



Annex 3. Evaluation methodology

Effective participation and accountability of the subject populations of humanitarian actions

Basque Agency for Development Cooperation (BADC)

Basque Government (BG)

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Objective

The objective of the study on “*Effective participation and accountability of the subject populations of humanitarian actions*”, sponsored by the Basque Government BADC, is to provide a conceptual and practical model, supported by empirical evidence, regarding the reality of effective participation of subject populations in humanitarian action interventions and which allows us to know how this participation and accountability take place in real terms; what are the difficulties and barriers found as well as the opportunities and facilitators in the setting up of these processes; at the same time as suggesting guidelines or tools to efficiently tackle participation and accountability, so that humanitarian organisations can incorporate them in their daily praxis.

State of the issue

Participation and accountability (P&A) has been the object of intense work in the humanitarian action field, therefore this study will start from agreements and tools already having majority agreement in the collective of cooperation agents and will review its practical application, identifying real barriers and obstacles.



Some of the most outstanding references in this matter are:

- ✓ Humanitarian Code of Conduct
- ✓ Core Humanitarian Standard
- ✓ Sphere Standards
- ✓ ALNAP <https://www.alnap.org/our-topics/engagement-with-affected-people>

Study scope

This study circumscribes:

1. An analysis of the state of the issue and of the main internationally agreed theoretical frameworks
2. A case analysis in three countries: Palestine and two additional reference points, Colombia and DR Congo
3. A wide consultation between organisations who collaborate with the Basque Government in cooperation matters and with the Basque Agency for Development Cooperation itself

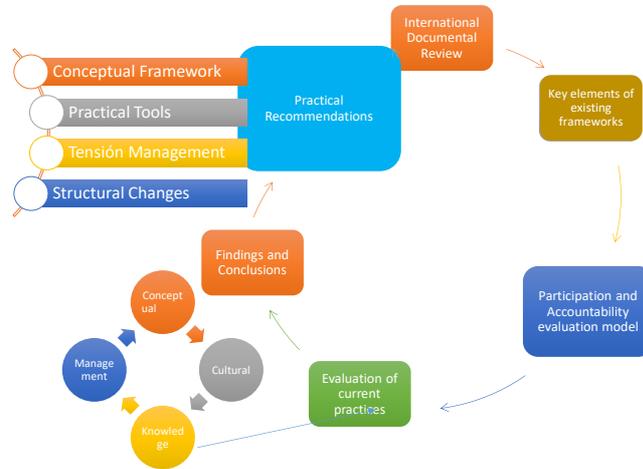
Proposed methodology

The following methodology will be followed to carry out this study:

1. Review of relevant documentation at international level
2. Extraction of key elements of existing frameworks in P&A matters
3. Development of an evaluation model for participation and accountability (P&A) to make an evaluation based thereon of the existing practices in the Basque cooperation field
4. Evaluation of current P&A practices
5. Findings and conclusions
6. Practical recommendations and proposal of tools for promotion and evaluation of P&A



Participation and Accountability Methodology



Parameters and components of analysis

The following parameters and components will be tackled:

1. Conceptual

- 1.1 Concept of participation
- 1.2 Concept of accountability
- 1.3 Relationship between participation and accountability

2. Cultural (regarding populations, the contextual environment and organisations)

- 2.1 Cultural factors regarding the population that affect P&A
- 2.2 Environment-context factors that affect P&A
- 2.3 Cultural factors regarding humanitarian organisations

3. Regarding management, including knowledge, instruments, reputation and financing

- 3.1 Policies and strategies
- 3.2 Organisational instruments and tools for P&A
- 3.3 Institutional implications

Twenty-four elements are identified from these components, as shown in the attached table, and they are used to develop the questionnaire for interviews:



Parameters	Components	#	Elements (from which the questionnaires are developed)
1. Conceptual	1.1 Concept of participation	1	Definition of participation of the populations in humanitarian action
		2	Ultimate reasons to justify, boost participation (ethical/utilitarian). Legal basis of participation (working methodology or rights approach)
		3	Phases or scopes where participation is promoted
		4	Consideration of diverse groups in participation: gender, age, ethnic minorities, stigmatised groups, etc.
	1.2 Concept of accountability (A)	5	Definition of accountability of the populations in the humanitarian action
		6	Accountability and relationship with complaints, claims, feedback, etc.
		7	Ultimate reasons to justify and promote accountability (ethical/utilitarian); legal basis
		8	Phases or scopes where accountability is promoted
		9	Implications/consequences of accountability
	1.3 Relationship between participation and accountability	10	Connection elements between participation and accountability. Is there really a feedback loop?
		11	Participation of populations in management of accountability: feedback to the organisation, management of complaints, etc.
2. Cultural (regarding populations, the contextual environment and organisations)	2.1 Cultural factors regarding the population that affect P&A	12	Are possible cultural factors of populations that affect effective P&A taken into account? What are these cultural factors? (Patriarchal, gender-based, ethnicity, hierarchies, conflict dynamics, oral culture versus written culture, etc.)
		13	How are these cultural factors of populations taken into account in practice?
	2.2 Environment-context factors that affect P&A	14	Are there environment factors that affect P&A? (conflict, political, historical, etc.) And are they taken into account?
		15	Are there humanitarian context factors that affect P&A? (for example: high mobility-migrations of the populations, high rotation of humanitarian organisations, etc.) How are they taken into account?
		16	COVID-19 implications in P&A, current and foreseeable. Measures to be taken
	2.3 Cultural factors regarding humanitarian organisations	17	Values and attitudes of humanitarian organisations which affect P&A, positively and negatively
		18	How are these organisational values and attitudes handled with regard to P&A?



3. Regarding management (including knowledge, instruments, reputation and financing)	3.1 Policies and strategies	19	Is P&A included at the level of principles, policies and strategies in humanitarian organisations? Where and how?
		20	Level of dissemination of the P&A organisational criteria among the staff of organisations
	3.2 Organisational instruments and tools for P&A	21	What instruments does the organisation have to ensure that P&A is effective?
		22	What organisational level manages P&A (operational, administration or management)?
	3.3 Institutional implications	23	What are the implications of P&A in the humanitarian organisation? On reputation, financing, strategic orientation?
		24	Distribution of P&A responsibilities among donors, international humanitarian organisations, national-local humanitarian organisations, local coordination groups and object populations of the humanitarian action

Survey (via KoboToolbox)

Participation & Accountability (P&A) - AVCD

Guidelines for completing the survey

*This survey is voluntary and confidential. Its objective is to contribute to the improvement of Participation and Accountability practices for the populations subject to Humanitarian Action programs. Please complete the survey by **November 22, 2020**. Only one survey must be completed per organization. If you have any questions or suggestions, you can address them to **Fernando Almansa at fer.almansa@gmail.com**. Thank you*

IDENTITY

(The questionnaire is anonymous, but if you prefer you can identify your organisation in section 0.0)

0.0 Only if you prefer, you can identify the name of the Organization here. If not leave it blank

0.1 Group to which you belong. Which of the following groups do you / your organization belong to? *Choose only one option

- Basque Agency for Development Cooperation (AVCD)
- Basque entity
- NGO Delegation in the Basque Country
- Collaborating entity of the United Nations in the Basque Country
- United Nations Agency
- Local Partner
- Population subject of Humanitarian Action programs



Participation concept

1. Define in a few words your understanding of what is the participation of populations in Humanitarian Action. Make a definition of no more than two lines with keywords

2. What are, in your opinion, the fundamental reasons to justify and promote community participation in Humanitarian Action, and which ones are secondary or irrelevant?

	Fundamental	Secondary	Irrelevant
It facilitates the implementation of the programs			
Ensures population's acceptance and ownership of programs			
It is a useful working methodology			
It is the right of the communities that are the centre of Humanitarian Action, it is part of the Rights Based Approach			
It is a donors' requirement			
Other (specify those in the next question)			

2.1 If you chose "Other", please specify

3. Indicate in which phases or areas participation should encouraged

	Essential	Desirable	Not needed
Needs Assessment / Selection of subject population			
Design of programme or activities			
Budget allocation			
Implementation of activities			
Monitoring and Evaluation			
Others			

3.1 If you chose "Others" specify which ones.



3.1 In practice, how do population participate in the management of Humanitarian Action programs? Describe briefly, how the population participates in the management of Humanitarian Action programs

4. At the time of giving participation to the population subject of a Humanitarian Action program, to what degree are the following groups taken into account for participation?

