysis
8. Conflict Mitigation Expertise
9. Data Resources including data sets, collection and analysis
10. Early Warning Systems Expertise

11. Education
12. Facilitation
13. Funding
14. Gender-based violence
15. Health/Public Health Expertise
16. In-Kind Resources (e.g., meeting space)
17. Journalism/Media
18. Leadership
19. Local Expertise
20. Logistics
21. Management
22. MEL Expertise
23. Policy
24. Project Design
25. Project Implementation
26. Proposal Writing
27. Research
28. TA
29. Technology/Web Resources
30. Volunteers and Volunteer staff
31. Vulnerable Groups
32. WaSH
33. Other, specify

III. Results

A. Overview of Data Collected

The charts below summarize the relationship data that was collected in both time periods. Laying it out in a chart helps to see the differences in each network, which will be discussed throughout the rest of this report. While reading the remainder of this report, it will be important to remember how different the networks actually are. For visualizations of each country’s humanitarian network, see **Annex 1**.

The average number of collaboration areas per unique link represents across how many collaboration areas two organizations are working on average. The average number of total links per surveyed organization represents the contribution of each organization to the full network. Finally, the average number of unique links per surveyed organization represents the average number of organizations to whom that organization is tied.

Table 2. Organizations and Links by Country

First data collection:

	No. of Orgs who took Network Survey	Total No. of Orgs Identified	Total No. of Links	No. of Unique Links ¹²⁰	Average No. of Collaboration Areas per Unique Link	Average No. of Total Links Per Surveyed Org	Average No. of Unique Links Per Surveyed Org
Philippines	72	401	5622	679	8.3	78.3	9.4
Kenya	73	161	2109	315	6.7	28.9	4.3
Myanmar	33	75	207	103	2	6.3	3.1
Ethiopia	63	132	2438	329	7.4	38.7	5.2

Second data collection:

	No. of Orgs who took Network Survey	Total No. of Orgs Identified	Total No. of Links	No. of Unique Links	Average No. of Collaboration Areas per Unique Link	Average No. of Total Links Per Surveyed Org	Average No. of Unique Links Per Surveyed Org
Philippines	92	254	2754	489	5.6	29.9	5.3
Kenya	142	317	8027	807	9.9	56.5	5.7
Myanmar	30	55	226	76	2.3	7.5	2.5
Ethiopia	59	137	4150	434	9.6	70.3	7.4

¹²⁰ Unique links only look at the actors, whereas total links look at both actors and collaboration areas. For example, total number of links counts a relationship from Actor A to Actor B in the Advocacy collaboration area as 1 link and a relationship from Actor A and Actor B in the Project Implementation collaboration area as 1 link for a total of 2 links. Unique links only counts the previous example as 1 link because both relationships are a connection from Actor A to Actor B.

In the Philippines, there was an increase in both the number of organizations surveyed and the number of unique organizations in the map, but we're seeing only half of the number of relationships. In addition, organizations reported that each unique relationship spanned fewer collaboration areas. This means the network became less dense.

In Kenya, the number of links almost quadrupled. Not only was there double the number of organizations that took the survey, but each organization also reported relationships that spanned across more collaboration areas and more organizations. This network therefore went through a large growth period.

The Myanmar country network remained about the same size, which is much smaller than the other three networks. The number of organizations who took survey remained about the same, but those organizations reported relationships with fewer other organizations. The relationships did spend more collaboration areas during the second data collection period, offering evidence of greater density in this network.

Ethiopia saw a slight decrease in the number of organizations that took the survey and slight increase in number of organizations in the map, reflected in the fact that organizations were identifying a larger number of other organizations. There were also almost double the number of links, but only some of these came from relationships with more organizations, whereas the other links came from collaboration across more collaboration areas.

B. Collaboration Areas

Looking across all four countries, advocacy, community capacity building, and project implementation were consistently among the most active collaboration areas during both data collection periods.¹²¹ Table 3 lists the top ten most active collaboration areas or networks. Common areas across countries are highlighted in bold. For full tables of the number of links in each collaboration area for each country, see **Annex 3**.

¹²¹ Note that for Ethiopia, advocacy was ranked 18th in the first data collection and 13th in the second data collection.

Table 3. Top 10 Collaboration Areas by Country

First data collection:

PHILIPPINES	Link Count	KENYA	Link Count	MYANMAR	Link Count	ETHIOPIA	Link Count
1. Advocacy	418	1. Advocacy	179	1. Community Capacity Building	29	1. Project Implementation	207
2. Community Capacity Building	341	2. Community Capacity Building	151	2. Funding	20	2. Community Capacity Building	181
3. Project Implementation	283	3. Project Implementation	123	3. Advocacy	14	3. Project Design	163
4. Community Connections	270	4. Facilitation	118	4. Project Implementation	14	4. Funding	153
5. Community Planning	255	5. Community Planning	101	5. Information Sharing	11	5. Community-Based Risk Analysis	147
6. Facilitation	249	6. Project Design	96	6. WaSH	10	6. WaSH	139
7. Community-Based Risk Analysis	234	7. Community Connections	95	7. Education	10	7. Proposal Writing	131
8. Data resources	223	8. Conflict Mitigation Expertise	94	8. Community Planning	9	8. Climate Change and Adaptation	110
9. Education	220	9. Climate Change and Adaptation	90	9. Early Warning Systems Expertise	7	9. Early Warning Systems Expertise	106
10. Climate Change and Adaptation	208	10. Community-Based Risk Analysis	90	10. Climate Change and Adaptation	7	10. Facilitation	91

Second data collection:

PHILIPPINES	Link Count	KENYA	Link Count	MYANMAR	Link Count	ETHIOPIA	Link Count
1. Advocacy	271	1. Community Capacity Building	612	1. Project Implementation	26	1. Project Implementation	298
2. Project Implementation	202	2. Advocacy	512	2. Community Capacity Building	25	2. Project Design	255
3. Community Capacity Building	194	3. Early Warning Systems Expertise	409	3. Advocacy	17	3. Proposal Writing	237

PHILIPPINES	Link Count	KENYA	Link Count	MYANMAR	Link Count	ETHIOPIA	Link Count
4. Community Planning	121	4. Community Connections	396	4. Community Planning	15	4. Funding	229
5. Community Connections	108	5. Community-Based Risk Analysis	387	5. Funding	14	5. Community Capacity Building	213
6. Funding	105	6. Facilitation	372	6. Project Design	12	6. WaSH	205
7. Facilitation	101	7. Community Planning	349	7. Early Warning Systems Expertise	11	7. Early Warning Systems Expertise	198
8. Data Resources including data sets, collection and analysis	98	8. Project Implementation	345	8. Climate Change and Adaptation	9	8. Facilitation	167
9. Vulnerable Groups	97	9. Conflict Mitigation Expertise	311	9. Community-Based Risk Analysis	9	9. Vulnerable Groups	155
10. Project Design	96	10. Climate Change and Adaptation	284	10. Proposal Writing	8	10. Community-Based Risk Analysis	151

In Philippines, the top three collaboration areas were the same at both points of data collection, though in a slightly different order. The three collaboration areas are: Advocacy, Project Implementation, Community Capacity Building. An interesting change in this country was the jump in number of ties in the Funding network, and its jump from rank 11 to rank 6 between the two time periods. The top collaboration areas in this country were also the most distributed networks.

In Kenya, two of the top three collaboration areas remained the same – Community Capacity building and Advocacy. An interesting observation was the addition of Early Warning Systems Expertise as the third most popular collaboration area (up from rank 11 in T1).

In Myanmar, the Funding network dropped down the list, and the Community Planning network moved up the list. Otherwise, the top four collaboration areas in this network remained the same, though in a slightly different order.

In Ethiopia, two of the top three collaboration areas also were the same – Project Implementation and Project Design. Proposal Writing jumped from rank 7 to rank 3. Top collaboration areas were also the most distributed networks.

C. Strength of Relationship

i. Frequency

Survey respondents were asked to describe the strength of their relationships in two ways. The first is how frequently they collaborate with the actors they identified. Frequency of communication or interaction is a common proxy for quality of relationship. The following frequency scale was used:

- Rarely (1-2 times in the last 6 months)
- Often (3-4 times in the last 6 months)
- Frequently (more than 6 times in the last 6 months)

When an actor indicates frequent collaboration, we hypothesize that there is high trust and perceived value in continued engagement. This is not always the case when actors collaborate based on contractual or service agreements. The survey therefore differentiated between informal and formal collaboration.

Table 4. Frequency of Collaboration by Country

First data collection:

	Total No. of Links	No. of Links: Collaborate Rarely	No. of Links: Collaborate Often	No. of Links: Collaborate Frequently	Percentage of Links: Collaborate Rarely	Percentage of Links: Collaborate Often	Percentage of Links: Collaborate Frequently
Philippines	5622	558	1371	3693	10%	24%	66%
Kenya	2109	95	596	1418	5%	28%	67%
Myanmar	207	18	43	146	9%	21%	70%
Ethiopia	2438	91	484	1863	4%	20%	76%

Second data collection:

	Total No. of Links	No. of Links: Collaborate Rarely	No. of Links: Collaborate Often	No. of Links: Collaborate Frequently	Percentage of Links: Collaborate Rarely	Percentage of Links: Collaborate Often	Percentage of Links: Collaborate Frequently

Philippines	2754	198	449	2107	7%	16%	77%
Kenya	8027	100	889	7038	1%	11%	88%
Myanmar	226	26	52	148	12%	23%	65%
Ethiopia	4150	297	815	3038	7%	20%	73%

In all countries across both time periods, the actors interacted with one another frequently. Myanmar and Ethiopia are the most interesting cases because frequency of collaboration went down between the two time periods. Kenya saw the largest increase in frequency of interaction with an increase of 21% of ties that reported frequent collaboration.

ii. Likelihood to Recommend Others

The second is how likely they are to recommend that organization to others. This is measured on a scale of 1-10, and is what we call a net promoter score. Likelihood to recommend others is also a common proxy for quality of relationship. The following net promoter scale was used:

- Not Very Likely (Score of 1-6)
- Somewhat Likely (Score of 7-8)
- Very Likely (Score of 9-10)

When an actor indicates that they are likely to recommend the other actor, we hypothesize that there is high trust and reverence for the other actor. Because it asks about both a perception and an action, this score gets to the real feelings one actor has of another. The scale is adjusted for bias that results with this type of question, using only the highest scores as likely to take action, as others are passive or detractors.¹²²

Table 5. Likelihood to Recommend Others by Country

First data collection:

	Total No. of Links	No. of Links: Not Likely	No. of Links: Somewhat Likely	No. of Links: Very Likely	Percentage of Links: Not Likely	Percentage of Links: Somewhat Likely	Percentage of Links: Very Likely
Philippines	5622	812	2189	2621	14%	39%	47%

¹²² The scale we are using is based on Bain's Net Promoter scale. See more here: <http://www.netpromotersystem.com/about/measuring-your-net-promoter-score.aspx>

Kenya	2109	310	814	984	15%	39%	47%
Myanmar	207	91	74	41	44%	36%	20%
Ethiopia	2438	266	902	1270	11%	37%	52%

Second data collection:

	Total No. of Links	No. of Links: Not Likely	No. of Links: Somewhat Likely	No. of Links: Very Likely	Percentage of Links: Not Likely	Percentage of Links: Somewhat Likely	Percentage of Links: Very Likely
Philippines	2754	258	1028	1468	9%	37%	53%
Kenya	8027	735	2233	5059	9%	28%	63%
Myanmar	226	125	63	38	55%	28%	17%
Ethiopia	4150	503	1555	2092	12%	37%	50%

Myanmar is also an interesting case when looking at likelihood to recommend others, as it is the only country to shift towards less likely to recommend others between time period one and two. Over half of its relationships were reported as not likely to recommend the other actor, whereas with all other countries over half of their relationships were reported as very likely to recommend the other actor. As with frequency of interaction, Kenya saw the largest increase in likelihood to recommend others with an increase of 16% of link as very likely.

IV. Understanding the Country-level Networks

The DEPP program is only one factor that is present within the humanitarian systems within these four countries. Even when the program is carried out in the exact same way in each country, other factors will contribute to its success, including country social dynamics, organizational interconnectedness, point in network “life cycle,” and dominance of local or international actors. This section explores these factors within each country.

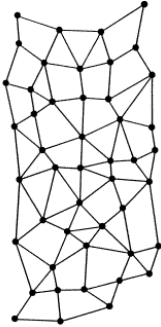
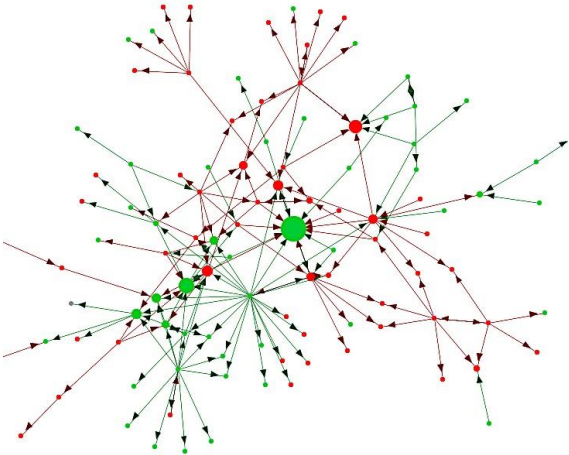
A. Network Structures and Domination

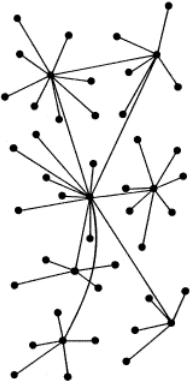
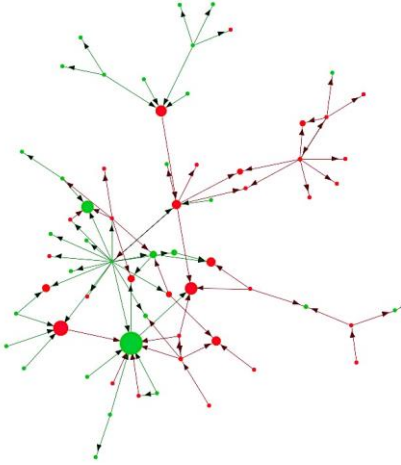
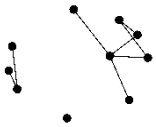
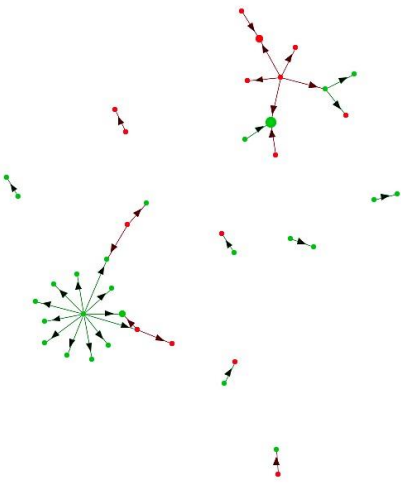
Many of the international development and humanitarian response networks we have studied show predictable patterns. We share three relevant examples related to the DEPP evaluation findings, each described below:

- 1) **Preferential Attachment:** Development ecosystems are complex and adaptive, and we can expect new organizations to enter and exit a system constantly. A common misconception is that new entrants will naturally choose to associate with local peer-institutions on common development challenges. In reality, new actors are much more likely to associate with organizations with the *most links and connections (and of course opportunities for funding)*. Preferential attachment to centralized actors reinforces the hegemony of a few key actors, with negative consequences for sustainability. Rather than creating local connections to core constituents, organizations are attracted to the centralized actors. Not surprisingly, when international agencies set up operations, they quickly become the target of preferential attachment. Over time, the hegemony of INGOs and their influence on collaboration becomes almost impossible to disrupt.
- 2) **Domination:** Local resource hubs can emerge as a consequence of network self-organization. When international agencies are looking for local partners to implement a new program, these organizations make good choices. Resource hubs already have proportionally more linkages than other actors (a distribution of ties that follows a power law). The power law distribution explains why local core partners of multi-year development programs often come to dominate the system. Over the life of an average development project this will intensify. Local partners turn into the “usual suspects” and donor attention on these dominant actors tends to reinforce their ‘inner circle’ status. The “usual suspects” have few incentives to facilitate connections (the first attribute of high functioning networks), and their hegemony makes it very hard to encourage them to embrace new brokering roles that they fear might potentially diminish their own influence.
- 3) **Insularity:** One of the most common features of systems is homophile: the tendency of individuals and organizations to affiliate with others like themselves. Organizations tend to restrict their relationships to friends, colleagues of the same ethnicity, socioeconomic status and in many cases the same beliefs, attitudes and behaviors. This creates a “small world” effect where clusters of collaboration are composed of organizations with common characteristics. This insularity can complicate efforts to spread new knowledge and ideas. Core actors, including international NGOs and donors, are also susceptible to the small-world syndrome. We have observed how central actors with influence increasingly limit ties to an “inner circle”, further isolating themselves from new connections and alternative viewpoints.

Manifestation of these three predictable behaviors in international development and humanitarian response networks can be seen in visualization of the network structure. The worst of such cases is seen in isolated networks where small groups of organizations are completely cut off from one another. Even in connected networks, though, these behaviors can negatively influence network structure. A decentralized network, for example, still shows preferential attachment, domination and insularity, seen through hub-and-spoke relational patterns. When organizations begin to minimize these behaviors, a distributed network begins to take shape. See Diagram 2 below for examples and characteristics of each network structure.

Diagram 2: Network Structures

<p>DISTRIBUTED</p> <ul style="list-style-type: none"> • Greater cohesion and links between multiple actors in the network • Allows for more equal flow of information to all actors in the network • Minimizes bottlenecks and promotes sustainability; information flow is not disrupted if actor leaves network 	<p>Model Network</p> 	<p>Example Network from DEPP Study</p>  <p>*Advocacy Network, Kenya</p>
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<p>DECENTRALIZED</p> <ul style="list-style-type: none"> • <i>Flow of information is controlled/managed by key central actors</i> • <i>Can lead to bottlenecks</i> • <i>Peripheral actors are dependent upon those that are more central</i> 		 <p><i>*Conflict Mitigation Experience Network, Kenya</i></p>
<p>ISOLATED</p> <ul style="list-style-type: none"> • <i>Network actors disconnected, “islands” of activity</i> • <i>Lack of information flow and coordination between actors working in similar areas</i> 		 <p><i>*Gender Based Violence Network, Kenya</i></p>

B. Structure Analysis of Collaboration Area Networks

Breaking down the larger country-level system into smaller collaboration area networks can help to paint a better picture of what is happening within the larger network. To create the country-level visualization, the relationships within specific collaboration areas are combined into one general relationship between those two actors. This means that looking at the full network, it will seem like organizations are more interconnected. However, the specific collaboration area networks show at a more nuanced level how organizations are or are not connected.

The following matrices visualize the 32 collaboration areas for each country along a grid.¹²³ The horizontal part of the grid represents the degree to which a collaboration area is more dominated by international versus national organizations. The far right represents that a large number of international organizations were identified, with few national organizations, and the far left represents that a large number of national organizations were identified in the area and few international organizations. The closer to the middle of the spectrum, the more even the split between international and national organizations.

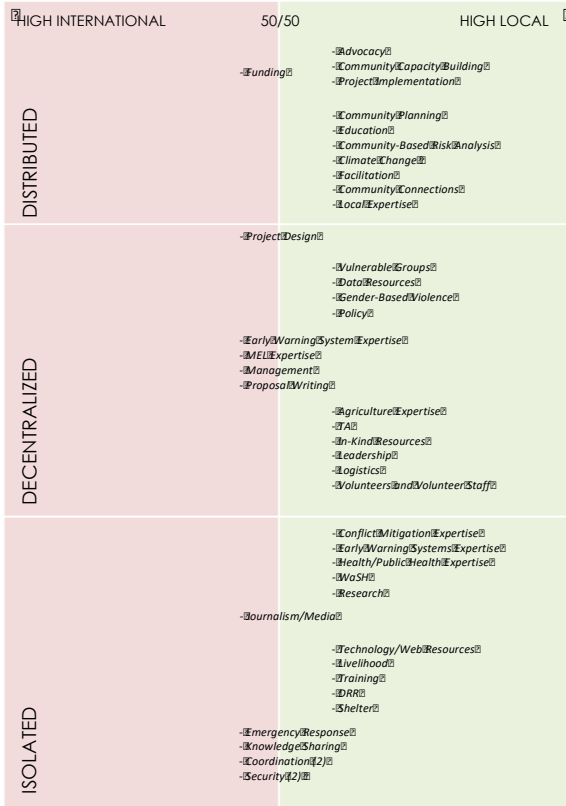
The vertical scale of the grid examines the network structure and degree of inter-connectivity of the collaboration area. The top of the scale is *Distributed*, representing collaboration areas that have the greatest amount of inter-connectivity. The middle section is *Decentralized*, and the bottom section is *Isolated*, which represents the least amount of inter-connectivity (see Diagram 2 on the previous page for an illustration of these network structures).

