

## Annex 2: Evaluation methodology

This annex supplements section 2.3 in the main report, providing additional detail on stakeholder mapping for the UNHCR CSE, the analytical framework used for the partnership component, the strategies and policies against which strategic alignment has been assessed, the criteria for selecting the locations for fieldwork, a description of how ethical considerations were taken into account in data collection, and a note on the online surveys.

### Stakeholder map

A stakeholder map for the evaluation was drawn up during the inception phase. See Table 2.1. As explained in the main evaluation report, the evaluation has predominantly targeted the left-hand column – the primary intended users of the evaluation, although stakeholders in the other two columns have been widely consulted throughout the evaluation and their perspectives and experience represented throughout the evaluation report.

**Table 2.1: Stakeholder map for the UNHCR CSE Sudan<sup>1</sup>**

<b>Stakeholders with a direct interest</b>		<b>Stakeholders with an indirect interest – may be consulted and/ or influenced by the evaluation</b>
<b>Primary intended users</b> <i>(who may have requested the evaluation, and have primary responsibility in responding to recommendations)</i>	<b>Stakeholders with a direct interest, but not the primary users</b> <i>(eg may learn from the findings)</i>	
UNHCR staff in Sudan, especially senior management	COR and other government partners	POCs and host communities, consulted by the evaluation team
UNHCR Regional Bureau	UN partners	Government officials, including local authorities
UNHCR HQ	Other UN agencies in Sudan	Agencies and actors involved in IDP and refugee operations in Sudan which are not UNHCR partners
	UNHCR's donor partners in Sudan	
	Development partners e.g. World Bank, IFC	
	Regional organisations with which UNHCR works (some of which are also donors) eg IGAD, AU	
	Other international and national partners (e.g. I/NGOs, academia)	

<sup>1</sup> This approach to stakeholder mapping comes from the ALNAP 'Evaluation of Humanitarian Action Guide', 2016 <https://www.alnap.org/help-library/evaluation-of-humanitarian-action-guide>

