

ROUTLEDGE STUDIES IN INTERVENTION AND
STATEBUILDING

Humanitarian Crises, Intervention and Security

A framework for evidence-based
programming

Edited by
Liesbet Heyse, Andrej Zwitter,
Rafael Wittek and Joost Herman



Humanitarian Crises, Intervention and Security

This book presents a new framework of analysis to assess natural and man-made disasters and humanitarian crises, and the feasibility of interventions in these complex emergencies.

The past half-century has witnessed a dramatic increase in such crises – such as in Haiti, Iraq and Sudan – and this volume aims to pioneer a theory-based, interdisciplinary framework that can assist students and practitioners in the field to acquire the skills and expertise necessary for evidence-based decision-making and programming in humanitarian action. It has four major objectives:

- to provide a tool for diagnosing and understanding complex emergencies, and build on the concepts of state security and human security to provide a ‘Snap-Shot Analysis’ of the status quo;
- to provide a tool for analyzing the causes of crises as well as the related stakeholder field;
- to provide a frame to structure and analyze the information required to evaluate, monitor and/or design interventions for different actors on a project and/or program level;
- to combine concepts used in the humanitarian field with underlying theory in a practically relevant way.

The book will be of much interest to students of humanitarian intervention, human security, peacebuilding, development studies, peace studies and IR in general.

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Contents

<i>List of figures</i>	ix
<i>List of tables</i>	xi
<i>List of boxes</i>	xii
<i>List of contributors</i>	xiii
<i>Preface</i>	xv
1 The need for evidence-based programming in humanitarian action	1
LIESBET HEYSE, ANDREJ ZWITTER, RAFAEL WITTEK AND JOOST HERMAN	
2 Existing frameworks for humanitarian crisis analysis	12
LIESBET HEYSE	
3 Context analysis and securitization	29
ANDREJ ZWITTER AND JOOST HERMAN	
4 From theory to analysis: H-AID methodology	43
RAFAEL WITTEK AND ANDREJ ZWITTER	
5 Conducting a Comprehensive Context Analysis (CCA)	53
ANDREJ ZWITTER	
6 The political context	63
CHRISTOPHER K. LAMONT	
7 The economic context	70
FLEUR S. MULDER AND BARTJAN J.W. PENNINK	
8 The social-cultural context	86
CECILE W.J. DE MILLIANO AND BARBARA BOUDEWIJNSE	

viii *Contents*

9 The health and food context	99
RENSIA R. BAKKER	
10 The environmental context	115
PETER D.M. WEESIE	
11 From context analysis to intervention design	132
LIESBET HEYSE	
12 Stakeholder analysis: towards feasible interventions	149
RAFAEL WITTEK	
13 Monitoring, evaluation and learning in humanitarian organizations	171
CHAMUTAL AFEK-EITAM AND ADRIAAN FERF	
Conclusion	189
LIESBET HEYSE, ANDREJ ZWITTER, RAFAEL WITTEK AND JOOST HERMAN	
<i>References</i>	195
<i>Index</i>	213

Figures

1.1	Overview of the humanitarian analysis and intervention design framework	8
2.1	The selected frameworks and their relation to the immediate aftermath of a humanitarian crisis	13
2.2	The ideal balance of qualities of a framework of humanitarian crisis analysis	16
2.3	The progression of vulnerability	22
2.4	A visualization of the sustainable livelihoods framework	24
2.5	The five selected frameworks placed in the three dimensional space of core qualities	25
3.1	Levels of analysis in H-AID	37
5.1	Post-emergency mapping of the six context dimensions	57
5.2	CCA mapping before and after a hypothetical emergency	60
10.1	The many ways in which human well-being depends on ecosystem services	118
10.2	Interplay between disaster-struck/refugee populations, humanitarian assistance and the environment	124
11.1	The Context-Mechanism-Outcome approach in humanitarian crises	136
11.2	From prioritized intervention domains to thinkable and suitable food security interventions	143
11.3	Crucial mechanisms behind successful emergency seed aid interventions	144
11.4	Required context conditions for successful emergency seed aid interventions	145
11.5	Fictitious analysis of a CMO configuration applied to a particular crisis context	147
12.1	Graphical representation of the outcome continuum for issue 1 'size'	160
12.2	Stability analysis for issue 1 'size'	162
12.3	Negotiation landscape for issue 1 'size'	166
12.4	Relationship analysis for stakeholder 'government'	167

Conclusion

*Liesbet Heyse, Andrej Zwitter, Rafael Wittek
and Joost Herman*

Humanitarian action often has to take place in highly complex environments, with strong pressures on coordination and cooperation between a heterogeneous group of stakeholders, tough budget constraints, demanding accountability requirements and considerable time pressure. These are highly adverse circumstances for any decision-maker. Yet it is these contexts within which aid organizations have to take informed decisions, among others when, where and how to intervene or with whom to cooperate. Not surprisingly, the humanitarian sector is often accused of having taken wrong or insufficiently informed decisions.

In the past decades, awareness has grown and urgency is felt to avoid wrong or uninformed decisions and resulting flaws in humanitarian aid provision. Collecting, evaluating and analyzing information and using this information for evidence-based programming is deemed key in preventing such repetitive mistakes. However, humanitarian crisis contexts are by far ideal settings for thorough and thoughtful information collection and analysis processes, if only due to contextual constraints such as safety risks, lack of (access to) information, doubtful reliability and validity of information, and the strategic use of information in humanitarian crises. Despite these constraints, we argue, the sector should strive for and can achieve increased impact by means of adopting an evidence-based programming approach.

A ‘meta’-model for evidence-based humanitarian programming

Successful evidence-based programming requires robust and reliable tools for the collection and analysis of information on the context of the crisis and its stakeholders. We argue that such methods should meet a set of seemingly contradicting requirements. First, such tools should be both quick to apply and sufficiently thorough as to prevent superficial or simply wrong analysis. Second, such methods need to be quite generally applicable but also adaptable to the specifics of various crisis contexts (disasters, conflicts, complex emergencies, etc.) so that not only experts and specialists, but also a broad range of aid workers can perform these analyses. Third, in addition to an analytical framework, these methods should also provide guidelines for how to use the findings for programming purposes.