Taking *Distributed* as an example, the closer to the top of the distributed box, the more highly distributed or inter-connected the network. If the collaboration is placed closer to the boarder between *Distributed* and *Decentralized* this means the network structure is in-between the two. Each collaboration area was visualized and placed within the matrix based on visible patterns of interconnectivity and international or local dominance.

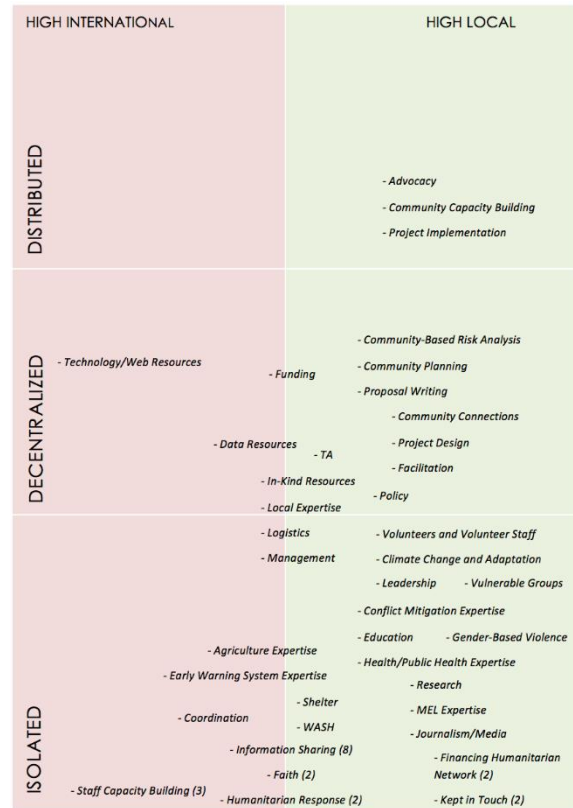
¹²³ Root Change analyzed all collaboration areas in which actors of each country mapped. The exact number varies by country, and can be more or less than 32 (actors could also add additional collaboration areas).

Diagram 3: Philippines Network Structure Matrices¹²⁴

First data collection:



Second data collection:

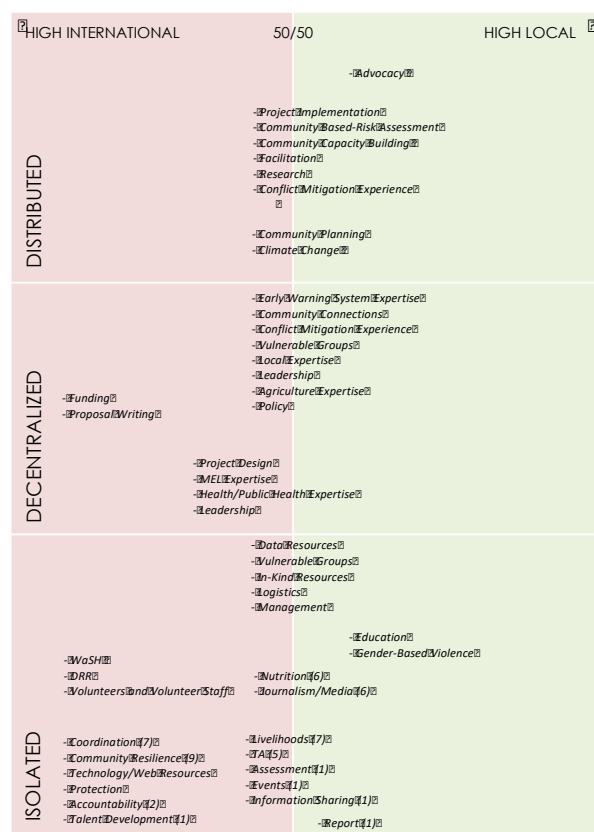


Networks in the Philippines remain highly local between T1 and T2. We are seeing a general trend towards isolated networks within collaboration areas whereas before they were spread across all network structures. Again, this is likely due to sparser network data in the second time period than in the first. The most notable movement was in the Climate Change and Adaptation network, which changed from a local and distributed network to a local and isolated network.

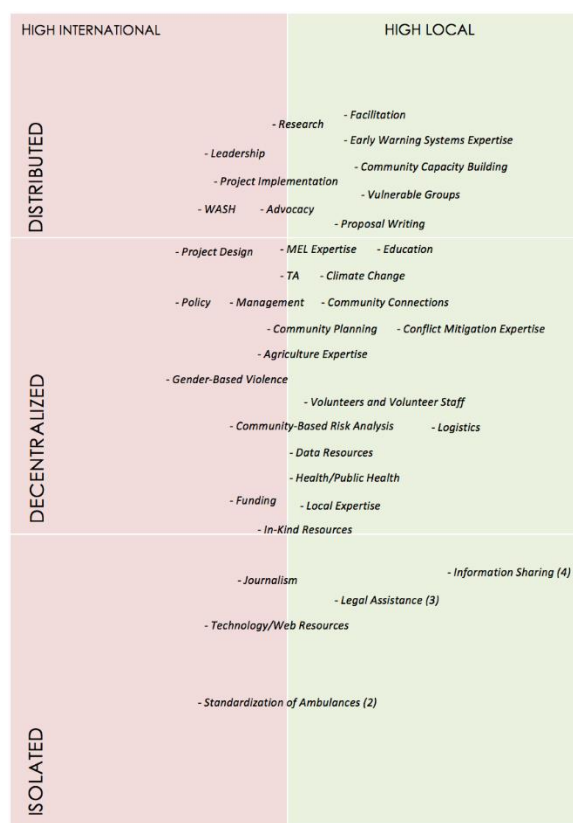
¹²⁴ For collaboration areas that have less than 10 actors, the number of actors in that area has been listed in parenthesis. Chart size was decreased for comparison, but a larger version of each will be provided in the annex of the report.

Diagram 4: Kenya Network Structure Matrices

First data collection:



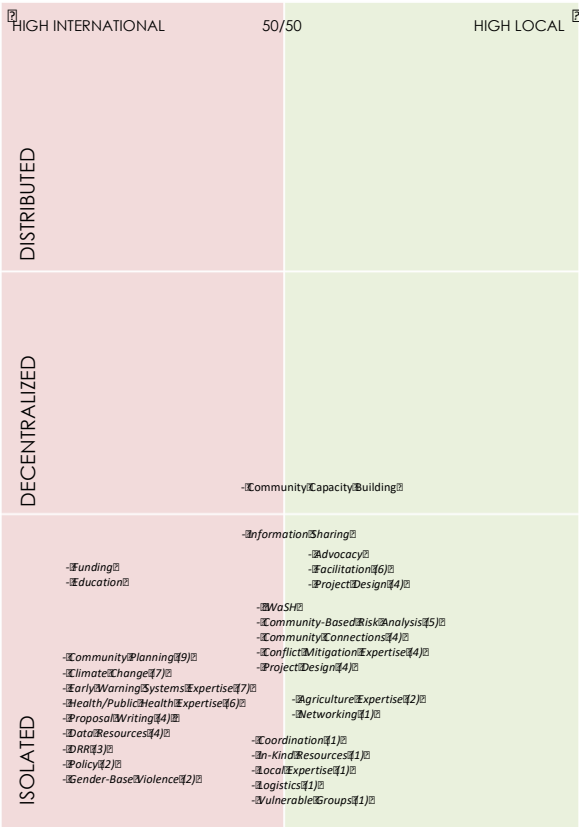
Second data collection:



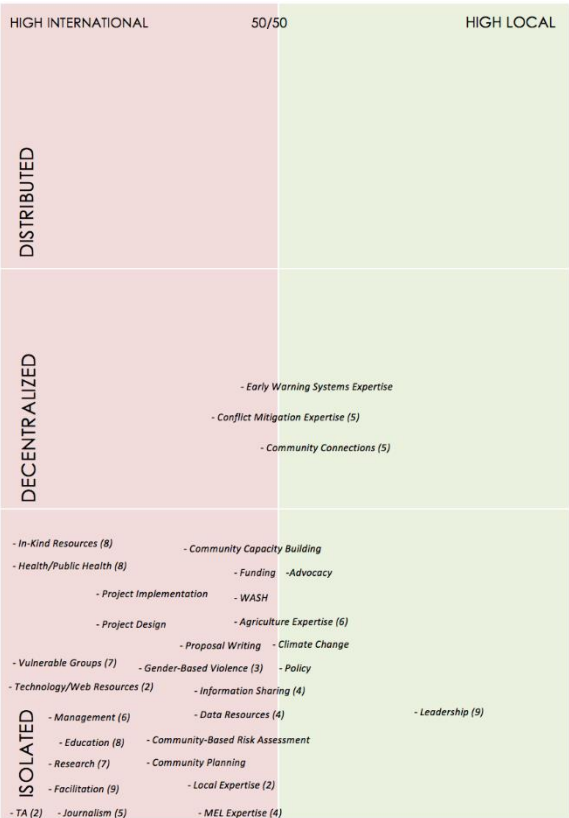
Overall, the distribution of collaboration area networks in Kenya remains fairly balanced between international and local actors. However, this country is trending in the right direction towards local and distributed networks across collaboration areas. The collaboration area with the most notable movement in this country was WASH from an international and isolated network to a more evenly split and distributed network.

Diagram 5: Myanmar Network Structure Matrices

First data collection:



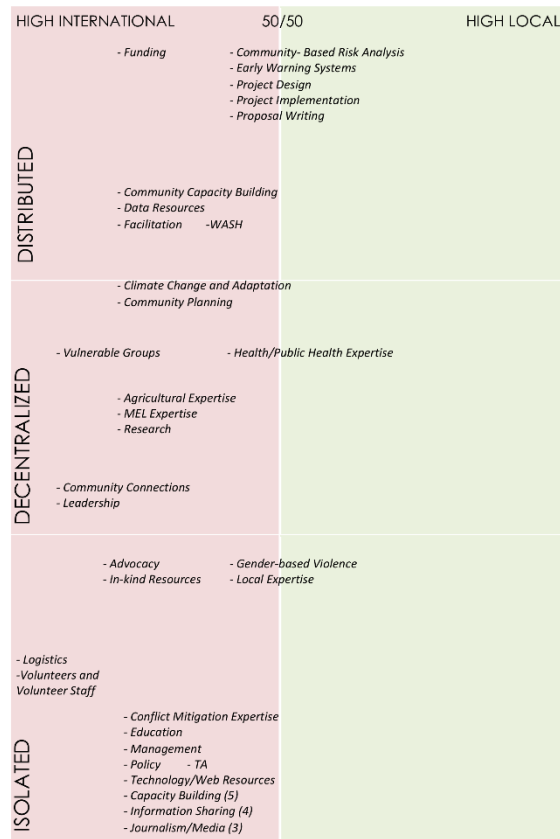
Second data collection:



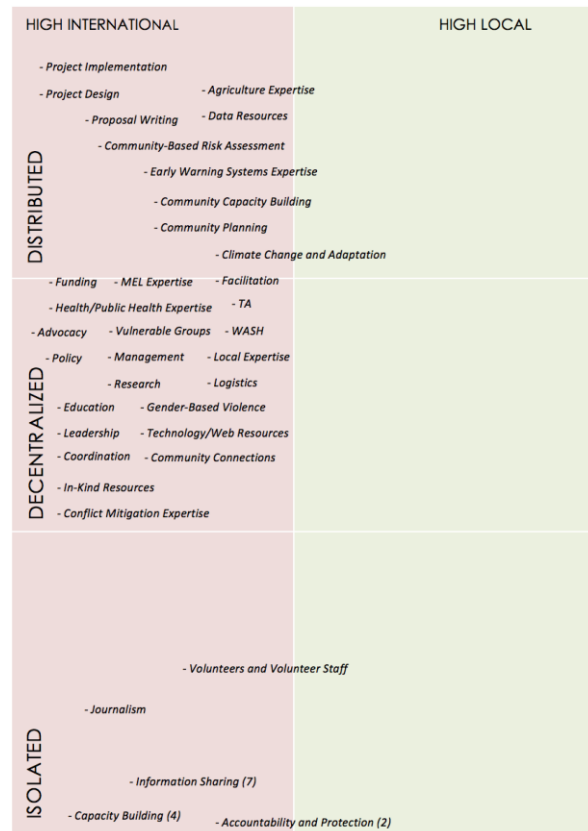
In Myanmar, collaboration area networks remained isolated, and overall collaboration areas are trending towards international domination. Movement of the Early Warning Systems Expertise network is most notable in this case from a very small, international and isolated network to a more evenly split and decentralized network.

Diagram 6: Ethiopia Network Structure Matrices

First data collection:



Second data collection:

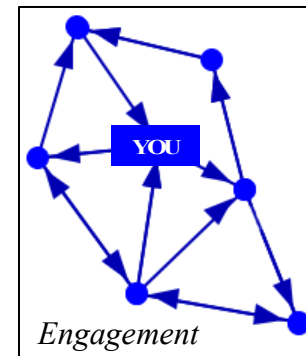


Collaboration areas in Ethiopia remained highly international between T1 and T2. This country is seeing a general trend towards decentralized and distributed networks within collaboration areas. Movement was most drastic in the TA network, from a very isolated international network to a decentralized international network.

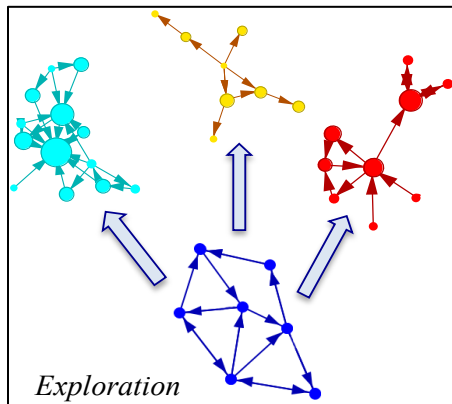
C. Engagement and Exploration in Network Analysis

In a healthy humanitarian response ecosystem, individual organizations actively **engage** with their peers and constituents to build strong bonds of trust. At the same time, organizations devote time and energy towards **exploring** associations with new organizations and cliques from different sectors and geographies. These two important attributes of engagement and exploration are described below.

Engagement is the practice of establishing deep and meaningful relationships with relevant peer colleagues and partners. When actors of a clique are well connected to each other this builds trust and mutual support, and promotes coordination. Local civil society organizations that prioritize community engagement and cultivate strong bonds of trust with their constituents are in a better position to disseminate information, reach consensus on a common agenda, and mobilize collective action.



Exploration is the act of reaching out and seeking new ideas, perspectives and practices. Establishing ties with a range of diverse actors increases exposure to new ideas and ways of thinking. Exploration and engagement together are a powerful combination. Exploration allows actors and cliques to discover best practices, new approaches, and engagement helps to integrate these new behaviors into a peer community.¹²⁵ Complementary to exploration is **validation**, the act of being sought out.



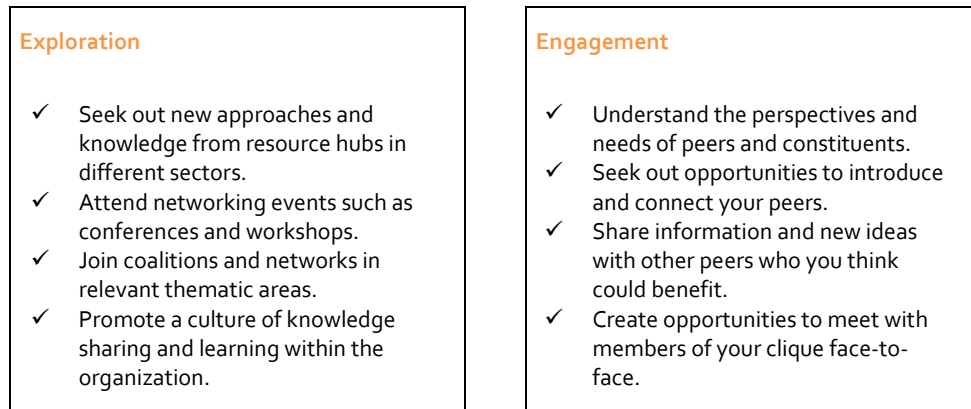
Research has shown that *social learning*, the act of learning from surrounding behaviors and practices, is often more effective and efficient than learning from our own individual experiences. Put another way, it is often easier to emulate proven, successful practice —particularly if other individuals or organizations have already invested resources and time to develop it—, rather than reinventing the practice yourself with your colleagues.¹²⁶

When an exclusive group of actors chooses to work together to solve problems, the limitations of isolation can, over time, lead to a shortage of strategic solutions. Having actors within the group who seek out new perspectives, advice, experiences, tools and technology from a diversity of sources, and then re-share this news internally with their organizations or cliques, can help drive innovation and behavior change. New ideas enter a clique from exploration. Engagement, in turn, helps to transform information, practices, and ideas into relevant, successful interventions. Through engagement, peers discuss ideas, customize them to specific contexts, and coordinate resources to support their implementation between colleagues and partners.

¹²⁵ Petland, Social Physics pg. 96

¹²⁶ Social Physics pg. 54

Diagram 7: Benefits of Engagement and Exploration



Exploration and engagement work together synergistically to magnify impact. The ratio of exploration to engaging can be determined by comparing the percentage of external links to internal links. Internal links are defined as connections that exist among actors of a defined group. External links are connections group members have with other actors who are outside of that group.

D. Groups in DEPP Country-Level Networks

Analysis of the DEPP country-level networks did not focus on a clique algorithm, as Root Change has previously used exploration and engagement. Instead, due to the emphasis of HHI's evaluation on DEPP versus Non-DEPP cohorts, we first defined groups in this manner. Additional analysis defined groups as local and international to better assess the nature of humanitarian projects and whether these are lead by local actors or international actors.

Though we defined groups to be specific to the DEPP network, the ideas laid out in the previous section still hold true. Engagement, or collaboration within one's own group, and exploration, or collaboration with those outside of one's group, greatly contribute to idea flow, knowledge, and resource sharing.

E. Collaboration Across Groups in Country-Level Networks

The following sections show the distribution of ties between and across groups. First, it looks at whether DEPP and Non-DEPP organizations are collaborating, and then it looks at whether INGO and local

organizations are collaborating. Engagement in these two cases is seen in relationships of like actors (ex: DEPP to DEPP or Local to Local). Exploration is seen in relationships across different groups of actors (ex: Non-DEPP to DEPP or INGO to Local).

Table 6. DEPP and Non-DEPP Cohort Size by Country

T1	No. of DEPP Orgs	No. of Non-DEPP Orgs	% of DEPP Orgs	% of Non-DEPP Orgs	T2	No. of DEPP Orgs	No. of Non-DEPP Orgs	% of DEPP Orgs	% of Non-DEPP Orgs
Philippines	36	365	9%	91%	Philippines	33	221	13%	87%
Kenya	30	131	19%	81%	Kenya	28	289	9%	91%
Myanmar	17	58	23%	77%	Myanmar	13	42	24%	76%
Ethiopia	22	110	17%	83%	Ethiopia	26	111	19%	81%

As seen in the table above, the Non-DEPP cohort greatly outnumbered the DEPP cohort. This is expected, as the DEPP program is made up cohort of members, which are engaging in a much larger humanitarian assistance system of actors working in a country.

How to Read the Tables:

The source group is the group *from which* the tie is coming, and the target group is the group *to which* the tie is going. The number of ties is shown for each type of relationship, as well as the percentage of total ties *for each group*. Therefore, the two columns under “Target” can be seen as engagement versus exploration, or whether members of this group are interacting with other members of that same group or members of the other group.

