

## Evaluation of Danish Support to Civil Society

### Learning Synthesis V: The Civil Society Policy and Fragility- Documenting Results



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# List of Abbreviations

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CSOs	Civil Society Organisations
Frame	Development Framework Agreement
HCP	Civil Society Department (Danida)
HPA	Humanitarian Partnership Agreement
IDPs	Internally Displaced People
INGO	International Non-Governmental Organisation
LRRD	Linking Relief, Reconstruction and Development
M&E	Monitoring and Evaluation
MFA	Ministry of Foreign Affairs
ToC	Theory of Change
WHS	World Humanitarian Summit

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# 1 Background

This learning note highlights some of the key issues associated with the monitoring and reporting of support to civil society in fragile contexts at a time when development assistance in Denmark and elsewhere is increasingly focused on the challenges presented by the protracted crises in many parts of the world. The note provides some illustrations from a short review of the documents of three Danish civil society organisations (CSOs) — Save the Children Denmark, the Danish Red Cross and DanChurchAid — who have both a Humanitarian Partnership Agreement (HPA) and a Development Framework Agreement (Frame) with the Danish Ministry of Foreign Affairs/Civil Society Department (MFA/HCP).

## 1.1 The International Context

### The prominence of ‘fragility’

Approximately 38% of all overseas direct assistance — or \$50 billion — is devoted to fragile and conflict-affected states. Yet not one of these states has achieved a single Millennium Development Goal<sup>1</sup>. Development assistance is becoming increasingly concentrated on fragile situations for two main reasons:

- More than half of the world’s poor live in fragile states and the numbers of affected populations appear to be increasing;
- “Developed” nations, particularly in Europe, are often directly affected by the increasing number of refugees and migrants that fragile contexts create and in some cases by the threat to security posed by non-state armed actors such as ISIS/Daesh and Al-Qaida.

The multi-faceted challenges of fragile contexts are a focus for international concern and debate and a number of guidelines on working in fragile situations have been developed<sup>2</sup>. Most recently, the first ever World Humanitarian Summit (WHS) held in Istanbul in May 2016, discussed how to respond effectively to current and future humanitarian crises — not least the issue of protracted crises — although few practical answers were forthcoming. Fragility and protracted crises frequently lead to massive displacement of people as refugees or as internally displaced people (IDPs) lasting for years if not decades. In particular, the WHS highlighted the need for a ‘joined up approach’ to the challenges posed by the increasing number of people affected by fragile contexts.

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<sup>1</sup> *Measuring the Measurable: Solutions to Measurement Challenges in Conflict and Fragile Environments*, 2013 quoting OECD/DAC sources

<sup>2</sup> See Bibliography, Annex A, section a)

## Linking humanitarian, development and peacebuilding efforts

*“... humanitarian assistance alone can neither adequately address nor sustainably reduce the needs of over 130 million of the world’s most vulnerable people. A new and coherent approach is required based on addressing root causes, increasing political diplomacy for prevention and conflict resolution, and bringing humanitarian, development and peace building efforts together.”*

World Humanitarian Summit, Chair’s Summary

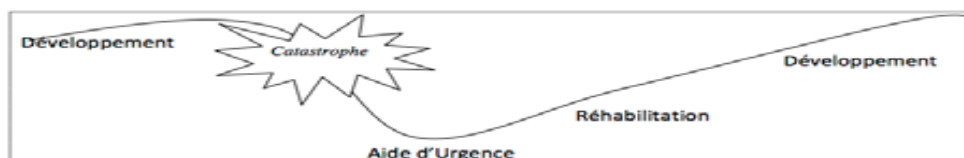
<https://consultations.worldhumanitariansummit.org/bitcache/5171492e71696bcf9d4c571c93dfc6dcd7f361ee?vid=581078&disposition=inline&op=view> p. 2.

### Recognition of the need for a joined up approach

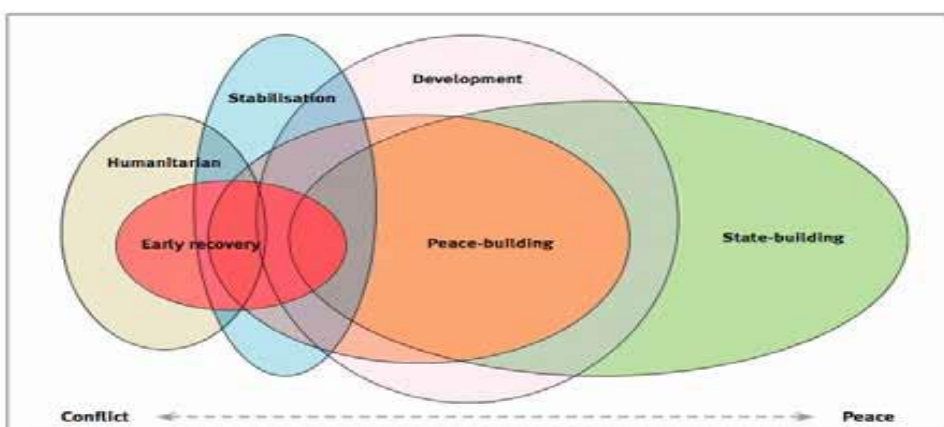
The recognition of the need for a joined up approach to major, ongoing humanitarian crises is not a new. The concept of bringing humanitarian and development efforts together — linking relief, reconstruction and development (LRRD) — has been at the heart of development/humanitarian debates for many years. In addition, with the increase in the perceived threat from fragile contexts to the stability and security of developed nations, new funds are increasingly being earmarked for fragile contexts under the rubrics of stabilisation or peacebuilding, and inter-ministerial bodies created to coordinate development, humanitarian, peacebuilding and security operations.