The humanitarian sector can already draw on many frameworks, tools and methods, which have proven useful in achieving more impact and preventing repetitive mistakes. We argue that these tools score well on some of the above-mentioned requirements but less on others. For example, some models (e.g. MIRA) can be labeled ‘quick and coarse grained’ whilst others, such as the PAR and the SLA frameworks, are ‘slow but thorough’. In between these tools are political economy and arena approaches that provide a valuable actor-oriented lens, but offer less concrete entry points for humanitarian programming.

Our analysis of the pros and cons of existing models led us to develop a ‘meta-model’ for context analysis and evidence-based humanitarian programming: the Humanitarian Analysis and Intervention Framework (H-AID framework). This framework is supposed to complement existing approaches. We consider it to score high on both ‘speed’ and ‘thoroughness’: it can be applied by humanitarian practitioners working under time constraints, while yielding sufficiently reliable and valid information for decision-makers. Simultaneously, this framework aims to be generally applicable but locally adaptable as well as offering entry points for programming advice. The H-AID framework developed in this book is thus an attempt to help the sector in arriving at better ‘informed decisions’ when preparing and implementing humanitarian interventions.

Core components of the H-AID framework

As outlined in this book, the H-AID framework consists of three core components: Comprehensive Context Analysis, Intervention Analysis and Stakeholder Analysis (see Figure C.1). We briefly summarize them below.

Comprehensive Context Analysis: a multidisciplinary effort

CCA is firmly grounded in comprehensive security and securitization debates in International Relations. Five specific context dimensions crucial to CCA have been discussed: the political, economic, socio-cultural, food and health, and environmental contexts. These chapters demonstrate that a proper CCA of humanitarian crises is multidisciplinary in nature, and needs to combine insights from academic disciplines ranging from economics to medicine, and from anthropology to biology. The CCA also illustrates the power of visualizing the results. The ‘radar chart’ facilitates comparisons between different security dimensions, and identification of constraints and capabilities. These five context dimensions are always present and we therefore deem them crucial for any context analysis.

Intervention Analysis: doing good by doing nothing?

The H-AID framework also provides guidance for decision-makers, country and project managers, project proposal writers, assessment teams and humanitarian

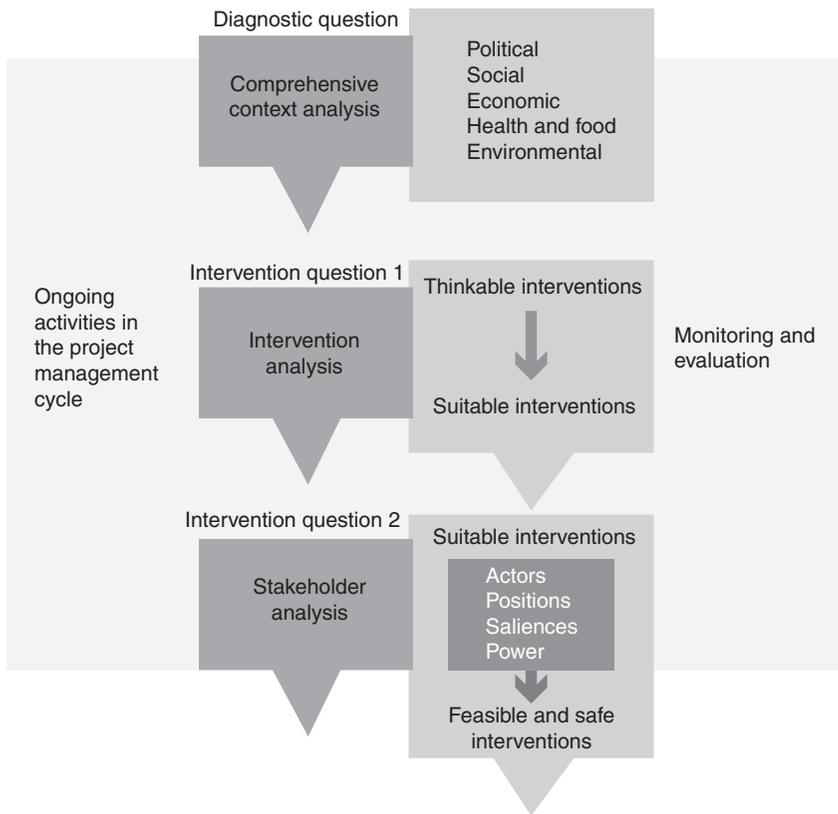


Figure C.1 Overview of the humanitarian analysis and intervention design framework.

experts to make the step from context analysis to intervention design. Using the method of theory-based *ex ante* evaluation allows to thoroughly think through, in advance, if action is required in a certain situation, and, if so, which action is then most suitable. Such an exercise consists of three steps: (1) identifying a set of interventions deemed suitable to a particular humanitarian situation; (2) outlining necessary context conditions for success of such identified interventions; (3) comparing these necessary context conditions to the actual context characteristics.

The H-AID framework purposefully follows a needs-based rather than a supply-driven approach in intervention analysis. This implies that an *ex ante* evaluation of proposed interventions might lead to the conclusion that these interventions might not be suitable or desirable, or might actually do more harm than good. Such an intervention analysis may help to prevent standardized responses and tunnel vision.

Stakeholder Analysis for negotiation and strategic action

The Stakeholder Analysis tool presented in this book helps to find out which of the suitable interventions may also be feasible and safe options. Stakeholder analyses in the humanitarian sector often are limited to an actor mapping exercise, which outlines a set of stakeholders present on the scene. The H-AID Stakeholder Analysis also requires identification of the key conflicting issues as they are related to the design of interventions, as well as the position, salience and power of these stakeholders. This information allows derivation of strategic insights for negotiation, both for purposes of implementing projects as well as of achieving organizational security.

