

# Annex 1

## Overview of funding

NB: Funding for GPAF Impact Grants is provisional only

Org Name	Ref	Lifetime DFID funding (£)	Per year funding (over 3 years)	Match funding / funding from other sources (£) - GPAF only	Total project cost (£) - GPAF only	% of DFID funding of total project cost - GPAF only	Turnover (£)	% funding of turnover apportioned over 3 years - PPA only	Primary sector of project - GPAF only	Secondary sector of project - GPAF only	Tertiary sector of project - GPAF only	Geographic focus - GPAF only	Primary intervention type	Secondary intervention type	Organisational profile
PPA GENERAL															
ActionAid	327	12,357,016	4,119,005				66,754,333	6.2							Multi - sectoral orgs.
ADD International	375	3,401,475	1,133,825				4,123,000	27.5							Niche - sectoral specialist
Article 19	159	1,628,062	542,687				2,170,749	25.0							Niche - sectoral specialist
CAFOD	264	12,532,929	4,177,643				48,214,000	8.7							Multi - sectoral orgs.
Care International UK	334	9,699,805	3,233,268				34,056,000	9.5							Multi - sectoral orgs.
Christian Aid General	351	17,987,601	5,995,867				92,900,000	6.5							Multi - sectoral orgs.
Ethical Trading Initiative (ETI)	220	1,205,309	401,770				1,339,233	30.0							Niche - sectoral specialist
Farm Africa	336	9,234,809	3,078,270				6,594,667	46.7							Multi - sectoral orgs.
Gender links	158	1,874,602	624,867				2,082,891	30.0							Niche - sectoral specialist
GAIN	360	9,449,390	3,149,797				21,549,072	14.6							Niche - sectoral specialist
HelpAge International	117	8,010,806	2,670,269				18,900,000	14.1							Multi - sectoral orgs.
International HIV/AIDS Alliance	225	11,674,868	3,891,623				34,048,860	11.4							Niche - sectoral specialist
Islamic Relief	305	3,000,000	1,000,000				48,596,533	2.1							Multi - sectoral orgs.
Malaria Consortium	156	8,010,806	2,670,269				14,510,548	18.4							Niche - sectoral specialist
Marie Stopes International	356	13,059,157	4,353,052				98,016,333	4.4							Niche - sectoral specialist
OXFAM General	326	28,834,101	9,611,367				308,600,000	3.1							Multi - sectoral orgs.
Plan UK	113	12,303,165	4,101,055				40,089,000	10.2							Multi - sectoral orgs.
Practical action	315	8,673,182	2,891,061				22,014,000	13.1							Multi - sectoral orgs.
Progressio	390	6,075,044	2,025,015				5,368,314	37.7							Multi - sectoral orgs.
Restless Development	144	8,266,317	2,755,439				4,000,000	68.9							Multi - sectoral orgs.
Save the Children GENERAL	304	23,324,277	7,774,759				199,127,000	3.9							Multi - sectoral orgs.
Sightsavers	361	11,216,035	3,738,678				91,543,000	4.1							Niche - sectoral specialist
Transparency International GENERAL	105	8,010,807	2,670,269				9,984,355	26.7							Orgs. working at level of intl. systems
VSO	N/A	78,000,000	26,000,000				54,675,000	47.6							Multi - sectoral orgs.
Water Aid	352	12,604,921	4,201,640				43,218,000	9.7							Niche - sectoral specialist
Womankind Worldwide	140	1,681,150	560,383				2,490,590	22.5							Niche - sectoral specialist
World Vision UK	283	11,813,296	3,937,765				59,967,000	6.6							Multi - sectoral orgs.
WWF UK	229	9,271,067	3,090,356				49,104,000	6.3							Multi - sectoral orgs.
IPPF	N/A	25,800,000	8,600,000				78,307,155	11.0							Niche - sectoral specialist
Fairtrade Labelling Organisation	N/A	12,000,000	3,000,000				10,138,360	29.6							Niche - sectoral specialist
PPA CHASE															
Asia Foundation	402	7,335,090	2,445,030				74,695,733	3.3							Multi - sectoral orgs.
Avocats Sans Frontiers	186	4,351,354	1,450,451				3,626,128	40.0							Niche - sectoral specialist
British Red Cross	203	4,913,866	1,637,955				182,051,000	0.9							Multi - sectoral orgs.
CDA Inc	83	1,368,460	456,153				1,140,383	40.0							Niche - sectoral specialist
Christian Aid CHASE	351	3,780,180	1,260,060				92,900,000	1.4							Multi - sectoral orgs.
Conciliation Resources	345	3,007,738	1,002,579				2,506,448	40.0							Niche - sectoral specialist
Development Initiatives	382	1,167,979	389,326				973,316	40.0							Multi - sectoral orgs.
International Alert	230	5,217,480	1,739,160				16,190,556	10.7							Multi - sectoral orgs.
MAPAction	232	453,473	151,158				377,894	40.0							Niche - technical specialist
Norwegian Refugee Council	476	7,629,436	2,543,145				81,204,415	3.1							Niche - sectoral specialist
OXFAM CHASE	326	4,679,004	1,559,668				3,086,000,000	0.1							Multi - sectoral orgs.
Penal Reform International	310	3,244,132	1,081,377				2,703,443	40.0							Niche - sectoral specialist
People in Aid	350	620,396	206,799				516,992	40.0							Niche - technical specialist
Saferworld	301	5,217,480	1,739,160				4,328,137	40.2							Niche - sectoral specialist
Save the Children CHASE	305	4,901,706	1,633,902				199,127,000	0.8							Multi - sectoral orgs.
Transparency International CHASE	105	2,112,225	704,075				9,984,355	7.1							Orgs. working at level of intl. systems
GPAF INN															
African initiatives	INN-01-0019	145,525		27,451	172,976	84	163,729		Education	Empowerment - women/girls	Empowerment - other marginal	Tanzania	Supporting people to do	Advocacy - local gov	Multi - sectoral orgs.
Trust for Africa's Orphans	INN-01-0086	249,417		0	249,417	100	434,536		Livelihoods & Markets	Empowerment - women/girls	N/A	Uganda	Supporting people to do	N/A	Multi - sectoral orgs.
PONT	INN-1-0060	146,700		32,600	179,300	82	131,337		Health - HIV/AIDS	Health - general	N/A	Uganda	Supporting people to do	N/A	Niche - locational specialist
India Development Group (UK)	INN-01-0070	64,299		24,033	88,332	75	89,693		Livelihoods & Markets	N/A	N/A	India	Supporting people to do	N/A	Multi - sectoral orgs.