	High	Medium	Low
Women			
Youth			
Over 65 years old people			
Girls and boys			
Ethnic minorities or social class marginalised groups			
Highly vulnerable groups, sick people or with diverse capabilities, etc.			
Men			
Others			

4.1 If you chose "Others" specify

Concept of Accountability

5. Define in a few words, your understanding of Accountability to populations in Humanitarian Action. Make a definition, of no more than two lines, using keywords.

6. Tick the concepts that you relate to accountability to populations

- Management of complaints
- Right to claims
- Right to compensation
- Presentation of activities carried out
- Presentation of accounts and financial status of the program
- Right of communities to provide "feedback" to humanitarian organizations
- Others

6.1 If you chose "Others", please specify which ones



7. What are, in your opinion, the fundamental reasons to carry out Accountability to the communities in Humanitarian Action, and which ones are secondary or irrelevant?

	Fundamental	Secondary	Irrelevant
It favours the implementation of the programs			
Ensures population's acceptance and ownership of programs			
It is a useful working methodology			
It is the right of the communities subject of Humanitarian Action; it is part of the Rights Based Approach			
It is a donors' requirement			
Others (specify which ones in the next question)			

7.1 If you chose "Others", please specify which ones

8. Indicate in which phases or areas Accountability to the communities should be done

	Essential	Desirable	Not necessary
Needs Assessment / Selection of population			
Program design: activities and budget			
Implementation of activities			
Monitoring and Evaluation			
At the end of the program			
Others			

8.1 If you chose "Others", specify which areas or phases you refer to

9. Indicate what should be the implications or consequences of accountability. Select a maximum of three options

- Redesign of the program activities
- Redesign of the program in the selection of the population subject to Humanitarian Action
- Compensation to certain groups



- Budget changes in the program (reallocation of budget lines)
- Structural changes in the Humanitarian Organization
- Others

9.1 If you chose "Others" indicate which ones

Participation and Accountability (P&A) interrelation

10. Indicate briefly, what are in your opinion, the connecting elements that exist, between Participation and Accountability

10.1 Do you think that Participation and Accountability is a real feedback circle?

- Yes, Participation and Accountability are fed back in practice
- No, Participation and Accountability are two independent processes in practice
- I don't know if there is feedback or not.

11. In practice, how do populations participate in managing accountability? Describe briefly, how populations are involved in the accountability processes

Cultural factors of the population that affect Participation and Accountability (P&A)

12. When implementing Participation and Accountability (P&A), what cultural factors of the populations are interfering to achieving an effective P&A? Select as many as you consider appropriate

- Patriarchal
- Gender
- Ethnicity or social class
- Conflictual dynamics
- Oral versus written culture
- Others
- None

12.1 Expand, if desired, a brief explanation of the cultural implications you have identified

In practice, how are these cultural factors of the populations, taken into account when applying the P&A? Describe briefly, how it is done. Add a real example if possible

Environment-context factors that affect Participation and Accountability (P&A)



14. Are there environmental or contextual factors that affect the P&A?, (Conflict, political, historical,...? And are they taken into account? Select as many as there are

- Violent Conflict
- Political factors
- Historical factors, (colonial, domination, etc.)
- Others
- None

14.1. If you chose "Others" indicate which ones

15. Are there any factor of the Humanitarian context itself that affects the P&A?

- Yes
- No
- I do not know

16. What are the implications that COVID-19 is having in the P&A processes?

- Greater participation and empowerment of communities in Humanitarian Action
- Less participation and empowerment of communities in Humanitarian Action
- Less accountability by Humanitarian Organizations
- Greater transparency and accountability of Humanitarian Organizations
- Others
- No implication

16.1. If you chose "Others" indicate which ones

Environmental-contextual factors that affect Participation and Accountability (P&A)

17.a. What values, attitudes and capacities of Humanitarian Organizations and those of their workers facilitate the P&A? Choose up to three. Those that you consider to be the most relevant ones.

- Honesty
- Professionalism
- Transparency
- Humility
- Knowledge of the local language and culture
- The experience
- Others, (Gender, age of humanitarian workers, etc.)

17.b What attitudes, behaviours and deficiencies of Humanitarian Organizations and their workers hinder P&A?

- Lack of empathy with populations
- Colonial and domination attitudes
- Machismo (a macho culture)
- Lack of knowledge of the culture, language and context of the populations
- Lack of adequate means
- Others



17.b.1. If you chose "Others" indicate which ones

18. How do Humanitarian Organizations manage their values, attitudes and capacities to promote P&A? Briefly describe, based on your experience, how organizations take care of and put into practice their values in favour of the P&A? As an example: in the inclusion of specific values and competencies in staff recruitment, etc.