The total numbers of ties that *come from* either DEPP versus Non-DEPP, or international versus local is represented under “Full Network Total”, followed by the percentage of those links compared to the number of total network ties. These percentages can be seen as the percent of the network that was reported from DEPP versus Non-DEPP, international versus local.

i. DEPP and Non-DEPP Cohorts

These tables explore whether actors are collaborating within or across DEPP and Non-DEPP groups. By looking at engagement and exploration ratios, we can see how much the DEPP cohort is reaching others not in the DEPP program, as well as how much they are engaging with one another.

Table 7. Philippines DEPP and Non-DEPP

T1	Target		<i>Full Network Total¹²⁷</i>	T2	Target		<i>Full Network Total</i>
Source	DEPP	Non-DEPP		Source	DEPP	Non-DEPP	
DEPP	334 (17%)	1595 (83%)	1929 (34%)	DEPP	379 (29%)	946 (71%)	1325 (48%)
Non-DEPP	562 (15%)	3131 (85%)	3693 (66%)	Non-DEPP	287 (20%)	1142 (80%)	1429 (52%)

Between time one and time two, the Philippines saw a large drop in the percentage of ties from Non-DEPP actors (14%), meaning a more even balance between relationships from DEPP and Non-DEPP groups. In both time periods, both groups were mostly targeting Non-DEPP organizations. Between T1 and T2, on average 77% of DEPP cohort relationships were to Non-DEPP actors. This is a positive sign that DEPP organizations are not forming insular cliques or prioritizing exclusive connections among themselves (*preferential attachment*). Non-DEPP actors were no more likely to reach out to DEPP organizations in T2 than they were in T1. The DEPP cohort did work together more in T2 than in T1, but this country continued to struggle to get the Non-DEPP cohort involved and reaching out to the DEPP actors.

Table 8. Kenya DEPP and Non-DEPP

T1	Target		<i>Full Network Total</i>	T2	Target		<i>Full Network Total</i>
Source	DEPP	Non-DEPP		Source	DEPP	Non-DEPP	
DEPP	460 (59%)	315 (41%)	775 (37%)	DEPP	1773 (51%)	1693 (49%)	3466 (43%)
Non-DEPP	470 (35%)	863 (65%)	1333 (63%)	Non-DEPP	1620 (36%)	2941 (64%)	4561 (57%)

Kenya's full country network was also made up of many relationships from Non-DEPP actors, though this did become less so after the second data collection. The number of relationships from DEPP actors in T2

¹²⁷ Totals are for the full network. Using Philippines Depp versus Non-DEPP for T1 as an example, 34% of the relationships in the full network came from DEPP actors and 66% of relationships for the full network came from Non-DEPP actors.

was about 4.5 times that of T1, whereas relationships from Non-DEPP actors in T2 was about 3.5 times that of T1. Disparities in source actors likely stems from the uneven DEPP and Non-DEPP group sizes in this country, with only 9% DEPP and 91% Non-DEPP. By T2, the Non-DEPP group was actively working with the relatively small DEPP cohort with about 35% of their relationships targeting DEPP actors. Kenya, overall, is a very interesting example where the DEPP cohort seems to have been able to form relationships with actors outside of its group, despite a small cohort size relative to the other actors in the network.

Table 9. Myanmar DEPP and Non-DEPP

T1	Target		<i>Full Network Total</i>	T2	Target		<i>Full Network Total</i>
Source	DEPP	Non-DEPP		Source	DEPP	Non-DEPP	
DEPP	42 (40%)	64 (60%)	106 (51%)	DEPP	78 (75%)	26 (25%)	104 (46%)
Non-DEPP	19 (19%)	81 (81%)	100 (49%)	Non-DEPP	8 (7%)	114 (93%)	122 (54%)

The DEPP cohort was not very successful in reaching those outside of the DEPP program in Myanmar. Although the total number of links from DEPP actors and Non-DEPP actors remained equal between T1 and T2, DEPP actors saw a substantial increase (35%) in their engagement with other DEPP actors. However, Non-DEPP actors actually decreased their collaboration with DEPP actors, and had a slight increase in their engagement with other Non-DEPP actors. By T2, 93% of Non-DEPP actors' relationships were with other Non-DEPP actors and only 8 total relationships were reported from a Non-DEPP actor to a DEPP actor (out of 226 total relationships in the network). Low levels of cross collaboration between DEPP and Non-DEPP worsened over time. "Exclusivity," or only engaging with one's own group, seems to be a large factor in this country, though it has the least disparity between group sizes of any country with about one-quarter of actors in the DEPP cohort.

Table 10. Ethiopia DEPP and Non-DEPP

T1	Target		<i>Full Network Total</i>	T2	Target		<i>Full Network Total</i>
Source	DEPP	Non-DEPP		Source	DEPP	Non-DEPP	
DEPP	548 (48%)	593 (52%)	1141 (47%)	DEPP	709 (41%)	1025 (59%)	1734 (42%)
Non-DEPP	368 (28%)	929 (72%)	1297 (53%)	Non-DEPP	856 (35%)	1560 (65%)	2416 (58%)

In Ethiopia, a fairly even split of network relationships were coming from DEPP and Non-DEPP actors. The Non-DEPP group became slightly less exclusive after the second time period, as exploration increased and it formed more relationships with the DEPP group. Compared to other countries, this country's DEPP cohort was fairly successful (along with Kenya) in forming relationships with Non-DEPP actors, as 35% of Non-DEPP ties targeted the DEPP group.

ii. Localization of Humanitarian Networks

This second set of tables for each reports whether ties are coming from an INGO or local organization (source) and going to an INGO or local organization (target). See **page 26** for an explanation of how to read these tables. Unlike the last section, where we would like to see an even split between exploration and engagement in those groups, in this case we would like to see more ties going to the local NGOs regardless of whether they come from INGO or local actors. Ties to local actors represent localization of the humanitarian response program in this country, as local actors works to support one another, and INGOs receive input, knowledge and expertise from local populations.

Table 11. Philippines International and Local

T1	Target		<i>Full Network Total</i>	T2	Target		<i>Full Network Total</i>
Source	INGO	Local NGO		Source	INGO	Local NGO	
INGO	509 (33%)	1056 (67%)	1565 (28%)	INGO	312 (35%)	580 (65%)	892 (32%)
Local NGO	1218 (30%)	2839 (70%)	4055 (72%)	Local NGO	603 (32%)	1259 (68%)	1862 (68%)

Both time periods were dominated by relationships from local actors, who were engaging with one another more than exploring with international organizations at around a 70:30 ratio of engagement to exploration. Overall, the Philippines has many more relationships going to local actors than international actors, regardless of which group these relationships are coming from. This is a good sign that humanitarian efforts are localized in this country.

Table 12. Kenya International and Local

T1	Target		<i>Full Network Total</i>	T2	Target		<i>Full Network Total</i>
Source	INGO	Local NGO		Source	INGO	Local NGO	
INGO	415 (50%)	422 (50%)	837 (40%)	INGO	1893 (53%)	1658 (47%)	3551 (44%)
Local NGO	606 (48%)	659 (52%)	1265 (60%)	Local NGO	2332 (52%)	2144 (48%)	4476 (56%)

The percentage of total relationships coming from each group remained fairly constant over the two time periods, with slightly more relationships from local actors than international actors. While this means that local actors are active in this network, we would hope to see more relationships targeting local actors, especially since they are coming from local actors. Over the two time periods, there was an even split of relationships targeting both local and international actors, which means that this network is neither very localized nor reliant on international actors.

Table 13. Myanmar International and Local

T1	Target		<i>Full Network Total</i>	T2	Target		<i>Full Network Total</i>
Source	INGO	Local NGO		Source	INGO	Local NGO	
INGO	65 (61%)	41 (39%)	106 (51%)	INGO	82 (53%)	72 (47%)	154 (68%)
Local NGO	61 (61%)	39 (39%)	100 (49%)	Local NGO	60 (83%)	12 (17%)	72 (32%)

Myanmar moved away from a split of relationships coming from both local and international actors, to more relationships in the network coming from international actors (17% increase in relationships

coming from international actors). With this shift, we did see a bit of localization in this country as INGOs increased their collaboration with local NGOs, reaching out to local actors a bit more. However, INGOs came to dominate this network even more, with 83% of local NGOs' relationships targeting INGOs in the second time period.

Table 14. Ethiopia International and Local

T1	Target		Full Network Total	T2	Target		Full Network Total
Source	INGO	Local NGO		Source	INGO	Local NGO	
INGO	1086 (73%)	411 (27%)	1497 (61%)	INGO	2056 (71%)	837 (29%)	2893 (70%)
Local NGO	739 (79%)	202 (21%)	941 (39%)	Local NGO	1044 (83%)	213 (17%)	1257 (30%)

Overall, Ethiopia remained fairly constant in number of network ties of ties from international and local actors with more relationships coming from international actors. In both time periods, most relationships targeted international actors, regardless of whether they came from international or local actors. Between T1 and T2 on average 75% of relationships from both INGOs and local NGOs targeted INGOs. This shows high dominance of INGOs in this country's humanitarian network, and little input from local organizations as less than 30% of INGO relationships were with local NGOs.

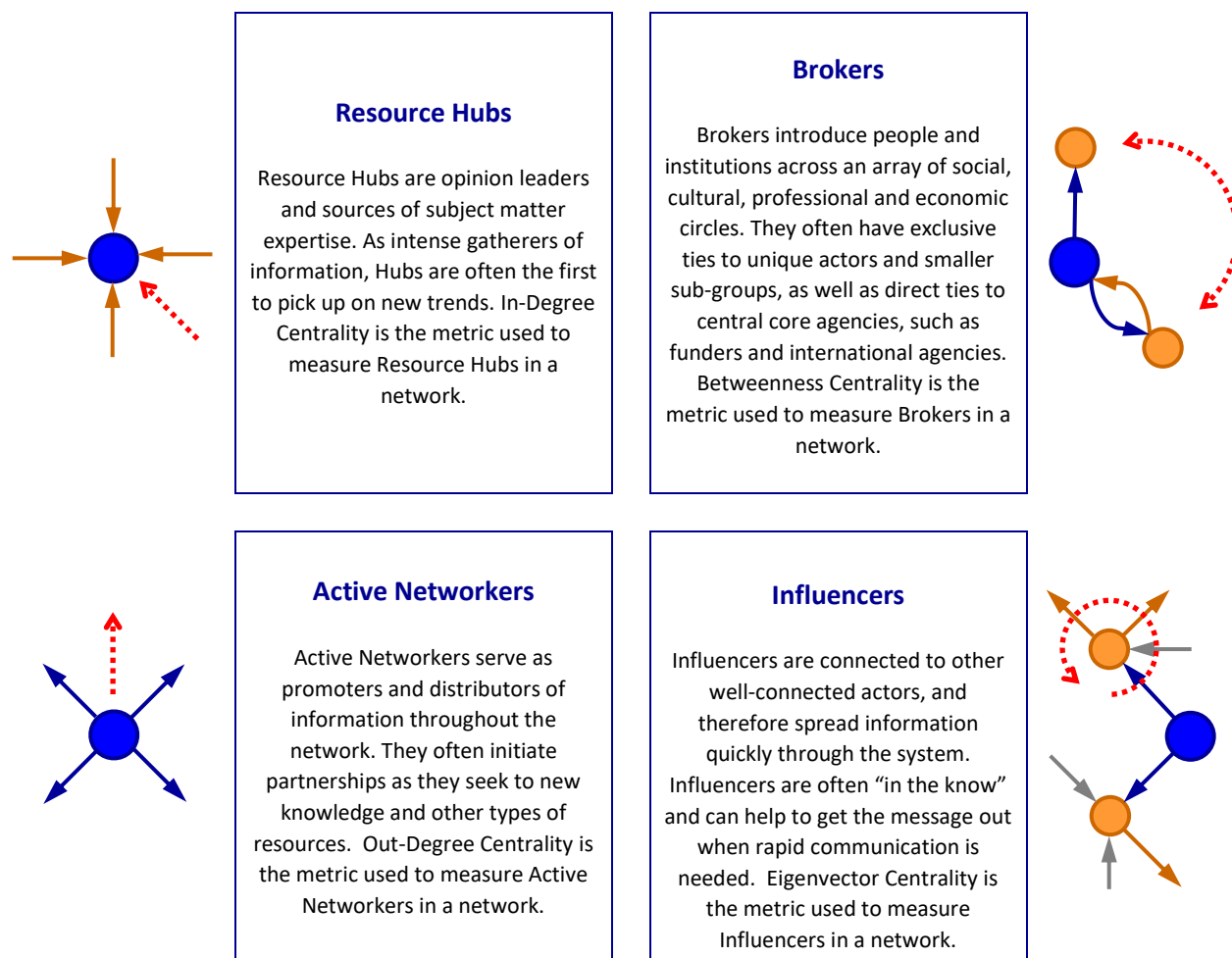
F. Key Actors in Country-Level Networks

An introductory analysis to key actors in a network is the number of ties of each actor, or the total degree centrality. While this measure gives an overview of the key actors in the network, it does not take into account tie direction. We therefore look to other measures to see the nuance of exact roles that individuals are playing.

There are four key actor types that form the basis of this network analysis—*resource hubs*, *active networkers*, *brokers*, and *influencers*. Each of these actor types plays a different but equally valued role within the network. The aggregate impact these four actor types have strongly affects the viability of the ecosystem.

Collaboration ecosystems are dynamic and often involve diverse sets of actors who learn, adapt, self-organize and co-evolve over time. Culture, values, beliefs, and one’s peers all work to influence relationships and interactions. Seemingly small independent decisions—grant money distributions, choice of program partners, and selection of an international versus a local NGO as an implementing partner—can each have macro-level impacts on the ecosystem.

Diagram 8: Networking Roles



i. Top 50 Organizations by Total Degree Centrality

The following are summary charts of the top 50 actors in each country-level network. This analysis does not look at position or tie direction, only total number of ties. Full charts of the individual actors can be found in **Annex 4**.

Table 15. Philippines Top 50 by Total Degree Centrality

T1	National	International	Total	T2	National	International	Total
Depp	9 (18%)	5 (10%)	14 (28%)	Depp	14 (28%)	6 (12%)	20 (40%)
Non-Depp	26 (52%)	10 (20%)	36 (72%)	Non-Depp	22 (44%)	8 (16%)	30 (60%)
Total	35 (70%)	15 (30%)	50	Total	36 (72%)	14 (28%)	50

The top 50 organizations remained largely local (around 70% of actors) between T1 and T2, and there was an increase (12%) in the percentage of top actors that were DEPP actors. We also saw an increase (10%) in the percentage of top 50 organizations that were DEPP national actors. In both time periods, there was a strong significance ($p < 0.001$) in domination of National Non-DEPP actors, though in T2 DEPP actors in general, and more specifically DEPP National actors were prominent in the network. There was a significant change in top actors between T1 and T2 ($p = 0.046$), as 5 more national DEPP actors joined the top 50 actors (10% increase).

Table 16. Kenya Top 50 by Total Degree Centrality

T1	National	International	Total	T2	National	International	Total
Depp	8 (16%)	11 (22%)	19 (38%)	Depp	6 (12%)	13 (26%)	19 (38%)
Non-Depp	12 (24%)	19 (38%)	31 (62%)	Non-Depp	19 (38%)	12 (24%)	31 (62%)
Total	20 (40%)	30 (60%)	50	Total	25 (50%)	25 (50%)	50

In Kenya the balance between international and national actors seen in the collaboration area networks is reflected in a 50:50 split between whether the top 50 actors in the country-level network are national or international actors. There was significant ($p = 0.023$) prominence of International Non-DEPP actors in T1, there was then significant ($p = 0.009$) prominence of National Non-DEPP actors in T2. There was not a significant change in top actors between T1 and T2 ($p = 0.066$).

Table 17. Myanmar Top 50 by Total Degree Centrality

T1	National	International	Total	T2	National	International	Total
Depp	8 (16%)	8 (16%)	16 (32%)	Depp	7 (14%)	6 (12%)	13 (26%)
Non-Depp	16 (32%)	18 (36%)	34 (68%)	Non-Depp	13 (26%)	24 (48%)	37 (74%)
Total	24 (48%)	26 (52%)	50	Total	20 (40%)	30 (60%)	50

There was significant ($p = 0.010$) prominence of Non-DEPP actors in the top 50, though not a discrepancy in whether these actors were International or National for T1. In T2, Non-DEPP actors continued to dominate this network, but there was significant ($p < 0.001$) prominence of International Non-DEPP

actors specifically. This is seen in the percentage as well, as almost half (48%) of the top 50 actors fall into this group. There was not a significant change in top actors between T1 and T2 ($p=0.074$).

Table 18. Ethiopia Top 50 by Total Degree Centrality

T1	National	International	Total	T2	National	International	Total
Depp	6 (12%)	13 (26%)	19 (38%)	Depp	9 (18%)	10 (20%)	19 (38%)
Non-Depp	13 (26%)	18 (36%)	31 (62%)	Non-Depp	10 (20%)	21 (42%)	31 (62%)
Total	19 (38%)	31 (62%)	50	Total	19 (38%)	31 (62%)	50

The total numbers of DEPP and national organizations in the top 50 in Ethiopia did not change though the distribution shifted slightly. There was significant ($p=0.016$ for T1, $p=0.005$ for T2) prominence of international Non-DEPP actors in the top 50 organizations for both time periods. There was not a significant change in top actors between T1 and T2 ($p=0.066$).

ii. Further Exploration into DEPP and Non-DEPP Roles

The following charts show the group that is prominent in each role, according to chi-square tests for significance. The group could be Local DEPP, International DEPP, Local DEPP, or Local Non-DEPP. The tests were run on tables of the attributes for the top 20 actors in each country, each time period, and for each role. See **Annex 5** for full tables and p-values.

Table 19. Philippines Roles

	T1	T2
Resource Hubs	Local Non-DEPP	Local Non-DEPP
Active Networkers	Local DEPP	None
Brokers	None	Local Non-DEPP
Influencers	Local Non-DEPP	None

Philippines is once again marked by local prominence. Interesting in this country is that in the first data collection, Local DEPP actors were playing roles as active networkers.

Table 20. Kenya Roles

	T1	T2
Resource Hubs	None	International DEPP
Active Networkers	None	None
Brokers	None	None
Influencers	None	None

Kenya's network is most interesting because in most of the roles, a group is *not* prominent. Only in the second data collection period do international DEPP actors play a significant role in this country.

Table 21. Myanmar Roles

	T1	T2
Resource Hubs	International Non-DEPP	International Non-DEPP
Active Networkers	None	None
Brokers	Local DEPP	International Non-DEPP
Influencers	International Non-DEPP	None

Mostly international actors are prominent in Myanmar for these four roles. Interesting to note for this country network is the switch from Local DEPP actors as brokers to International Non-DEPP actors as brokers.

Table 22. Ethiopia Roles

	T1	T2
Resource Hubs	International DEPP	International DEPP
Active Networkers	International Organizations ¹²⁸	International Organizations
Brokers	None	International DEPP
Influencers	International DEPP	International DEPP

International actors also fill Ethiopia's roles. However, unlike the other countries, the DEPP actors in Ethiopia are filling most of the roles rather than Non-DEPP organizations or no group.

¹²⁸ International Organizations means that while the numbers showed international dominance in this role, the results were inconclusive as to whether these international actors were significantly more likely to be DEPP or Non-DEPP.

V. Treatment and Control Groups

While the previous sections looked at the full country-level networks, including *all* relationships and actors present in the data, this section focuses specifically on the *traceable changes* across treatment and control groups between the first data collection period and the second. The treatment group is defined as those who were part of the DEPP program, whereas the control group is defined as those who were not part of the DEPP program, or Non-DEPP actors.

Traceable changes are only those relationships and actors that were reported in **both** time period one and time period two. Constants of source actor, target actor, and collaboration area were used to identify each relationship. Frequency of collaboration and likelihood to recommend others were changing factors analyzed between period one and period two. Similarly, organization names were used to identify those that appeared in both time one and time two. When looking at specific organizations, the metrics for their networking roles were analyzed for change over time. Outputs from data analysis are included in **Annex 6**.

A. Strength of Relationships

i. Frequency of Interaction

Table 23. Change in Frequency of Interaction, DEPP vs. Non-DEPP

	DEPP	Non-DEPP	p-value
Philippines	0.636	0.096	0.05651
Kenya	0.0	0.091	0.3497
Myanmar	0.250	0.375	0.6932
Ethiopia	0.017	0.010	0.9045

For traceable relationships, there was a significant difference in the frequency of interaction between organizations in both the Philippines ($p=0.009$) and in Myanmar ($p=0.028$) with both increasing. The difference in change for DEPP versus Non-DEPP groups was not significant in either country.