HealthProm	INN-01-0080	177,444		31,612	209,056	85	230,468		Care and protection	N/A	N/A	Tajikistan	Supporting people to do	Partnership - national gov	Multi - sectoral orgs.
ICA:UK	INN-01-0094	61,525		12,176	73,701	84	184,011		Education	Empowerment - women/girls	N/A	Togo	Supporting people to do	Partnership - regional gov	Multi - sectoral orgs.
PLEASE NOTE THAT GPAF IMPACT FUNDING IS PROVISIONAL as all grants have not yet been signed. GPAF IMP															
Desmond Tutu HIV Foundation (DTHF)	IMP-01-PL-0027	961,557		444,842	1,406,399	68	3,402,353		Health - general	Health - HIV/AIDS	Empowerment - women/girls	Western Cape Province	Supporting people to do	Service delivery	Niche - sectoral specialist
Mercy Corps Scotland	IMP-01-PL-0075	310,122		1,239,644	1,549,766	20	22,897,250		Livelihoods & Markets	Empowerment - women/girls	None	Nepal	Supporting people to do	None	Multi - sectoral orgs.
Relief International – UK	IMP-01-PL-0107	658,005		231,924	889,929	74	4,795,592		Education	Empowerment - women/girls	Governance	Somalia	Service delivery	Supporting people to do	Multi - sectoral orgs.
Southern African Catholic Bishops Conferen	IMP-01-PL-0153	1,228,674		409,558	1,638,232	75	11,913,830		Health - HIV/AIDS	Health - general	None	South Africa	Service delivery	None	Niche - sectoral specialist
Heifer Project South Africa	IMP-01-PL-0168	457,296		172,348	629,644	73	588,394		Livelihoods & Markets	None	None	South Africa	Supporting people to do	None	Niche - sectoral specialist
Aga Khan Foundation UK	IMP-01-PL-0215	2,237,404		974,001	3,211,405	70	15,134,108		Health - general	None	None	India	Service delivery	Supporting people to do	Multi - sectoral orgs.
Mercy Corps Scotland	IMP-01-PL-0225	1,399,592		2,093,825	3,493,417	40	5,186,754		Infrastructure (incl. WATSAN)	Health - general	None	Democratic Republic of	Service delivery	Supporting people to do	Multi - sectoral orgs.
Sense International	IMP-01-PL-0268	478,934		205,257	684,191	70	1,419,960		Empowerment - other marginalised groups	Education	Health - general	India	Supporting people to do	None	Niche - sectoral specialist
Pastoralist Concern (PC)	IMP-01-PL-0279	379,909		127,054	506,963	75	660,377.00		Health - general	Health - HIV/AIDS	None	Ethiopia	Supporting people to do	Advocacy - national gov	Niche - locational specialist
Methodist Relief & Development Fund (MRD)	IMP-01-PL-0305	463,184		225,172	688,356	67	2,966,163		Infrastructure (incl. WATSAN)	Health - general	Environment	Uganda	Service delivery	Supporting people to do	Multi - sectoral orgs.
Children in Crisis (CIC)	IMP-01-PL-0306	454,029		151,343	605,372	75	2,031,615		Education	Empowerment - women/girls	Livelihoods & Markets	Sierra Leone	Supporting people to do	None	Niche - sectoral specialist
BRAC International	IMP-01-PL-0333	1,826,693		608,859	2,435,552	75	46,693,787		Livelihoods & Markets	Health - general	None	Sierra Leone and Liberia	Supporting people to do	None	Multi - sectoral orgs.
SOS Sahel International UK	IMP-01-PL-0355	612,000		161,282	773,282	79	1,014,319		Livelihoods & Markets	Environment	None	Ethiopia	Service delivery	Partnership - local gov	Multi - sectoral orgs.
BRAC International	IMP-01-PL-0357	1,089,249		371,868	1,461,117	75	46,693,787		Livelihoods & Markets	Empowerment - women/girls	None	Tanzania	Supporting people to do	Advocacy - regional gov	Multi - sectoral orgs.
GOAL (UK)	IMP-01-PL-0376	1,043,338		400,000	1,443,338	72	2,602,300		Health - general	Livelihoods & Markets	Empowerment - women/girls	Zimbabwe	Supporting people to do	None	Multi - sectoral orgs.
Build Africa	IMP-01-PL-0386	344,454		114,818	459,272	75	2,362,452		Education	Empowerment - women/girls	None	Uganda	Supporting people to do	None	Multi - sectoral orgs.
Canon Collins Trust	IMP-01-PL-0396	412,877		137,930	550,807	75	998,606		Education	Health - HIV/AIDS	Health - general	Malawi	Supporting people to do	Advocacy - local gov	Niche - sectoral specialist
Mercy Corps Scotland	IMP-01-PL-0401	681,731		794,106	1,475,837	46	22,897,250		Infrastructure (incl. WATSAN)	Livelihoods & Markets	N/A	Central African Republic	Supporting people to do	N/A	Multi - sectoral orgs.
Association for Reproductive & Family Health	IMP-01-PL-0407	1,125,000		520,125	1,645,125	68	1,470,902		Health - general	Empowerment - women/girls	Health - HIV/AIDS	Nigeria	Supporting people to do	Advocacy - local gov	Niche - sectoral specialist
World Wide Fund for Nature – Pakistan	IMP-01-PL-0410	1,480,000		500,000	1,980,000	75	Not provided		Livelihoods & Markets	Environment	N/A	Pakistan	Supporting people to do	Advocacy - national gov	Multi - sectoral orgs.
Opportunity International UK	IMP-01-PL-0415	787,692		810,455	1,598,147	49	5,022,890		Livelihoods & Markets	N/A	N/A	Mozambique	Supporting people to do	None	Niche - technical specialist
Send A Cow	IMP-01-PL-0480	578,724		78,417	657,141	88	3,188,648		Livelihoods & Markets	Empowerment - women/girls	N/A	Ethiopia	Supporting people to do	N/A	Niche - sectoral specialist
Basic Needs Foundation	IMP-01-PL-0491	683,521		243,491	927,012	74	2,238,105		Health - general	Livelihoods & Markets	N/A	Ghana	Supporting people to do	N/A	Niche - sectoral specialist
Micro Insurance Academy (MIA)	IMP-01-PL-0513	432,292		147,857	580,149	75	604,055		Livelihoods & Markets	Health - general	Health - HIV/AIDS	India	Supporting people to do	N/A	Niche - sectoral specialist
Traidcraft Exchange (TX)	IMP-01-PL-0541	720,485		240,162	960,647	75	3,570,000		Livelihoods & Markets	Empowerment - women/girls	N/A	Bangladesh	Supporting people to do	N/A	Niche - sectoral specialist
Samaritan's Purse UK	IMP-01-PL-0557	737,956		251,679	989,635	75	5,056,118		Health - general	Health - HIV/AIDS	Empowerment - women/girls	Uganda	Supporting people to do	Advocacy - national gov	Multi - sectoral orgs.
Centre for Indian Knowledge Systems (CIK)	IMP-01-PL-0561	374,367		124,813	499,180	75	455,967		Livelihoods & Markets	N/A	N/A	India	Supporting people to do	N/A	Niche - sectoral specialist
Twin	IMP-01-PL-0562	421,738		142,180	563,918	75	1,000,000		Livelihoods & Markets	Health - general	None	Malawi	Supporting people to do	None	Niche - sectoral specialist
Survivors Fund (SURF)	IMP-01-PL-0586	920,071		905,901	1,825,972	50	682,371		Livelihoods & Markets	Empowerment	Health - HIV/AIDS	Rwanda	Supporting people to do	N/A	Niche - locational specialist
Oxfam India	IMP-01-PL-0608	1,628,484		542,811	2,171,295	75	9,199,766		Health - general	Care and protection	Empowerment - women/girls	India	Supporting people to do	Advocacy - regional gov	Multi - sectoral orgs.
BRAC International	IMP-01-PL-0616	480,158		162,055	642,213	75	1,614,472		Education	Empowerment - women/girls	N/A	Pakistan	Supporting people to do	N/A	Multi - sectoral orgs.
Karuna Trust	IMP-01-PL-0617	250,000		9,691	259,691	96	253812		Education	Livelihoods & Markets	Health - general	India	Supporting people to do	Partnership - local gov	Niche - locational specialist
Adventist Development and Relief Agency (ADRA)	IMP-01-PL-0629	381,203		113,484	494,687	77	2,653,608		Livelihoods & Markets	N/A	N/A	Burma/Myanmar	Supporting people to do	N/A	Multi - sectoral orgs.
Camfed International	IMP-01-PL-0630	3,134,403		1,755,204	4,889,607	64	10,782,227		Education	Empowerment - women/girls	Governance	GHANA	Supporting people to do	Advocacy - local gov	Niche - sectoral specialist
Tearfund UK	IMP-01-PL-0730	3,438,688		1,496,067	4,934,755	70	64,848,000		Health - HIV/AIDS	Infrastructure (incl. WATSAN)	Care and protection	Democratic Republic of Congo	Service delivery	Supporting people to do	Multi - sectoral orgs.
Development Aid from People to People (DAP2P)	IMP-01-PL-0738	755,789		239,695	995,484	76	4,349,823		Livelihoods & Markets	Environment	Empowerment - women/girls	Malawi	Supporting people to do	N/A	Niche - sectoral specialist
Water and Sanitation for the Urban Poor (WSUP)	IMP-01-PL-0750	654,025		310,009	964,034	68	41,059 GBP		Health - general	Livelihoods & Markets	Infrastructure (incl. WATSAN)	Kenya	Supporting people to do	Partnership - private sector	Niche - sectoral specialist
World Wide Fund for Nature – Pakistan	IMP-01-PL-0770	279,000		94,063	373,063	75	2,775,897		Livelihoods & Markets	N/A	N/A	Pakistan	Supporting people to do	Partnership - local gov	Multi - sectoral orgs.
Ethiopian Evangelical Church Mekane Yesus	IMP-01-PL-0771	275,077		92,047	367,124	75	9,500,000		Health - general	Health - HIV/AIDS	N/A	Ethiopia	Supporting people to do	Advocacy - local gov	Multi - sectoral orgs.

**Sector**

Health - general  
 Health - HIV/AIDS  
 Education  
 Infrastructure (incl. WATSAN)  
 Livelihoods & Markets  
 Governance  
 Environment  
 Care and protection  
 Empowerment  
 Empowerment - women/girls  
 Empowerment - other marginalised groups  
 N/A

**Organisational profile**

Niche - technical specialist  
 Niche - sectoral specialist  
 Niche - locational specialist  
 Multi - sectoral orgs.  
 Orgs. working at level of intl. systems

**Intervention type**

Service delivery  
 Supporting people to *do things for themselves*  
 Advocacy - local gov  
 Advocacy - regional gov  
 Advocacy - zonal gov  
 Advocacy - national gov  
 Advocacy - intl. gov  
 Advocacy - private sector  
 Advocacy - intl. institutions  
 Partnership - local gov  
 Partnership - regional gov  
 Partnership - zonal gov  
 Partnership - national gov  
 Partnership - intl. gov  
 Partnership - private sector  
 N/A

# Annex 11

**Library of Resources**

## ANNEX 11: LIBRARY OF RESOURCES

### LIBRARY OF RESOURCES

Please note that the list provided below is not exhaustive, but it should provide grantees and other stakeholders with some helpful information relating to key evaluation themes. Soft copies of all of the documents listed will be provided to grantees in a zip file.