Discussions on LRRD, therefore, have tended to move away from thinking in terms of a ‘continuum’ of interventions to the ‘contiguum’ where development, humanitarian, stabilisation and peace-building efforts are coordinated and complement each other at the same time, as shown in Figure 1 below.

**Figure 1 Two generations of LRRD – the continuum and contiguum approach**



Source: URD Report



Source: OECD DAC

Associated with the recognition of a joined up approach has been the growth of concepts such as resilience and disaster risk prevention or reduction that cut across traditional aid modalities. Nonetheless, an obstacle to the implementation of a joined up approach to fragile contexts, as illustrated in the contiguuum approach, is the continuing practice of providing aid to civil society in fragile situations through different funding modalities, e.g. development and humanitarian, each with separate funding rules, approaches and reporting requirements.

### **Strengthening local actors in fragile contexts**

Another commitment made by donors, including Danida, at the WHS was to support and strengthen the role of national actors in humanitarian and fragile contexts by channelling 20% of funding directly to them, and to support greater participation and voice of communities within the humanitarian system<sup>3</sup>. Following on from this, 29 international non-governmental organisations (INGOS), including key Danish CSOs, signed a Charter for Change<sup>4</sup> in which they committed to providing organisational support and capacity strengthening for national CSOs, to channel more funding directly to them and to support their advocacy for a greater role in the humanitarian system.

## **1.2 The Danish Context**

### **A new Danish Development Cooperation strategy**

The increasing importance of fragile contexts in development cooperation is reflected in Danish development assistance. The draft Danish Development Cooperation Strategy “Verden 2030”<sup>5</sup> suggests Denmark will focus on 12 countries in the future. Six of these are considered fragile (Afghanistan, Burkina Faso, Mali, Niger, Palestine and Somalia), and regions such the Sahel, Horn of Africa, and Syria and neighbouring countries contain fragile contexts. The other six countries are poor but stable (Bangladesh, Ethiopia, Kenya, Myanmar, Tanzania and Uganda). It also commits Denmark to strengthen the link between humanitarian and development interventions in the Danish country policies and programmes, to encourage stronger partnerships between CSOs, and emphasises the need for CSOs to demonstrate results and their added value.

#### **An increased focus on civil society support building resilience**

*“They (CSOs) should contribute to build resilience of local communities, prevent and remedy crises, further the inclusion of weak and vulnerable groups, ensure basic rights and counter radicalisation”.*

“Verden 2030. #voresDKaid. Udkast Danmarks udviklingspolitiske og humanitære strategi”  
June 2016 (Editor’s translation).

<sup>3</sup> The Grand Bargain. World Humanitarian Summit 2016.

[http://reliefweb.int/sites/reliefweb.int/files/resources/Grand\\_Bargain\\_final\\_22\\_May\\_FINAL-2.pdf](http://reliefweb.int/sites/reliefweb.int/files/resources/Grand_Bargain_final_22_May_FINAL-2.pdf)

<sup>4</sup> <https://charter4change.org>

<sup>5</sup> “Verden 2030. #voresDKaid. Udkast Danmarks udviklingspolitiske og humanitære strategi” June 2016.

<http://um.dk/da/danida/maalsætning%20og%20strategi/udkast>

Moreover, the draft strategy suggests that *one* partnership agreement will be introduced for the CSOs that currently receive both Humanitarian Partnership Agreements (HPA) and development framework agreements (Frame).

### **Recent civil society evaluations**

Recent evaluations of Danish support to civil society have also recommended a more joined up approach. The Evaluation of Danish Support to Civil Society in 2013 recommended that Danida improve the coordination of humanitarian and development support to civil society. More recently the Evaluation of the Strategy for Danish Humanitarian Action 2010-2015 highlighted the challenge facing Danida in linking humanitarian and development objectives in practice, noting “*very little sense of joint responsibility for Danida’s assistance to a country overall and following-up on results*”<sup>6</sup>. The evaluation also recommended greater complementarity between humanitarian and development assistance in addition to a strengthened focus on results.

### **The Civil Society Policy**

The significance of fragile contexts is recognised in the Civil Society Policy (although it is not clear whether the prescriptions of this policy apply to humanitarian assistance despite that the Foreword by the Minister clearly states: “*The Policy offers direction on support to civil society across all cooperation modalities with civil society ...*” It is expected that the new Danida humanitarian strategy will take into account the commitment of the draft Development Cooperation strategy and recommendations of previous evaluations regarding a joined up approach.

#### **The Civil Society Policy: key pointers on fragility**

The Policy highlights the following with regard to Danish support to civil society in fragile contexts:

- To develop a dynamic context analysis identifying drivers of change, and systematic risk assessments as starting point.
- To pay particular attention to opportunities for building/rebuilding community level structures and establishing a culture of participation, accountability, non-discrimination and transparency.
- To strengthen the voice of the poor including that of girls and women.
- To support local CSO structures in order to assist in more resilient and peaceful societies.

### **Danish CSOs in receipt of HPA and Frame funding**

Some of the Danish CSOs that have both HPA and Frame funding have begun to jointly plan programmes in fragile contexts including both humanitarian and development elements. The three Danish CSOs reviewed for this paper — Save the Children Denmark, the Danish Red Cross and DanChurchAid — are increasingly linking their relief and development work in fragile

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<sup>6</sup> *ibid* p. 12.

settings and have started, or are in the process of, using one joint results framework for their development and humanitarian work. This is despite the fact that there are different reporting requirements for the two funding agreements. The HPA, for example, requires CSOs to report on their outputs in each humanitarian situation, e.g. number of beneficiaries in each country/situation, while the focus of Frame agreements is on both outputs and outcomes.