Table 24. Change in Likelihood to Recommend, DEPP vs. Non-DEPP

	DEPP	Non-DEPP	p-value
Philippines	1.022	1.114	0.867
Kenya	0.410	-0.682	5.6e-05
Myanmar	0.0	-0.5	0.5635
Ethiopia	0.529	-0.010	0.01285

For all countries except Myanmar, the difference in likelihood to recommend others was significant.¹²⁹ In both Kenya and Ethiopia, the change in likelihood to recommend others within the DEPP cohort was significantly higher than the change in the Non-DEPP cohort, meaning that there is evidence that a program such as DEPP increases the organizations' perceptions of one another.

Table 25. Correlation, Frequency of Interaction and Likelihood to Recommend

	Correlation	p-value
Philippines	0.317	0.008037
Kenya	-0.241	0.007938
Myanmar	0.553	0.02645
Ethiopia	-0.037	0.4515

In all countries except for Ethiopia, there was a significant correlation between frequency of interaction and likelihood to recommend others. However, in Philippines and Myanmar the correlation was positive whereas in Kenya the correlation was negative. Therefore, these results are inconclusive.

B. Change in Preparedness and Networking Over Time

The following tests are comparing average change in networking scores to average change in preparedness scores. First, the baseline and endline average networking scores for these organizations were compared to see if there was significant change across time periods (paired t-test). Then, the average change in networking scores for DEPP actors was compared with the average change in networking scores for Non-DEPP actors to see if there was a difference between the two groups (independent samples t-test). Finally, correlation between the changes in individual networking scores and changes in individual preparedness scores was run to see if there was a relationship.

¹²⁹ Philippines: $p < 0.001$; Kenya: $p = 0.047$; Ethiopia: $p = 0.004$

Table 26. Change in Networking Scores, DEPP vs. Non-DEPP

	DEPP	Non-DEPP	p-value
Philippines	0.050	-0.04	0.187
Kenya	0.014	-0.02	0.3889
Myanmar	0.02	-0.01	0.6176
Ethiopia	-0.02	-0.06	0.2456

When looking at networking scores for organizations across the two time periods, the only country with a significant change ($p=0.015$) was Ethiopia. Interesting to note is that in this country the change was a DECLINE in networking for organizations.

Table 27. Correlation, Networking and Preparedness Scores

	Correlation	p-value
Philippines	-0.317	0.2908
Kenya	-0.225	0.2082
Myanmar	-0.109	0.6282
Ethiopia	0.066	0.7324

No country had a significant correlation between change in networking scores and change in preparedness scores.

VI. Learnings and Challenges

Networks are inevitably made up of ever-changing actors and relationships. One of the most difficult data challenges we faced involved addressing this reality: individual actors, and their relationships must be present in both time periods to assess change. The latter was challenging as the number of relationships or actors that were present in one time period were not always found in the other. Rather than skew results by changing missing data to zero, Root Change chose to only look at traceable relationships and actors in both time periods to assess change over time. The draw back of this approach is that it greatly reduced the amount of data that could be analyzed. If this data collection process were to be repeated, we would advise reviewing the data collection process to see how to better track change in individual relationships over time. One suggestion, for example, would be to track the actors survey respondents nominated in T1, and to show the same list of actors to survey respondents in T2.

One complicating factor associated with comparing DEPP treatment and Non-DEPP control groups is the degree to which the two groups cross-collaborate. Separating DEPP and Non-DEPP groups therefore led

to a large reduction in the number of relationships that could be analyzed. In the future, we need to consider how to better include or accommodate for interactions between groups. As relationships are directional, future analysis could look at how both DEPP and Non-DEPP cohorts “influence” one another.

Root Change would be interested in continuing to explore with the Harvard Humanitarian Initiative (HHI) what the attributes of a high functioning humanitarian network look like.

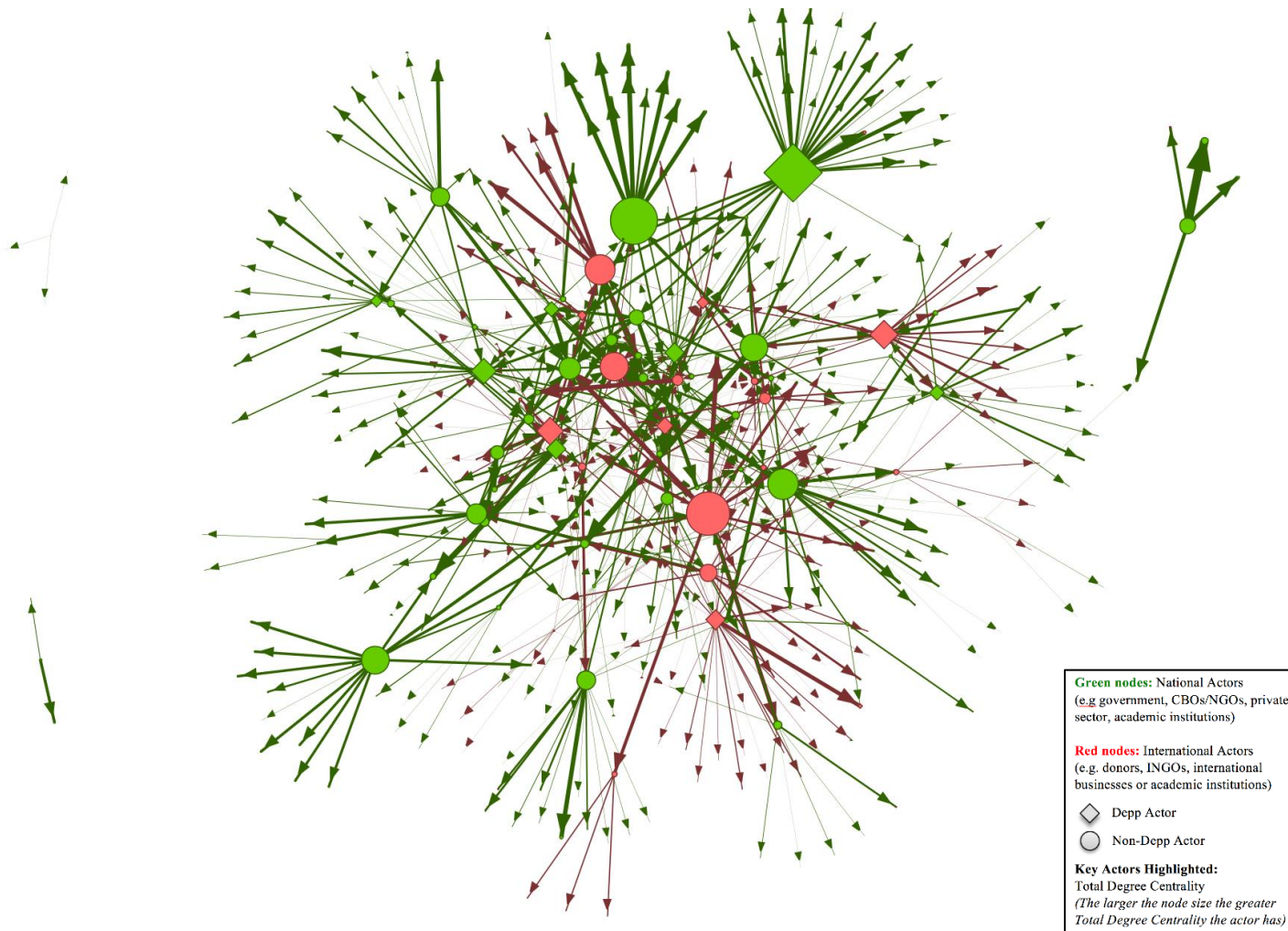
Root Change has identified system roadblocks to social change ecosystems (as described on page 16). This analysis surfaced the need to better define what successful networking looks like for humanitarian assistance. This could help to better assess DEPP program goals and could be used by HHI in the future to better evaluate the humanitarian assistance space.

There is more work to be done in developing methods that combine traditional statistics and social network analysis, particularly around how to assess full network change and dynamics without tracing specific actors or relationships. In this analysis, we combined chi-square statistical significance tests with tables of relationship dynamics and key actor groups. This was limiting because of the small amounts of data that was in each table. Root Change is also committed to exploring more robust and insightful statistical analysis of the full networks beyond the structure and visualizations that we have typically used in the past.