Subject/Source	Title
<b>General</b>	
Cabinet Office (Spencer et al.)	<i>Quality in Qualitative Evaluation: A Framework for Assessing Research Evidence, Cabinet Officer 2003</i>
HM Treasury	<i>The Green Book: Appraisal and Evaluation in Government, July 2011</i> <a href="http://www.hm-treasury.gov.uk/d/green_book_complete.pdf">http://www.hm-treasury.gov.uk/d/green_book_complete.pdf</a>
HM Treasury	<i>The Magenta Book: Guidance for Evaluation, April 2011</i> <a href="http://www.hm-treasury.gov.uk/data_magentabook_index.htm">http://www.hm-treasury.gov.uk/data_magentabook_index.htm</a>
<b>Value for Money</b>	
Audit Commission	<i>Use of Resources Framework – overall approach and key lines of enquiry, Audit Commission, 2009</i>
BMZ (Palenberg, M.)	<i>Tools and Methods for Evaluating the Efficiency of Development Interventions, BMZ, 2011</i>
BOND	<i>Value for money and What It Means for UK NGOs, January 2012</i>
DFID	<i>DFID's Approach to Value for Money (VfM), July 2011</i>
ICAI	<i>ICAI Approach to Effectiveness and Value for Money, November 2011</i>
ITAD	<i>Measuring the Impact and Value for Money of Governance &amp; Conflict Programmes, December 2010</i>
NAO	<i>NAO Analytical framework for assessing value for money, 2010</i>
<b>Additionality /Impact Evaluation</b>	
ERDF	<i>ERDF How to Guide on Additionality, April 2010</i>
NONIE	<i>Impact Evaluations and Development</i>
<b>Cost Benefit Analysis</b>	
Cabinet Office	Cabinet Office (2009) A Guide to Social Return on Investment <a href="http://www.sroiuk.org/component/option.com_docman/task,cat_view/gid,29/Itemid,38/">www.sroiuk.org/component/option.com_docman/task,cat_view/gid,29/Itemid,38/</a>
<b>Contribution Analysis</b>	
ILAC (Mayne, J)	<i>ILAC Brief 16 – Contribution analysis – an approach to exploring cause and effect, 2008</i>
<b>Theory of Change</b>	
Comic Relief	<i>Theory of Change Review, September 2011</i>
UNDP & HIVOS (Eguren I.R)	<i>Theory of Change – A thinking and action approach to navigate in the complexity of social change processes, 2011</i>

## **Annex 12**

**Management and measurement approaches to assess value for money**

## ANNEX 12: MANAGEMENT AND MEASUREMENT APPROACHES TO ASSESS VALUE FOR MONEY

*Annex 12 outline the two main approaches for grantees to assess and report on value for money. It is relevant for GPAF and PPA grantees as all organisations must demonstrate that the resources provided by DFID are managed and used in ways that maximise the value and benefits realised as a result of DFID's funding.*

### 1 USING MEASUREMENT AND MANAGEMENT APPROACHES TO ASSESS VALUE FOR MONEY

The use of measurement and management approaches for the assessment of value for money enables a range of tools and techniques to be selected and applied in appropriate ways to suit the range of different types of interventions evident across the PPA and GPAF portfolios.

Typically the key challenge facing any assessment of value for money of either organisations or interventions is the extent to which funding can be *apportioned* to tangible input and activity costs in the first instance. This is evidently more difficult for those PPA grantees that have used DFID funding in an 'unrestricted' way compared to project-specific funding allocated by GPAF grantees (for example).

This raises a key question as to 'which approach should be applied and under what circumstances?' The immediate answer is that wherever possible, both approaches should be applied to demonstrate value for money. Those grantees who are able to clearly apportion funding and costs to inputs, outputs and outcomes should be in a position to measure the cost effectiveness and potentially the return on investment (through cost benefit analysis) resulting from the activities delivered.

However, it is important that all grantees are able to demonstrate that the resources provided by DFID are managed and used in ways that maximise the value and benefits realised for the costs incurred. In light of the challenges articulated above, the criteria for the assessment of value for money at the grantee level are set out in Appendices 5.1. The approach requires evidence that demonstrates an acute understanding (in both quantitative and qualitative terms) of the linkages between the costs incurred and the extent to which these enhance the effectiveness of grantee organisations to either directly (e.g. in the case of GPAF grantees) or indirectly (e.g. in the case of PPA grantees) deliver the results set out in their logframes.

### 2 A MEASUREMENT APPROACH TO VALUE FOR MONEY

This approach focuses on cost optimization through measurement and comparative assessment to determine:

- whether grantees have achieved the quantity and quality of the inputs, outputs and outcomes required at the 'least' cost, typically involving the use of *cost effectiveness analysis*; and
- the extent to which all lifetime benefits exceed all lifetime costs and the social and economic return on investment that results, typically involving the use of cost benefit analysis.

The following sections provide a summary of the key techniques typically used to measure the value for money of interventions. References to more comprehensive guidance are also provided.

#### 2.1 Cost effectiveness analysis

Cost effectiveness analysis typically involves the assessment of the extent to which a 'unit' of something tangible and measurable has been delivered at the 'least' cost. A unit could be an input

## ANNEX 12: MANAGEMENT AND MEASUREMENT APPROACHES TO ASSESS VALUE FOR MONEY

measure such as ‘the number of training sessions provided’, in which the case a ‘unit’ would be one training session. Similarly, a unit could be an output, such as ‘a person trained’ or an outcome, such as ‘a person who got a job’ as a result of being trained by the project.

From the outset the total budget (including overheads) should be allocated across input, output and outcome measures. A *unit cost* is then calculated as the average cost per single unit of measurement. Where costs cannot be allocated directly to a specific unit of measurement e.g. overhead costs, then these are simply apportioned equally across the total number of units. The unit cost provides a measure of cost-effectiveness for different aspects of the project that may be compared with other similar unit cost measures, otherwise known as *benchmarks*. This enables a assessment of the extent to which the project is delivering an input, output or outcome at a cost that is comparable to other similar projects as expressed in those unit cost measures that are being used for benchmarking purposes.

Cost effectiveness analysis is a useful tool for assessing the extent to which funding is being used economically at different stages in the impact chain. It is also useful for assessing whether a project is achieving the least cost possible compared to either the unit cost estimated at the start of the project or unit costs achieved by other comparable projects. The key difficulty is finding projects that are sufficiently similar and as such able to provide unit cost data that is sufficiently comparable for benchmarking purposes.<sup>1</sup>

### 2.2 Cost benefit analysis

Cost benefit analysis typically involves an assessment of all additional social and economic benefits that are attributable to an intervention compared with all lifetime costs incurred. As far as possible all benefits and costs should be monetised to enable a comparison to be made in order to arrive at a cost benefit ratio as an expression of the return on investment associated with the total costs incurred by the intervention. It is important to note that the benefits that are monetised should be the ‘net’ additional benefits that are directly attributable to the intervention as evidenced through a robust impact evaluation process<sup>2</sup>.

The distinct advantage that this technique has over cost effectiveness analysis is that by monetising all costs and benefits value for money comparisons can be made between different types of interventions. The key difficulty associated with cost benefit analysis is that the monetisation of benefits frequently relies on ‘heroic’ assumptions concerning the valuation of different types of benefits due the absence of reliable data and information. Inconsistencies in the valuation of different types of benefits can affect the reliability of the comparisons made between different types of interventions as a result.

## 3 A MANAGEMENT APPROACH TO VALUE FOR MONEY

This approach focuses on an assessment of the extent to which *key management processes and resource allocation decisions* made at each stage of the implementation process results in the efficient delivery of higher value inputs, activities, outputs and ultimately outcomes and impacts.

This dimension of value for money is very much concerned with internal management processes that reflect the ways in which organisations internally use the funding provided by DFID to ensure that value is maximised from every £1 spent throughout the life of the grant. For example, key management

---

<sup>1</sup> Please see ICAI’s Approach to Effectiveness paper in the library of documents

<sup>2</sup> Please see the guide to cost benefit analysis in the library of documents



## ANNEX 12: MANAGEMENT AND MEASUREMENT APPROACHES TO ASSESS VALUE FOR MONEY

processes that are assessed in order to demonstrate value for money from a management perspective should consider (but not be limited to) the following:

- **Procurement** – the extent to which costs are managed through effective procurement processes and results in savings and cost reductions throughout the life of the grant;
- **Planning processes** – the extent to which the right type of resources are allocated for the right purpose in order to optimise performance and ultimately improve the delivery of results; for example, in conflict-affected programme environments it may be necessary to incur considerable costs in order to provide the quality of technical assistance required at the right time in order to achieve short-term objectives. However, longer-term objectives in-country may not necessitate this level of resource cost and could afford an opportunity to use local or regional expertise as a more cost-effective alternative;
- **Financial systems** – the extent to which an organisation, of whatever size or type, is able to demonstrate that it has control over its costs and as a result is able to present budget and cost data appropriately; access to good quality financial data is a foundation for not only being able to demonstrate value for money but being able to achieve it as an integral part of the way that an organisation works;
- **Monitoring, evaluation and learning systems** – the extent to which an organisation is able to demonstrate appropriate capacity to gather information from a range of sources to help explain the linkages between what an organisation is funding, who is benefiting, how, under what circumstances and ultimately with what effect on the delivery of results. Organisations should strive to learn (in one form or another) whether or not its activities are effectively delivering their objectives and results. Organisations lacking this capacity will struggle to understand how the costs incurred relate to and are driven by factors that enhance their effectiveness to deliver results;
- **Leverage** – the extent to which the organisation has been able to coordinate and align its approach and activities with other organisations in order to lever in additional resources that directly contribute to the purpose for which the DFID grant was intended. Additional resources levered in as a result of DFID funding are likely to be measurable in one form or another; and
- **Delivery process** – the extent to which the organisation has been able to achieve economies of scale or effort through a coordinated approach to the delivery of activities that relate to the purpose for which the DFID grant was intended.