## Analytical framework for partnership component

Table 2.2: Framework to assess UNHCR's partnerships

Partnership metrics	Summary of tool/frame to be used (+ source)																																				
(1) <b>Type of partnership</b> (using “spectrum” model)	<table><tr><td>(1) <b>Fund-raise/ receive</b></td><td>(2) <b>Exchange/Leverage</b> (services/ mutual benefit)</td><td>(3) <b>Integrate</b> (joint value creation + delivery)</td><td>(4) <b>Transform</b> (practices/ context)</td></tr></table> <div>← Transactional ----- Transformational →</div> <p>Adapted from: UNHCR (2019) Evaluation of UNHCR’s Engagement with the Private Sector – this expands the UN SDG toolkit equivalent frame which has 3 levels</p>				(1) <b>Fund-raise/ receive</b>	(2) <b>Exchange/Leverage</b> (services/ mutual benefit)	(3) <b>Integrate</b> (joint value creation + delivery)	(4) <b>Transform</b> (practices/ context)																													
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(2) Performance against humanitarian <b>partnership principles</b>	<p>(1) <b>Equality:</b> Based on equitable power relationships, commitment, trust, and respect.</p> <p>(2) <b>Transparency:</b> Clear partnership/ governance arrangements and mutual accountability</p> <p>(3) <b>Results-oriented:</b> shared/clear outcome measurement</p> <p>(4) <b>Complementarity:</b> Assessment of comparative advantage and focus on synergy/joint value creation <sup>2</sup></p> <p>(5) <b>Context &amp; beneficiary focused:</b> Joint customization to local context &amp; inclusion of beneficiary (PoC) perspectives</p> <p>(6) <b>Learning:</b> Co-creation, innovation &amp; culture of learning</p> <p>Overall performance against Partnership Principles? (High/Medium/Low + rationale)</p> <p>(Adapted from: <b>Global Humanitarian Forum Principles of Partnership + others</b>) <sup>3 4</sup></p>																																				
(3) <b>Value creation</b>	<b>Adapted from (i) the UN’s SDG Partnerships Toolkit + (ii) The Partnerships Initiative (TPI materials) – as follows:</b>																																				
3.1 - Types of collaborative advantage	<p>Using the matrix of <i>11 Different Types of Collaborative Advantage</i>:</p> <table><tr><td>0</td><td>Connection</td><td>Networking, connecting building relationships</td></tr><tr><td>1</td><td>Complementarity</td><td>Bringing together complementary resources</td></tr><tr><td>2</td><td>System transformation</td><td>Harmonisation leading to transformation of a system</td></tr><tr><td>3</td><td>Standards</td><td>Collective legitimacy and knowledge</td></tr><tr><td>4</td><td>Innovation</td><td>Combining diverse resources and thinking</td></tr><tr><td>5</td><td>Holism</td><td>Convening actors across silos</td></tr><tr><td>6</td><td>Shared learning</td><td>Collective learning and capacity-building</td></tr><tr><td>7</td><td>Shared risk</td><td>Collective sharing of major risks</td></tr><tr><td>8</td><td>Synergy</td><td>Aligning programmes and resources to exploit synergies</td></tr><tr><td>9</td><td>Scale</td><td>Combining delivery across geographies</td></tr><tr><td>10</td><td>Critical mass</td><td>Collective weight of action</td></tr></table>				0	Connection	Networking, connecting building relationships	1	Complementarity	Bringing together complementary resources	2	System transformation	Harmonisation leading to transformation of a system	3	Standards	Collective legitimacy and knowledge	4	Innovation	Combining diverse resources and thinking	5	Holism	Convening actors across silos	6	Shared learning	Collective learning and capacity-building	7	Shared risk	Collective sharing of major risks	8	Synergy	Aligning programmes and resources to exploit synergies	9	Scale	Combining delivery across geographies	10	Critical mass	Collective weight of action
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<sup>2</sup> Given its importance as highlighted in the ToR and consultations with UNHCR as well as an independent expert on partnership methodologies in the inception phase, this principle is assessed in more depth under Partnership Metric 3.

<sup>3</sup> The original five partnership principles adopted in 2007 (Equality, Transparency, Result-oriented approach, Responsibility, Complementarity) have been adapted and expanded, based on a review of other sets of partnership principles. – for example, a learning-based approach has been added, together with the need to be context and beneficiary focused. These are important elements which are included in various other sets of partnership principles.