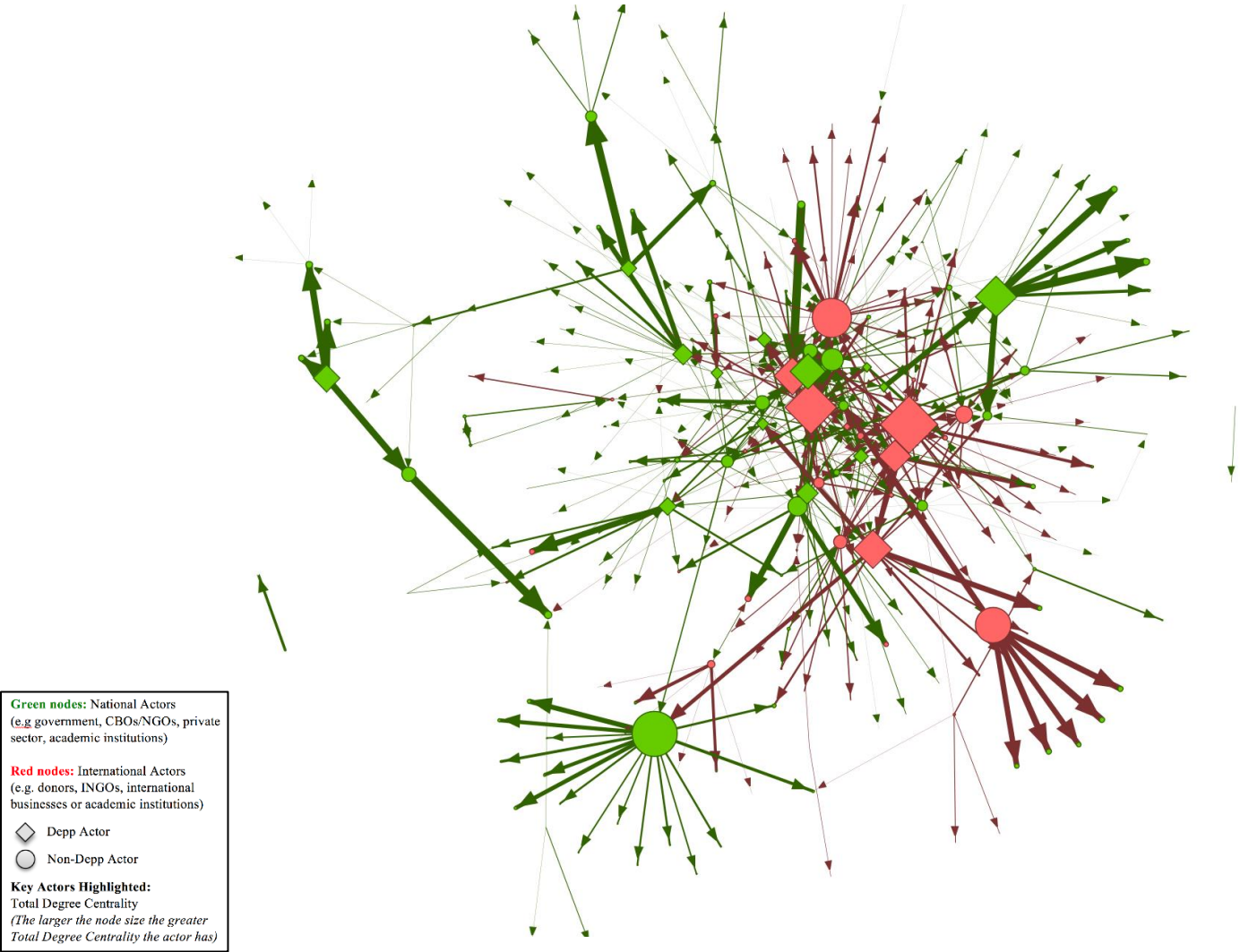
VII. Annex

Annex 1: Full Network Visualizations

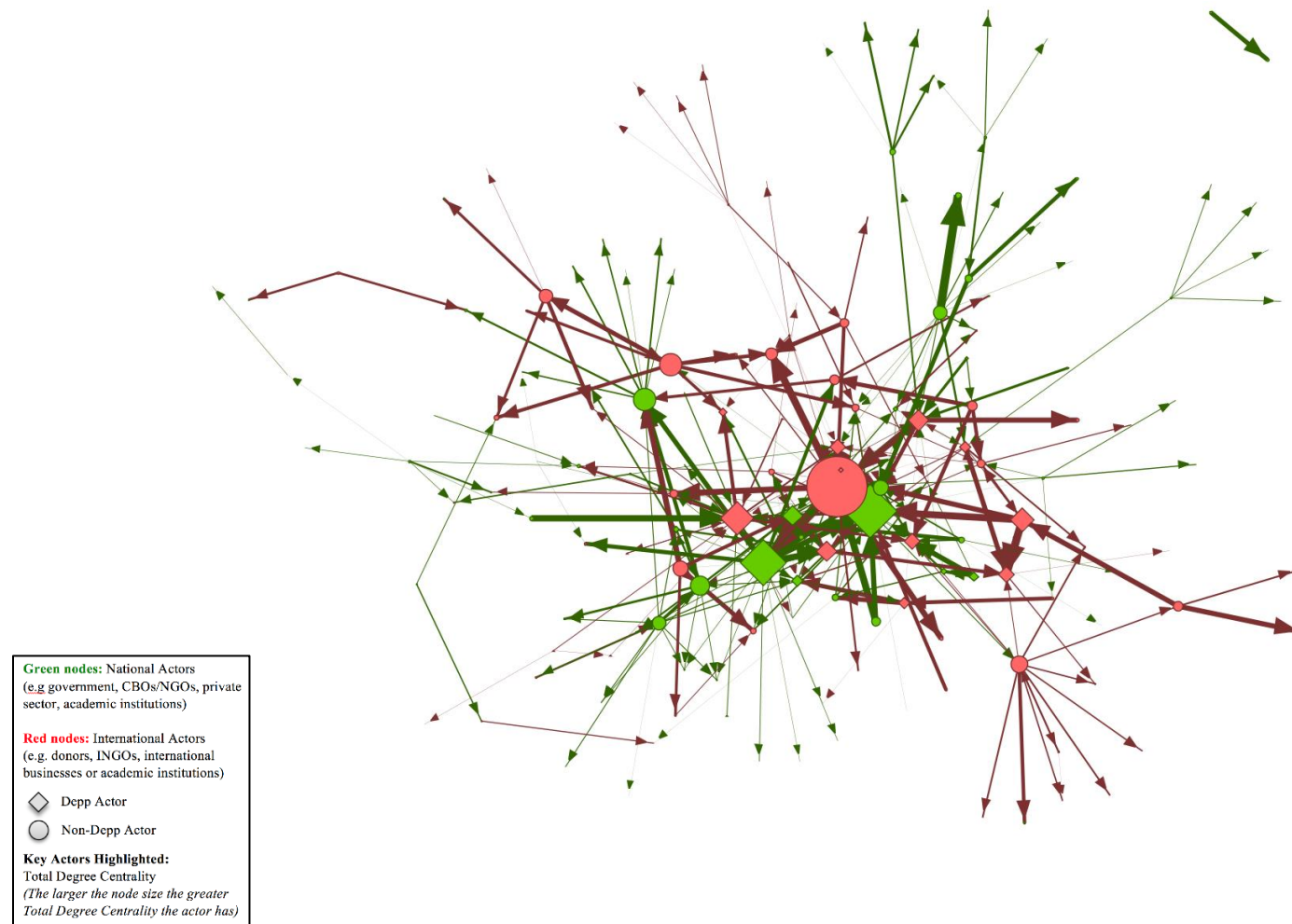
Philippines Baseline



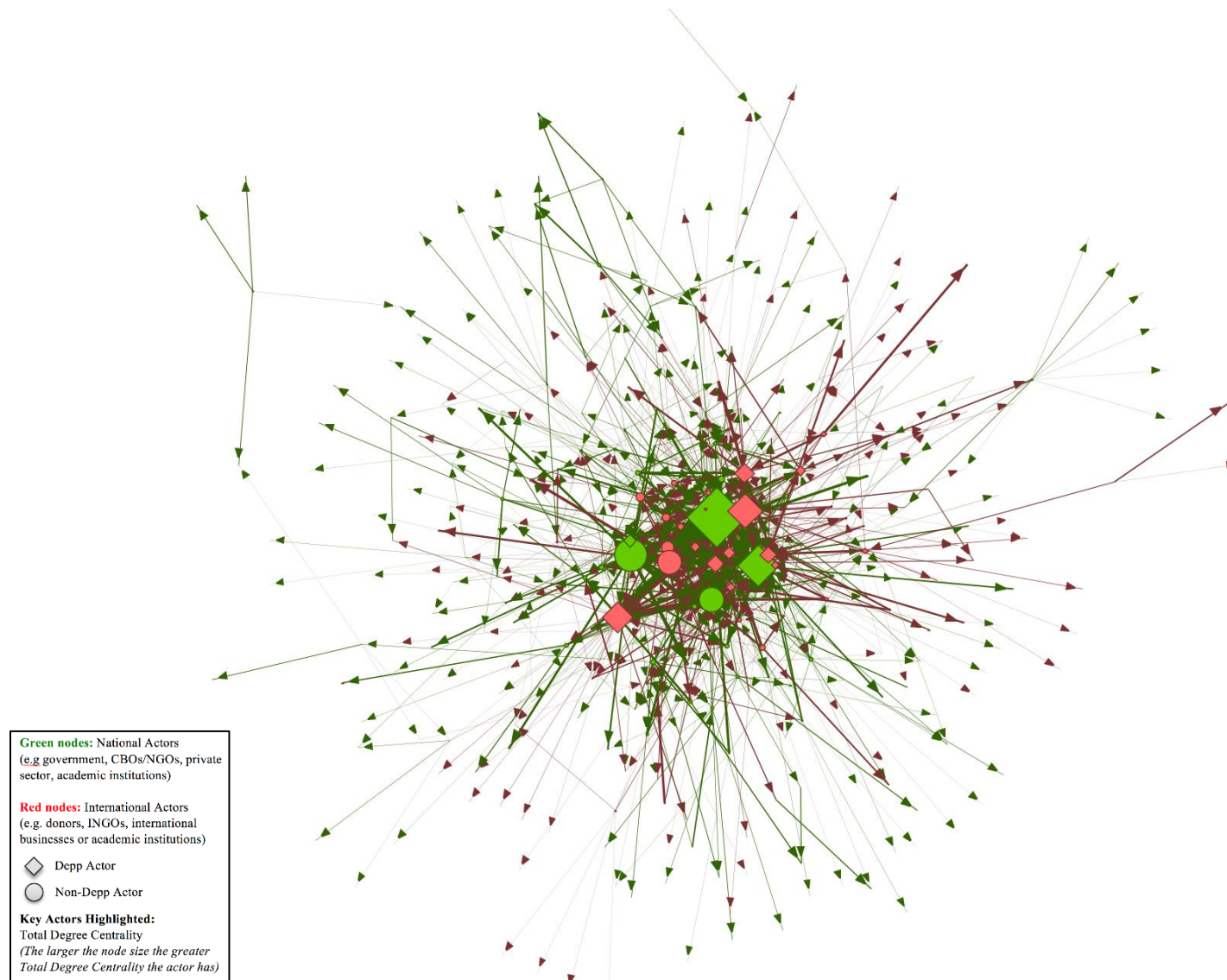
Philippines Endline



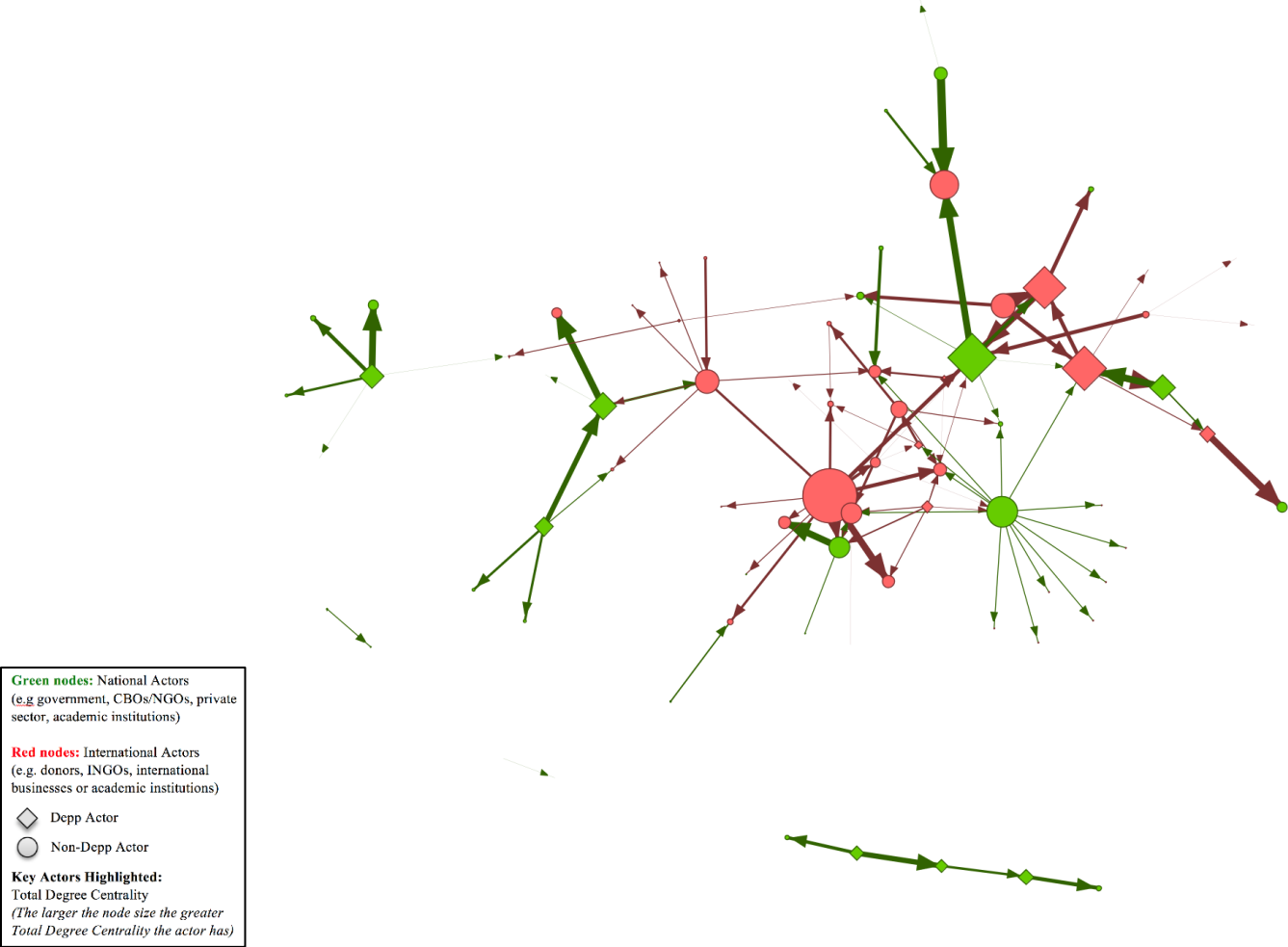
Kenya Baseline



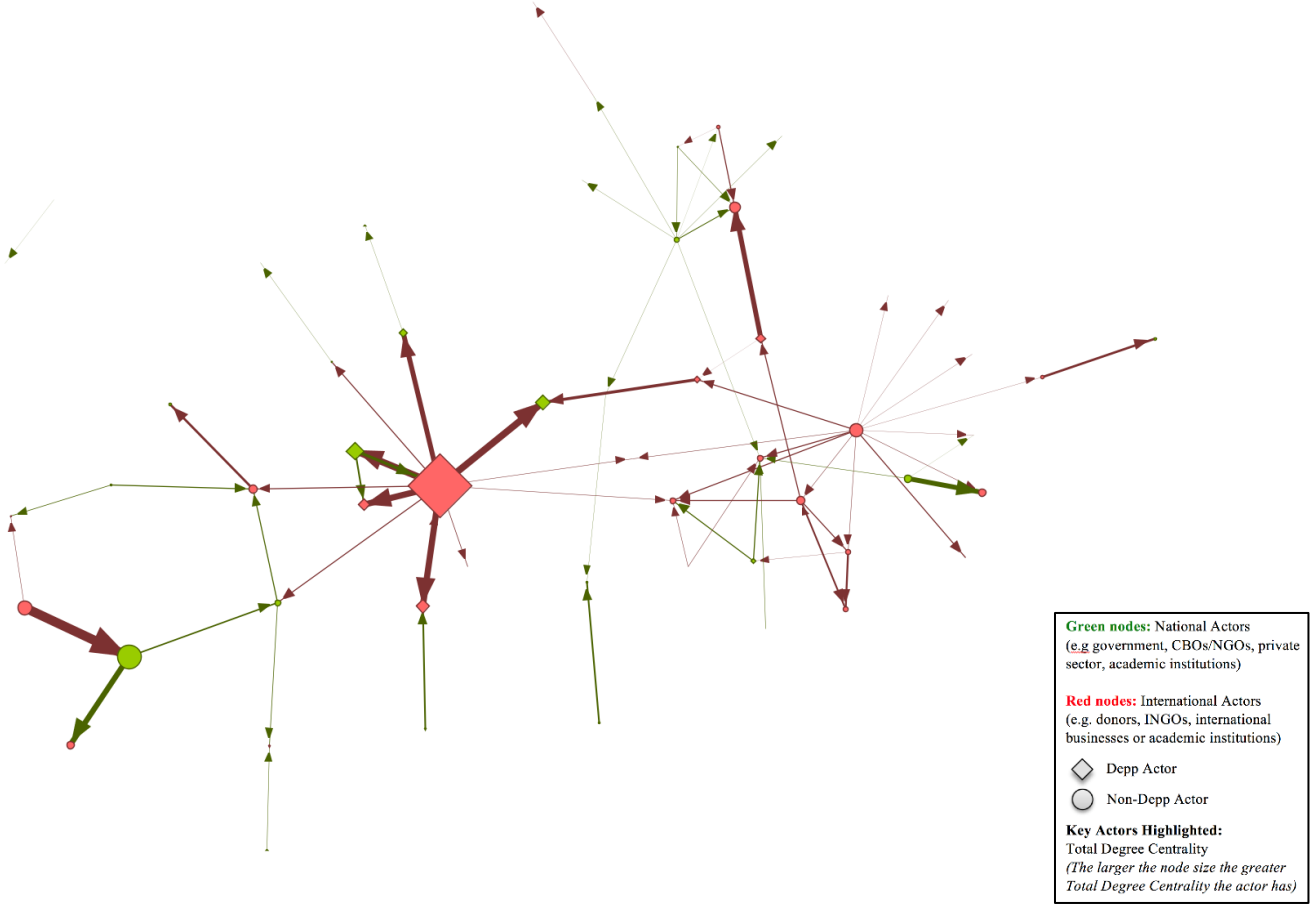
Kenya Endline



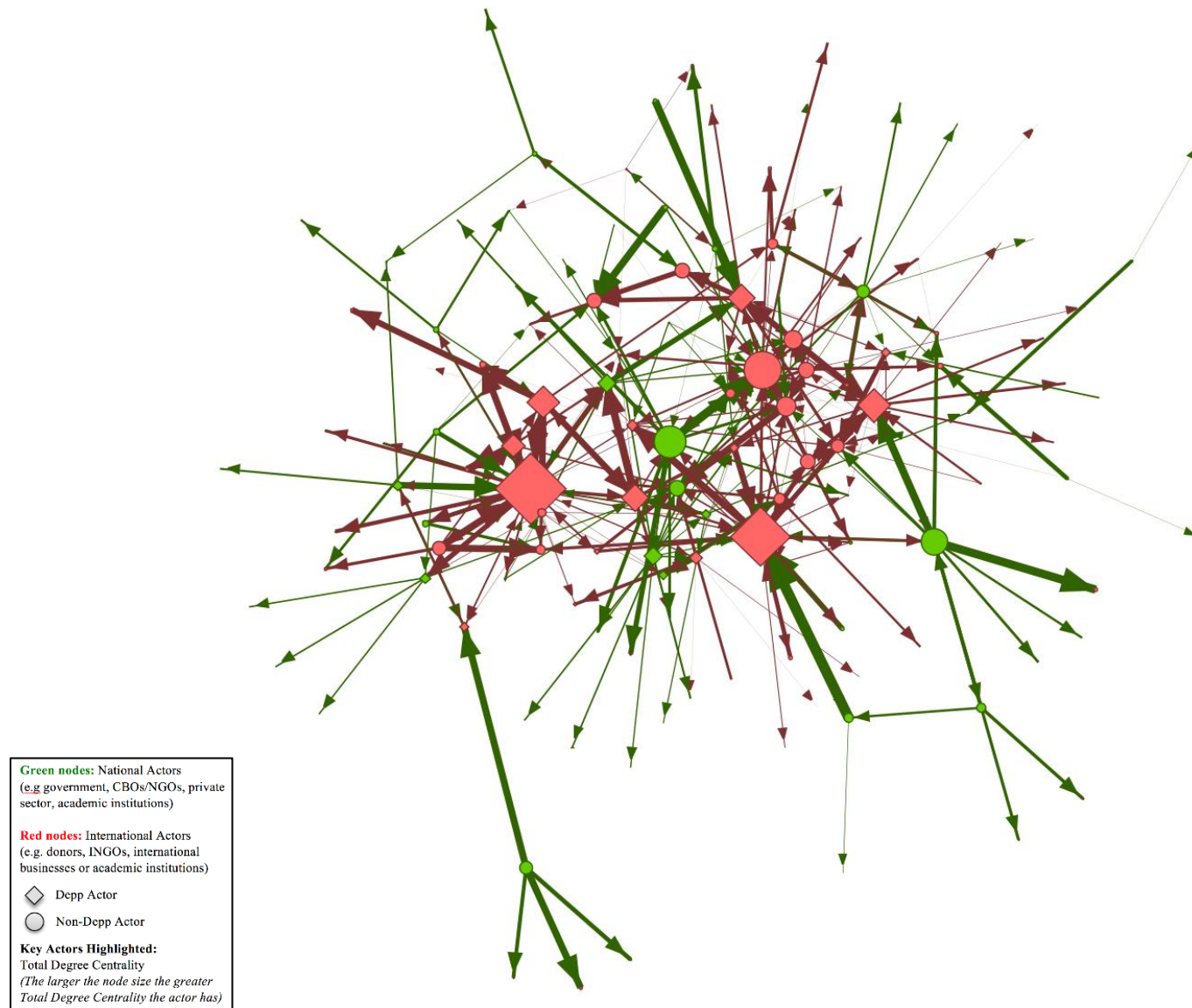
Myanmar Baseline



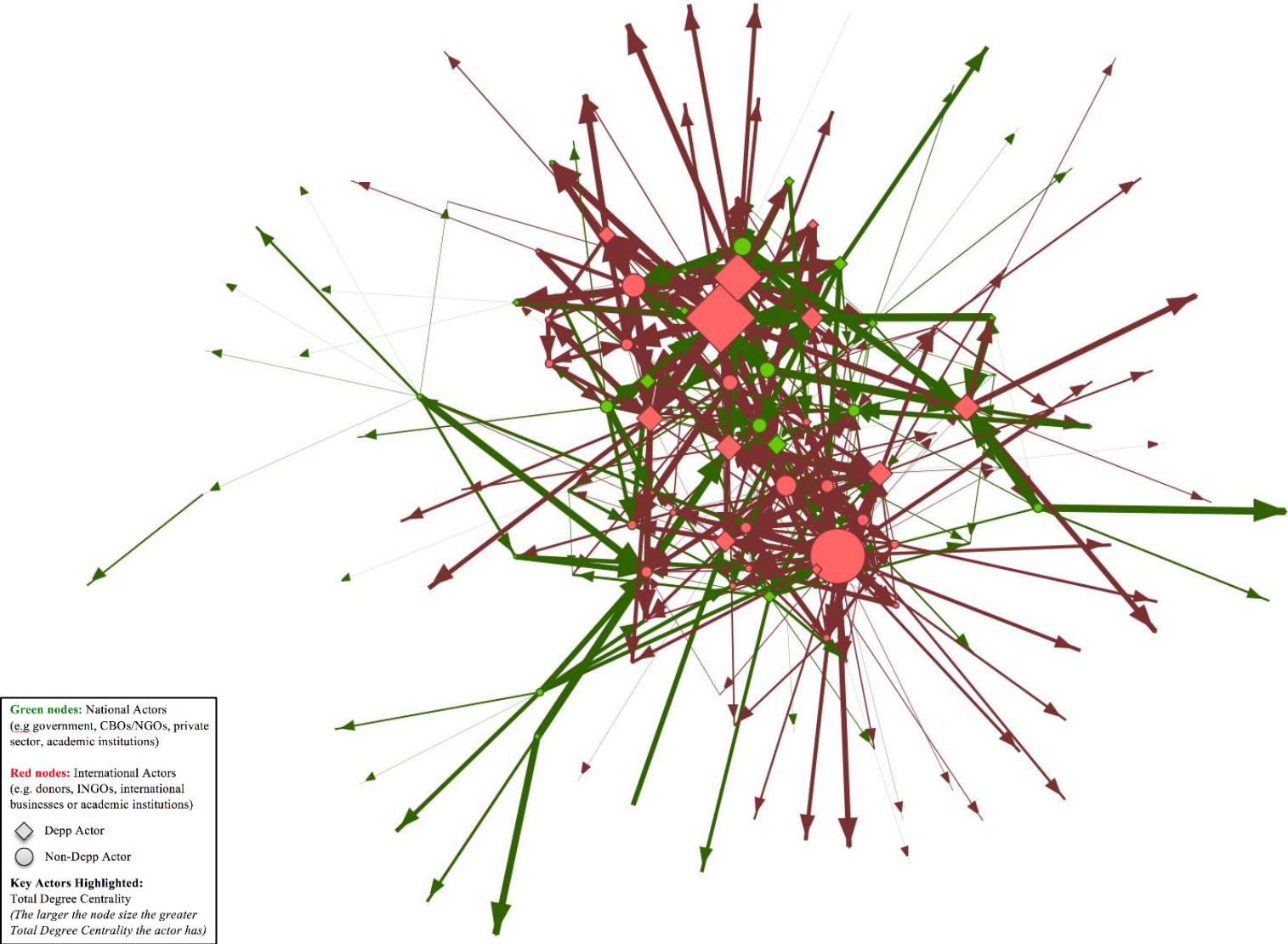
Myanmar Endline



Ethiopia Baseline

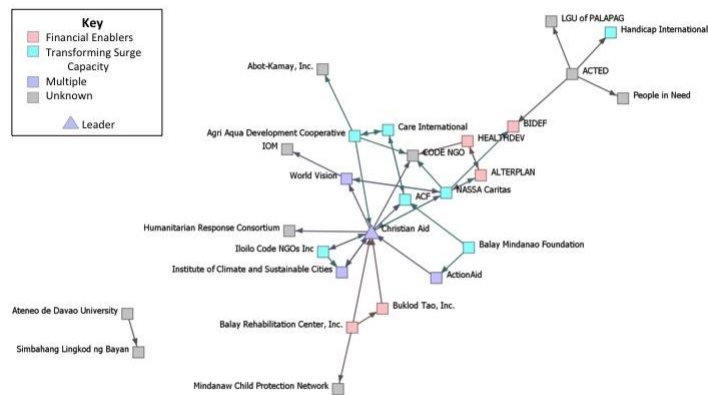


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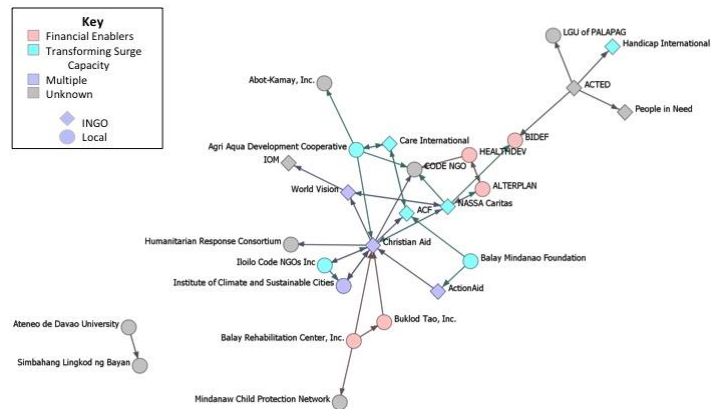


Annex 2: DEPP Consortium Collaboration

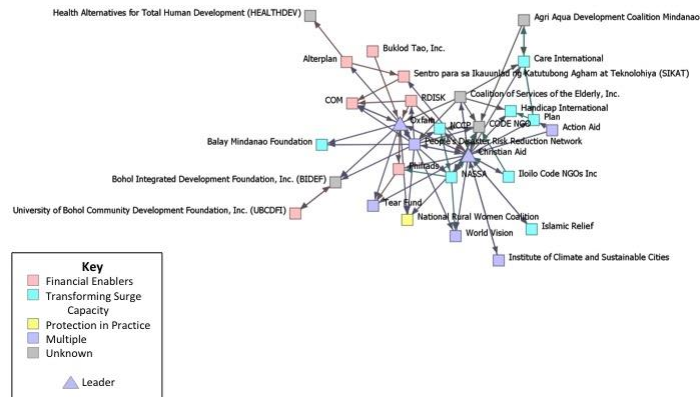
Philippines Baseline Consortiums - Leaders



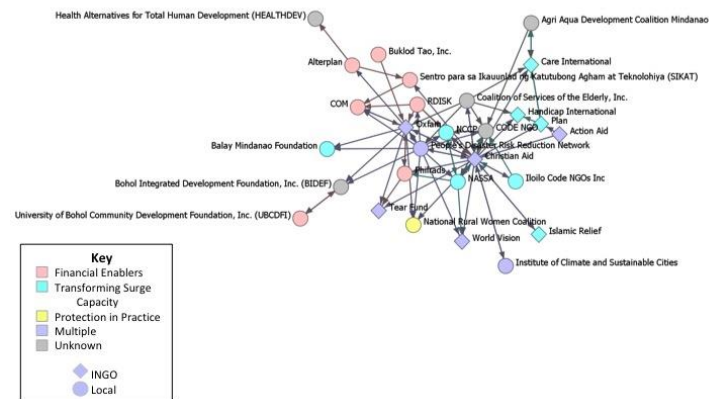
Philippines Baseline Consortiums – INGO vs. Local