This approach is also concerned with assessing the extent to which the ways in which resources are managed and allocated are driven by value added factors or other mitigating conditions that need to be overcome in order to efficiently and effectively deliver planned outputs and outcomes - the rationale being that costs that are driven by non-value adding activities could be considered unnecessary and as such represent an inefficient use of resources that could be better allocated if managed and allocated in different ways.

To this end the management approach to assessing grantee's value for money is underpinned by a *process evaluation approach* that requires a demonstrable and acute understanding of:

- **the type and scale of costs** incurred that are associated with the DFID grant;
- **the influencing factors**, either internal organisational /project factors and/or external conditions that specifically require (and drive) types and scale of costs to be incurred in order to achieve objectives, aims, outcomes and enhance performance in doing so; and
- **the efficiency gains** that can be made throughout the life of the grant as a result of improvements in the ways that resources are managed and used – for example, efficiency gains that results in the reduction of overhead costs over time as external resources are levered into organisational or project activities designed to sustain the benefits that are being realised.

## APPENDIX 12.1: EVALUATION AND VALUE FOR MONEY IN PLAIN ENGLISH

Glossary of value for money terms in plain English	
<b>Additionality</b>	The extent to which an activity, its outputs, outcomes and impacts, are of a larger scale, a higher quality and/or take place more quickly than would have been the case if the project, programme or policy had not been implemented. The key question that needs to be asked is: what value has been added above and beyond would have happened in the absence of the project, programme or policy?
<b>Attributable</b>	Being able to demonstrate (either through evidence or rationale) to the satisfaction of a community of people that a change or effect has been caused by a programme or intervention
<b>Baseline data</b>	The state of the political, social, economic or environmental context at a given time, usually prior to the intervention – against which changes can be tracked throughout the course of the intervention
<b>Benchmarks</b>	Reference points against which progress can be measured. These should be carefully selected; they might include aspects of the project’s baseline data, key objectives, targets or standards that it should aim for, but they should not be chosen unless they can be used to track progress.
<b>Comparators</b>	A comparator is basically a ‘condition’ that has similar characteristics to the condition of a target beneficiary group or beneficiary area. This ‘condition’ could be either a description of the physical setting, such as high crime rates in a deprived area, or a group of people, such as under-achieving pupils in year 6. Ideally, the only difference between the comparator’s setting/group and the intervention’s setting/group should be the activities of the intervention. Monitoring and evaluating the difference between the changes experienced in the comparator’s and the intervention’s setting/group allows the evaluation to separate out the change that (all things being equal) has occurred as a direct result of the project. The premise being that changes observed in the comparator represents what would have happened anyway without the intervention.
<b>Cost-effectiveness</b>	<p>Cost-effectiveness assesses whether or not something has been delivered at ‘least cost’. This method of assessing value for money involves allocating costs to measurable units of delivery throughout the impact chain i.e. at input, output and outcome levels. Typically, this results in the production of average unit costs i.e. the average cost of producing one unit – for example:</p> <ul style="list-style-type: none"> <li>• an <i>input</i> unit cost might be the average cost per trainer;</li> <li>• an <i>output</i> unit cost might be the average cost per person trained; and</li> <li>• an <i>outcome</i> unit cost might be the average cost per person who got a job.</li> </ul> <p>Wherever possible specific costs are allocated to specific units. Where this is not possible all costs, including overhead /management and administration costs are generally apportioned equally across the units of measurement.</p> <p>The purpose of producing unit costs is to compare them against comparable benchmarks. It is essential that benchmarks are as similar as possible as the unit costs of an intervention to ensure a fair and representative assessment of its cost-effectiveness. Finding sufficiently comparable benchmarks is often one of the most difficult aspects of cost-effectiveness. The focus on the assessment of whether something has been delivered at the least cost means that the benchmark not only has to have similar units of delivery but also has to have incurred similar costs for the comparison to be sufficiently meaningful.</p>
<b>Counterfactual</b>	The effects of an intervention at the outcome and impact levels are likely to be

## APPENDIX 12.1: EVALUATION AND VALUE FOR MONEY IN PLAIN ENGLISH

<b>position</b>	influenced by factors beyond the control of, or external to the intervention. These may have positive or negative influences but it is critical to consider the extent of their influence in order to establish the added value of the intervention above and beyond what would have happened anyway. The 'counterfactual position' basically represents the scenario without the intervention and what would have happened in its absence.
<b>Deadweight</b>	Changes observed amongst, or reported by, beneficiaries following a project that would have occurred even without the project. For example, a project might help to find 100 new apprenticeship places for learners, but even without the project 80 of these apprentices would have found placements. This would result in project deadweight of 80%.
<b>Economy</b>	Relates to the amount of resources or inputs (usually measured in financial cost) which are required to achieve a given output. Fewer – 'cheaper' – resources or inputs represents greater economy (i.e. spending less).
<b>Efficiency</b>	The relationship between output, in terms of goods, services or other results, and the resources used to produce them. The question that would need to be asked is: 'how economically have the various inputs been converted into outputs, outcomes and impacts? Could more effects have been obtained with the same budget? In other words 'doing the right things at the right price'.
<b>Effectiveness</b>	The extent to which objectives are met. The question that would need to be asked is: 'how far have the project or programme's outputs and impacts contributed to it achieving its objectives? An example would be: did the teacher placement programme improve the quality of the school curriculum or raise achievement? In other words 'doing the right things in the right way at the right price'.
<b>Evaluation</b>	The process of assessing how effective a project has been in delivering its objectives and outcomes, whilst it is being delivered and /or after it has finished.
<b>Formative evaluation</b>	The main function of this type of evaluation is to help the project improve its performance mid-way through its course. It provides an opportunity to take a moment to look back and review the progress of the project against its stated objectives and outcomes and if necessary reconsider them and the strategies used to achieve them. Crucially it provides a means to track progress, adjust and improve aspects of the project as it progresses, whereas evaluation at the end of the project (summative evaluation) will not necessarily provide this opportunity.
<b>Impacts</b>	Impacts are the final and long-term consequences of a project or programme on those aspects of the economy, social or physical conditions of the area which the project or programme is seeking to influence. Examples include: rises in educational attainment, decreases in levels of deprivation in an area, levels of economic activity, income and productivity.
<b>Intermediate outcome</b>	It can refer to those steps and outcomes in an outcomes model which are between higher-level outcomes and lower-level outputs. It is often used in an attempt to get people to identify steps and outcomes further up a results or impact chain, but not at the very top.
<b>Leverage</b>	A situation where the benefits of a project have been increased by other agencies (public and private) investing additional resources into the area; in other words a project's activities have 'levered in' new resources.
<b>Monitoring</b>	Monitoring is the regular assessment of the activities, outputs and financial situation of a project or programme, which usually compares actual figures against targets

## APPENDIX 12.1: EVALUATION AND VALUE FOR MONEY IN PLAIN ENGLISH

	that were set at the project or programme inception.
<b>Multiplier effect</b>	This is an additional effect (planned or not planned) linked to the outcomes and impacts of a project or programme intervention. For example, a project that helps a local business in an area grow and employ more people may in turn result in more work for its suppliers who are then able take on more staff; this means that the initial employment gain by the beneficiary business has ‘multiplied’ through the employment gains through its suppliers.
<b>Outcomes</b>	Outcomes are broad, large scale and longer-term economic, social or physical characteristics that projects and programmes are focused on changing. For example, one of a project’s <i>outputs</i> may be employment support; the outcome that this may lead to is sustained employment for the beneficiary.
<b>Outputs</b>	Outputs describe the direct results of the planned activities designed to achieve a project’s objectives. They might include, for example, numbers of: training weeks completed; vocational and academic qualifications gained; businesses supported; pupils undertaking curriculum development initiatives etc. As indicators, outputs measure the activity levels and ‘scope’ / ‘scale’ of the project and as such represent a quantitative way of demonstrating progress towards its objectives.
<b>Project</b>	A project is a single, non-divisible, intervention with a fixed time schedule and a dedicated budget. For example, a project seeking to raise the achievement of pupils through a school mentoring scheme.
<b>Qualitative</b>	Involving or relating to the particular character or nature of something.
<b>Quantitative</b>	Involving or relating to considerations or measurements of amount or size
<b>Sample</b>	A subset of a population. The method of obtaining a sample affects the extent to which sample results can be considered representative of the population.
<b>Summative or end of project evaluation</b>	Typically this type of evaluation would be carried out 3-4 months before the end of the project to allow enough time for the study to be completed and most importantly for the findings to inform future strategies and planning exercises. Similar to the interim evaluation, it provides time, that is not usually available through monitoring, to take an in-depth and comprehensive look at the achievements of the project. However, it differs from interim evaluation in that its primary purpose is to draw conclusions on the design, implementation and success of the project as measured against its objectives and indicators. It provides overall lessons for wider use than interim evaluation for funding bodies, stakeholders and partners.
<b>Value for Money</b>	Whether the project or programme has achieved the best combination of economy (‘doing things at the right price’), efficiency (‘doing things the right way’) and effectiveness (‘doing the right things’). A value for money exercise therefore considers whether the project has brought about benefits at a reasonable cost. What is ‘reasonable’ can be determined by comparing like for like costs between similar projects and activities working under comparable local circumstances. By using such comparisons the evaluation is able to consider what benefits might arise from taking different approaches at varying costs.