## 2 Monitoring change in Fragile Situations

### 2.1 The challenge of Monitoring and Evaluation<sup>7</sup>

Results reporting in fragile contexts will obviously present more challenges than in most development programmes. Studies<sup>8</sup> in recent years have highlighted a number of issues with results frameworks in fragile contexts. These include implicit or unclear theories of change, overly ambitious and often unachievable goals and objectives, poor indicators, emphasis on output rather than outcome indicators, and poor, implicit or missing context analyses. The challenges are numerous and include:

- Programmes often seek to achieve changes that are inherently more difficult to monitor and measure, e.g. peacebuilding or, more generally, changes in people's perceptions, attitudes and behaviours;
- Political and security constraints may restrict staff movements, access to affected areas; and the ability to monitor developments on the ground;
- Cultural and linguistic characteristics of the context may also restrict monitoring and evaluation (M&E) options;
- M&E activities such as data gathering, therefore, may be delegated to local partners who may not have knowledge of appropriate data collection tools, and the capacity to draft, collect and analyse findings.

With these challenges in mind, we will look at some of the 'good practices' for monitoring in fragile situations based on existing literature<sup>9</sup> and offer some illustrations from the three Danish CSOs reviewed. A brief description of the strategies, programme planning, results frameworks and monitoring related to fragile situations of Save the Children Denmark, the Danish Red Cross, and DanChurchAid we have been able to study is included as Annex B.

### 2.2 Establishing a Results Framework

To work effectively in a fragile context CSOs need to have a good understanding of the context in which they are working and a clear sense of the changes they seek to achieve. They will need to monitor their programme environments closely to assess the changes that occur; review their assumptions and approaches; and make timely decisions to modify their results frameworks. They will face the challenge of designing and implementing programmes with realistic development outcomes that can rapidly adapt to changing circumstances.

Most studies suggest the flexible use of a theory of change rather than, for example, more rigid logic models such as a logframe, to form the basis of a results framework in fragile contexts. This section will identify some of the key elements of using and adapting a theory of change in these circumstances.

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<sup>7</sup> While we use the term M&E the focus is more on monitoring as the basis for solid evaluation.

<sup>8</sup> *Measuring the Measurable: Solutions to Measurement Challenges in Conflict and Fragile Environments, 2013*

<sup>9</sup> See Annex A Bibliography section b)

## **Context analysis and conflict analysis**

The importance of a good context analysis is underlined in the Civil Society Policy. While a context analysis should be a point of departure for all development planning and programming, it is even more important in a fragile context. A distinction is sometimes drawn between a context analysis, i.e. a broad analysis of the environment affecting the programme, and a conflict analysis that focuses specifically on factors contributing to and affected by conflict. In a fragile context, a context analysis should include a conflict analysis to monitor conflict dynamics and potential drivers of positive change and peace<sup>10</sup>. This is particularly important if the programme supports the inclusion of marginalised groups in peacebuilding/conflict reduction, as is often the case with Danish CSOs.

Given that there might be big differences between different parts of a fragile country, a context analysis should also be done for the local areas where programmes are planned to be implemented. The context in South-Central Somalia, for example, is very different from that of Puntland. Context or conflict analyses need to be updated more regularly in fragile countries than in more stable countries since the context generally changes more often and more drastically.

The three Danish CSOs reviewed conduct situational analyses in the planning of their country programmes. However, a brief survey in South Sudan made in December 2015<sup>11</sup> indicated that not all Danish CSOs or their international partners, had made a “careful situational analysis”, including some that had worked in South Sudan for many years. Those Danish CSOs that had a context analysis were mainly those that also had a development programme.

## **Do no harm**

The concept of “do no harm”, i.e. avoiding or minimising any adverse effect of a programme intervention, is a well-known humanitarian principle relevant to fragile contexts. A good context analysis will help analyse whether a programme might do harm unintentionally, which then enables that risk to be monitored. For example, it is sometimes argued that service provision over the years by donors in South Sudan has unintentionally contributed to the continuing conflict by leaving the political elite ‘off the hook’ and disassociated from the population at large except for ‘security’ for its own followers. On a smaller scale, INGO recruitment of good staff from local organisations is often quoted as unintentionally ‘doing harm’ by undermining the development and sustainability of local civil society.

## **Theories of change**

A Theory of Change (ToC) informed by a drivers of change analysis, particularly in peacebuilding or conflict resolution programmes, can provide the basis of a results framework in fragile contexts. In particularly complex environments it may be necessary to develop more than