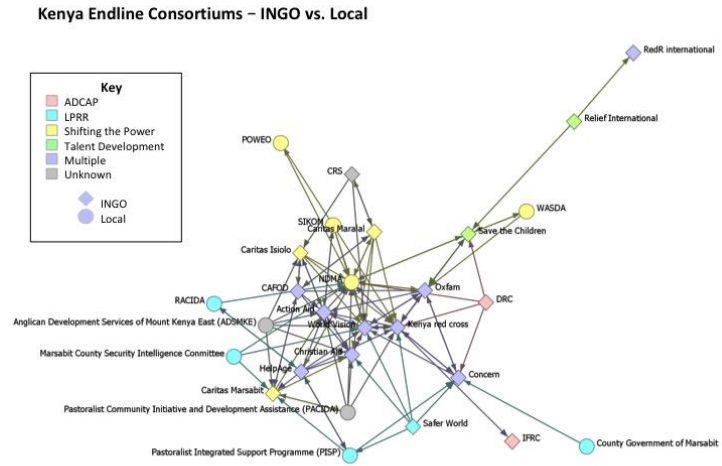
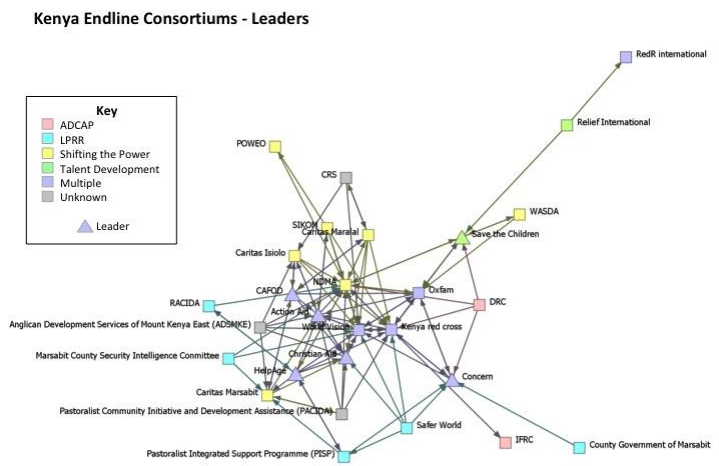
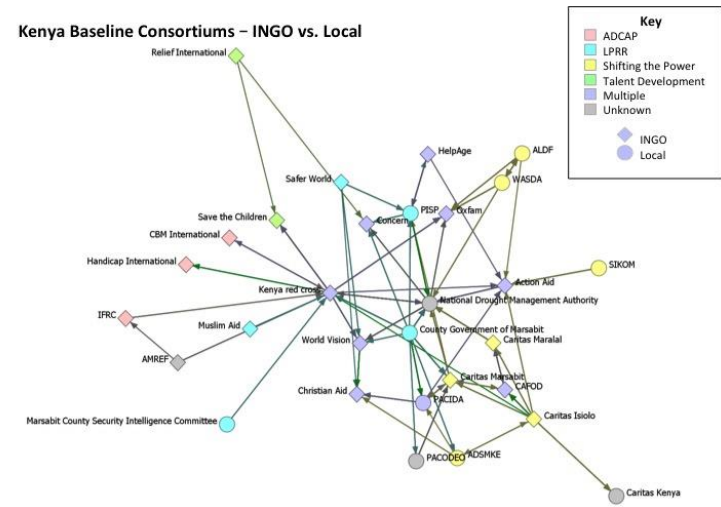
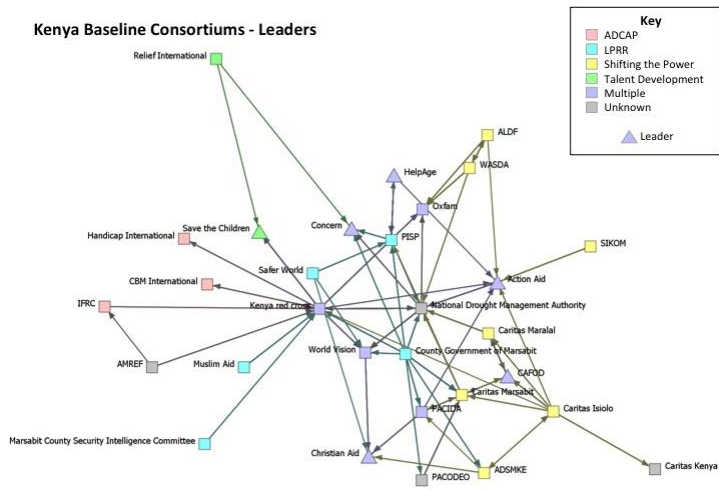


Philippines Endline Consortiums - Leaders

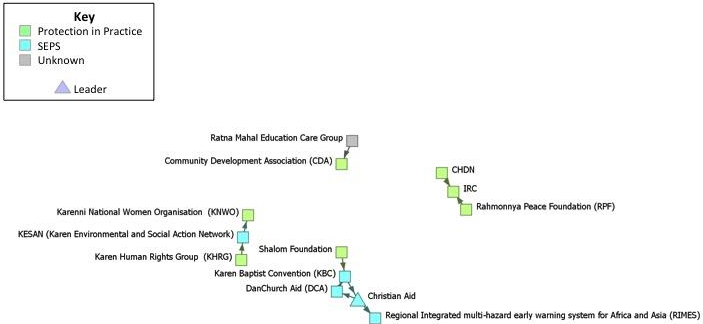


Philippines Endline Consortiums – INGO vs. Local

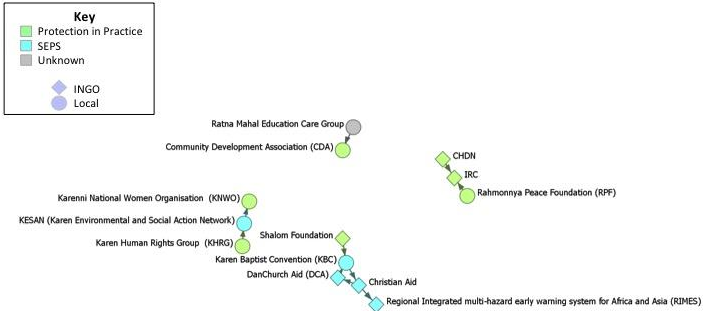




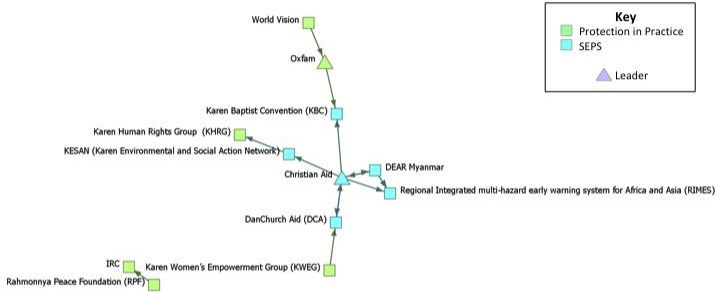
Myanmar Baseline Consortiums - Leaders



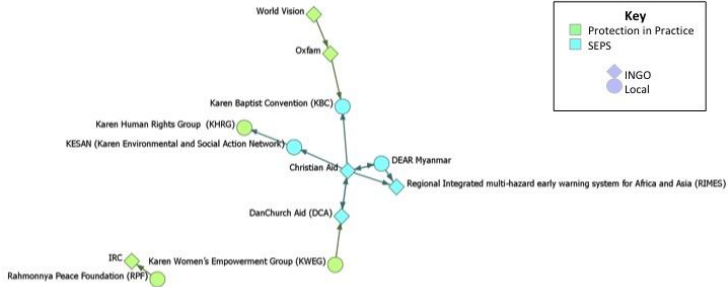
Myanmar Baseline Consortiums – INGO vs. Local



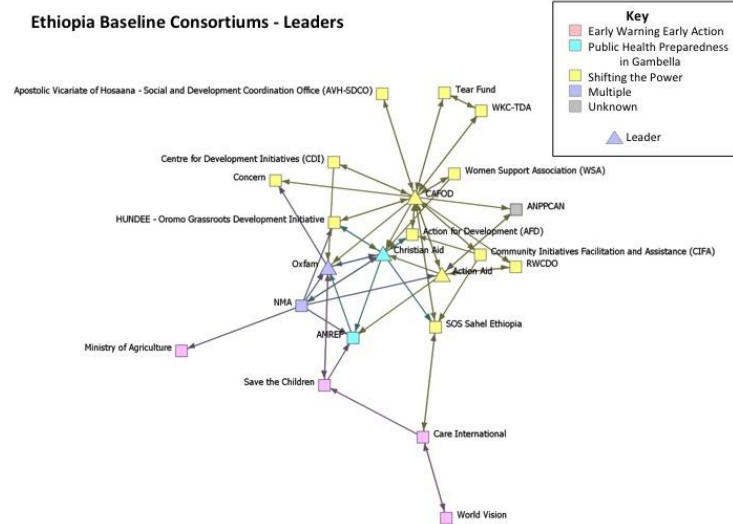
Myanmar Endline Consortiums - Leaders



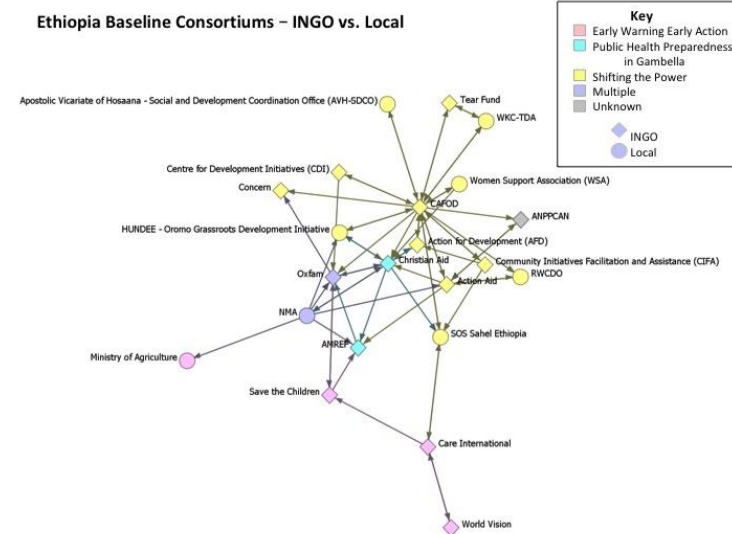
Myanmar Endline Consortiums – INGO vs. Local



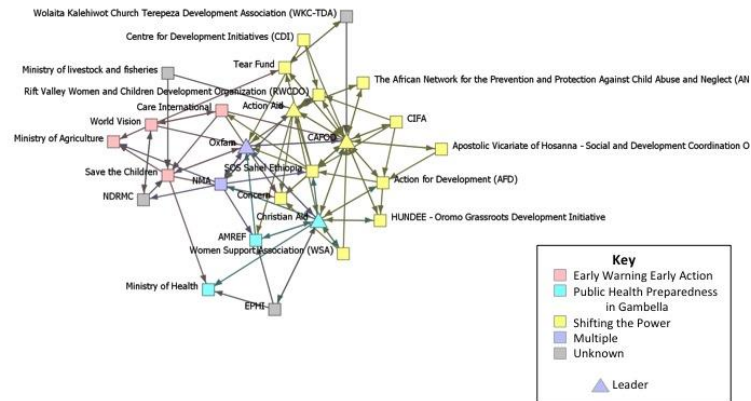
Ethiopia Baseline Consortia - Leaders



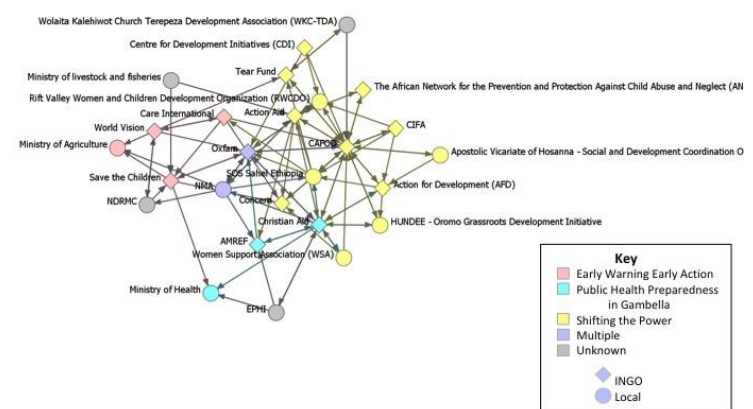
Ethiopia Baseline Consortia – INGO vs. Local



Ethiopia Endline Consortia - Leaders



Ethiopia Endline Consortia – INGO vs. Local



Annex 3: Full Tables of Collaboration Area Link Counts

A. Baseline

Philippines Collaboration Area Link Count

Collaboration Area	Link Count
Advocacy	418
Community Capacity Building	341
Project Implementation	283
Community Connections	270
Community Planning	255
Facilitation	249
Community-Based Risk Analysis	234
Data resources including data sets, collection and analysis	223
Education	220
Climate Change and Adaptation	208
Funding	199
TA	192
Project Design	179
Local Expertise	174
Policy	169
Vulnerable Groups	163
Leadership	153
Volunteers and Volunteer staff	145
Management	144
In-Kind Resources (e.g., meeting space)	140
Early Warning Systems Expertise	136
MEL Expertise	127
Gender-based Violence	116
Proposal Writing	109
Logistics	106
WaSH	99
Research	88
Health/Public Health Expertise	84
Agriculture Expertise	78
Conflict Mitigation Expertise	55
Journalism/Media	40
Technology/web resources (e.g. server space, web site development, social media)	29
Livelihood	24
Training	21
Disaster risk reduction	19
Shelter	10
Emergency Response	7

Coordination	6
Knowledge Sharing	5
Security	1

Kenya Collaboration Area Link Count

Collaboration Areas	Link Count
Advocacy	179
Community Capacity Building	151
Project Implementation	123
Facilitation	118
Community Planning	101
Project Design	96
Community Connections	95
Conflict Mitigation Expertise	94
Climate Change and Adaptation	90
Community-Based Risk Analysis	90
Early Warning Systems Expertise	84
Education	63
Funding	62
Local Expertise	58
MEL Expertise	55
Proposal Writing	55
Data Resources including data sets, collection and analysis	53
Agriculture Expertise	49
Leadership	49
Vulnerable Groups	46
Policy	45
Management	43
Logistics	42
WaSH	40
Research	35
Gender-based violence	33
In-Kind Resources (e.g., meeting space)	33
Health/Public Health Expertise	30
Volunteers and Volunteer staff	19
DRR	18
Community Resilience	9
Coordination	7
Livelihoods	7
Journalism/Media	6
Nutrition	6

Protection	6
Technology/web resources (e.g. server space, web site development, social media)	6
TA	5
Accountability	2
Assessment	1
Emergency response	1
Events	1
Information sharing	1
Report	1
Talent development	1

Myanmar Collaboration Area Link Count

Collaboration Area	Link Count
Community Capacity Building	29
Funding	20
Other	20
Advocacy	14
Project Implementation	14
Information Sharing	11
WaSH	10
Education	10
Community Planning	9
Early Warning Systems Expertise	7
Climate Change and Adaptation	7
Facilitation	6
Health/Public Health Expertise	6
Community-Based Risk Analysis	5
Conflict Mitigation Expertise	4
Data Resources including data sets, collection and analysis	4
Community Connections	4
Proposal Writing	4
Project Design	4
DRR	3
Agriculture Expertise	2
Policy	2
Gender-based violence	2
Networking	1
Vulnerable Groups	1
Logistics	1
In-Kind Resources (e.g., meeting space)	1
Local Expertise	1

Coordination	1
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Ethiopia Collaboration Area Link Count

Collaboration Area	Link Count
Project Implementation	207
Community Capacity Building	181
Project Design	163
Funding	153
Community-Based Risk Analysis	147
WH	139
Proposal Writing	131
Climate Change and Adaptation	110
Early Warning Systems Expertise	106
Facilitation	91
Agriculture Expertise	90
Community Planning	86
Health/Public Health Expertise	85
Data Resources including data sets, collection and analysis	81
Vulnerable Groups	78
MEL Expertise	62
TA	61
Advocacy	54
Logistics	54
Community Connections	48
Gender-based violence	48
Research	41
In-Kind Resources (e.g., meeting space)	36
Leadership	35
Local Expertise	35
Policy	24
Education	23
Management	22
Conflict Mitigation Expertise	16
Volunteers and Volunteer staff	16
Technology/web resources (e.g. server space, web site development, social media)	15
Capacity Building	5
Information Sharing	4
Journalism/Media	3

B. Endline

Philippines Collaboration Area Link Count

Collaboration Area	Link Count
Advocacy	271
Project Implementation	202
Community Capacity Building	194
Community Planning	121
Community Connections	108
Funding	105
Facilitation	101
Data Resources including data sets, collection and analysis	98
Vulnerable Groups	97
Project Design	96
Community-Based Risk Analysis	92
TA	86
Policy	81
Education	80
Climate Change and Adaptation	79
Local Expertise	79
Volunteers and Volunteer staff	76
WaSH	75
Proposal Writing	71
Leadership	69
Management	69
Logistics	52
Early Warning Systems Expertise	51
Health/Public Health Expertise	51
Conflict Mitigation Expertise	50
Research	48
Gender-based violence	47
In-Kind Resources (e.g., meeting space)	47
MEL Expertise	46
Technology/web resources (e.g. server space, web site development, social media)	34
Agriculture Expertise	28
Shelter	17
Coordination	15
Journalism/Media	7
Information Sharing	6
Staff capacity building	2
Faith	1
Financing Humanitarian Network for Recovery and Rehabilitation	1
Humanitarian Response	1

Kept in touch but no formal activities	1
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Kenya Collaboration Area Link Count

Collaboration Areas	Link Count
Community Capacity Building	612
Advocacy	512
Early Warning Systems Expertise	409
Community Connections	396
Community-Based Risk Analysis	387
Facilitation	372
Community Planning	349
Project Implementation	345
Conflict Mitigation Expertise	311
Climate Change and Adaptation	284
Education	278
TA	260
Policy	239
Funding	237
Project Design	227
Vulnerable Groups	224
MEL Expertise	214
WaSH	210
Health/Public Health Expertise	209
Management	208
Local Expertise	207
Gender-based violence	204
Data Resources including data sets, collection and analysis	181
Agriculture Expertise	168
Research	168
Logistics	154
Proposal Writing	152
Volunteers and Volunteer staff	151
Leadership	130
In-Kind Resources (e.g., meeting space)	122
Journalism/Media	54
Technology/web resources (e.g. server space, web site development, social media)	47
Information Sharing	3
Legal assistance	2
Standardization of ambulances	1

Myanmar Collaboration Area Link Count

Collaboration Area	Link Count
Project Implementation	26
Community Capacity Building	26
Advocacy	17
Community Planning	15
Funding	14
Project Design	12
Early Warning Systems Expertise	11
Climate Change and Adaptation	9
Community-Based Risk Analysis	9
Proposal Writing	8
WaSH	8
Education	6
In-Kind Resources (e.g., meeting space)	6
Leadership	6
Agriculture Expertise	5
Facilitation	5
Vulnerable Groups	5
Community Connections	4
Conflict Mitigation Expertise	4
Journalism/Media	4
Policy	4
Research	4
Management	3
TA	3
Data Resources including data sets, collection and analysis	2
Gender-based violence	2
Health/Public Health Expertise	2
Information Sharing	2
MEL Expertise	2
Local Expertise	1
Technology/web resources (e.g. server space, web site development, social media)	1

Ethiopia Collaboration Area Link Count

Collaboration Area	Link Count
Project Implementation	298

Project Design	255
Proposal Writing	237
Funding	229
Community Capacity Building	213
WaSH	205
Early Warning Systems Expertise	198
Facilitation	167
Vulnerable Groups	155
Community-Based Risk Analysis	151
TA	142
Climate Change and Adaptation	138
Advocacy	136
Data Resources including data sets, collection and analysis	130
Community Planning	123
Gender-based violence	118
MEL Expertise	117
Leadership	116
Health/Public Health Expertise	104
Logistics	102
Management	98
Agriculture Expertise	97
Policy	96
Local Expertise	89
Research	85
Community Connections	74
In-Kind Resources (e.g., meeting space)	71
Education	63
Technology/web resources (e.g. server space, web site development, social media)	39
Conflict Mitigation Expertise	28
Coordination	27
Volunteers and Volunteer staff	24
Journalism/Media	18
Information sharing	4
Capacity building	2
Accountability and protection mainstreaming experience sharing	1

Annex 4: Full Tables of Top 50 Actors by Degree Centrality

A. Baseline

Philippines Top Ranked 50 Organizations by Total Degree Centrality¹³⁰

¹³⁰ This chart shows the organizations top 50 ranked organizations by total degree centrality. Those who are ranked high on this metric have many more connections to others in the same network. If the organization is

Rank	Organization	DEPP	National
1	Balay Mindanao Foundation	◆	◆
2	National Coalition of Rural Women (PKKK)		
3	CBM International		
4	People's Disaster Risk Reduction Network		
5	Philippine Misereor		
6	Oxfam		
7	Rural Development Institute		
8	Care International		
9	Tzu Chi Foundation		
10	NASSA Caritas		
11	Balay Rehabilitation Center, Inc.	◆	◆
12	Center for Disaster Preparedness		
13	Tambuyog Development Center		
14	ALTERPLAN	◆	◆
15	BIDEF	◆	◆
16	ACTED		
17	Community-Initiated Organization		
18	Philrads		
19	Lutheran World Relief		
20	Network of business groups, associations, corporations and corporate foundations		
21	Christian Aid		
22	Provincial Government		
23	BOCHA		
24	Agri Aqua Development Cooperative	◆	◆
25	Buklod Tao, Inc.	◆	◆

in **blue** their total degree centrality was found to be well above the average, with a score greater than 1 standard deviation(s) above the mean. If the organization is in **black** their total degree centrality score was found to be close to the average, within 1 standard deviation of the mean. Those with ◆◆ represent organizations that are both Depp members and National organizations.