# Annex 2

## Causal Theory of Change

# WHY SHOULD DFID SUPPORT CIVIL SOCIETY? CAUSAL THEORY OF CHANGE

## Problem

Millions of people in developing countries lack access to quality basic services, information, economic opportunities. Institutions (state, non-state and private) lack capacity and accountability to the population. Poverty, and discrimination restrict access. Responsiveness of state to civil society demands is weak, and may be repressive. Fragile states are vulnerable to resolution of differences by conflict.

In order to address these problems we need to:

**Ensure that civil society is able to hold government to account and do things for themselves**

**Ensure that governments, private and international actors are transparent, accountable and responsive**

## BARRIERS

<b>Economic</b>	Lack of resources, information and capacity on the part of the state and of civil society; remoteness and poor infrastructure; structures and systems that promote inequality and increase vulnerability
<b>Social/Cultural</b>	Marginalization and lack of voice for women, the disabled, young people, ethnic minorities etc, often compounded by cultural norms. Civil society may be weak, fragmented and represent its own interests rather than those of the poor and vulnerable
<b>Political/ Institutional</b>	Fractured social contracts; corruption; lack of political space for dialogue between the state and civil society; unequal world order; stagnant institutions that lack capacity, and are ineffective and unable to innovate
<b>Environment</b>	Environmental degradation; lack of access to resources; climate change; humanitarian crises
<b>Conflict/ Instability</b>	Conflict; fragile or collapsed states; emergencies; lack of access to justice, power structures that incentivise conflict

## INTERVENTIONS

<b>Economic</b>	Provide access to and control of resources, deliver and provide access to services and pilot innovations; enabling environment for private sector
<b>Social/Cultural</b>	Mobilization and organization of community, including the marginalized; reduce discrimination; enhanced information; build capacity and resilience of civil society; enabling citizens to do things for themselves and be part of the solution
<b>Political/ Institutional</b>	Support civil society in framing proposals, advocacy with government and international institutions, and holding government to account; building public pressure; information systems; support for rule of law
<b>Environment</b>	Enhance community access to and control over environmental assets and services; protection of resources
<b>Conflict/ Instability</b>	Conflict resolution, security and peace building; support for human rights

*Interventions may need to be combined to achieve success (direct service provision alone may be localized and unsustainable). Policy change may need both evidence and pressure*

## OUTCOMES

**Active citizens. Effective, efficient and equitable service delivery. Increased economic opportunities. Enhanced survival and well-being for the poorest and most marginalized. People do things for themselves**

**Enabling environment. Peace and stability. Responsive accountable government and institutional frameworks. Rule of law. Partnerships between government and civil society**

## IMPACTS

**Contribution to achieving the MDGS. Plus higher level indicators of:**

- good governance (accountability/ transparency),
- peace and stability,
- active citizens and citizen participation
- social inclusion

# Annex 3

## Business Case Theory of Change

# HOW SHOULD CIVIL SOCIETY BE FUNDED? BUSINESS CASE THEORY OF CHANGE

## Problem

There is widespread poverty. Poverty eradication requires a strong civil society able to represent the poor and the marginalized and to hold government to account. As a bilateral donor, DFID cannot easily directly reach into communities because of political and diplomatic restrictions; its location of work is mainly at national and international levels, and because of restrictions imposed by transaction costs.

In order to address these problems we need to

Work with CSOs to deliver services and support development of active civil society

Support building of responsive government and international frameworks

## PRINCIPLES

<b>Needs Based</b>	Work where the need is greatest, with a focus directly or indirectly on the most marginalized
<b>Results</b>	Work where there is the greatest chance of making a difference and improving lives (potentially in conflict with the first- risk analysis is necessary)
<b>Synergy</b>	Work where there is the greatest chance of synergy with DFID's objectives and support aid effectiveness (though there may also be cases, particularly humanitarian, of complementarity with and adding value to DFID's portfolio)
<b>Add Value</b>	Support CSOs which are transparent, able to deliver results and humanitarian support and have local knowledge and legitimacy with communities; support CSOs who might not otherwise be funded
<b>Organisational Effectiveness</b>	Range of instruments. Shape civil society through support to CSOs to innovate (willingness to take risks); increase capacity to deliver and measure results; increase capacity to assess and measure value for money; accountability and transparency.

## Critical success criteria Not all need to be there in a single grant

1. Delivery and measurement of results. Interventions and mechanisms are cost effective and deliver value for money
2. Interventions lead to improved provision of goods, services, justice, information and economic opportunities for poor people, improving lives; Humanitarian support reduces suffering
3. Citizens participating and doing things for themselves. CSOs engages with the poor and hold government to account
4. Majority of funding supports the poorest and most marginalized
5. Interventions are sustainable
6. Interventions are innovative in ways of working, tools, models, or other, are replicable and can be scaled up
7. New learning arises from the interventions and is taken up

## FUNDING

### CASCADE: Capable CSOs who can accountably manage funds, build capacity of Southern CSOs, and deliver results

#### GPAF

£120 million over 3 years

Project funding with accountability for results: large grants window for impact (90%) and small for innovation (10%); independent fund management and evaluation functions. Board oversight. Innovation window has higher risk profile

#### PPA

£360 million over 3 years

Performance-based strategic funding with transparency and accountability against performance framework for sector leaders who share DFID's priorities and values. Independent evaluation function. In-house learning function. Steering committee oversight for learning

## OUTCOMES

	GPAF	PPA
<b>RESULTS</b>	Enhanced delivery of results which change lives and provide value for money	Enhanced delivery of results which provide value for money;
<b>LEARNING</b>	Enhanced generation and use of evidence to improve programming	Enhanced generation and use of evidence to improve programming
<b>LEADERSHIP</b>		Mainstreaming sector best policy and practice (e.g. gender, disability, tools)
<b>SHAPING THE SECTOR</b>		DFID funding has multiplier effect on grantees overall targeting and geography



# Annex 4

## Testing the theories of change: Case Studies

Appendix 4.1: DFID target countries characteristics

## ANNEX 4: TESTING THE THEORIES OF CHANGE - CASE STUDIES

*Annex 4 presents an overview of how the theories of change will be used to frame the evaluation of the PPA and GPAF funding mechanisms. This annex includes relevant information for both PPA and GPAF grantees as it explains the process, methodology and rationale for the evaluation strategy.*

The evaluation of the PPA and GPAF grantees and funds overall is based on DFID's strategic rationale for funding civil society, and for providing funding through the two grant mechanisms. This rationale is expressed in the *Causal Theory of Change* which addresses the question *why should DFID support civil society?* and the *Business Case Theory of Change* which considers *how should DFID fund civil society organisations?* Overviews of these theories of change are provided in Annexes 1 and 2.

Underlying each of these theories of change is a set of assumptions and hypotheses. The evaluation will test the validity of these hypotheses and assess the extent to which the grantees and grant mechanisms align with the theories of change. During a series of Theory of Change Workshops led by the Evaluation Manager, DFID and other stakeholders identified the hypotheses of particular interest to them. These have been expressed as evaluation questions below.

Various evaluation methodologies will be employed to test the hypotheses and respond to the evaluation questions, including:

- Systematic reviews (section 2)
- Case studies (section 3)

### 1 EVALUATION QUESTIONS

During a series of Theory of Change Workshops led by the Evaluation Manager, DFID and other stakeholders identified the hypotheses of particular interest to them. These have been expressed as evaluation questions below.

While the grantees and funds will be assessed against the theories of change, it is recognised that in some cases, the objectives of individual grantees and funds do not necessarily align with the overarching theory of change. For example, there was no specific requirement on GPAF grantees to 'reach the poorest of the poor'. While it is important to understand to what extent activities reflect theory and policy, grantees and funding mechanisms will only be held accountable for what they set out to achieve.

#### 1.1 Questions related to the Causal Theory of Change

- What are the necessary pre-requisites for interventions to be effective (ie external environment, DFID involvement, supporting interventions, strength of partnerships and/or coalitions)?
- What might be effective combinations of interventions to achieve results in different areas?
- To what extent are civil society organisations and their partners unique in their local knowledge, legitimacy with and trust from the communities they work with (especially the poorest and most marginalized) and ability to deliver in areas where government or donors cannot?
- How are CSOs encouraging citizens to do things for themselves?
- To what extent do CSOs reach the most poor and marginalised?
- Does empowerment lead to more accountable government?
- The "sustainability hypothesis": Direct service delivery is localized and unsustainable, whereas civil society holding government to account leads to broader and more sustainable results
- To what extent does funding civil society organisations add value to what DFID could do independently or through other actors? What type of actors/interventions work to support DFID policy and programmes?