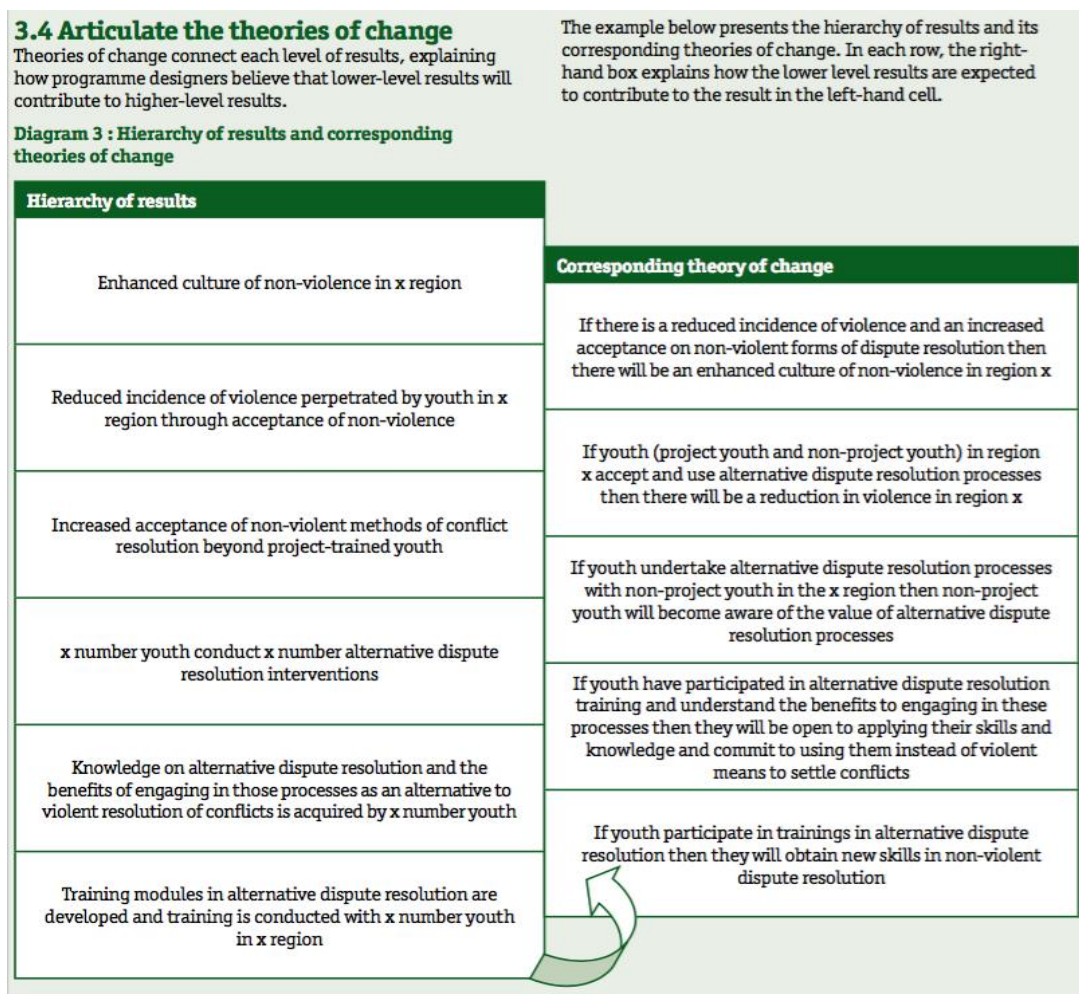
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<sup>10</sup> See Annex A Bibliography section c) for conflict analysis resources. For a list of conflict analysis tools and frameworks see Annex 1 in (CARE 2012).

<sup>11</sup> <http://paths4change.info/resources/south-sudan-inception-report>

one ToC focusing on different types of change. CARE<sup>12</sup> presents the following figure as an illustrative example of the relationship between results and the ToC:

**Figure 1: Linking results and a corresponding Theory of Change**



All of the three Danish CSOs reviewed use theories of change in their country planning. In some cases, these would have benefitted from being more explicit in how they describe the desired programme changes and present the most important assumptions so that these can be monitored regularly. DanChurchAid uses both a ToC and a logframe in South Sudan. The CARE example illustrates how the latter might be derived from the former.

### Choice of indicators

Having identified the hierarchy of results, the next step is to decide how change will be monitored through the choice of indicators. Given the practical difficulties of working in fragile contexts, the choice of indicators should be made while being realistic about what kind of data gathering would be possible under the circumstances. There are three issues we would like to highlight with regard to choice of indicators in fragile contexts:

- *Outcome or output indicators?*

<sup>12</sup> CARE (2012).

The first issue to address is whether the indicator is to measure outputs or outcomes. There is a tendency for short-term humanitarian programmes to focus on outputs. Most of the results frameworks used by Danish NGOs in receipt of Humanitarian Partnership Agreements report at output level although much of the work supported is medium to long-term.

In some, e.g. a quick-onset emergency, it may be realistic only to monitor and report at output level, such as the number of persons treated or housed. However, humanitarian activities in protracted crises or ongoing situations of fragility are becoming more common. For example, if programmes are seeking to resolve conflict, build peaceful relations or build more resilient communities, they aspire to positive change in the form of outcomes. As in development interventions it is important that Danish CSOs are clear about the change they want to contribute to, choose an appropriate indicator that will enable them to monitor and gather data to demonstrate their contribution to that change, or as a minimum monitor that they do no harm. The documents reviewed by the evaluation team indicate that there is room for improvement in Danish CSO humanitarian reporting in this regard.

- *Conflict-sensitive indicators*

In many fragile contexts it will be necessary to include indicators relevant, for example to the drivers of conflict such as mortality rates, human rights violations, or perceptions of insecurity, or to peacebuilding efforts such as reintegration of displaced persons, number from marginalised groups participating in activities, or level of access to justice. Similar proxy indicators may be used for intangible qualities such as ‘trust’ or ‘confidence’ among groups.

- *Disaggregated data*

Finally, it is important to ensure that the indicator requires disaggregated data. Disaggregated data is particularly important in fragile contexts since vulnerable groups are often those most affected. A disaggregated indicator will enable you to assess whether the programme is targeting and reaching the right groups e.g. in relation to region, gender, religion, ethnic origin, etc. All three Danish CSOs reviewed are aware of disaggregating data based on gender and, to some extent, on marginalised groups.

## **2.3 Some good M&E practices**

M&E in fragile situations needs to be quick, safe and practical as programmes are often implemented in unsafe and difficult-to-access environments. The following is a summary of some of the challenges that can be associated with M&E in fragile contexts.<sup>13</sup>

- The pace of change in volatile contexts, e.g. new population movement and needs increases the challenges of collecting and analysing data and adapting responses accordingly.
- Reduced access to physically monitor and engage with communities.

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<sup>13</sup> Sandison, P. Programme quality in remotely managed humanitarian programmes: Findings from existing literature and practices. Oxfam. 2016.