26	FDUP		
27	IMC		
28	Community Organizers Multiversity		
29	Plan		
30	Ateneo de Davao University	◆	◆
31	ACF	◆	◆
32	PHILDHRRRA		
33	University of Bohol Community Development Foundation, Inc. (UBCDFI)		
34	SIKAT		
35	ActionAid		
36	LGU of Ormoc City		
37	Resources for the blind		
38	RDISK		
39	Tear Fund		
40	Bohol Alliance of NGOs		
41	Save the Children		
42	TAO		
43	LGU OF LAPU-LAPU CITY		
44	LGU of Bohol		
45	PHILSSA		
46	Office of Civil Defense		
47	Community World Service		
48	Philippine Center for Civic Education and Democracy		
49	ADPI		
50	Iloilo Code NGOs Inc	◆	◆

Kenya Top 50 Ranked Organizations by Total Degree Centrality

Rank	Organization	Depp	National
1	WFP		

2	National Drought Management Authority	◆	◆
3	County Govt of Marsabit	◆	◆
4	Kenya Red Cross		
5	Caritas Maralal		
6	CIFA		
7	Norwegian Refugee Council		
8	Action Aid		
9	Mio-net		
10	Caritas Marsabit		
11	PACIDA	◆	◆
12	Trocaire		
13	Finn Church Aid		
14	Government		
15	Oxfam		
16	World Vision		
17	CAFOD		
18	MWADO		
19	Danish Refugee Council		
20	Faith Based Organization		
21	UNHCR		
22	PISP	◆	◆
23	Caritas Isiolo		
24	HelpAge		
25	Catholic Relief Services		
26	Transparency international		
27	Vsf-Germany		
28	Care International		
29	Catholic diocese of kitui		
30	UNICEF		
31	ACTED		
32	WASDA	◆	◆

33	ACF		
34	Pastoralist women for health and education		
35	RACIDA		
36	Save the Children		
37	Food for the Hungry International		
38	IRCK		
39	PACODEO	◆	◆
40	Community Based Organization		
41	ALDF	◆	◆
42	National Disaster Management Unit		
43	ADESO		
44	Ministry of Agriculture		
45	IRC		
46	Lamu youth alliance		
47	ADSMKE	◆	◆
48	UNDP		
49	Caritas Nairobi		
50	Concern		

Myanmar Top 50 Ranked Organizations by Total Degree Centrality

Rank	Organization	Depp	National
1	NRC (Norwegian Refugee Council)		
2	Karen Baptist Convention (KBC)	◆	◆
3	Christian Aid		
4	DanChurch Aid (DCA)		
5	Metta Development Foundation		
6	Diakonie Emergency		
7	Community Development Association (CDA)	◆	◆
8	DEAR Myanmar	◆	◆
9	Lutheran World Federation		

10	Action Aid		
11	Rahmonnya Peace Foundation (RPF)	◆	◆
12	Karuna Mission Social Solidarity		
13	UNOCHA		
14	Ratna Mahal Education Care Group	◆	◆
15	Save the Children		
16	Regional Integrated multi-hazard early warning system for Africa and Asia (RIMES)		
17	Karenni National Women Organisation (KNWO)	◆	◆
18	Karen Human Rights Group (KHRG)	◆	◆
19	Forest Resource Environment Development and Conservation Association		
20	UNICEF		
21	WFP		
22	CAFOD		
23	KESAN (Karen Environmental and Social Action Network)	◆	◆
24	UNHCR		
25	Shalom Foundation		
26	Department of Meterology and Hydrology		
27	Latter day saint charities		
28	MNHC		
29	Trocaire		
30	Government		
31	Oxfam		
32	Adventist Development and Relief Agency		
33	ACF		
34	IOM		
35	Community Youth Center		
36	MNEC		
37	Network Activitiex Group (NAG)		
38	KPSN(karen Peace Support Network)		
39	Ministry of Social Welfare		

40	Plan		
41	Myanmars Heart Development Organisation		
42	Faith Base Oraganization		
43	Friendly child		
44	HelpAge		
45	Htun Tauk Yazar Social Welfare Group		
46	MRDC		
47	UNEP		
48	World Vision		
49	CHDN		
50	IRC		

Ethiopia Top 50 Ranked Organizations by Total Degree Centrality

Rank	Organization	DEPP	National
1	<i>CAFOD</i>		
2	<i>Oxfam</i>		
3	UNOCHA		
4	<i>Save the Children</i>		
5	NDRMC		
6	<i>Action for Development (AFD)</i>		
7	OWDA		
8	<i>Care International</i>		
9	<i>Christian Aid</i>		
10	<i>Community Initiatives Facilitation and Assistance (CIFA)</i>		
11	UNICEF		
12	ACF		
13	<i>SOS Sahel Ethiopia</i>	◆	◆
14	<i>NMA</i>	◆	◆
15	Plan		

16	Government		
17	CRS		
18	Food for the Hungry International		
19	Islamic Relief		
20	ACORD		
21	EOC DICAC		
22	EKHCD		
23	IRC		
24	Action Aid		
25	HelpAge		
26	DanChurch Aid (DCA)		
27	Concern		
28	CCRDA		
29	Caritas Switzerland		
30	PC		
31	WFP		
32	WKC-TDA	◆	◆
33	Apostolic Vicariate of Hosaana - Social and Development Coordination Office (AVH-SDCO)	◆	◆
34	Tear Fund		
35	AMREF		
36	RWCDO	◆	◆
37	CST		
38	World Vision		
39	HUNDEE - Oromo Grassroots Development Initiative	◆	◆
40	Ethiopian Catholic Church Social and Development Commission		
41	ADCS Adigrat		
42	Welthungerhilfe		
43	EPHI		
44	UNHCR		
45	Ethiopian Catholic Church-DICES, Jinka Branch office		

46	<i>Centre for Development Initiatives (CDI)</i>		
47	Relief Society of Tigray, REST		
48	ORDA		
49	Development fund of Norway		
50	NCA		

B. Endline

Philippines Top Ranked 50 Organizations by Total Degree Centrality

Rank	Organization	DEPP	National
1	ACF		
2	Christian Aid		
3	CDRC		
4	Oxfam		
5	Care International		
6	COM	◆	◆
7	UNOCHA		
8	People's Disaster Risk Reduction Network	◆	◆
9	Plan		
10	CBM International		
11	Ateneo Public Interest and Legal Advocacy	◆	◆
12	Government		
13	NASSA	◆	◆
14	Ecoweb		
15	Balay Mindanao Foundation	◆	◆
16	Humanitarian Response Consortium		
17	UNICEF		
18	CENVISNET		
19	Philrads	◆	◆
20	Buklod Tao, Inc.	◆	◆
21	Coalition of Services of the Elderly, Inc.	◆	◆

22	HelpAge		
23	NCCP	◆	◆
24	Philippine red cross		
25	DRRNET		
26	CODE NGO	◆	◆
27	Agri Aqua Development Coalition Mindanao	◆	◆
28	Agency for Technical Cooperation and Development (ACTED)		
29	Balay Rehabilitation Center, Inc.	◆	◆
30	De La Salle University		
31	Davao Medical School Foundation		
32	A Single Drop for Safe Water		
33	Al Mujadilah Development Foundation		
34	RDISK	◆	◆
35	People's Coalition for ARMM Reform and Transformation (PCART)		
36	Maguindanao Network of Organizations		
37	Save the Children		
38	Maradeca		
39	Iloilo Code NGOs Inc	◆	◆
40	Modern Nanays of Mindanao		
41	World Vision		
42	Health Organization for Mindanao		
43	CDP		
44	Cordaid		
45	Simon of Cyrene Community Rehabilitation and Development Foundation, Inc.		
46	Samahan ng Magkakapitbahay		
47	CARITAS Belgium		
48	PHILDHRRRA		
49	Managing Alternatives (MAGI)		
50	Interface Development Interventions		

Kenya Top 50 Ranked Organizations by Total Degree Centrality

Rank	Organization	Depp	National
1	NDMA	◆	◆
2	Kenya red cross	◆	◆
3	NDMu		
4	World Vision		
5	Oxfam		
6	Government		
7	WFP		
8	Caritas Maralal		
9	Action Aid		
10	Caritas Isiolo		
11	CAFOD		
12	Pastoralist Community Initiative and Development Assistance (PACIDA)	◆	◆
13	UNICEF		
14	Caritas Kenya		
15	Concern		
16	FAO		
17	HelpAge		
18	Save the Children		
19	Caritas Marsabit		
20	Christian Aid		
21	County Government Kilifi Department of Livestock		
22	CRS		
23	Inter Religious Council of Kenya		
24	International Institute of Rural RECHOnstruction (IIRR)		
25	IRC		
26	Isiolo Interfaith Network		
27	Jesuit Hakimani		

28	Ministry of Health		
29	Safer World		
30	SIKOM	◆	◆
31	UNHCR		
32	VSFG		
33	ALDEF		
34	Bulla hawa women for peace		
35	CIFA		
36	County Government of kitui		
37	County government of turkana		
38	IMLU		
39	Kenya meteorological department		
40	Marsabit Women's Advocacy and Development Organisation (MWADO)		
41	Ministry of Defence		
42	MIONET		
43	NDOC		
44	Nomadic Assistance for Peace and Development (NAPAD)		
45	RACIDA	◆	◆
46	Star of Hope		
47	UNDP		
48	Welthunger Hilfe		
49	WASDA	◆	◆
50	CJPC		

Myanmar Top 50 Ranked Organizations by Total Degree Centrality¹³¹

Rank	Organization	Depp	National
1	Christian Aid		
2	Karuna Mission Social Solidarity		

¹³¹ Note that there are only 55 total organizations in this network

3	DEAR Myanmar	◆	◆
4	Karen Baptist Convention (KBC)	◆	◆
5	Trocaire		
6	DanChurch Aid (DCA)		
7	HelpAge		
8	Regional Integrated multi-hazard early warning system for Africa and Asia (RIMES)		
9	WFP		
10	CAFOD		
11	IOM		
12	Lutheran World Federation		
13	Swanyee Development Foundation		
14	UN Habitat		
15	World Vision		
16	Government		
17	KESAN (Karen Environmental and Social Action Network)	◆	◆
18	Plan		
19	UNICEF		
20	Action Aid		
21	BBC Media Action		
22	Myanmar's Heart Development Organisation		
23	Oxfam		
24	American Red Cross		
25	Community Development Association (CDA)	◆	◆
26	Islamic Relief		
27	Karen Women's Empowerment Group (KWEG)	◆	◆
28	MCDRR		
29	Metta Development Foundation		
30	Myanmar Enhancement to Empower Tribal (MEET)		
31	Myanmar Red cross society		
32	Myittar Resource Foundation		

33	RRD (Relief and Resettlement Department , Government)		
34	Handicap International		
35	IRC		
36	Phyu Sin Saydana Action Group		
37	Save the Children		
38	UNDP		
39	UNOCHA		
40	GIZ		
41	Kings College London		
42	Sopyay Myanmar Development Organization		
43	Agency for Technical Cooperation and Development (ACTED)		
44	Legal clinic Myanmar		
45	Rahmonnya Peace Foundation (RPF)	◆	◆
46	ACF		
47	Arche nova		
48	ASIAN DISASTER PREPAREDNESS CENTER (ADPC)		
49	FAO		
50	Karen Human Rights Group (KHRG)	◆	◆

Ethiopia Top 50 Ranked Organizations by Total Degree Centrality

Rank	Organization	DEPP	National
1	CAFOD		
2	UNOCHA		
3	Christian Aid		
4	Oxfam		
5	Tear Fund		
6	Action for Development (AFD)		
7	Save the Children		
8	Trocaire		
9	Action Aid		

10	ACF		
11	Care International		
12	SOS Sahel Ethiopia	◆	◆
13	CCRDA		
14	CIFA		
15	Apostolic Vicariate of Hosanna - Social and Development Coordination Office (AVH-SDCO)	◆	◆
16	Food for the Hungry International		
17	CRDA		
18	DRMFSS		
19	ECC		
20	UNICEF		
21	EPHI	◆	◆
22	Government		
23	NDRMC	◆	◆
24	ACORD		
25	Islamic Relief		
26	UNHCR		
27	World Vision		
28	IRC		
29	Ethiopian Kale Heywet Church Development Commission		
30	The African Network for the Prevention and Protection Against Child Abuse and Neglect (ANPPCAN)		
31	CRS		
32	Rift Valley Women and Children Development Organization (RWEDO)	◆	◆
33	Concern		
34	OWDA		
35	Caritas Switzerland		
36	Norwegian Refugee Council		
37	WFP		
38	EOC DICAC		

39	NMA		
40	Women Support Association (WSA)	◆	◆
41	IMC		
42	HUNDEE - Oromo Grassroots Development Initiative	◆	◆
43	NCA		
44	Wolaita Kalehiwot Church Terepeza Development Association (WKC-TDA)	◆	◆
45	Plan		
46	German Agro Action		
47	Pastoralist concern		
48	Ministry of Health	◆	◆
49	RADO		
50	Goal		

Annex 5: Key Actor Tables By Country

The following tables are a breakdown of specific roles that organizations are playing in each country-level network, with comparison of the characteristics of those actors (Local/International and DEPP/Non-DEPP). The tests for statistical significance are chi-square values, looking at whether distribution across these four roles (National DEPP, National Non-DEPP, International DEPP and International Non-DEPP) happened by chance, or if there is a significant trend in the values. The first set of p-values compares that time period's chart to an even split of roles (5 organizations for each group). The second set compares the T2 values to the T1 values to test for significant change over time. Note that these tables only include the top 20 observations, and chi-square analysis is much more robust with more observations in each chart.

Philippines Summary Tables: In-Degree

T1	National	International	Total	T2	National	International	Total
Depp	1 (5%)	3 (15%)	4 (20%)	Depp	4 (20%)	5 (25%)	9 (45%)
Non-Depp	11 (55%)	5 (25%)	16 (80%)	Non-Depp	9 (45%)	2 (10%)	11 (55%)

Total	12 (60%)	8 (40%)	20	Total	13 (65%)	7 (35%)	20
-------	----------	---------	----	-------	----------	---------	----

p=0.001

p=0.023

National Non-DEPP filled resource hub roles significantly more than other groups (P=0.001 for T1, p=0.023 for T2).

Change over time: p<0.001

DEPP actors significant increased their roles as resource hubs.

Philippines Summary Tables: Out-Degree

T1	National	International	Total	T2	National	International	Total
Depp	5 (25%)	3 (15%)	8 (40%)	Depp	8 (40%)	4 (20%)	12 (60%)
Non-Depp	9 (45%)	3 (15%)	12 (60%)	Non-Depp	4 (20%)	4 (20%)	8 (40%)
Total	14 (70%)	6 (30%)	20	Total	12 (60%)	8 (40%)	20

p=0.029

p=0.121

There was no longer significant (p=0.029) dominance of National Non-DEPP organizations in active networker roles after T2.

Change over time: p=0.022

There was a significant shift from Non-DEPP national as active networkers to DEPP national as active networkers.

Philippines Summary Tables: Betweenness Centrality

T1	National	International	Total	T2	National	International	Total
Depp	4 (20%)	5 (25%)	9 (45%)	Depp	8 (40%)	5 (25%)	13 (65%)
Non-Depp	7 (35%)	4 (20%)	11 (55%)	Non-Depp	6 (30%)	1 (5%)	7 (35%)
Total	11 (55%)	9 (45%)	20	Total	14 (70%)	6 (30%)	20

p=0.273

p=0.023

After T2 National DEPP organizations significantly (p=0.023) dominated roles as brokers.

Change over time: **p=0.011**

There was a significant shift from Non-DEPP actors as brokers to DEPP actors as active brokers.

Philippines Summary Tables: Eigenvector Centrality

T1	National	International	Total	T2	National	International	Total
Depp	5 (25%)	1 (5%)	6 (30%)	Depp	6 (30%)	5 (25%)	11 (55%)
Non-Depp	11 (55%)	3 (15%)	14 (70%)	Non-Depp	6 (30%)	3 (15%)	9 (45%)
Total	16 (80%)	4 (20%)	20	Total	12 (60%)	8 (40%)	20

p=0.001

p=0.273

Influencer roles moved from significant (p=0.001) domination by National Non-DEPP organizations to no group significantly dominating in this role.

Change over time: **p<0.001**

There was a significant shift away from Non-DEPP national actors as influencers to no actor group being prominent in this role.

Kenya Summary Tables: In-Degree

T1	National	International	Total	T2	National	International	Total
Depp	5 (25%)	6 (30%)	11 (55%)	Depp	3 (15%)	10 (50%)	13 (65%)
Non-Depp	4 (20%)	5 (25%)	9 (45%)	Non-Depp	2 (10%)	5 (25%)	7 (35%)
Total	9 (45%)	11 (55%)	20	Total	5 (25%)	15 (75%)	20

p=0.527

p=0.006

International DEPP actors came to significantly (p=0.006) dominate the role as resource hubs after T2.

Change over time: **p=0.035**

There was a significant shift from no actor group being prominent as resource hubs to DEPP international actors as resource hubs.

Kenya Summary Tables: Out-Degree

T1	National	International	Total	T2	National	International	Total
Depp	5 (25%)	3 (15%)	8 (40%)	Depp	4 (20%)	7 (35%)	11 (55%)
Non-Depp	6 (30%)	6 (30%)	12 (60%)	Non-Depp	5 (25%)	4 (20%)	9 (45%)
Total	11 (55%)	9 (45%)	20	Total	9 (45%)	11 (55%)	20

p=0.273

p=0.273

There was no significant domination of a group as active networkers in either time period.

Change over time: p=0.017

There was a significant shift from Non-DEPP actors as active networkers to DEP actors as active networkers.

Kenya Summary Tables: Betweenness Centrality

T1	National	International	Total	T2	National	International	Total
Depp	6 (30%)	4 (20%)	10 (50%)	Depp	4 (20%)	8 (40%)	12 (60%)
Non-Depp	5 (25%)	5 (25%)	10 (50%)	Non-Depp	4 (20%)	4 (20%)	8 (40%)
Total	11 (55%)	9 (45%)	20	Total	8 (40%)	12 (60%)	20

p=0.527

p=0.121

There was no significant domination of a group as brokers in either time period.

Change over time: p=0.025

There was a significant shift towards DEPP international actors as brokers.

Kenya Summary Tables: Eigenvector Centrality

T1	National	International	Total	T2	National	International	Total
Depp	5 (25%)	4 (20%)	9 (45%)	Depp	3 (15%)	7 (35%)	10 (50%)
Non-Depp	4 (20%)	7 (35%)	11 (55%)	Non-Depp	4 (20%)	6 (30%)	10 (50%)
Total	9 (45%)	11 (55%)	20	Total	7 (35%)	13 (65%)	20

p=0.273

p=0.157

There was no significant domination of a group as influencers in either time period.

Change over time: p=0.074

There was not a significant shift for influencer roles.

Myanmar Summary Tables: In-Degree

T1	National	International	Total	T2	National	International	Total
Depp	4 (20%)	2 (10%)	6 (30%)	Depp	3 (15%)	3 (15%)	6 (30%)
Non-Depp	4 (20%)	10 (50%)	14 (70%)	Non-Depp	5 (25%)	9 (45%)	14 (70%)
Total	8 (40%)	12 (60%)	20	Total	8 (40%)	12 (60%)	20

p=0.007

p=0.029

International actors, especially International Non-DEPP actors, significantly dominated as resource hubs in both T1 (p=0.007) and T2 (p=0.029).

Change over time: p=0.295

There was not a significant shift for resource hub roles.

Myanmar Summary Tables: Out-Degree

T1	National	International	Total	T2	National	International	Total
Depp	7 (35%)	4 (20%)	11 (55%)	Depp	2 (10%)	4 (20%)	6 (30%)
Non-Depp	3 (15%)	6 (30%)	9 (45%)	Non-Depp	7 (35%)	7 (35%)	14 (70%)
Total	10 (50%)	10 (50%)	20	Total	9 (45%)	11 (55%)	20

p=0.157

p=0.058

There was no significant domination of a group as active networkers in either time period.

Change over time: p=0.002

There was a significant shift toward Non-DEPP actors as active networkers in T2 compared to T1.