## ANNEX 4: TESTING THE THEORIES OF CHANGE - CASE STUDIES

### 1.2 Questions related to the Business Case Theory of Change

- What effect does the funding model/mechanism have on the performance and behaviour of grantees? How can this be leveraged to maximise value for money?
- What is the distinctive value of different type of organisations in delivering the critical success criteria outlined in the Business Case Theory of Change?

## 2 SYSTEMATIC REVIEWS

The evaluation questions testing the hypotheses in the theories of change will be informed by a wide array of data, evidence and analysis reported by grantees. *Systematic review*<sup>1</sup> is a key tool that will enable the Evaluation Manager to systematically collect and collate a wide range of data and evidence. In the first instance a systematic review approach requires the use of explicit protocols and criteria to ensure that the data and evidence submitted cover the areas required and are of a quality that is consistent with the evaluation requirements. In practice the approach to undertaking the systematic review involves the following steps:

1. Definition of clear answerable evaluation questions set out in this Evaluation Strategy;
2. Definition of the scope, focus and quality of analysis and evidence are clearly defined in the evaluation strategy;
3. Performance assessment criteria and evidence submission requirements are clearly defined in the Evaluation Strategy; and
4. Evidence and analysis submitted to the Evaluation Manager will be reviewed against the IPR Terms of Reference and the OECD-DAC evaluation standards.

The next phase of the assessment takes a *meta-evaluation*<sup>2</sup> approach to analysis, involving a synthesis of the evidence submitted using a range of both formal and informal approaches and analytical techniques to enable value-based judgements and conclusions to be drawn at the fund level. The overarching meta-evaluation approach enables systematic qualitative research that is sufficiently representative of the portfolio as a whole and capable of producing meaningful and useful findings.

## 3 CASE STUDIES TO TEST THE CAUSAL THEORY OF CHANGE

Case studies will be conducted to test hypothesis related to the causal theory of change. Each case study will look into a particular situation in selected recipient countries aiming to verify, if DFID needs to support their governments and civil society organisations, to what extent CSOs are unique in delivering services in each country and results of their work are sustainable, etc.

In this classical approach case study findings will have policy implications, by either validating or revising the underlying theoretical framework. This approach is depicted on the diagram below, outlining the hypothesis to be tested and subsequent elements of the entire process.

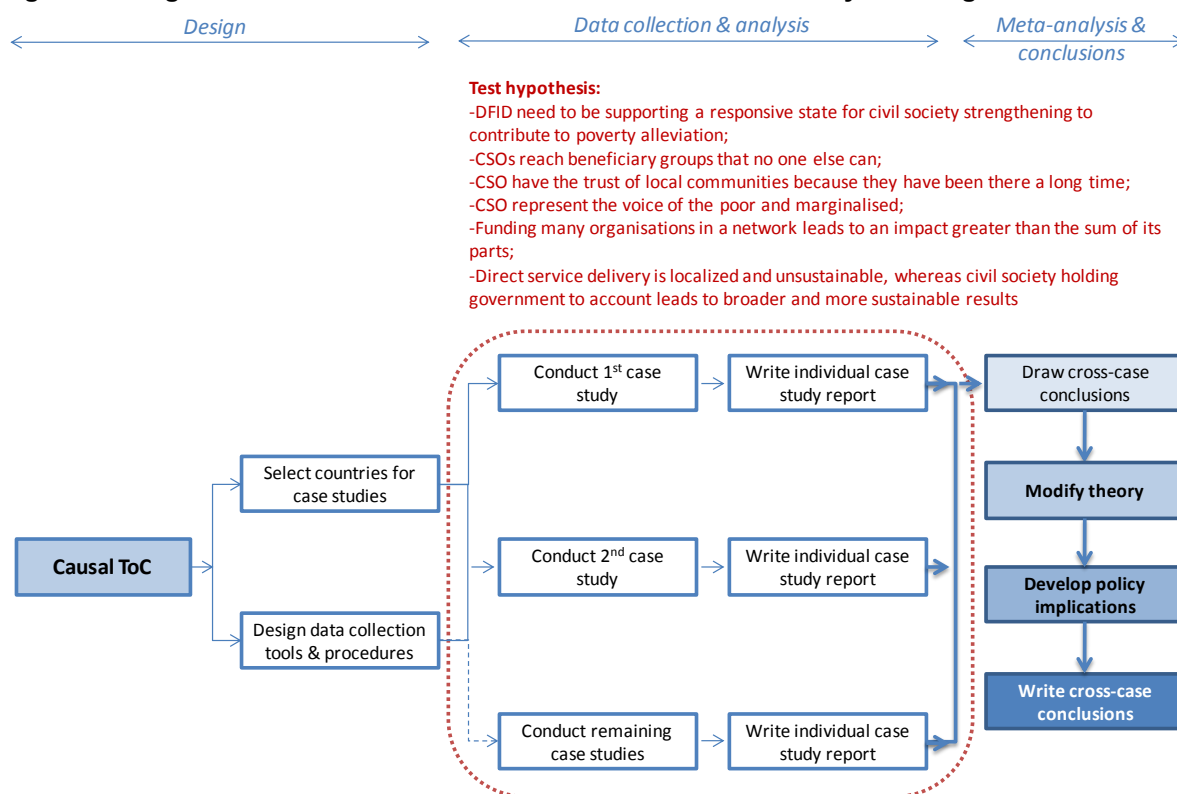
---

<sup>1</sup> 2011 (HMT) Magenta Book

<sup>2</sup> Ibid

## ANNEX 4: TESTING THE THEORIES OF CHANGE - CASE STUDIES

Figure 1 – Organisation of the case studies to test the causal theory of change



Source: Coffey based on *Case Study Research, Design and Methods*, Robert K. Yin, 2009

Coffey will conduct 14 country specific case studies and the selection will be based on the following criteria:

- **geography:** the sample will reflect the proportion of countries supported by DFID in three main regions (Africa, Asia, Middle East). In addition, the sample should include at least one country where DFID funding comes to an end (see the criterion below);
- **total level of DFID funding:** the sample will include countries where overall DFID funding is low, medium, and high. It also includes DFID target countries and those that no longer benefit from DFID's development aid;
- **level of funding per capita:** in order to reflect actual levels of DFID support, the sample will include countries with different levels of DFID funding per capita;
- **state fragility:** taking into account the importance of stability in selected countries, the selected countries will be varied according to the failed states index ranking<sup>3</sup>;
- **transparency and accountability:** given the importance of these issues for the causal theory of change (and in the absence of any ranking related to the development of civil society in countries around the world) the selected countries will represent a varying levels of World Bank rating of CPIA public sector management and institutions cluster indicator<sup>4</sup>.

Based on these criteria, the proposed sample includes the following countries (please refer to Appendix 4.1 for more detailed data)

<sup>3</sup> [http://www.foreignpolicy.com/articles/2011/06/17/2011\\_failed\\_states\\_index\\_interactive\\_map\\_and\\_rankings](http://www.foreignpolicy.com/articles/2011/06/17/2011_failed_states_index_interactive_map_and_rankings)

<sup>4</sup> The public sector management and institutions cluster includes property rights and rule-based governance, quality of budgetary and financial management, efficiency of revenue mobilization, quality of public administration, and transparency, accountability, and corruption in the public sector. See more: <http://data.worldbank.org/indicator/IQ.CPA.PUBS.XQ/countries>

## ANNEX 4: TESTING THE THEORIES OF CHANGE - CASE STUDIES

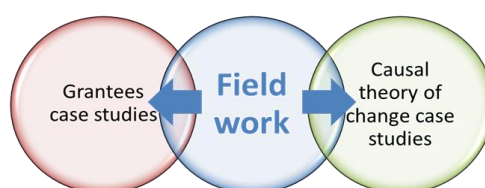
No	Country	Region	DFID funding	Total funding	Funding per capita	The failed states index 2011	CPIA, World Bank
1	Afghanistan	Asia	Yes	High	High	High	Low
2	Bangladesh	Asia	Yes	High	Low	High	High
3	Ethiopia	Africa	Yes	High	Medium	High	High
4	Ghana	Africa	Yes	Medium	Low	Low	High
5	Indonesia	Asia	Yes	Low	Low	Medium	High
6	Kenya	Africa	Yes	Medium	Low	Low	High
7	Nepal	Asia	Yes	Low	Low	Low	Medium
8	Nigeria	Africa	Yes	High	Low	Low	Medium
9	Pakistan	Asia	Yes	High	Low	Low	Medium
10	Rwanda	Africa	Yes	Low	Medium	Medium	High
11	South Africa	Africa	Yes	Low	Low	Low	NDA
12	OPTs	Middle East	Yes	Low	High	NDA	Low
13	Morocco	Africa	No	n.a.	n.a.	Low	NDA
14	Peru	Latin America	No	n.a.	n.a.	Low	NDA

Given specific political and socio-economic conditions in each country, it is important that case study methods are verified and adjusted accordingly, if necessary. As a general rule, the methods will include:

- desk research of relevant documentation;
- face-to-face interviews with key DFID staff;
- country visits, including:
  - observation;
  - face-to-face interviews with key political stakeholders at local, regional, and national level;
  - face-to-face interviews / focus groups / surveys with local civil society organisations;
  - face-to-face interviews / focus groups / surveys with members of local communities.

