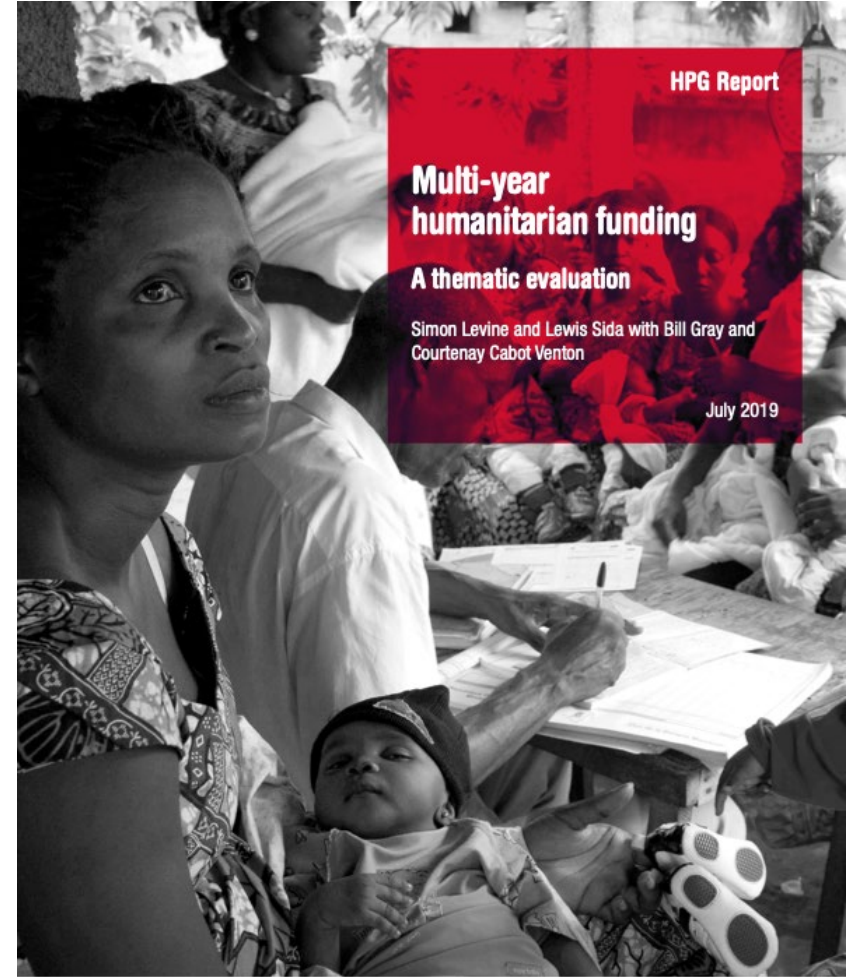



VALID EVALUATIONS



UKaid
from the British people





Multi-year humanitarian funding

A thematic
evaluation

Key finding:

The resilience challenge is greater than commonly assumed, and the factors influencing this are multi-dimensional

The evaluation

- Valid Evaluations conducted a thematic evaluation for DFID between 2014 and 2018.
- The main rationale was the introduction of multi-year humanitarian financing. DFID introduced multi-year humanitarian funding (MYHF) in 2014, largely in acknowledgement of the fact that crises had become protracted and funding year by year was inefficient.
- DFID wanted to test whether the introduction of longer-term funding could help build resilience, and whether it provided better value for money. The evaluation looked at four countries where MYHF had been introduced; Sudan, Ethiopia, Pakistan and the Democratic Republic of Congo (DRC).

The method

The evaluation used several research techniques, both qualitative and quantitative. At its core was a panel survey in two districts in each country focused on the shocks people experienced and how they coped.