Myanmar Summary Tables: Betweenness Centrality

T1	National	International	Total	T2	National	International	Total
Depp	8 (40%)	4 (20%)	12 (60%)	Depp	2 (10%)	4 (20%)	6 (30%)
Non-Depp	2 (10%)	6 (30%)	8 (40%)	Non-Depp	6 (30%)	8 (40%)	14 (70%)
Total	10 (50%)	10 (50%)	20	Total	8 (40%)	12 (60%)	20

p=0.046

p=0.046

National DEPP actors were significantly dominating the role as brokers in T1 ($p=0.046$), but in T2 this role switched to international Non-DEPP actors ($p=0.046$).

Change over time: $p<0.001$

There was a significant shift from DEPP national actors as brokers to Non-DEPP actors as brokers.

Myanmar Summary Tables: Eigenvector Centrality

T1	National	International	Total	T2	National	International	Total
Depp	2 (10%)	3 (15%)	5 (25%)	Depp	4 (20%)	4 (20%)	8 (40%)
Non-Depp	6 (30%)	9 (45%)	15 (75%)	Non-Depp	5 (25%)	7 (35%)	12 (60%)
Total	8 (40%)	12 (60%)	20	Total	9 (45%)	11 (55%)	20

p=0.014

p=0.273

While Non-DEPP International actors significantly ($p=0.014$) dominated the role as influencers, no group dominated this role after T2.

Change over time: $p=0.086$

There was not a significant shift for influencer roles.

Ethiopia Summary Tables: In-Degree

T1	National	International	Total	T2	National	International	Total
-----------	----------	---------------	-------	-----------	----------	---------------	-------

Depp	1 (5%)	9 (45%)	10 (50%)	Depp	1 (5%)	9 (45%)	10 (50%)
Non-Depp	2 (10%)	8 (40%)	10 (50%)	Non-Depp	2 (10%)	8 (40%)	10 (50%)
Total	3 (15%)	17 (85%)	20	Total	3 (15%)	17 (85%)	20

p=0.002

p=0.002

International actors significantly dominated as resource hubs in both T1 (p=0.002) and T2 (p=0.002).

Change over time: p=1

The distribution of resource hub roles was the same in T1 and T2.

Ethiopia Summary Tables: Out-Degree

T1	National	International	Total	T2	National	International	Total
Depp	2 (10%)	8 (40%)	10 (50%)	Depp	3 (15%)	8 (40%)	11 (55%)
Non-Depp	4 (20%)	6 (30%)	10 (50%)	Non-Depp	3 (15%)	6 (30%)	9 (45%)
Total	6 (30%)	14 (70%)	20	Total	6 (30%)	14 (70%)	20

p=0.046

p=0.058

In both T1 and T2, DEPP international actors dominated the role as active networkers, with both time periods hovering right around the line of significance (p=0.046 for T1, p=0.058 for T2).

Change over time: p=0.386

There was not a significant shift for active networker roles.

Ethiopia Summary Tables: Betweenness Centrality

T1	National	International	Total	T2	National	International	Total
Depp	4 (20%)	8 (40%)	12 (60%)	Depp	3 (15%)	9 (45%)	12 (60%)
Non-Depp	3 (15%)	5 (25%)	8 (40%)	Non-Depp	2 (10%)	6 (30%)	8 (40%)
Total	7 (35%)	13 (65%)	20	Total	5 (25%)	15 (75%)	20

p=0.094

p=0.014

International DEPP actors significantly (p=0.014) dominated the role as brokers in T2.

Change over time: $p=0.341$

There was not a significant shift for broker roles.

Ethiopia Summary Tables: Eigenvector Centrality

T1	National	International	Total	T2	National	International	Total
Depp	1 (5%)	9 (45%)	10 (50%)	Depp	5 (25%)	9 (45%)	14 (70%)
Non-Depp	4 (20%)	6 (30%)	10 (50%)	Non-Depp	3 (15%)	3 (15%)	6 (30%)
Total	5 (25%)	15 (75%)	20	Total	8 (40%)	12 (60%)	20

p=0.009 **p=0.029**

In both time periods, international DEPP actors significantly ($p=0.009$ for T1, $p=0.029$ for T2) dominated the role as influencers.

Change over time: **$p<0.001$**

There was a significant shift for influencer roles towards DEPP actors, especially local DEPP actors.

Annex 6: Tests for Statistical Significance

i. Preparedness vs. Networking

The following tests are comparing average change in networking scores to average change in preparedness scores. First, the baseline and endline average networking scores for these organizations were compared to see if there was significant change across time periods (paired t-test). Then, the average change in networking scores for DEPP actors was compared with the average change in networking scores for Non-DEPP actors to see if there was a difference between the two groups (independent samples t-test). Finally, correlation between the changes in individual networking scores and changes in individual preparedness scores was run to see if there was a relationship.

PHILIPPINES

```
> with(Phil.Net.Prep, (t.test(Endline.Net, Baseline.Net, alternative='greater',
+   conf.level=.95, paired=TRUE)))
```

Paired t-test

data: Endline.Net and Baseline.Net

t = 0.8397, df = 12, p-value = 0.2087

alternative hypothesis: true difference in means is greater than 0

95 percent confidence interval:

-0.03312102 Inf

sample estimates:

mean of the differences

0.02950572

```
> t.test(Net.Change~DEPP, alternative='two.sided', conf.level=.95,
+   var.equal=FALSE, data=Phil.Net.Prep)
```

Welch Two Sample t-test

data: Net.Change by DEPP

t = 1.4697, df = 6.6916, p-value = 0.187

alternative hypothesis: true difference in means is not equal to 0

95 percent confidence interval:

-0.05492261 0.23094027

sample estimates:

mean in group DEPP mean in group Non-DEPP

0.04981545 -0.03819338

```
> with(Phil.Net.Prep, cor.test(Net.Change, Prep.Change, alternative="two.sided",
+   method="pearson"))
```

Pearson's product-moment correlation

```
data: Net.Change and Prep.Change
t = -1.1096, df = 11, p-value = 0.2908
alternative hypothesis: true correlation is not equal to 0
95 percent confidence interval:
 -0.7390577  0.2832301
sample estimates:
      cor
-0.3172664
```

KENYA

```
> with(Kenya.Net.Prep, (t.test(Endline.Net, Baseline.Net, alternative='greater',
+   conf.level=.95, paired=TRUE)))
```

Paired t-test

```
data: Endline.Net and Baseline.Net
t = -0.33797, df = 32, p-value = 0.6312
alternative hypothesis: true difference in means is greater than 0
95 percent confidence interval:
 -0.03903534      Inf
sample estimates:
mean of the differences
      -0.006492957
```

```
> t.test(Net.Change~DEPP, alternative='two.sided', conf.level=.95, var.equal=FALSE,
+ data=Kenya.Net.Prep)
```

Welch Two Sample t-test

data: Net.Change by DEPP

t = 0.88703, df = 15.207, p-value = 0.3889

alternative hypothesis: true difference in means is not equal to 0

95 percent confidence interval:

-0.05222565 0.12682976

sample estimates:

mean in group DEPP mean in group Non-DEPP

0.01385362 -0.02344844

```
> with(Kenya.Net.Prep, cor.test(Net.Change, Prep.Change, alternative="two.sided",
+ method="pearson"))
```

Pearson's product-moment correlation

data: Net.Change and Prep.Change

t = -1.2854, df = 31, p-value = 0.2082

alternative hypothesis: true correlation is not equal to 0

95 percent confidence interval:

-0.5275122 0.1282752

sample estimates:

cor

-0.2249397

MYANMAR

```
> with(Myan.Net.Prep, (t.test(Endline.Net, Baseline.Net, alternative='greater',
+   conf.level=.95, paired=TRUE)))
```

Paired t-test

data: Endline.Net and Baseline.Net

t = 0.27059, df = 21, p-value = 0.3947

alternative hypothesis: true difference in means is greater than 0

95 percent confidence interval:

-0.03360838 Inf

sample estimates:

mean of the differences

0.006271242

```
> t.test(Net.Change~DEPP, alternative='two.sided', conf.level=.95,
+   var.equal=FALSE, data=Myan.Net.Prep)
```

Welch Two Sample t-test

data: Net.Change by DEPP

t = 0.5099, df = 14.833, p-value = 0.6176

alternative hypothesis: true difference in means is not equal to 0

95 percent confidence interval:

-0.07662019 0.12474557

sample estimates:

mean in group DEPP mean in group Non-DEPP

0.018302586 -0.005760102

```
> with(Myan.Net.Prep, cor.test(Net.Change, Prep.Change, alternative="two.sided",
```

```
+ method="pearson"))
```

Pearson's product-moment correlation

data: Net.Change and Prep.Change

t = -0.49176, df = 20, p-value = 0.6282

alternative hypothesis: true correlation is not equal to 0

95 percent confidence interval:

-0.5075219 0.3273944

sample estimates:

cor

-0.1093012

ETHIOPIA

```
> with(Ethio.Prep.Net, (t.test(Endline.Net, Baseline.Net, alternative='greater',
```

```
+ conf.level=.95, paired=TRUE)))
```

Paired t-test

data: Endline.Net and Baseline.Net

t = -2.5875, df = 28, p-value = 0.9924

alternative hypothesis: true difference in means is greater than 0

95 percent confidence interval:

-0.06423817 Inf

sample estimates:

mean of the differences

-0.03875766

****Note that due to the extremely high p-value for the hypothesis that networking scores improved tested above, a two-sided t-test was run to check for significance in either direction.**


```
> with(Ethio.Prep.Net, (t.test(Endline.Net, Baseline.Net, alternative='two.sided',
+   conf.level=.95, paired=TRUE)))
```

Paired t-test

data: Endline.Net and Baseline.Net

t = -2.5875, df = 28, p-value = 0.01515

alternative hypothesis: true difference in means is not equal to 0

95 percent confidence interval:

-0.069439867 -0.008075451

sample estimates:

mean of the differences

-0.03875766

```
> t.test(Net.Change~DEPP, alternative='two.sided', conf.level=.95,
+   var.equal=FALSE, data=Ethio.Prep.Net)
```

Welch Two Sample t-test

data: Net.Change by DEPP

t = 1.189, df = 25.049, p-value = 0.2456

alternative hypothesis: true difference in means is not equal to 0

95 percent confidence interval:

-0.02559441 0.09552508

sample estimates:

mean in group DEPP mean in group Non-DEPP

-0.02187784

-0.05684318

```
> with(Ethio.Prep.Net, cor.test(Net.Change, Prep.Change, alternative="two.sided",
+   method="pearson"))
```

Pearson's product-moment correlation

```
data: Net.Change and Prep.Change
t = 0.34553, df = 27, p-value = 0.7324
alternative hypothesis: true correlation is not equal to 0
95 percent confidence interval:
 -0.3076363  0.4225799
sample estimates:
      cor
0.06635039
```

ii. Relationship Strength

The following are tests for significance in average change of relationship strength between DEPP actors and Non-DEPP actors. Each tests looks at the group average change to see if the change for one group is significantly more/less than the change for another group. The first is for frequency of interaction, and the second is for likelihood to recommend others.

PHILIPPINES

```
> with(Phil.Strength, (t.test(T2.frequency, T1.frequency, alternative='greater',
+   conf.level=.95, paired=TRUE)))
```

Paired t-test

```
data: T2.frequency and T1.frequency
t = 2.4264, df = 68, p-value = 0.008953
alternative hypothesis: true difference in means is greater than 0
95 percent confidence interval:
 0.08385023      Inf
sample estimates:
```

mean of the differences

0.2681159

```
> t.test(Change.frequency~Source.DEPP., alternative='two.sided', conf.level=.95,  
+ var.equal=FALSE, data=Phil.Strength)
```

Welch Two Sample t-test

data: Change.frequency by Source.DEPP.

t = 1.9876, df = 28.592, p-value = 0.05651

alternative hypothesis: true difference in means is not equal to 0

95 percent confidence interval:

-0.01603057 1.09726848

sample estimates:

mean in group DEPP mean in group Non-DEPP

0.63636364 0.09574468

```
> with(Phil.Strength, (t.test(T2.Promoter, T1.Promoter, alternative='greater',  
+ conf.level=.95, paired=TRUE)))
```

Paired t-test

data: T2.Promoter and T1.Promoter

t = 5.1333, df = 68, p-value = 1.286e-06

alternative hypothesis: true difference in means is greater than 0

95 percent confidence interval:

0.732291 Inf

sample estimates:

mean of the differences

1.084638

```
> t.test(Change.Promoter~Source.DEPP., alternative='two.sided', conf.level=.95,
+   var.equal=FALSE, data=Phil.Strength)
```

Welch Two Sample t-test

```
data: Change.Promoter by Source.DEPP.
t = -0.16891, df = 28.875, p-value = 0.867
alternative hypothesis: true difference in means is not equal to 0
95 percent confidence interval:
 -1.191651  1.009872
sample estimates:
    mean in group DEPP mean in group Non-DEPP
           1.022727           1.113617
```

```
> with(Phil.Strength, cor.test(Change.frequency, Change.Promoter,
+   alternative="two.sided", method="pearson"))
```

Pearson's product-moment correlation

```
data: Change.frequency and Change.Promoter
t = 2.7321, df = 67, p-value = 0.008037
alternative hypothesis: true correlation is not equal to 0
95 percent confidence interval:
 0.08640698 0.51472210
sample estimates:
      cor
0.3166127
```

KENYA

```
> with(Kenya.Strength, (t.test(T2.Freq, T1.Freq, alternative='greater',
+   conf.level=.95, paired=TRUE)))
```

Paired t-test

data: T2.Freq and T1.Freq

t = 0.57574, df = 119, p-value = 0.2829

alternative hypothesis: true difference in means is greater than 0

95 percent confidence interval:

-0.03132258 Inf

sample estimates:

mean of the differences

0.01666667

```
> t.test(Change.Freq~Source.DEPP, alternative='two.sided', conf.level=.95,
+   var.equal=FALSE, data=Kenya.Strength)
```

Welch Two Sample t-test

data: Change.Freq by Source.DEPP

t = -0.95267, df = 25.438, p-value = 0.3497

alternative hypothesis: true difference in means is not equal to 0

95 percent confidence interval:

-0.2872704 0.1054523

sample estimates:

mean in group DEPP mean in group Non-DEPP

0.0 0.09090909

```
> with(Kenya.Strength, (t.test(T2.Promoter, T1.Promoter, alternative='greater',
+   conf.level=.95, paired=TRUE)))
```

Paired t-test

```
data: T2.Promoter and T1.Promoter
t = 1.6845, df = 119, p-value = 0.04736
alternative hypothesis: true difference in means is greater than 0
95 percent confidence interval:
 0.003323575      Inf
sample estimates:
mean of the differences
          0.20975
```

```
> t.test(Change.Promoter~Source.DEPP, alternative='two.sided', conf.level=.95,
+   var.equal=FALSE, data=Kenya.Strength)
```

Welch Two Sample t-test

```
data: Change.Promoter by Source.DEPP
t = 4.4681, df = 43.267, p-value = 5.6e-05
alternative hypothesis: true difference in means is not equal to 0
95 percent confidence interval:
 0.5990591 1.5843732
sample estimates:
      mean in group DEPP mean in group Non-DEPP
          0.4098980          -0.6818182
```

```
> with(Kenya.Strength, cor.test(Change.Freq, Change.Promoter,
+   alternative="two.sided", method="pearson"))
```

Pearson's product-moment correlation

```
data: Change.Freq and Change.Promoter
t = -2.7007, df = 118, p-value = 0.007938
```

```

alternative hypothesis: true correlation is not equal to 0
95 percent confidence interval:
  -0.40308302 -0.06483605
sample estimates:
      cor
-0.2412735

```

MYANMAR

```

> with(Myan.Strength, (t.test(T2.Freq, T1.Freq, alternative='greater',
+   conf.level=.95, paired=TRUE)))

```

Paired t-test

```

data:  T2.Freq and T1.Freq
t = 2.0761, df = 15, p-value = 0.02774
alternative hypothesis: true difference in means is greater than 0
95 percent confidence interval:
  0.04863098      Inf
sample estimates:
mean of the differences
      0.3125

```

```

> t.test(Change.Freq~Source.DEPP., alternative='two.sided', conf.level=.95,
+   var.equal=FALSE, data=Myan.Strength)

```

Welch Two Sample t-test

```

data:  Change.Freq by Source.DEPP.

```

```

t = -0.40347, df = 12.828, p-value = 0.6932
alternative hypothesis: true difference in means is not equal to 0
95 percent confidence interval:
-0.7952193  0.5452193
sample estimates:
mean in group DEPP mean in group Non-DEPP
0.250                0.375

```

```

> with(Myan.Strength, (t.test(T2.Promoter, T1.Promoter, alternative='greater',
+   conf.level=.95, paired=TRUE)))

```

Paired t-test

```

data:  T2.Promoter and T1.Promoter
t = -0.60486, df = 15, p-value = 0.7228
alternative hypothesis: true difference in means is greater than 0
95 percent confidence interval:
-0.9745706      Inf
sample estimates:
mean of the differences
-0.25

```

```

> t.test(Change.Promoter~Source.DEPP., alternative='two.sided', conf.level=.95,
+   var.equal=FALSE, data=Myan.Strength)

```

Welch Two Sample t-test

```

data:  Change.Promoter by Source.DEPP.
t = 0.59161, df = 14, p-value = 0.5635
alternative hypothesis: true difference in means is not equal to 0
95 percent confidence interval:

```



```

-1.312676  2.312676
sample estimates:
    mean in group DEPP mean in group Non-DEPP
                0.0                -0.5

-----

> with(Myan.Strength, cor.test(Change.Freq, Change.Promoter,
+   alternative="two.sided", method="pearson"))

Pearson's product-moment correlation

data:  Change.Freq and Change.Promoter
t = 2.4804, df = 14, p-value = 0.02645
alternative hypothesis: true correlation is not equal to 0
95 percent confidence interval:
 0.07827113 0.82286425
sample estimates:
      cor
0.5525383

-----

ETHIOPIA

-----

> with(Ethio.Strength, (t.test(T2.Freq, T1.frequency, alternative='greater',
+   conf.level=.95, paired=TRUE)))

Paired t-test

data:  T2.Freq and T1.frequency
t = 0.47689, df = 416, p-value = 0.3168
alternative hypothesis: true difference in means is greater than 0

```

95 percent confidence interval:

-0.03534978 Inf

sample estimates:

mean of the differences

0.01438849

```
> t.test(Change.Freq~Source.DEPP., alternative='two.sided', conf.level=.95,  
+ var.equal=FALSE, data=Ethio.Strength)
```

Welch Two Sample t-test

data: Change.Freq by Source.DEPP.

t = 0.1201, df = 380.82, p-value = 0.9045

alternative hypothesis: true difference in means is not equal to 0

95 percent confidence interval:

-0.1131543 0.1278765

sample estimates:

mean in group DEPP mean in group Non-DEPP

0.01777778 0.01041667

```
> with(Ethio.Strength, (t.test(T2.Promote, T1.Promoter, alternative='greater',  
+ conf.level=.95, paired=TRUE)))
```

Paired t-test

data: T2.Promote and T1.Promoter

t = 2.6248, df = 416, p-value = 0.004495

alternative hypothesis: true difference in means is greater than 0

95 percent confidence interval:

0.104357 Inf

sample estimates:

mean of the differences

0.2805755

```
> t.test(Change.Promote~Source.DEPP., alternative='two.sided', conf.level=.95,  
+ var.equal=FALSE, data=Ethio.Strength)
```

Welch Two Sample t-test

```
data: Change.Promote by Source.DEPP.  
t = 2.4998, df = 377.94, p-value = 0.01285  
alternative hypothesis: true difference in means is not equal to 0  
95 percent confidence interval:  
0.1151008 0.9635103  
sample estimates:  
mean in group DEPP mean in group Non-DEPP  
0.52888889 -0.01041667
```

```
> with(Ethio.Strength, cor.test(Change.Freq, Change.Promote,  
+ alternative="two.sided", method="pearson"))
```

Pearson's product-moment correlation

```
data: Change.Freq and Change.Promote  
t = -0.75364, df = 415, p-value = 0.4515  
alternative hypothesis: true correlation is not equal to 0  
95 percent confidence interval:  
-0.13252904 0.05927116  
sample estimates:  
cor  
-0.0369694
```