Taken together, the three tools of the H-AID meta-framework (Comprehensive Context Analysis, Intervention Analysis and Stakeholder Analysis) provide information that is essential for the design of feasible interventions, and offer useful instruments for visualization. This information includes contextual capabilities and constraints, trends indicated by stakeholder interactions, stakeholder related risks and opportunities and the kinds of interventions that are appropriate. These three elements come with tools that allow for illustrating the information and thereby supporting the decision-making process. Finally, as a crucial component of any intervention design, this book provides guidelines and theoretical considerations for monitoring and evaluation as well as quality assurance. Each of these components requires that aid workers acquire a solid basis in information collection and analysis skills: they should know what information is valuable to collect, how to collect valid and reliable information, as well as to judge information quality, to analyze it, interpret it, scale and weigh it. We have also provided basic guidelines as how to achieve this.

Limitations to the H-AID framework

The H-AID framework has potential to assist the humanitarian sector in achieving evidence-based programming, but of course is not without limitations. We discuss four of these below.

Fuzzy categories and the risk of over- or underestimation

With the exception of the domains of food and health, there are usually no clearly defined sets of indicators or objective thresholds to assess the level of threat related to economic, social, political or environmental security. The lack of such objective criteria entails the risk of arbitrary judgments, and may lead to over- or underestimation of the threat to a specific domain. The analytical tools presented in the book are not able to solve this problem, and will not offer an 'objective' assessment of a situation. The tools do, however, offer guidelines for a comprehensive analysis, for identifying 'known unknowns', and for being transparent about assumptions and choices made in the information collection and analysis process.

Interrelated domains and issues of causality

The five context dimensions are interrelated and influence each other. For example, threats to economic security may be the cause of threats to food security, which in turn can be a threat for social security. Though there are instruments to analyze and identify these interrelations – such as cause mapping, root cause or stream analysis techniques – the tools in this book do not provide much guidance as how to systematically take these interrelationships into account in terms of mapping and describing them, and drawing conclusions about implications for interventions. The radar graph is not a causal map, but a tool that offers a summary overview. Nevertheless, it may help to trigger questions about the repercussions of conditions and events in one context on threats to security in other contexts.

Stakeholder Analysis versus stakeholder dialogue

Stakeholder Analysis is a tool designed to maximize the outcomes of one single stakeholder. Though the tool may nevertheless be useful for resolving conflicts, it provides little guidance for how to solve collective action problems and achieve joint production across several stakeholders. For example, some crisis situations may require major collaborative efforts, which can only be achieved through inter-organizational coordination of the organizational field as a whole. The application of stakeholder analysis techniques that maximize the outcomes of single stakeholders (e.g. specific humanitarian organizations) may be less fruitful in such settings, unless flanked by other techniques directed towards finding sustainable joined solutions, like stakeholder dialogues.

Quantification and the risk of quasi-precision

Both CCA and stakeholder analysis use quantification as an analytical aid. While facilitating transparency about assumptions and decisions as well as fostering systematic comparison, one danger of this approach is that small errors may cumulate to large biases and that numbers are reified as a reality of their own. This may lead to an impression of quasi-precision. Consequently, such quantification steps should be done with caution. Interpretations should be grounded in thorough background knowledge on how the ‘raw’ information on context or stakeholder characteristics has been translated into numerical indicators, and in particular on the size of the potential error margins associated with the estimates. The H-AID framework therefore also shows the importance of a multi-method approach to humanitarian CCA, in which qualitative and quantitative information is used.

Adopting, routinizing and testing the H-AID framework

A key objective of this book is to show the added value of evidence-based programming and the use of tools such as the H-AID framework. A remaining

challenge is how to build such a framework in existing organizational routines. This is not an easy task, as discussed in the chapter on monitoring, evaluation and learning in humanitarian organizations. One of the reasons is that the H-AID framework assumes an ongoing analytical and reflective process, closely aligned with monitoring processes in the project management cycle as well as internal management processes such as learning processes and security management. How is this achieved in aid organizations? Moreover, how can we make sure that the tool is not only used, but also used correctly and constantly improved?

It is beyond the scope of this book to provide a comprehensive analysis of how to build such sustainable routines (see also Chapter 13). We only sketch three organizational arrangements that might facilitate building such routines. First, the skills required for conducting a sound context, intervention and stakeholder analysis can be learned. Hence, *professionalization of training* of aid workers is an important safeguard to ensure a sound application of these techniques. These training efforts can be organized at the level of the humanitarian sector or within single humanitarian organizations. To ensure the quality of the training, cooperation between practitioners and academics has been proven to be very effective in the past, and should thus be sustained in the future. Even short training modules can be highly effective. Once acquired, these skills need to be practiced in order not to fade, so humanitarian organizations may benefit from making practical training and refreshing of these skills an integral part of their investments in its workforce.

Second, another ingredient for taking informed decisions is the *availability, quality and rapid accessibility of information*. The sector is to compliment for its efforts to improve the continuous and collective collection, systematization and accessibility of knowledge about emergency contexts, intervention processes and project performance. Great efforts to build systematic repositories have already been started, such as done in OCHA, ALNAP, ACAPs, various humanitarian organizations (CARE) and via internet applications such as the Humanitarian Genome search engine of lessons learnt in humanitarian aid (www.humaitari-angenome.com).

Third, in order to remain useful, the tool itself needs to be constantly tested against real life applications, and subsequently adapted, expanded and improved. This requires continuous *feedback by practitioners* on the strengths and shortcomings of the tools as well as comparative case studies conducted by humanitarian studies students and scholars.

All in all, we consider the potential benefits of the H-AID framework in terms of speed, thoroughness, general applicability, local adaptability and generating programming advice to outweigh its limitations. It is an instrument that complements existing frameworks. We believe that its qualities have the potential to assist humanitarian organizations in their attempts to improve evidence-based programming. We hope that the framework will further prove its usefulness in future applications.