Policies and Strategies of P&A

19. Is P&A captured at the level of principles, policies and strategies in the Humanitarian Organizations?

- Yes
- No
- I do not know

20. Briefly explain how the P&A organizational criteria are disseminated among the staff of the organizations, and to what extent (to which groups, departments, staff...).

Organizational instruments and tools for P&A

21. What methodologies does the organization have to ensure effective P&A? Indicate the methodologies, training, etc. the Organization has, to ensure effective P&A

21.1 Tick which of the following practical tools does the Humanitarian Organization have, in relation to P&A

- Policy of Participation and Accountability to the subject populations
- Complaint and grievance management mechanisms and procedures
- Mechanisms and procedures for managing suggestions or comments
- Others
- None

21.2. If you chose "Others" indicate which ones

22. At what organizational level is the P&A managed? (Operational, Management, Direction?) Select as many as necessary

- Operational / Field projects
- Manager / Management at headquarters
- Management Teams
- Governance level (Board of Trustees, Assembly, ...)
- None



Institutional implications

23. What are the implications / changes that the P&A has or the Humanitarian Organizations would be willing to undertake within their own Organizations?

- Strategic direction
- Project setting and adjustment
- Financial
- Institutional learning
- Reputation to third parties
- Others

23.1. If you chose "Others" indicate which ones

24. Distribution of P&A responsibilities among Donors, International Humanitarian Organizations, National-Local Humanitarian Organizations. Indicate the three entities (at most), which in your opinion, have the highest level of responsibility in the exercise of P&A

- Donors
- International Non-Governmental Organizations
- United Nations Agencies
- National-Local Humanitarian Organizations
- Local Coordination Groups (Example: Refugee camp management coordination committees, etc.)
- Populations subject to Humanitarian Action
- Others

24.1. If you chose "Others" indicate which ones



Guide for completing the Participation and Accountability Questionnaire (P&A)

Thank you very much for participating in this study, to better understand and contribute to the improvement the praxis of Participation and Accountability to the populations subject to Humanitarian Action programs.

We hope that the responding to this survey will become also an opportunity for reflection within your own organization on how the Participation and Accountability practices are addressed to the populations subject to Humanitarian Action.

The questionnaire is structured in three large blocks or parameters that are in turn broken down into 9 components according to:

1. Conceptual
 - 1.1 Concept of Participation
 - 1.2 Concept of Accountability
 - 1.3 Relationship between Participation and Accountability
2. Cultural (of populations, environmental-contextual and organizational)
 - 2.1 Cultural factors of the population that affecting to the P&A processes
 - 2.2 Environmental-contextual factors that affects to the P&A processes
 - 2.3 Cultural factors of Humanitarian Organizations
3. Management including knowledge, tools, reputation, and financing
 - 3.1 Policies and Strategies
 - 3.2 Organizational instruments and tools for P&A
 - 3.3 Institutional implications

The questionnaire has been elaborated based on these components. Here are some points that may help you to complete the survey.

1. This survey is voluntary and confidential.
2. Please note that only one survey per organization should be completed.
3. Please complete the survey **before November 22, 2020**. After that date, the survey questionnaire will be closed, to proceed with the analysis of aggregated results.
4. The questionnaire can be accessed and filled online from any computer or Android device.
5. Access the survey by clicking on: [Cuestionario de Participación y Rendición de Cuentas](#) or by copying the following link into the browser: <https://ee.kobotoolbox.org/x/LO1SHq6w>
6. Surveys must be sent online by pressing the "Validate" key when completing the questionnaire. (Questionnaires should not be sent by other means)
7. You can complete the survey at different moments, by saving the responses in draft mode with the option that appears at the end of the survey. However, it is recommended to do it in one go.
8. Once the questionnaire is opened, in the upper right corner, you must choose the preferred language to answer the questionnaire. It is available in Spanish and English.



9. Open questions can be answered in other languages, but in order to facilitate the analysis of results, it will be appreciated if they are limited to the languages of the questionnaire. However other languages are welcome.

10. Questions with an asterisk (*) indicate that they are mandatory to be responded in order to move to the next question.

11. Some questions will unfold in others depending on the answers given.

If you have any questions or suggestions, you can direct them to Fernando Almansa through his email: fer.almansa@gmail.com

Thanks a lot.