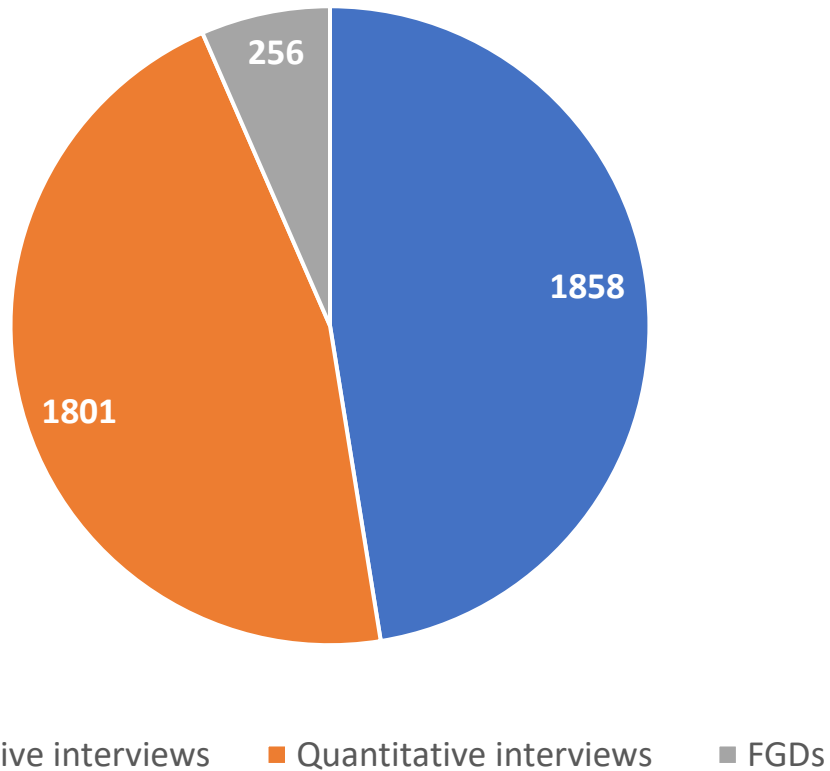
In Ethiopia there was a significant drought emergency during the study period and the team conducted a quantitative study looking at asset loss.

In all four countries both gender and ill health featured significantly as factors for coping (or not). The team followed up with discreet studies in both areas.

There were also economic analyses conducted looking at the cost of late response in Ethiopia and the value associated with contingency funds.

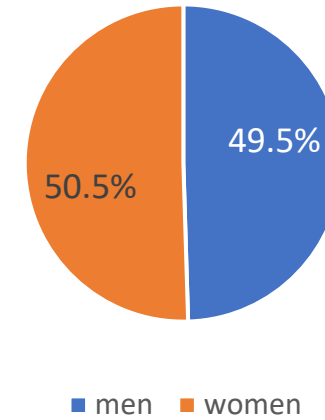
The data

Interviewing method



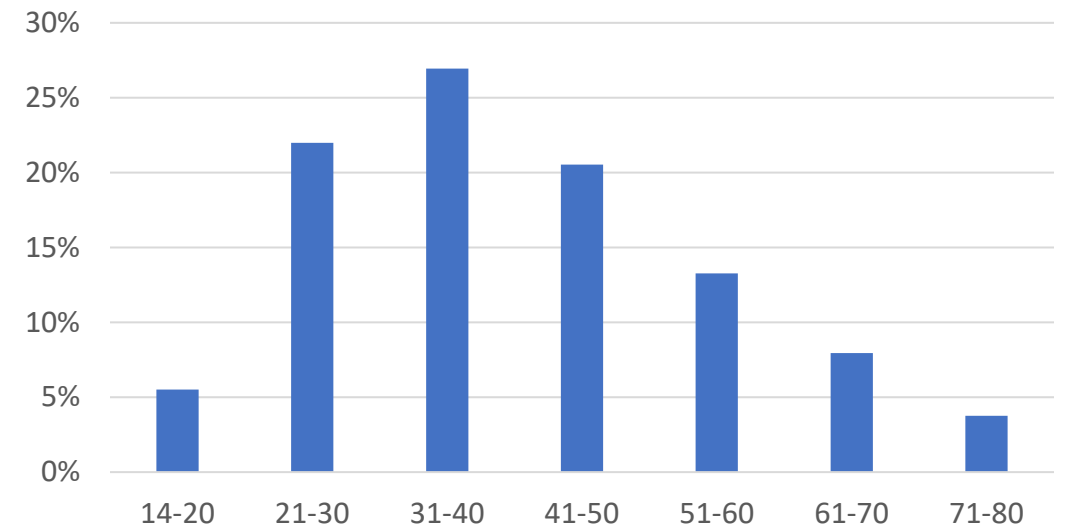
Source: Authors' own – Sida, L.; Levine, S.; Gray, B.; Cabot-Venton, C. and Benda, B.

Gender division



Source: Authors' own – Sida, L.; Levine, S.; Gray, B.; Cabot-Venton, C. and Benda, B.

Age range all qualitative interviews



Source: Authors' own – Sida, L.; Levine, S.; Gray, B.; Cabot-Venton, C. and Benda, B.

Research outputs

Evaluability, formative reports: Ethiopia, DR Congo, Sudan & Pakistan.

The economic case for early humanitarian response to the Ethiopia 2015/2016 drought.

The economic case for Multi-Year Humanitarian Funding: Emerging Findings.