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212 References

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Index

Page numbers in *italics* denote tables, those in **bold** denote figures.

- 4i/5i frameworks for organizational learning 184–7, **186**
9/11 terrorist attacks 32, 41
- Abdulkadri, A. 77
absolute scaling 37
abstraction and prognosis 39–40, 41
accountability 3, 173, 176, 181, 182
Aceh, Indonesia 64, 65, 90
Active Learning Network for Accountability and Performance (ALNAP) 3, 5, 172, 173, 187, 194
actor analysis 10, 13, 18–19
Afghanistan 63
after action reviews *179*; *see also* monitoring and evaluation
aggregation and weighting of data 46–7, 54; economic context 79–85; food context 109, *112–13*; health context *110–11*; political context 66–9; socio-cultural context *96–7*, 98, 98
agriculture: Foreign Direct Investment (FDI) 76; intensification 107; irrigation 119–20; state interventions 107
aid provision *see* mechanisms of aid provision
Alina, C. 71, 72
ALNAP *see* Active Learning Network for Accountability and Performance (ALNAP)
analysis, levels of 34–5, **37**
Anderson, Mary 19–20
anemia 106, 108
applicability of frameworks 15, 25–7, 26; Capabilities and Vulnerabilities Analysis (CVA) 20; Multi-Cluster/Sector Initial Rapid Assessment (MIRA) 18; Political Economy/Arena Approach (PolEc) 19; Pressures and Release model (PAR) 23; Sustainable Livelihoods Framework (SLF) 24
appreciative enquiries *179*, 180
Argyris, C. 187
avalanches *123*
- Bam earthquake, Iran 91
Bangladesh 140–1
bargaining 166–7
bargaining chips 167, **167**, 168
baseline data 58–61, 59, **60**, **61**
baseline studies *178*, 180
basic goods, accessibility of *72*, *80*, 83
basic needs fulfillment 78
beneficiaries, including in monitoring and evaluation *174*, 181
biases 54
Blackmore, S. 78
Blaikie, P. 21
Body Mass Index (BMI) 108, 109, *112–13*
breast-feeding 108
Bretherton, D. 86, 89, 90
Brown, Lester 119–20, 121, 123–4
budget deficits 78
Bureau of Labor Statistics (BLS) 73
Burkina Faso 92
Business Employment Dynamics (BED) program 73
bystanders 165, **166**
- Cahuc, P. 71
CAME approach 130
Camp Management Toolkit 128
Capabilities and Vulnerabilities Analysis (CVA) 6, 12, **13**, 19–21, 25–7, **25**, 26

- capacity-building 65
carbon dioxide emissions 120
Cartwright, N. 140–1
case fatality rate (CFR) 105
cash transfers 138–9
cause analysis 13
CCA *see* Comprehensive Context Analysis (CCA)
Centers for Disease Control and Prevention (CDC), USA 106
Central America 95
Centre for Research on the Epidemiology of Disasters (CRED) 106
Che, Y. 76
Chernobyl disaster, Ukraine 122, 124
childbirth 105
children: child labor 78; measurements 108, 109; mortality 99
China 31
cholera 104
Christoplos, Ian 180
climate change 40, 41, 104, 120–1
Cluster approach 3
CMO *see* Context-Mechanism-Outcomes (CMO) approach
coalitions 164
Commission on Global Governance 32–3
common courtyard (*lakou*) system, Haiti 91
community environmental action planning (CEAP) 129
comparison and prognosis 40–1
Comprehensive Context Analysis (CCA) 9, 9, 190; dimensions and levels of analysis 33–7, **37**; measurement of context dimensions 53–6; measurement scale 46; pre-post-incident analysis 58–61, 59, **60**, **61**; threat perception and securitization 37–41; visualization and interpretation 56–8, **57**, 57, 58; *see also* data collection; economic context; environmental context; food context; health context; political context; socio-cultural context
Comprehensive Security 30
compromise position 159–60, 159, **160**
confidence intervals 51, 55–6, 56; radar graphs 56–7
conflicts 64; and food security 102; and health 101
consumer protection 77
consumption-based poverty measures 72
context analysis 13
context dimensions 33–4, 35–7, **37**, 53–6; confidence intervals 55–6, 56; pre-post-incident analysis 58–61, 59, **60**, **61**; scaling of 54–5, 54, 58; *see also* economic context; environmental context; food context; health context; political context; socio-cultural context
Context-Mechanism-Outcomes (CMO) approach 135–6, **136**; areas for intervention 141; CMO configurations 146–8, **147**; context conditions 139–41, 145–6, **145**; mechanisms 136–9, 143–5, **144**; suitable intervention options 142–8; thinkable intervention options 141–2, **143**
contractual institutions 77, 82, 84
Convention on the Rights of Persons with Disabilities 101
Coping Strategies Index (CSI) 109
corporate control 77
counterinsurgency strategies 63
Crossan, Marie 184–5
crude mortality rate (CMR) 104–5
cultural beliefs 88
culture *see* socio-cultural context
currency 74–5, 81, 83
CVA *see* Capabilities and Vulnerabilities Analysis (CVA)

data analysis, obstacles to 6–7; statistical 182
data collection 182–4, 183; aggregation and weighting 46–7; confidence intervals 51; decomposition 44–5; obstacles to 6–7; omnibus context 43–4; operationalization 45; quantification 46; quantitative score cards 129–30; reliability of analysis 14–15; reliability of data 45, 47–51, 49; semi-structured interviews 184; story-telling techniques 184; surveys 182; triangulation 48–51, 184; trustworthy and accurate sources 47–8, 49, 50; validity of analysis 14–15; verification techniques for data sources 48, 49, 50
de Waal, Alex 102
deal breakers 166–7, **167**
debt relief 78
decision-making: operational 176; strategic 176
decomposition of data 44–5
deforestation 116, 119, 121, 122, 125
democratization, third wave of 31
depository institutions 77, 82, 84
development programs 91