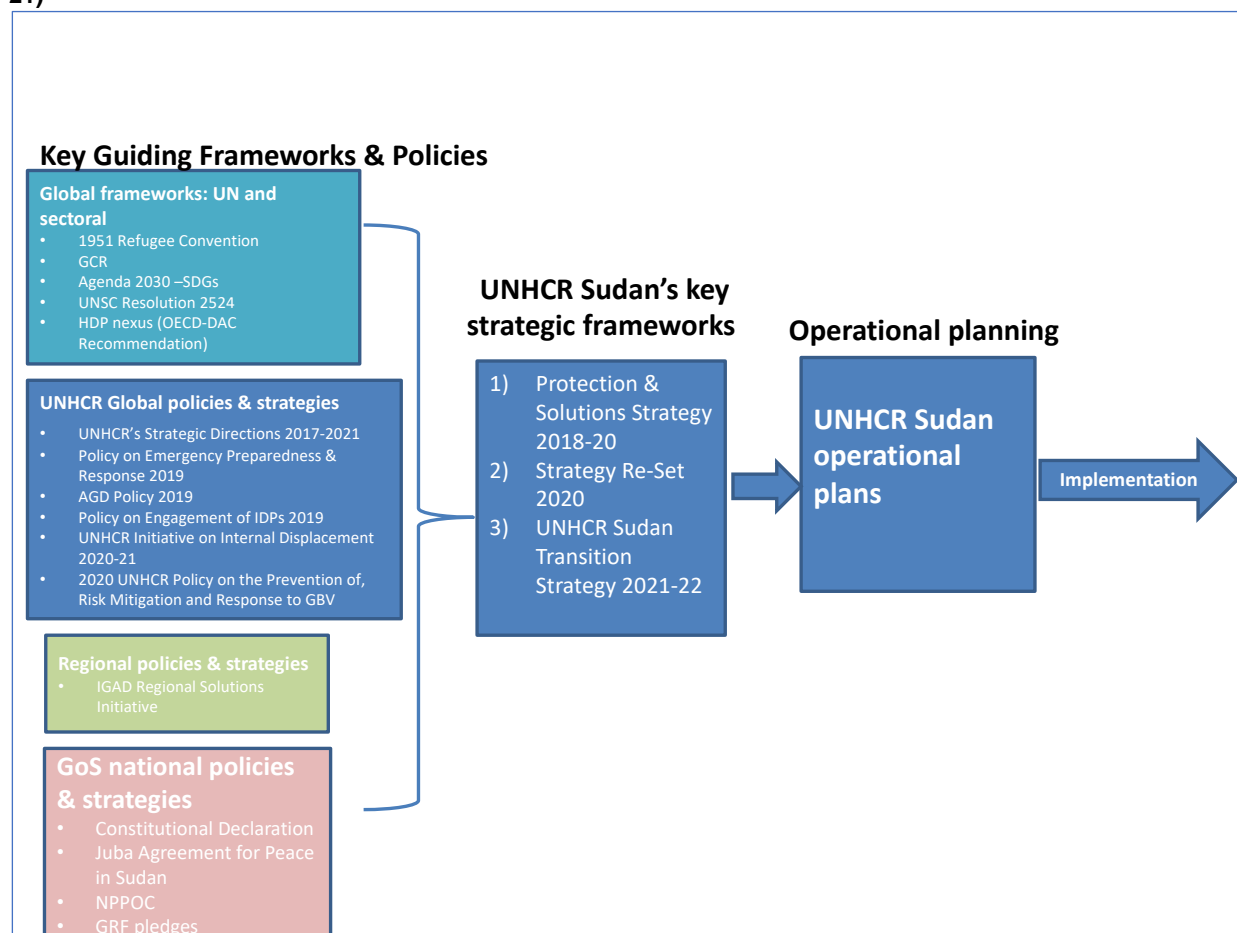
<sup>4</sup> UNHCR "Guidance for Partnering with UNHCR" (<https://www.unhcr.org/uk/5cf8c21c7.pdf>); UNHCR Implementation of Principles of Partnership (<https://www.unhcr.org/5735bd464.pdf>)

3.2 - Added value of the partnership	Assessment of the “Partnership Delta” <sup>5</sup> (added value of the partnership): What has been achieved as a result? Has it achieved better outcomes?
3.3 Net value of the partnership to individual organizations (UNHCR + also other partners)	<p>Individual net VALUE = GAIN minus COSTS</p> <p><u>Transaction costs</u> <sup>6</sup> include:</p> <ul style="list-style-type: none"> <li>• staff time to negotiate and develop the partnership as well as to manage the relationship with partners;</li> <li>• financial costs;</li> <li>• social and political capital.</li> </ul>

### Assessing strategic alignment

In order to assess the strategic alignment of UNHCR Sudan’s frameworks, strategies and policies, a number of guiding frameworks and policies have been used as reference points, as indicated in the inception report, and as depicted in Figure 2.1 below.

**Figure 2.1: Analysis of the strategic alignment of UNHCR Sudan frameworks, strategies, policies (2018-21)**



<sup>5</sup> The concept of “Partnership Delta” is used in various frameworks to refer to the added value of Partnerships (see Annex 5)

<sup>6</sup> Due to time constraints and the range of issues that the evaluation needs to cover, the assessment will not include an in-depth, quantitative cost-benefit analysis, but will focus on the perceived levels of gain (high-medium-low), with examples, and estimates of transaction costs (for example, estimates of staff time spent), together with an overall question as to whether gains are perceived to outweigh the costs. See Annex 5.