The contributions of early emergency response and resilience investment: A study of the 2014-2016 drought in Sitti and West Hararghe Zones, Ethiopia.

The impact of displacement on gender relations and the roles of women: the case of Afridi IDPs from FATA, Pakistan.

Counting the cost: assessing the full economic cost of ill-health in West Darfur, Sudan.

Can't afford to be sick. Assessing the full cost of ill-health in North Kivu, Eastern DR Congo.

Summative reports: Ethiopia, DR Congo, Sudan & Pakistan.

Synthesis report.

In the four countries studied there were shocks to households and communities almost continuously, both large and small.

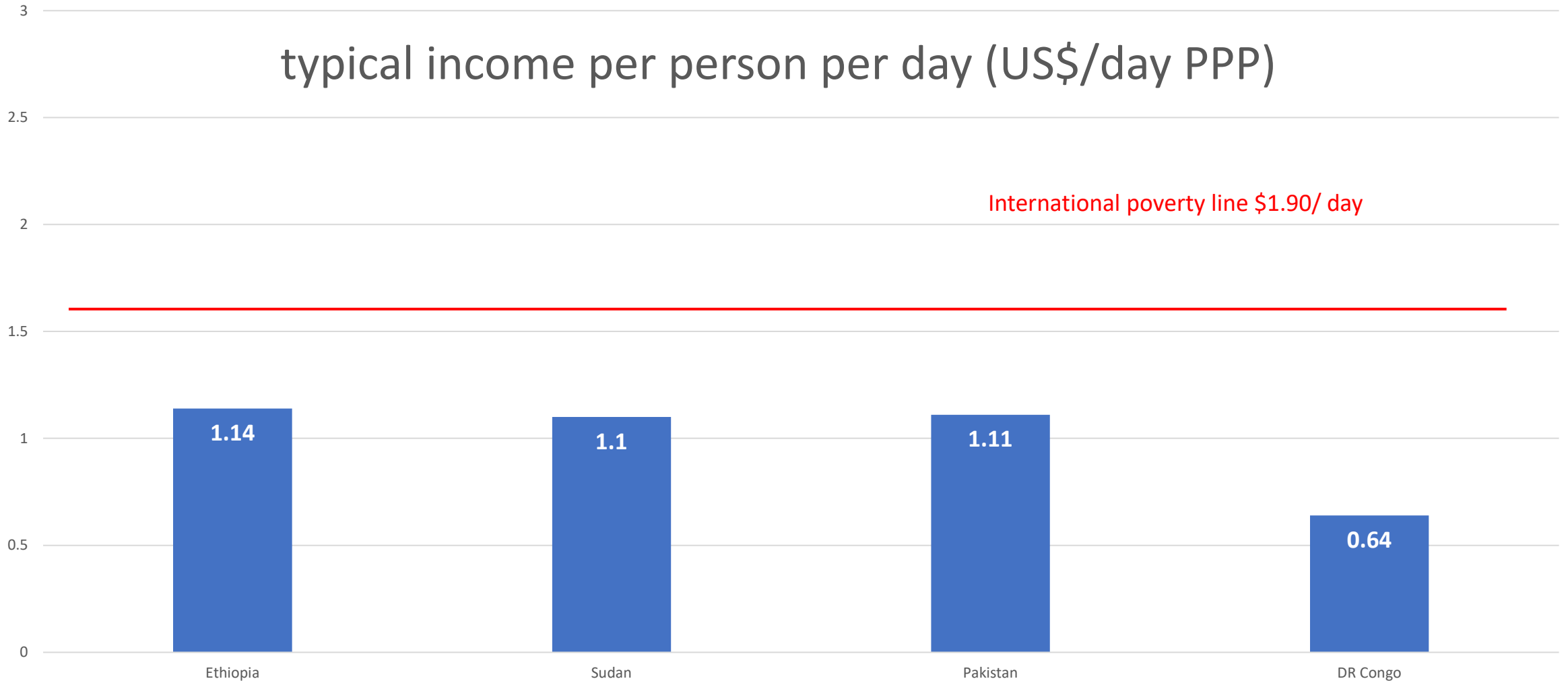
All four countries being studied experienced a wide range of shocks during the time period, at national, regional and household level**.