- diarrheal diseases 99, 105
 disaster relief programs 91
 disaster risk 21, **22**
 Disaster Risk Management, Central America 95
 domestic violence 39
 double loop learning 187
 drinking water 99, 104, 127
 duration neglect 41
 dynamic pressures 21, **22**, 23
- early warning mechanisms 178, 180, 183
 Earth system 116–17
 earthquakes 122, 123; Bam, Iran 91; Haiti 1–2, 5, 68–9, 87; Indian Ocean 2, 64, 65, 181; Pakistan 89; *see also* Fukushima disaster, Japan
 easy wins 167, **167**
 economic context 70–85; aggregation and weighting of data 79–85; emergency seed aid interventions **145**, 146; and food security 107; indicators 79, 80–1, 82; local dimensions 71–5, 80–1, 83; operationalization of data 79; regional and national dimensions 75–9, 82, 83–4
 Economist Intelligence Unit (EIU) 66, 66
 ecosystem services 117, **118**, 121, 122
 ecosystems 115–17
 education 77–8, 82, 84; Haiti 93
 effective power of stakeholders 157, 159, 160, 161, **162**, 169
 El-Hinnawi, Essam 123
 Emergency Capacity Building project (ECB) 174
 emergency food interventions: context 139–41; information sources 142; mechanisms 138–9; thinkable and suitable interventions **143**
 Emergency Nutrition Network 108
 emergency seed aid interventions: CMO configurations 147–8, **147**; context conditions 145–6, **145**; mechanisms 143–4, **144**
 Emergency Shelter Environmental Checklist 128
 employment 72–3, 74, 80, 83
 employment protection 71
 energy efficiency 75, 81, 83
 entitlements theory 102
 entrepreneurship 72, 74, 83
 environment: defined 115; markers 130
 environmental assessments 127–8; hazardous chemicals 130; refugee and returnee situations 129–30
 environmental context 115–30; ecosystem services 117, **118**, 121, 122; ecosystems 115–17; emergency seed aid interventions 145–6, **145**; environmental and natural disasters 122–4, 123; environmental refugees 123–5, **124**; environmental resources 117–21; environmental security 119; and food security 107; and health security 104; humanitarian action and environmental management 125–30; indicators 126–7
 environmental degradation, refugee camps 116, 125
 environmental impact assessments (EIA) 128
 Environmental Kuznets Curve (EKC) 75
 Environmental Needs Assessment 128
 environmental refugees 123–5, **124**
 Epicentre-Paris 106
 European Council 71
 evaluation *see* monitoring and evaluation
 evidence-based programming 4–6, 132–4
ex ante evaluation *see* theory-based *ex ante* evaluation
 external mechanisms of aid provision 90–1
 external monitoring and evaluation 180–1; *see also* monitoring and evaluation
 extreme weather events 120
- Failed States Index 65
 famine 101, 102
 feasible interventions 134; *see also* Stakeholder Analysis
 final evaluations 179, 183
 financial institutions 76–7, 82, 84
 financial legislation 77, 82, 84
 Flash Environmental Assessment Tool (FEAT) 130
 flooding 121, 122, 123
 focus group discussions 184
 food aid 102
 Food and Agriculture Organization (FAO) 101, 108
 food context 99–109; aggregation and weighting of data 109, 112–13; and economics 107; emergency seed aid interventions 145, **145**; and environment 107; food and nutrition security 101–2, 112–13; indicators 108; operationalization of data 106–9; and political security 107–8; *see also* health context
 food insecurity: acute 101, 102; chronic 101, 102

- food interventions *see* emergency food interventions
- foreign assistance 91
- foreign debt 78, 82, 84
- Foreign Direct Investment (FDI) 76, 82, 84
- forests: deforestation 116, 119, 121, 122; water regulation 122
- formal social structures 90
- formative final evaluations 179, 183
- fossil fuels 120
- fragile livelihoods and unsafe locations 21, 22
- Framework for Assessing, Monitoring and Evaluating the Environment in Refugee-related Operations (FRAME) 129–30
- free food distributions 138–9, 140
- Fukushima disaster, Japan 64, 68
- Fund for Peace 65
- gender: socialization 88; stratification 92
- George Mason University, USA 66
- Global Ecosystem 116–17
- Global Hunger Index (GHI) 109
- Global Outbreak Alert and Response Network (GOARN) 106
- Global War on Terrorism 32
- global warming 120–1; *see also* climate change
- globalization 94–5
- goals-based monitoring and evaluation 181–2; *see also* monitoring and evaluation
- goals-free monitoring and evaluation 182; *see also* monitoring and evaluation
- Goma, Zaire 105
- good governance 77
- Good Humanitarian Donorship Initiative 3
- Good Practice Review 13, 19, 27
- Green Recovery and Reconstruction Toolkit 128
- green revolution 102
- Greenhill, R. 78
- Greenland Ice Sheet 120–1
- H-AID *see* Humanitarian Analysis and Intervention Design Framework (H-AID)
- Haiti: political environment 68; security situation 94; social change 95; social control 94; social identity 89; social stratification 92–3; social structures 91
- Haiti earthquake 1–2, 5, 68–9, 87
- hazards 21, 22
- health context 99–109; aggregation and weighting of data 110–11; emergency seed aid interventions 145, 145, 146; and environment 104, 127; health security and public health 100–1; indicators 104–6; levels of health security 110–11; operationalization of data 103–6; *see also* food context
- health services, indicators 105
- Heavily Indebted Poor Countries (HIPC) initiative 78
- Heijmans, A. 20
- Heintze, H.-J. 64
- Helsinki Memorandum of Understanding 64, 65
- hidden unemployment 72–3, 80
- high-growth businesses 73–4
- Hilhorst, D. 18, 19
- Human Development Reports 33–4
- human rights 32, 100, 101
- human security 30, 31, 33–4, 35–6, 40
- Humanitarian Accountability Project (HAP) 174, 181
- humanitarian aid workers, security 4
- Humanitarian Analysis and Intervention Design Framework (H-AID) 12, 27–8; adopting, routinizing and testing 193–4; limitations 192–3; overview 7–10, 8, 9, 190–2, 191; *see also* Comprehensive Context Analysis (CCA); Intervention Analysis; Stakeholder Analysis
- humanitarian crisis analysis frameworks, existing 12–14, 13; balancing core qualities of 14–16, 16; Capabilities and Vulnerabilities Analysis (CVA) 6, 12, 13, 19–21, 25–7, 25, 26; comparing and combining 25–8, 25, 26; Multi-Cluster/Sector Initial Rapid Assessment (MIRA) 12, 13, 16–18, 25–7, 25, 26; Political Economy/Arena Approach (PolEc) 12, 13, 18–19, 25–7, 25, 26; Pressures and Release model (PAR) 6, 12, 13, 21–3, 22, 25–7, 25, 26; Sustainable Livelihoods Framework (SLF) 12, 13, 23–4, 24, 25–7, 25, 26
- Humanitarian Genome 194
- Humanitarian Ombudsman Project 173–4
- hurricanes 64, 120, 122, 180
- IASC Steering Group on Security 3
- ice sheet melting 120–1
- IMF 78
- impact assessments 179, 183
- implementation theory 135
- incidence rates 105