In order to provide the best value for money it is suggested that the field work element of the case studies testing the causal theory of change will be also used to verify CSO's reporting on their activities on the spot. In that sense, the field work will serve both types of case studies, as illustrated in figure 2 below.

**Figure 2 – Value-for-money approach to field work feeding into two set of case studies**



## APPENDIX 4.1: DFID TARGET COUNTRY CHARACTERISTICS

Country	Region	Total funding	Per capita	The failed states index 2011 (ranking)	CPIA
Afghanistan	Asia	712	22.7	7	2.4
Bangladesh	Asia	1,000	6.6	25	3.0
Burma	Asia	185	3.9	18	NDA
Burundi	Africa	10	1.2	17	2.6
Cambodia	Asia	23	1.7	38	2.7
DRC	Africa	790	12.0	4	2.2
Ethiopia	Africa	1,325	16.1	20	3.2
Ghana	Africa	375	15.5	115	3.8
India	Asia	1,120	0.9	76	3.7
Indonesia	Asia	50	0.2	64	3.2
Iraq	Middle East	5	0.2	9	NDA
Kenya	Africa	510	13.2	16	3.3
Liberia	Africa	24	6.0	26	2.8
Malawi	Africa	373	25.0	33	3.4
Mozambique	Africa	330	16.0	57	3.4
Nepal	Asia	323	11.3	27	3.0
Nigeria	Africa	1,000	6.3	14	2.9
OPTs	Middle East	343	87.2	NDA	NDA
Pakistan	Asia	1,392	7.8	12	3.0
Rwanda	Africa	330	31.7	34	3.5
Sierra Leone	Africa	270	46.0	30	2.9
Somalia	Africa	250	26.8	1	NDA
South Africa	Africa	76	1.54	117	NDA
Sudan	Africa	560	18.1	3	2.2
Tanzania	Africa	643	14.9	65	3.5
Uganda	Africa	390	12.3	21	3.3
Vietnam	Asia	70	0.8	88	3.6
Yemen	Middle East	305	13.6	13	3.0
Zambia	Africa	235	18.0	55	3.2
Zimbabwe	Africa	353	28.1	6	2.0

Source: Coffey based on DFID Country Plan, 2011

Note on colour key in table: the colours in the above table refer to the numerical amounts so that the warmer the colour the higher the number.

# Annex 5

## **Assessing performance and effectiveness**

Appendix 5.1: Grantee level evaluation criteria

Appendix 5.2: Rating scales according to evaluation criteria

Appendix 5.3: Grantee case studies

Appendix 5.4: Fund level evaluation criteria

Appendix 5.5: Learning case study

# ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS

*Annex 5 explains which criteria will be used to assess grantees (i.e. value for money and sustainability). It then proceeds to explain in greater detail particular assessment methodology and tools focusing on relevance, effectiveness, efficiency and results. The purpose of various case studies, both those led by grantees and the Evaluation Manager, is also introduced.*

## 1 OVERVIEW

The performance and effectiveness assessment will provide insight into the following questions:

- Which organisations provide the best value for money?
- How many people are being reached through the GPAF and PPA and how are their lives changed?
- To what extent are organisations achieving and documenting results and using evidence to improve performance?
- To what extent are interventions sustainable?
- Are the grantees generating, sharing and using learning? To what extent is DFID taking up the learning?

The assessment will be undertaken at both the grantee level and the fund level.

## 2 GRANTEE ASSESSMENT METHODOLOGY

The **grantee level assessment** is concerned with the following:

- a) the extent to which grantee organisations are performing against their objectives<sup>1</sup>;
- b) the extent to which grantee organisations and achievements align with DFID's theories of change (annex 2 and 3)
- c) the impact of DFID's funding in terms of the additional benefits realised because of funding and its attributable contribution to organisational effectiveness and the results set out in grantees' logframes. *Mechanisms for assessing the impact of DFID funding are described in Annex 6 and also covered by the Independent Progress Reports (see annex 8).*

**Assessment of PPA grantees:** PPA grantees will be assessed at the mid-term and final evaluation stages. The assessment will be based on the reporting from the annual review process, the independent progress review, grantee-led case studies on changing lives and additionality reports.

**Assessment of GPAF grantees:** the GPAF grantees will be assessed at the final stage of the project. The assessment will be based on the reporting from the annual review process, the independent progress review commissioned by GPAF grantees in the final stages of their project and grantee-led case studies on changing lives. GPAF grantees will be required to assess and evidence their additionality through the annual review process.

The Evaluation Manager will undertake case studies of randomly selected grantees in order to verify the results reported – the sampling framework and case study methodology is elaborated in appendix 5.3. Where verification case studies have been undertaken these will also be taken into account in the performance assessment.

---

<sup>1</sup> This is reflected in grantees' initial applications and their logframes. For PPA holders this is also reflected in the business cases prepared by DFID to justify funding.



## ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS

Grantees will be assessed according to the following criteria:

- Relevance;
- Effectiveness;
- Efficiency; and
- Results.

These criteria are fully defined in appendix 5.1. The overall performance assessment rating will classify grantees as:

- Poor performing;
- Medium performing; and
- High performing.

The assessment methodology is described below, and appendix 5.2 outlines how the ratings will be applied to each criteria and sub criteria. There is an 'outstanding' rating for each criteria, and this is reserved for organisations or projects demonstrating outstanding leadership in the sector / industry. This will require evidence not only that organisations or projects are high performing according to the criteria, but also that their work has been adopted or used more widely by other organisations, including other CSOs or institutions, such as donors or multilateral organisations. Where organisations are classified as 'outstanding' in any criteria, this may be used to offset areas where they are not performing as strongly. However, the maximum rating in any criteria will still be 'high performing'

The scoring tables below will be piloted on a selection of reports from the first round of annual reviews to ensure that they are practical and effective. They may be refined during this process, but are unlikely to change significantly.

### 2.1 Individual criteria rating

Organisations will be assessed according to the sub-criteria defined in the tables below and the overall assessment for each criterion will be made based on these scores. For example if a grantee is classified as medium, high performing and outstanding in three different sub-criteria, their overall criteria rating will likely be 'high performing'. If an organisation is classified as poor performing in two sub-categories and high performing in another, their overall category rating might be 'medium performing'.

## ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS

An example of this is depicted below:

### Grantee rating on effectiveness – High Performing

Sub-criteria		Poor performing organisation / project	Medium performing organisation / project	High performing organisation / project	Outstanding organisation / project
Added value			X		
Learning	To improve organisational capacity				X
	To improve contextual knowledge				X
	To share with others		X		
Innovation	Incremental innovation			X	
	Radical innovation	X			
Partnership approach			X		
M&E and impact assessment				X	

## 2.2 Overall performance rating

The overall performance assessment score for each grantee will be based on the rating for each criteria with following weighting taken into account:

Criteria	PPA General	CHASE General	GPAF Impact	GPAF Innovation
Relevance	5%	5%	5%	5%
Effectiveness	30%	30%	25%	40%
Efficiency	15%	15%	15%	15%
Results	50%	50%	55%	40%

# ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS

## 2.3 Assessment process

The assessment process will be carried out by the Evaluation Team and experts from the technical pool. The individuals doing the scoring will have experience in the sector of the organisation they are assessing.

There will be an extensive moderation process to ensure that the scoring is consistent and fair. Civil society experts will review the individual criteria rating and overall performance rating for each grantee to ensure that it reflects the performance of the organisation. There will be an expert panel made up of DFID and civil society experts who will review the ratings across the whole portfolio, examining the trends and ensuring that the ratings are appropriate.

The performance assessment will be made available to grantees upon request, and will be summarised in the Evaluation findings.

## 3 FUND LEVEL ASSESSMENT METHODOLOGY

The **fund level assessment** is concerned with:

- a) the extent to which the PPA and GPAF funding mechanisms are achieving their objectives;
- b) the extent to which the performance of the funds aligns with DFID's theories of change (annex 2 and 3).
- c) the additionality of the funding mechanisms as a whole;

### 3.1 Purpose

The purpose of the fund level assessments is to inform future policy-making and as a consequence resource allocation across its portfolio of civil society investments. It is important that these assessments are able to fully capture the range of ways in which both funds are able to reach those who are most poor and marginalised and change their lives as a result. An evidence-based approach to policy-makers requires information that of a sufficient quality with regard to its:

- **Objectivity** i.e. the extent to which the evidence acknowledges potential bias in the findings and attempts to minimise its effect;
- **Validity** i.e. the extent to which the evidence is sufficiently representative of multiple perspectives and as such rigorously depicts a defensible assessment of the funds' performance; and
- **Reliable** i.e. the extent to which the evidence can be used to generalise about the performance of the funds as a whole.

Whilst views concerning the meanings of these concepts of quality vary extensively<sup>2</sup> they are important principles that underpin the approach to conducting the fund level assessment.