## Criteria for selecting locations for field work

Table 2.3 presents the criteria used for selecting different fieldwork locations.

**Table 2.3: Locations for field work and criteria for selection**

Location	POCs present	Main UNHCR programming and approaches
<b>Locations visited by evaluation team members</b>		
Darfur (North and West Darfur states)	IDPs (2.5 million), Returnees Refugees	<ul style="list-style-type: none"> <li>• Protection, including community-based</li> <li>• Durable solutions</li> <li>• Emergency response (shelter &amp; NFIs)</li> <li>• Returns and reintegration</li> <li>• Partnerships (especially North Darfur/EI Fasher)</li> </ul>
East – Gedaref & Kassala states	Refugees Mixed migrants	<ul style="list-style-type: none"> <li>• Emergency response: (protection, shelter, NFIs)</li> <li>• Protection</li> <li>• Self-reliance, community participation</li> <li>• Partnerships</li> </ul>
Khartoum State	Refugees Persons at risk of statelessness Mixed migrants	<ul style="list-style-type: none"> <li>• Protection (cash, education, health, legal aid, psycho-social support)</li> <li>• Durable solutions</li> <li>• Registration</li> <li>• Partnerships</li> </ul>
White Nile State	Refugees	<ul style="list-style-type: none"> <li>• Provision of basic needs, WASH</li> <li>• Emergency response - floods: shelter, NFIs</li> <li>• Durable solutions</li> <li>• Durable shelter strategy, sustainable energy</li> <li>• Self-reliance, community participation</li> <li>• Protection</li> <li>• Partnerships</li> </ul>
<b>Locations covered remotely</b>		
Kordofan states (government and opposition-held areas) <sup>7</sup>	Refugees, IDPs, returnees (refugees and IDPs)	<ul style="list-style-type: none"> <li>• Durable solutions</li> <li>• Emergency response</li> <li>• Community based protection</li> <li>• Partnerships</li> </ul>
Blue Nile (government and former opposition-held areas) <sup>8</sup>	Refugees, IDPs, mixed migrants	<ul style="list-style-type: none"> <li>• Durable solutions</li> <li>• Emergency response</li> <li>• Community based protection</li> <li>• Partnerships</li> </ul>

## Ethical considerations

The evaluation team has abided by the UNEG Ethical Guidelines for Evaluation<sup>9</sup>, and specifically the principles of:

- Integrity: adherence to moral and professional standards
- Accountability: answerable for all decisions made and actions taken; to report potential or actual harms observed through the appropriate channels
- Respect: honouring dignity, well-being and personal dignity of all stakeholders, and responsive to their diversity
- Beneficence: striving to do good and minimise harm

Applying these guidelines, and the principle of 'Do No Harm', the team has taken account of the following:

- 1) **Respect for the pressure that UNHCR staff are under**
- 2) **Ensuring the anonymity of interview content**
- 3) **Informed consent of interviewees**
- 4) **Sensitive engagement with vulnerable groups**
- 5) **Managing expectations of POCs and host communities** (explaining the purpose of the evaluation at the beginning of interviews)

<sup>7</sup> i.e. those not yet part of the JPA arrangements

<sup>8</sup> To be integrated as part of the JPA process

<sup>9</sup> <http://www.unevaluation.org/document/detail/2866>

- 6) **Covid-related** (if any team member had developed Covid-19 symptoms, they would have withdrawn from the fieldwork and face-to-face contact until they receive a negative test)

#### **A note on the online surveys**

The fact that one of the online surveys (partnership survey) was launched just before the military coup of 25<sup>th</sup> October, and the launch of the second one (UNHCR staff survey) was delayed by the military coup, has undoubtedly affected the response rate. The evaluation team, supported by the CO, encouraged potential respondents to engage, but were also sensitive to the changed and challenging context that many were responding to. Each survey attracted 38 responses. The findings from the survey have been used in the analysis and in the main evaluation report as indicative, and have been used to complement data collected from other sources, especially KIIs.