- income 71, 73, 80
income-based poverty measures 71, 72
independent monitoring and evaluation 180–1
India 122–3, 140–1
Indian Ocean earthquake and tsunami 2, 64, 65, 181
indicators: action/output 175; direct measurement 182; economic context 79, 80–1, 82; environmental context 126–7; expert opinion of 79; food context 108; health context 104–6; impact 175; input 175; lack of defined set 192; monitoring and evaluation 175; outcome 175; political context 65–6, 66, 67, 68; predefined lists of 45, 54; process 175; proxy-indicators 55; quantitative and qualitative 54–5
Indonesia: Aceh 64, 65, 90; Java 88; Javanese cultural beliefs 88
Infant Mortality Rate 105
infectious diseases 99, 104
inflation rates 74–5, 81
influencers 165, 166
informal social structures 90
information collection and analysis: obstacles to 6–7; *see also* data collection
information repositories 194
innovation capacity 75, 81, 83
Interagency Standing Committee (IASC) *see* Multi-Cluster/Sector Initial Rapid Assessment (MIRA)
Intergovernmental Panel on Climate Change (IPCC) 120
International Covenant on Economic, Social and Cultural Rights (ICESCR) 101
International Humanitarian Law 101
international interference 30–1
International Red Cross and Red Crescent Movement 63, 91, 181
interval scales 46
Intervention Analysis 6, 9–10, 9, 132–4, 190–1; *see also* theory-based *ex ante* evaluation
interventions: thinkable 133, 141–2, 143
intervention theory 135
investment institutions 77, 82, 84
Iran 91
iron deficiencies 106, 108
irrigation 119–20
issues: bargaining chips 167, 167, 168; deal breakers 166–7, 167; defining 152–5; easy wins 167, 167
Japan 64, 68
justice sector programs 65
Kelly, Charles 126, 128–9
Kieffer, M. 90
known unknowns 43–4, 192
Krahenbuhl, Pierre 63
labor adjustment costs 71
lakou (common courtyard) system, Haiti 91
large businesses 76, 82, 84
learning, organizational 184–7
learning processes 140
levels of analysis 34–5, 37
Levine, R. 76–7
liberalization 77
life expectancy 105
Liimatainen, H. 75
literacy 77–8, 82, 84
livelihood assets 23, 24
livelihood models 6; *see also* Sustainable Livelihoods Framework (SLF)
livelihood strategies 24, 24
lobbying 167
loneliness 86
low birth weight 105
M&E *see* monitoring and evaluation
macro forces 21, 22
malaria 99, 104
malnutrition 99, 101, 102, 109; emergency food interventions 138–41
Maltais, A. 119
Malthus, Thomas 102
marginalization 21, 22
Maternal Mortality Rate (MMR) 105
measurement scales 46; scaling of context dimensions 54–5, 54; nominal scales 46; ordinal scales 46
mechanisms of aid provision 136–9; external 90–1; identifying 143–5, 144; internal 90
media opinion 173, 174
mental illnesses 106
Mertus, J. 66
Meyer, B.D. 72
micronutrient deficiencies 101, 106, 108
Mid-Upper Arm Circumference (MUAC) measurements 108, 109, 112–13
MIRA *see* Multi-Cluster/Sector Initial Rapid Assessment (MIRA)
monetization, degree of 74, 81, 83