- Risk to staff and partners whilst travelling to communities and collecting data. This can also lead to male dominated teams and hence reduced access to female beneficiaries.
- Fear of sharing information (security, data protection) including specific security risks through the use of technology to monitor (e.g. GPS enabled smart phones, tablets, cameras), often viewed with suspicion by groups controlling an area.
- Additional requirements for data, such as documented visual proof of outputs (e.g. whether a water point has been built and where) and detailed evidence of the receipt of aid for each beneficiary.
- Multiple donor reporting formats. This is a systemic problem, but the limited available funding in many insecure contexts can increase the number of donors and reports.
- Weak local capacity in M&E and high staff turnover, making sustained capacity building in M&E difficult.
- Overly complex monitoring systems which are not tailored to context or capacity.
- An emphasis on upwards accountability (to donors, to organisational risk reduction) rather than to the affected communities and people.

This section will explore some options for dealing with these challenges:

### **Regular reviews of Theory of Change**

Revisiting context analysis and theories of change in a light-touch way through team and stakeholder meetings is vital in fragile situations due to their dynamic nature. This can provide regular information to adapt programme activities and anticipated outcomes and can contribute to risk management.

### **Risk assessments**

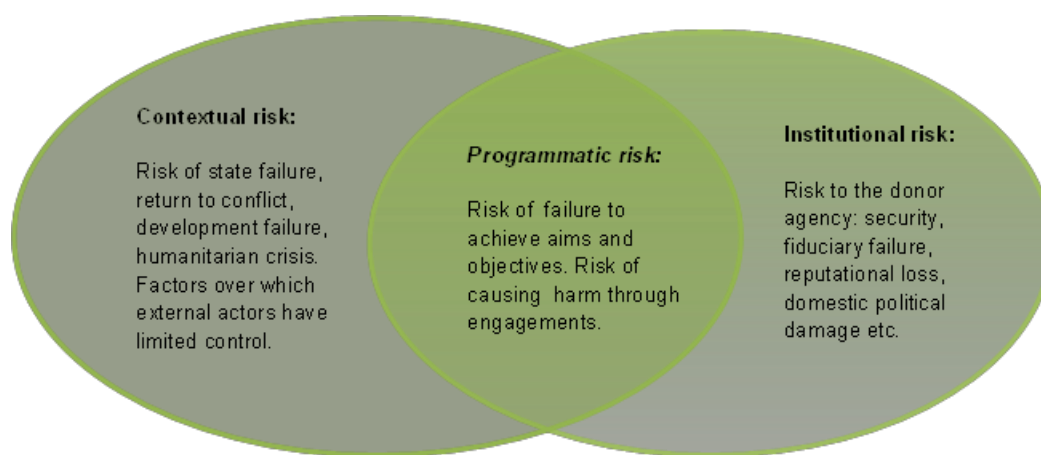
Working in a fragile context is generally risky and there is an obvious need for assessing risks when working in conflict zones or situations where there are possibilities for conflict. This concerns not only the important issue of security for programme staff but also in order to ensure that development or humanitarian interventions remain relevant and effective despite the difficult circumstances.

DanChurchAid and Save the Children Denmark use the Danida guidelines for risk management<sup>14</sup>, which distinguish between the following types of risk (Figure 2).

### **Figure 2: Core Risk Categories: the Copenhagen Circles**

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<sup>14</sup> <http://amg.um.dk/en/technical-guidelines/guidelines-for-risk-management>



The guidelines also provide a useful risk matrix, which can be used for regular monitoring of risks, something which should be done at regular intervals.

Some of the Danish CSOs already do risks assessment at least at country level or sometimes on a specific area, while it appears that others do this only at a programme level, which is insufficient.

### **Baselines**

Setting a baseline at the beginning of an intervention provides a basis against which to measure progress. It helps to set realistic targets in relation to the resources and implementation capacity available. It also helps to identify what data are possible to collect and which indicators realistically can be used. However, setting a baseline is sometimes overlooked in fragile contexts where staff are under pressure. No baselines were found in the short review of the humanitarian documents of the monitoring systems of the three Danish CSOs.

### **Data collection**

How best to collect monitoring data in a fragile context will vary from situation to situation. The Danish CSOs reviewed largely collected their own monitoring data as reliable, updated official data is generally not available in fragile contexts e.g. the most recent official census in South Sudan was in 2008.

CARE<sup>15</sup> has identified five “helpful hints” to manage data collection in peace building projects:

- *Set clear parameters for your Me&E*, i.e. the scope of your data gathering activities (number of questions, geographical areas, target populations etc.) should be compatible with the time and resources you have available.
- *Focus your sources of data*, e.g. by using purposive sampling which can be a way of ensuring that all relevant views are captured (if all relevant actors are included) without the expense and risks of big random samples.

<sup>15</sup> CARE International UK. Guidance for Designing, Monitoring and Evaluating Peacebuilding Projects: Using Theories of Change. 2012.

- *Select a sample size that balances credibility of the evaluation process with feasibility*, e.g. by including all relevant populations and ensuring diverse perspectives are included.
- *Select your data collection methods carefully*, taking into consideration which methods are appropriate for the context and the kind of information you are seeking to learn, and how many different kinds of methods will be needed to gather the data and ensure the credibility of your findings.
- *Form a data analysis team* of four or five that might include stakeholders such as local leaders and project participants.

In some circumstances it may not be advisable for staff to access the community where data needs to be gathered and M&E may need to be done remotely or through other actors. INGOs often rely on national staff or local CSO partners for this. This requires investment in their skills and capacities. It is also important to understand where individuals and organisations themselves sit in a political economy of the conflict in order to recognise potential bias. Those agencies who have an established relationship with partners are likely to be better able to identify their strengths and weaknesses and to interpret the information they get from them.

One approach to monitoring programme progress under these circumstances is to work with local communities/beneficiaries directly to collect data e.g. through public or social audits. There are two ways this might be done:

- Bringing community representatives to a safe place and conducting the audit there. The risk is that not all relevant groups and points of view are represented. For example, men are usually more willing or able to travel than women.
- Using software applications for smart phones and tablets that local people can use to monitor programmes or projects via mobile data collection. These applications enable local people to gather monitoring data, e.g. a completed questionnaire or images of installations or community members that can be uploaded to the ‘cloud’ and accessed centrally<sup>16</sup>.