Ethiopia	DRC	Sudan	Pakistan
Covariate			
<p>South Sudan <u>refugee</u> influx. <u>Drought</u> in northern Somali region 2014-16.</p> <p>El Nino <u>drought</u> in highlands 2015-16; in lowlands 2016-17.</p> <p><u>Flooding</u> in Somali region 2015-16.</p> <p><u>Political unrest</u>, mass displacement (>2m) 2016-18.</p>	<p><u>Conflict</u> nationally. <u>Conflict</u> and displacement in Masisi 2016.</p> <p><u>Cholera</u> in Masisi following displacement.</p> <p><u>Flooding</u> and landslides Bukavu 2015</p>	<p><u>Conflict</u> in Darfur at times flaring into major displacement.</p> <p><u>Drought</u> in Darfur; 2015-16 El Nino.</p> <p><u>Drought</u> in Kassala 2015, <u>Flooding</u> in Kassala 2016.</p>	<p><u>Conflict displacement</u> in FATA-KPK.</p> <p><u>Conflict</u> in FATA (feuds, etc.).</p> <p><u>Floods</u> in Sindh 2015.</p> <p><u>Earthquake</u> in SWAT 2015.</p> <p><u>Communal/caste violence</u>.</p>
Idiosyncratic			
<p>Local <u>economic recession</u> as result of drought; closures of many small businesses.</p> <p><u>Invasive species</u> (prosopis), pests.</p> <p><u>Health shocks</u>.</p> <p><u>Divorce, widowhood</u>.</p> <p><u>Disability</u>.</p>	<p><u>Crop disease</u>, pests and soil infertility</p> <p><u>Health shocks</u>.</p> <p><u>Rape, sexual violence</u></p>	<p><u>Crop pests</u> and invasive species.</p> <p><u>Health shocks</u>.</p> <p><u>FGM</u>.</p> <p><u>Forced early marriage</u>.</p>	<p><u>Drug addiction</u>.</p> <p><u>Health shocks</u>.</p> <p><u>Forced early marriage</u>.</p> <p><u>Domestic violence</u>.</p> <p><u>Honour killings</u>.</p> <p><u>Land grabbing</u>.</p>

**this list is not exhaustive, but instead gives a sense of the range and intensity.

And people were poor. For the majority in the study – what we called “just managing” – they were well under the international poverty line.

The typical income of those studied in our cohort was significantly under the international poverty line (IPL). These households were not the poorest, but represented what we called, “just about managing”. The majority fell into this category and there were very few who were genuinely better off. Further, over time people who did appear better off could easily fall back into this category through shocks (see previous slide).





The resilience challenge is greater than commonly assumed, and the factors influencing this are multi-dimensional

- Much of the literature and practice in the humanitarian sector defines resilience by reference to shocks, and specifically those shocks that create humanitarian crises.
- This study found the smaller shocks, e.g. ill-health, were just as important in limiting people's life chances.
- More importantly, a coherent analysis of people's resilience was impossible if it separated off one set of constraints (those caused by shocks) from all the other structural factors that limited people's agency even in the absence of shocks.
- For people living in recurrent or protracted crises and in poverty, resilience is reflected in the choices that people are able to make when in difficulty. Resilience as agency-in-crisis is a more useful conceptualisation of resilience than one based on recovery times after large shocks.

The study identified seven main factors that affected people's "agency in crisis", or resilience.

1

Gender was the single biggest determinant of a person's agency, in and out of crisis.

- The single biggest determinant of an individual's life chances in all four countries was whether they were born male or female. What may be considered advantageous for a household or community is not necessarily in the interests of 50% of their members. Some examples include:
- In FATA, Pakistan, women and girls could be murdered with impunity for breaking honour codes. This meant the majority living highly constrained existences.
- In DRC women's access to assets was precarious, and both separation and widowhood often meant losing assets. Sexual assault and associated stigma is widespread in study areas.
- In eastern Sudan girls were married at age 13 and were expected to bear children before the age of 16 or face divorce.

2 Asset accumulation and business investment played a surprisingly limited role in creating resilience, perhaps because people could not get to significant levels of either.

Returns are low on rural production, often due to poor market access or lack of land.

Coping does not depend on assets; often these were held as livestock that dies in droughts or conflict.

Productive assets are vulnerable: livestock die of drought and disease; land can be lost in displacement.

Assets can make people targets. In both Darfur and eastern DRC people purposely avoided asset accumulation for security reasons.

Most people start from a very low base and find it impossible to accumulate investment capital.

Business was mostly petty trade where people consumed their profits. And in times of crisis such as Ethiopia in the El Nino drought, custom dried up as there was no disposable income.

3

Social connections *outside* people's locality were an important contribution to coping, especially where these were with people in urban areas.