- monitoring and evaluation 171–88; 4i/5i frameworks for organizational learning 184–7, **186**; definitions and purposes 174–81, **177**; evolution of 172–4; internal 180; meta-evaluations 179, 180, 183; methodologies and tools 181–4, 183; mid-term 178, 183; performance and context monitoring 178, 183; qualitative methods 182–4, 183; real time 178, 180, 183; self- 180; strategies 9; summative final evaluations 179, 183; theory-based 182; types 177, 178–9, 180–1
- monocultures 107
- moral hazard 76
- mortality rates 104–5
- MUAC *see* Mid-Upper Arm Circumference (MUAC) measurements
- mudslides 123
- Multi-Cluster/Sector Initial Rapid Assessment (MIRA) 12, **13**, 16–18, 25–7, **25**, **26**
- multinationals 76
- Myanmar 88, 93, 123
- national budgets 78, 82, 84
- national food production indexes 108
- National Institute for Public Health and the Environment (RIVM), Netherlands 130
- natural disasters 122–4, 123; applicability of frameworks 23; tropical cyclones 64, 88, 120, 122–3, 123, 180; *see also* earthquakes
- natural resources 117–19; depletion 119–20, 121; lack of access to 21, **22**; pollution 120–1
- needs assessments 178, 180, 183, 184
- needs-based analysis 133–4
- negotiation strategies 164–5, 166–7, **166**
- Newman, D.M. 86, 87, 88, 90, 94–5
- non-communicable diseases (NCDs) 99, 104
- non-state actors, and security 31–2
- nuclear holocaust 39–40
- nutrition response analysis tool 6
- nutrition security *see* food context
- Odhiambo, N.M. 75
- OECD-DAC 174, 181, 187
- Ogata, S. 100
- oil spills 122
- omnibus context 43–4
- O'Neill, M. 63
- Operational Security Management 3
- operationalization of data 45; economic context 79; food context 106–9; health context 103–6; socio-cultural context 95
- organizational learning 184–7
- organizational security 6, 12, 13, 64
- overfishing 119
- over-pumping 119–20
- Owen, T. 40
- Pakistan 89, 121, 122
- Palme, Olof 30
- Pan American Health Organization (PAHO) 106
- PAR *see* Pressures and Release model (PAR)
- Patrick, J. 1–2, 5
- Peak-End rule 41
- performance standards 174
- Perlo-Freeman, S. 72, 77–8
- Philippines 20
- Pierre, A. 89, 91, 92–3, 95
- political context 63–9; aggregation and weighting of data 66–9; defined 65; emergency seed aid interventions **145**, 146; and food security 107–8; history 64–5; indicators 65–6, 66, 67, 68
- Political Economy/Arena Approach (PoEa) 12, **13**, 18–19, 25–7, **25**, **26**
- Political Instability Index 66, 66
- political risk, defined 65
- political security: defined 65; and food security 107–8
- Pöllänen, M. 75
- pollution 120–1
- Post Disaster Needs Assessment (PDNA) 128; Haiti 68
- potential followers 164, **166**
- poverty 71–2, 75, 80, 83
- precautionary measures, natural disasters 122–3
- pregnancy 105, 108, 109
- pre-post-incident analysis 58–61, 59, **60**, **61**
- Pressures and Release model (PAR) 6, 12, **13**, 21–3, **22**, 25–7, **25**, **26**
- problem analysis 5–6
- program theory 135, 143–4, 182
- programming advice 15, 25–7, 26; Capabilities and Vulnerabilities Analysis (CVA) 20–1; Multi-Cluster/Sector Initial Rapid Assessment (MIRA) 18; Political Economy/Arena Approach (PoEa) 19; Pressures and Release model (PAR) 23; Sustainable Livelihoods Framework (SLF) 24

- progression of vulnerability model 21–3, **22**
 project and program management cycles 2–3, 176–7, **177**
 property rights protection 76
 public health 100; *see also* health context
 public opinion 173, 174
- qualitative data 54–5
 qualitative score cards 129–30
 quality assurance 173–4; *see also*
 monitoring and evaluation
 quality of analysis 14–15
 quantification: of data 46; limitations 193;
 in Stakeholder Analysis 169
 quantitative data 54–5
 quantitative monitoring and evaluation
 methods 182–4, **183**
 quantitative score cards 129–30
 quick scan model 79–83
- race, Haiti 92–3
 radar graphs 56–8, **57**, 141, 193
 radiation levels 124
 randomized controlled trials (RCTs) 5
 Rapid Environmental Impact Assessment
 in Disasters (REA) 128–9
 Realist Evaluation tradition 135
 recession 72
 refugee camps 116, 125
 refugees: environmental 123–5, **124**;
 impact on environment 116, 125,
 129–30; Rwandan 105
 relative deprivation 40–1
 reliability: of analysis 14–15; of data 45,
 47–51, **49**
 religion: Haiti 89; Java 88
 remittances, Haiti 95
 Rencoret, N. 94
 rent-seeking 76
 resource allocation 78–9, 82, 84
 resources: lack of access to 21, **22**; *see*
 also natural resources
 response analysis 6
 Ride, A. 86, 89, 90
 risk assessment 2
 risk diversification 75, 77
 risk management 2, 3
 risks to interventions 147–8, **147**
 RIVM *see* National Institute for Public
 Health and the Environment (RIVM),
 Netherlands
 root causes 21, **22**, 23
 rule of law programs 65
- Russia 31
 Rwanda genocide 173
 Rwandan refugees, Goma, Zaire 105
- salience of stakeholders 156–7, **158**, **159**,
 164–5, 166–7, **166**, **167**, 169
 sanctions, social control 93–4
 sanitation 99, 104
 Save the Children 63
 savings mobilization 75, 77
 scales *see* measurement scales
 Schön, D.A. 187
 score cards 129–30
 sea level rise 121, 124
 sea-ice melting 120–1
 securitization 37–41
 security: human 30, 31, 33–4, 35–6, 40;
 humanitarian aid workers 4; new
 concepts of 30–3; organizational 6, 12,
 13, 64; state 35–6; threat perception
 37–41; traditional concept of 29–30; *see*
 also human security
 security levels 54–5, **54**, **57**, **57**, **58**
 security risk management 3
 security sector training 65
 security situation, Haiti 94
 seed aid interventions *see* emergency seed
 aid interventions
 self-employment 72, 74
 self-monitoring and evaluation 180
 semi-structured interviews 184
 Sen, Amartya 100, 102
 service utilization records 182
 sex-for-aid scandals, West Africa 173
 sexual violence 39; Haiti 94
 shapers 164–5, **166**
 Shapiro, I. 137
 single loop learning 187
 SLF *see* Sustainable Livelihoods
 Framework (SLF)
 small businesses 73–4, **80**, **83**
 social change 94–5, **97**
 social class systems 92
 social control 93–4, **97**
 social environment 35–6
 social identity 87–9, **96**
 social inequality 92
 social institutions 90
 social organizations 90
 social stratification 92–3, **97**
 social structures 89–91, **96**
 socialization 88
 societal deficiencies 21, **22**
 socio-cultural context 86–98; aggregation