There is a growing body of literature and practice on remote management of humanitarian programmes including remote M&E<sup>17</sup>. These point to the importance of using good *triangulation* of data from different sources to verify information and to build up a more complete picture. However, the literature also highlights the need to understand context and to be careful not just to pass risk on to CSOs or communities who may be collecting data. M&E in fragile contexts may also require a much higher investment of resources.

### **Community-based monitoring**

Special mention should be made to community-based monitoring. In a fragile context many of the outcomes envisaged can be expected to be at a community level, for example improved

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<sup>16</sup> One such possibility is the Danish developed ‘Viewworld’ which is being tested by some Danish CSOs. See <http://www.viewworld.net>

<sup>17</sup> Sandison, P. Programme quality in remotely managed humanitarian programmes: Findings from existing literature and practices. Oxfam. (2016).

resilience, as reflected in the Civil Society Policy commitment to building/rebuilding community-level structures in fragile contexts. More generally, there is an increased focus on humanitarian interventions being accountable to local communities and beneficiaries through initiatives such as the Humanitarian Accountability Partnership and other certification schemes. All three Danish CSOs reviewed recognise the need for certification concerning accountability to beneficiaries in humanitarian contexts.

### ***Civil Society Policy and participatory monitoring***

*“Civil Society reporting will continue to be based on the systematic monitoring of results (output and outcome) and, if possible on impact ... The choice of indicators should be mutually agreed and relevant to the specific context ... Few informative indicators tell much more than complex systems. Civil society actors should increasingly conduct locally based, participatory monitoring approaches ... (which) can contribute to empowerment of rights-holders”.*

“Policy for Danish Support to Civil Society”. Danida, June 2014 p. 38.

The evaluation has already noted how a number of Danish CSOs are experimenting with community-based monitoring in conflict-affected situations<sup>18</sup>. In particular, Danmission is experimenting with partners on how best to monitor its work at community level in conflict resolution. However, a brief evaluation field visit to South Sudan in 2015<sup>19</sup> suggested that some Danish CSOs could take more advantage of the opportunities of building/rebuilding community-level structures and of establishing a culture of participation, accountability, non-discrimination and transparency, and in their documentation of this. Local CSOs also showed some resentment towards INGOs that marginalised and/or did not adequately invest in developing the capacity of local organisations. An evaluation survey of Danish CSO partners in South Sudan in early 2016<sup>20</sup> shows that some of the Danish CSOs are perceived to be providing more hands-on support to local CSOs than other donors<sup>21</sup> but that nonetheless there was room for improvement, e.g. in capacity building in M&E systems and approaches.

The challenge is to clarify the role of support to community level structures and local CSOs in the Theory of Change; and how its effectiveness can be monitored, evaluated, and reported on to enhance accountability. In particular to move from output to outcome indicators in protracted crises – for example, from number of people trained in conflict resolution (output indicator) to number of community perception studies reporting less conflict subsequent to the training

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<sup>18</sup> See “Danish CSOs and their Pathways to Change: A Learning synthesis” September 2015.

<sup>19</sup> South Sudan Inception Report. January 2015

<sup>20</sup> <http://paths4change.info/resources/summary-analysis-of-south-sudan-danish-partner-survey>

<sup>21</sup> <http://paths4change.info/resources/summary-analysis-of-south-sudan-danish-partner-survey> DanChurchAid stood out for consciously considering partnership and capacity building in a fragile context



### 3 Some key points

In conclusion, key points include:

- The draft Danish Development Cooperation Strategy is likely to further concentrate aid assistance to fragile contexts; to strengthen the links between humanitarian and development support to civil society; and to place even more focus on demonstrating results.
- Danish CSOs in receipt of both humanitarian and development funding from Danida are likely to be required to demonstrate their results through one reporting framework. This will present a challenge since currently the reporting expectations and requirements of each type of 'strategic funding' are quite different.
- Good M&E practice summarised in previous evaluation reports will remain valid. However, results frameworks and monitoring frameworks need to be appropriate to the specific challenges of fragile contexts.

In particular, results reporting in a fragile context should involve:

- A dynamic, updated analysis of the drivers of change in the fragile context to inform a Theory of Change.
- Flexible, adaptive use of a Theory of Change to inform the results framework and regular reviews of it.
- Establishing a framework for monitoring risk on a regular basis.
- Setting a baseline, if possible, at the beginning as the basis against which to measure progress.
- The use of appropriate indicators to measure progress i.e. realistic, practical and reflective of the Theory of Change.
- The use of a pragmatic approach to data gathering particularly at community level. The choice of indicators and approach to data gathering should be reconciled from the outset.
- Assessment of risks posed by different monitoring technology and approaches to staff, partners, or communities and understanding of who may lose out if monitoring reveals abuse, corruption or diversion.
- Robust measures to ensure data protection and confidentiality.
- Use of multiple approaches and sources and strong triangulation of data.
- Investment in the capacity of national staff and partners in M&E (remote or direct).

- Recognition of the higher level of investment in M&E that may be required.

Finally, the need for more flexible and adaptive approaches in fragile contexts is a challenge also to donors, like Danida, to think about their demands for accountability; how they can simplify them but also how they can build in more flexibility in their requirements to allow programmes to adjust to monitoring information and changing circumstances.

# Annex A Selected bibliography

## a) Guidelines for working in fragile contexts

OECD/DAC. Principles for Good International Engagement in Fragile States.