- Providing opportunities to send children to the town for education or employment;
- As a source of remittances (most evident in Ethiopia and Pakistan);
- As a refuge for family members in times of extreme hardship (most evident amongst drought-affected clan members in Sitti Zone, Ethiopia); or
- If a rural area was suffering from a crisis (such as drought) that did not have such a serious impact on peri-urban dwellers.

4

The 'meso-economy' was the most important in determining livelihood

opportunities. This refers to the local economy, but covering a much larger, and typically a combined rural–urban, population than their very immediate, local economy.



Analysis of where people find resilience suggests that some of the critical levels are receiving less attention than is needed.

- To significantly improve the resilience of the study populations, the opportunities offered by their economies must be transformed. People's opportunities are rarely determined by the very local economy (e.g. within their village) and only minimally by the national economy. People in the evaluation cohort engaged economically at what can be described at the *meso-economy* level. The meso-economy has no neat borders, is shaped by national (and global) factors, and can transcend national boundaries.
- The meso-perspective allows rural and urban areas to be seen as parts of the same economy. Urban economies offer critical opportunities for rural households: through migration, through markets for rural produce and through connections.

5

Personal adaptive capacity is a critical skill but was comparatively rare. People's individual ability – part skill, part mindset – to take advantage of opportunities that are available is largely neglected in resilience thinking.



- People's level of initiative and the coping strategies that they adopted varied and did not depend solely on income or wealth. The way that couples sought each other's advice and supported each other's plans, for example, varied enormously. As a result, some were able to take on ventures that others were not, or which they simply did not see. This affected their own well-being and, often, that of their families.
- Resilience demands a high (and rare) degree of adaptive capacity. Almost everyone interviewed had been forced to adapt, but that did not demonstrate a *talent* or *capacity* for adaptation and was not evidence of resilience. A few individuals had succeeded from nothing where others had not, but they were exceptional.
- Individual adaptive capacity is not a substitute for opportunity. Hustling and squeezing the last drop out of every opportunity does not bring resilience; it only allows people to survive when their opportunities are limited.

6


Ill-health is a major impediment to people's progress towards resilience. It typically robs households of over a quarter of their potential income.

After excluding households who had particularly expensive treatment or high costs of accessing treatment, a typical household was losing \$200–\$300 a year, or between a quarter and a third of its total potential annual income in DRC. In West Darfur, households were losing up to \$600 in villages where malaria was most prevalent; this is 40% of a household's potential annual income.

7

Access to basic services was critical but was largely determined by political status, and the ability of people to overcome marginalisation.

- The *costs of ill-health* were a constant problem for most households (see previous slide).
- • *Ensuring an education* for their children – or at least for their sons – was a priority for most families and a constant economic preoccupation (and a major drain on limited resources).
- • *The importance of a water supply* for resilience was seen *negatively*, in parts of Ethiopia and Sudan, where droughts and a lack of water caused displacement; and *positively* in Pakistan, where piped water freed displaced women in Peshawar from the burden of transporting it.
- • *Limited access to justice* meant that many transgressions such as land-grabbing, domestic violence, inequitable divorce terms and usurious credit terms went uncontested.



Humanitarian assistance targets the issues that shape resilience but not in ways that can impact them.

Multi-year humanitarian funding must be actively managed to achieve improved quality, predictability and cost-effectiveness

Contingency funds must be linked to planning and, where possible, triggers

Multi-year humanitarian funding has the potential to support transformative change

Multi-year humanitarian funding cannot – in the short term – reduce the humanitarian caseload

Summary of the evidence from the evaluation

- MYHF can help improve the **quality** of humanitarian programming.
- **Long-term presence** in crises and in crisis-prone situations leads to **faster and more effective response**.
- There is limited evidence that agencies have used MYHF to develop **better context and problem analysis**.
- The existence of **contingency funding** did not lead to better contingency planning or preparedness.
- The **cost-efficiency** benefits of MYHF are more modest than had been hoped.

How MYHF could be transformative

1. At a project level, a MY timeframe gives more **opportunity to address the acute symptoms of crises** in ways that may also engage with some underlying factors behind vulnerabilities
 - If longer-term planning of humanitarian interventions becomes the norm in areas with protracted or recurrent crises, it may help agencies – and particularly donors – to **deepen how they use individual projects as part of a broader strategy**.
 - MYHF can blur the lines between development and humanitarian assistance, and can help raise questions about **which instruments are used in different situations**.

Multi-year Humanitarian aid exposes the need for a medium-term strategy in protracted crises and fragile contexts. Donors and aid agencies need to combine instruments and approaches, simultaneously building the capability of the state whilst filling the gaps until there is sufficient capacity. Context can determine the balance of efforts throughout.