- and weighting of data 96–7, 98, 98;
- emergency seed aid interventions **145**,
- 146; operationalization of data 95; social
- change 94–5, 97; social control 93–4,
- 97; social identity 87–9, 96; social
- stratification 92–3, 97; social structures
- 89–91, 96
- Somalia 31
- Southern Africa, food insecurity 107
- sovereignty 30–1
- speed and thoroughness of analysis 14–15,
- 25–7, 26; Capabilities and
- Vulnerabilities Analysis (CVA) 20;
- Multi-Cluster/Sector Initial Rapid
- Assessment (MIRA) 17–18; Political
- Economy/Arena Approach (PolEc) 19;
- Pressures and Release model (PAR) 23;
- Sustainable Livelihoods Framework
- (SLF) 24
- Sphere Handbook 105, 115
- Sphere Project 3, 106, 174
- stability analysis 160–2, **162**
- Stakeholder Analysis 9, 10, 134, 149–70,
- 192; expert information 150–1;
- interpretation 169–70; limitations 193;
- measurement scale 46; position of
- stakeholders 156, *158*, *159*; power of
- stakeholders 157, *158*, *159*, 164–5, **166**,
- 169; quantification 169; step 1: issue
- definition 152–5; step 2: stakeholder
- identification 155–6; step 3: stakeholder
- description 156–7, *158*, *159*; step 4:
- outcome continuum 157–60, **160**; step
- 5: stability analysis 160–2, **162**; step 6:
- stakeholder classification 162–4, *163*;
- step 7: negotiation landscape 164–5,
- 166**; step 8: relationship analysis 166–9,
- 167**
- stakeholders: bystanders 165, **166**;
- effective power 157, *159*, 160, 161, **162**,
- 169; influencers 165, **166**; position 156,
- 158*, *159*; potential followers 164, **166**;
- power 157, *158*, *159*, 164–5, **166**, 169;
- professional opinion of indicators 79;
- salience 156–7, *158*, *159*, 164–5, 166–7,
- 166**, **167**, 169; shapers 164–5, **166**
- star-bursting 43–4
- state security 35–6
- state-building 65
- statistical analysis 182
- story-telling techniques 184
- street violence 39
- structural approach to humanitarian crises
- 12–13
- suitable interventions 133–4, 142–8, **143**
- summative final evaluations *179*, *183*
- supply-driven responses 4
- surveys 182
- sustainable development 75
- Sustainable Livelihoods Framework (SLF)
- 12, **13**, 23–4, **24**, 25–7, **25**, **26**
- targeted food distributions, problems
- with 1
- Tennant, D. 77
- terrorist attacks 32, 38–9, 41
- theoretical compromise position 159–60,
- 159*, **160**
- theory of change 135
- theory-based *ex ante* evaluation 9–10
- theory-based *ex ante* evaluation 133–6,
- 136**, 191; areas for intervention 141;
- CMO configurations 146–8, **147**;
- context conditions 139–41, 145–6, **145**;
- mechanisms 136–9, 143–5, **144**; suitable
- intervention options 142–8, **143**;
- thinkable intervention options 141–2,
- 143**
- theory-based monitoring and evaluation
- 182
- thinkable interventions 133, 141–2, **143**
- threats: acute 54, 55; latent 54, 55;
- manifest 54, 55; objective security 39;
- overestimation of 192; perception of
- security threats 37–41; perception
- 37–41; underestimation of 192
- toxic waste 124
- trading 74, 83
- traffic accidents 38, 39, 41
- training 194; security sector 65
- transforming structures and processes 24,
- 24**
- transparency 3, 173
- transport infrastructure 73, *80*, 83
- triangulation 48–51, 184
- triple loop learning 187
- tropical cyclones 64, 88, 120, 122–3, *123*,
- 180
- Tsunami Evaluation Coalition 181
- tsunamis 122; *see also* Fukushima disaster,
- Japan; Indian Ocean earthquake and
- tsunami
- typhoons 120, 122
- Ukraine 31, 122, 124
- Under Five Mortality Rate (U5MR) 105
- undernourishment 101
- unemployment 72–3, 74, *80*

- United Nations 3, 30, 101; civilian police (UNPOL) 94; environmental management 130; Evaluation Group 187; Stabilization Mission in Haiti (MINUSTAH) 94
- United Nations Development Programme (UNDP) 33–4
- United Nations Environment Programme (UNEP) 123, 125, 126, 130
- United Nations High Commissioner for Refugees (UNHCR) 123, 125, 129
- United States 31; 9/11 terrorist attacks 32, 41; hurricanes 64, 120, 180
- unknown unknowns 43–4
- unsafe conditions 21, **22**
- Usón, A.U. 73
- validity of analysis 14–15
- verification techniques for data sources 48, 49, 50
- Victoria, L.P. 20
- vitamin deficiencies 101, 106
- volcanic eruptions 122, 123
- von Braun, J. 101
- vulnerability: and environmental disasters 122–3; progression of vulnerability model 21–3, **22**; *see also* Capabilities and Vulnerabilities Analysis (CVA)
- vulnerability context 24, **24**
- wages 71, 73, 80
- Wang, D.T. 76
- war 64; and food security 102; and health 101
- water: drinking 99, 104, 127; over-pumping 119–20; regulation by forests 122
- water, sanitation and hygiene (WASH) 99, 104
- water tables, falling 119–20, 124
- Webb, P. 101
- Webber, D.J. 72, 77–8
- weighting of data *see* aggregation and weighting of data
- welfare 72, 73, 78
- Wisner, B. 21
- Woodrow, P. 19–20
- World Bank 68, 108, 140–1
- World Food Programme (WFP) 102
- World Health Organization (WHO) 100, 106, 109
- World Summit on Social Development, Copenhagen 71
- Worldwatch Institute 123
- Zwitter, A. 64
- Zylberberg, A. 71



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