<http://www.oecd.org/dac/governance-peace/conflictfragilityandresilience/principlesforgoodinternationalengagementinfragilestates.htm>

New Deal agreed at the 4th High Level Forum on Aid Effectiveness on November 30th 2011 at Busan, <https://www.pbsdialogue.org/en/new-deal/new-deal-principles>

Sandison, P. Programme quality in remotely managed humanitarian programmes: Findings from existing literature and practices. Oxfam. 2016.

## b) Results reporting in fragile contexts

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**c) Conflict analysis**

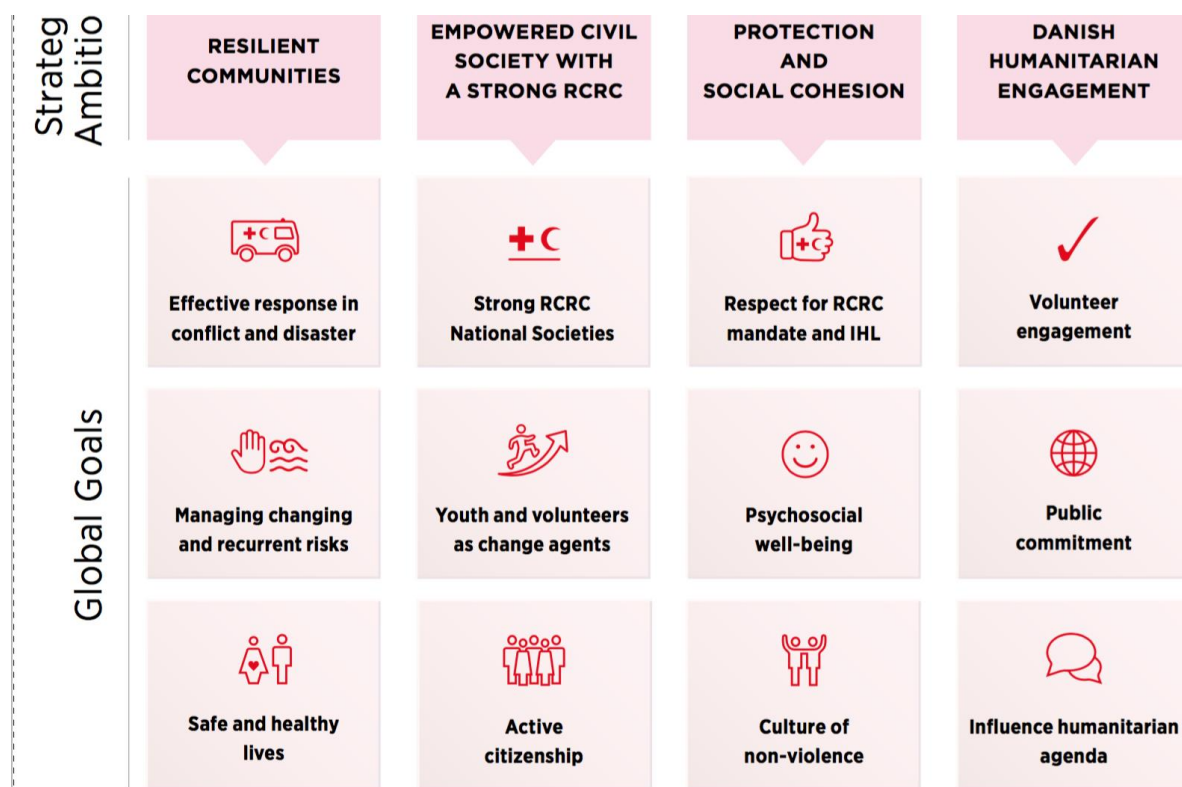
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# Annex B Results framework examples from three Danish NGOs

## Danish Red Cross - DRK

DRK’s “International Strategy 2015-20”<sup>22</sup> states that this relatively new strategy “diverges from a rigid distinction between development and relief interventions”. It has — as presented in the figure below — as one of its four central themes (called strategic ambition) “Resilient Communities”, which is clearly a concept central to LRRD and it may be argued so is another Strategic Ambition “Protection and Social Cohesion”.



DRK is presently implementing a system of formulating “country strategies”, based on an analysis of the context in the country as well as of the local Red Cross/Crescent society, other international partners and International Committee of the Red Cross (ICRC) and International Federation of Red Cross and Red Crescent Societies (IFRC) support.

DRK reports annually in Country Programme Progress Reports (CPPR) on progress in the country programmes in relation to progress against the Strategic and Global goals as these are translated into results on country levels in the country strategies and how this again contributes to the global goals of DRK’s International Strategy.

<sup>22</sup> [http://www.urk.dk/fileadmin/user\\_upload/URK/filer/hvem-er-vi/organisation/RodeKors\\_Intl\\_strategi\\_2015-2020\\_final.pdf](http://www.urk.dk/fileadmin/user_upload/URK/filer/hvem-er-vi/organisation/RodeKors_Intl_strategi_2015-2020_final.pdf)

Reports are done on results from project to country to aggregate overall level once a year and includes reporting on cross-cutting issues.

The project reporting format contains output as well as on outcome indicator reporting, but outcome reporting is only done for finalised projects. There is a clear focus on disaggregated data on beneficiaries to gender, age and vulnerability and includes a simplified reporting on the project's contribution to the Global Goals and Strategic ambitions.

The country reporting covers a more detailed reporting on the Global Goals and Strategic Ambitions according to the country strategy and the indicators for each strategic and Global Goal. There is in addition more detailed reporting on Partnership and Capacity development as well less detailed with other cross-cutting issues: gender and diversity, innovation, humanitarian diplomacy, rights based approach as well as LRRD.

### **DanChurchAid (DCA)**

In its "Updated International Strategy 2015-2018" (November 2015), DCA defines its three international goals as being:

- 1) Save lives
- 2) Build resilient communities
- 3) Fight extreme inequality

With four thematic focus areas:

- 1) Active citizenship
- 2) Right to food
- 3) Humanitarian action
- 4) Safer communities.

The Strategy integrates all of DCA's international work from various financing sources and therefore includes both humanitarian and development issues.

While 'Saving lives' can be seen as primarily a humanitarian issue and includes DCA's considerable mine action work, 'Building resilient communities' straddles the LRRD continuum.

DCA is a member of the Action of Churches Together (ACT) alliance but still maintains its own country offices in its priority countries. DCA has since 2015 embarked on Country Programming.

DCA's guidelines for developing a Country Programme Document are comprehensive. They include: a country analysis with an analysis of civil society, including faith based organisations, of the thematic areas, challenges being addressed, rights holders and duty bearers including drivers of change. It also includes a country programme ToC, a partnership analysis, financing for

sustainability, and a risk assessment. The guidelines also recommend that a logframe or LFA matrix is developed.

There are results frameworks in the International Strategy for the thematic focus and goals indicating the overall objective, programme activities, effect indicator for 2016, strategic indicator for 2018 and assumptions and risks. Similar results frameworks are defined for partnerships, Human Rights Based Approach (HRBA) and gender as well as global advocacy, role as Danish CSO, financing and programme management. Effect indicators are not defined for country programmes in DCA's International strategy, but clear and in many cases measurable, objectives are defined.

Focus countries with both development and humanitarian activities are: Ethiopia, South Sudan, Uganda, Zambia, Cambodia, Myanmar, Nepal, Kyrgyzstan, and Palestine. Mine action countries: Angola, DRC, Mali, Laos, Lebanon, Libya and Hum Afghanistan, CAR, Iraq, Sudan, Somalia, Pakistan, Philippines, Syria, Turkey (2014).

DCA provides one joint global report to the HCP, but in addition provides more detailed reporting on HPA as required by HCP in the MFA.

### **Save the Children-DK (SCD)**

SCD works as part of the Save the Children International (SCI) and contributes to SCI's strategy and has formulated an "International Strategic Plan 2016-2018".

SCD in its "Danida Framework Strategic Plan – Update" (March 2016) presents its priorities as follows:

- 1) Child Rights Governance, with subthemes: a) monitoring and demanding child rights with children, b) good governance to deliver child rights and c) public investment in children.
- 2) Child Protection with subthemes: a) protection of children from violence, b) appropriate care, and c) protection of children from harmful work
- 3) Education/Child poverty with subthemes: a) adolescent skills for successful transition (child poverty) and b) basic education and has defined sub-thematic results for use in planning.

SCD's "Reporting on Results 2015 – Humanitarian Partnership Agreement" contains an extra thematic priority: "Health & Nutrition" and has a slightly different way of presenting priorities and the 2015 HPA Results Framework, which is being reported on is different from the way results frameworks presented in the Frame Strategic Plan. SCD claims that this is because there are differences in what is required for reporting for the HPA and the Frame.

The SC country offices are now joint for all national or member SCs supporting the country in question and 'operated' as SCI country offices and SCD has from 2016 started — in cooperation with SCI — on a joint country planning process, which includes both humanitarian and development issues. Each country office develops its own Country Strategic Plan (CSPs) for a three year period in alignment with SCI's global strategic plan for the same period.

SCD develops its own 'Country Engagement Plans' (CEPs) that include a context analysis, looks at the CSP for the particular countries up against SCDs own priorities and resources, reflect negotiations with other SC members in terms of focus areas in each country, address capacity building support needs of the respective country offices, and on that basis defines what SCD will support in each of those countries. The Country Engagement Plans cover both humanitarian and development funding opportunities, not exclusive to Danida.

In the fall of 2015, SCD implemented a joint country programming process, preparing both humanitarian and development focused country programmes for 2016-2018. These country programmes build on the country offices' CSPs as well as SCD's own CEPs, thereby ensuring alignment with the SCI global priorities as well as SCD priorities, including Danida priorities. The country programmes have three year outcomes, with targets for 2018, and outputs with targets that are set annually. All SCD's country programmes are informed by 'Child Rights Situation Analysis' developed by the SCI country office and the analysis studied (for Somalia/Somaliland) is a thorough and relevant document but could address conflict and risks more in-depth. SCDs country programmes for 2016-2018 form the basis of the Danida Frame and HPA programmatic priorities and results for that period.

The Danida Frame and HPA Results Frameworks have three-year outcomes with targets for 2018 and outputs with annual targets. Outcomes may also be revised, based on changes in context and/or output delivery.

There are also defined similar results frameworks for Global/Regional Priorities and for the cross-cutting issues of 'Child Rights Programming, Child Participation and Gender', 'Partnerships with civil society' and Advocacy as well as for organisational priorities such as 'Monitoring, Evaluation, Accountability and Learning'.

The results captured through the various results frameworks can then be aggregated to show what output level targets have been obtained annually and what outcomes have been met over a three-year period.

SCD has an increased presence in fragile states. Priority countries for SCD Frame (2016) are: Bangladesh, Ethiopia, Cambodia, Sierra Leone, Somalia/Somaliland, South Sudan and for HPA (in 2015) Somalia (Puntland), South Sudan – Mali, Iraq, oPt and CAR.

From 2016-18 strategy period the SCDs country planning for Somalia/Somaliland and South Sudan is done jointly and the intention is to do this for other fragile countries in order to be better able to utilise synergies between the Frame and HAP resources.

SCD consequently is moving towards joint country planning of both development and humanitarian programmes, but also stresses the need for having a resource for unplanned emergencies as is the case with the global flexible funding in the HPA.

SCD programming based on SCD's priorities and expertise and country processes appears to be a solid way of planning and defining results frameworks also in the fragile states, which SCD is increasingly engaged in and defining joint strategies which includes both development and humanitarian issues in a more holistic way is a process under way in SCD.