### 3.2 Approach

**The central problem** that the assessment of the funds faces is that both funding mechanisms currently lack a consistent set of indicators that could be aggregated for the purpose of meta-analysis of their total effects and impacts. Furthermore, the significant differences in the ways that grantees have used funding both within each of the two funds and between them means that a consistent approach to the evaluation of effectiveness and impacts (i.e. attributable additional effects) is also problematic. Despite attempts to standardise the approach to evaluation in this strategy evidence will be gathered at the grantee level at different times, undertaken by different evaluators, using different tools and techniques resulting in a wide array of sources of data and information. The challenge is to find a systematic approach to collating and organising the evidence base to enable an aggregate

---

<sup>2</sup> Spencer L., et al (2003) 'Quality in Qualitative Evaluation: A framework for assessing research evidence', Cabinet Office

## ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS

assessment of the funds that meets the quality criteria set out in the previous section – in other words ensuring that the evidence produced from various sources, in particular from grantees, is fit for the purpose of assessing the performance of the funds as a whole.

To enable the Evaluation Manager Team to conduct this assessment the proposed approach involves:

1. **A systematic review<sup>3</sup>** of the evidence submitted to the Evaluation Manager to ensure that the quality of the evidence is of a sufficient standard to be fit for assessing the overall performance of the funds; and
2. **A meta-evaluation** of the sources of quality assured evidence base in order to draw summary conclusions from their findings that provide answers to the key evaluation questions.

### 3.3 Systematic review

*Systematic review<sup>4</sup>* is a key tool that will enable the Evaluation Manager to systematically collect, collate and quality assure a wide range of sources of evidence. In the first instance a systematic review approach requires the use of explicit criteria to ensure that the data and evidence submitted covers the areas required and are of a standard of quality that is consistent with the evaluation requirements.

In practice the approach to undertaking the systematic review involves the following steps:

#### 3.3.1 Definition of clear answerable evaluation questions

Section 3 of the main body of the Evaluation Strategy sets out a list of key evaluation questions that the overall assessment of the funds' performance and value for money should seek to comprehensively answer. These questions are framed as:

- Questions that test the causal theory of change;
- Questions that test the business case theory of change; and
- Questions framing the assessment of the funds' performance.

These questions effectively provide sets of hypotheses (or theories of change) that the Evaluation Manager will be seeking to prove or disprove on the basis of the evidence that it collects itself and that submitted by grantees – otherwise called a deductive approach to evaluation research. These key evaluation questions have been retrospectively informed by an implicit rather than explicit rationale. Therefore, it is important that the approach to synthesis and triangulation of the evidence is sufficiently flexible to identify alternative theories of change that might be unexpected – otherwise called analytic induction.

#### 3.3.2 Definition of the scope, focus and quality of analysis and evidence

The Evaluation Strategy and supporting appendices clearly set out the scope and focus of the evaluation activity that should be undertaken by the Evaluation Manager and grantees. In the first instance, all evidence collected by the Evaluation Manager will review compliance with the evaluation requirements to ensure sufficient coverage of grantees' activities.

---

<sup>3</sup> Systematic reviews are also a key methodological tool for testing the theories of change (see annex 4)

<sup>4</sup> 2011 (HMT) Magenta Book

## ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS

The following table provides a framework for appraising the quality of evaluation evidence submitted to the Evaluation Manager.

Appraisal focus	Key appraisal questions	Key quality indicators
<b>FINDINGS</b>	1. How credible are the findings?	<p>Findings /conclusions are supported by data /study evidence</p> <p>Findings /conclusions ‘make sense’ /have a coherent logic</p> <p>Findings /conclusions are resonant with other knowledge and experience</p> <p>Use of corroborating evidence to support or refine findings</p>
	2. How well does the evaluation /evidence address its original aims and purpose?	<p>Clear statement of study aims and objectives (where relevant)</p> <p>Findings clearly linked to the purposes of the study – and to the initiative or policy being studied</p> <p>Summary of conclusions directed towards aims of study</p> <p>Discussions of limitations of study in meeting aims</p>
	3. Scope for drawing wider inference – how well is this explained?	<p>Discussion of what can be generalised to wider beneficiary population</p> <p>Detailed description of the contexts in which the study was conducted to allow applicability to other settings /contextual generalities to be assessed</p> <p>Discussion of how hypotheses /theories of change may relate to wider theories of change at the policy level</p> <p>Discussion of limitations on drawing wider inference</p>
<b>DESIGN</b>	4. How defensible is the research design?	<p>Discussion of how overall evaluation /research strategy was designed to meet the aims of the study</p> <p>Discussion of the rationale of the study design</p> <p>Use of different features of design /data sources evident in findings presented</p> <p>Discussion of limitations of research design and their implications for the study evidence</p>
<b>DESIGN</b>	5. How well was the data collection carried out?	<p>Discussion of:</p> <ul style="list-style-type: none"> <li>• Who conducted data collection</li> <li>• Procedures /documents used for collection /reporting</li> <li>• Checks on origin /status</li> </ul> <p>Description of fieldwork methods and how these may have influenced data collected</p>
<b>ANALYSIS</b>	6. How well has the approach to and formulation of the analysis been conveyed?	<p>Description of form of original data</p> <p>Clear rationale for choice of data management method</p> <p>Discussion, with examples, of how any constructed analytic concepts have been devised and applied</p>

## ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS

<b>REPORTING</b>	7. How clear are the links between data, interpretation and conclusions – i.e. how well can the route to any conclusions be seen?	Clear conceptual links between analytic commentary and presentations of original data Discussion of how /why particular interpretation /significance is assigned to specific aspects of data Discussion of how explanations /theories /conclusions were derived
<b>NEUTRALITY</b>	8. How clear are the assumptions /theoretical perspectives /values that have shaped the form and output of the evaluation /evidence submitted?	Discussion /evidence of the main assumptions /hypotheses /theoretical ideas on which the evaluation was based and how these affected the form, coverage, or output of the evaluation Discussion /evidence of the ideological perspectives /values of the evaluation team and their impact on the methodological or substantive content of the evaluation Evidence of openness to new /alternative ways of viewing subject /theories /assumptions Discussion of how error or bias may have arisen in design /data collection /analysis and how addressed, if at all Reflections on the impact of the researcher on the evaluation process
<b>AUDITABILITY</b>	9. How adequately has the research process been documented?	Discussion of strengths and weaknesses Documentation and reasons for changes in coverage /data collection /analytic approach and implications Reproduction of main study documents

### 3.3.3 Performance assessment criteria and evidence submission requirements

The performance of both the PPA and GPAF funding mechanisms will be assessed at the mid-term and final evaluation stages.

Evidence submission requirements for grantees are clearly defined throughout the Evaluation Strategy document, particularly in (1) the Terms of Reference for the Independent Progress Review (IPR); and (2) the Annual Review templates.

The funds will be assessed against the criteria listed and described below and detailed in Appendix 5.4, namely:

- Relevance – alignment with DFID’s strategic plan;
- Effectiveness – learning and innovation;
- Effectiveness – performance;
- Efficiency – allocative efficiency of funding modalities; and
- Results – additionality of DFID funding.

The strategy as a whole has been designed to enable the fund level assessment to draw on a wide range of different types of data sources provided by both grantees and the Evaluation Manager.

## **ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS**

### **3.4 Meta-evaluation**

The next phase of the assessment takes a *meta-evaluation*<sup>5</sup> approach to analysis, involving a synthesis of the evidence submitted using a range of both formal and informal approaches and analytical techniques to enable value-based judgements and conclusions to be drawn at the fund level. The overarching meta-evaluation approach enables systematic qualitative research that is sufficiently representative of the portfolio as a whole and capable of producing meaningful and useful findings.

### **3.5 Learning case study**

In order to provide evidence to the question on the extent to which DFID is taking up the learning generated by CSOs, the last case study will look into DFID's different policy areas to see if, how, and to what extent the knowledge is accumulated and used to inform future actions, programmes, and policy developments. The case study will identify factors driving the learning process, e.g. relationship with grantees, visibility of grantees activities and evidence gathered, and timing with policy cycles.

The case study methodology is described in Annex 5.5.

---

<sup>5</sup> Ibid

## APPENDIX 5.1: GRANTEE LEVEL ASSESSMENT CRITERIA

Criteria	Sub-criteria	Definition
Relevance	Representativeness	The degree to which the supported civil society organisations represent and respond to the needs and priorities of their constituencies, (including where relevant the poorest and most marginalized). This will include an assessment of whether the planned interventions, as described in the LogFrame, continue to respond to these needs and priorities.
	Targeting strategy	The extent to which the interventions target the poorest and most marginalized, and the extent to which they target in such a way as to achieve maximum benefit. These targeting strategies are likely to be mutually exclusive, and the assessment will reflect on the way in which the balance between them has been struck. This will include an assessment of whether the targeting continues to be relevant. Grantees are required to describe the extent to which DFID funding impacts on their targeting strategy.
Effectiveness	Added value	Whether grantees offer a distinctive competence or otherwise complement and add value to DFID’s portfolio, and how this has been developed and/or demonstrated throughout the funding period. Examples here might include: The organization has distinctive expertise in a particular area of work, The organization provides support and advice to other organisations in this area and/or builds the capacity of DFID and others The project or programme fills a gap in DFID’s portfolio, complementing existing work in country programmes, or offering a channel to provide support where DFID has no presence Linking together different levels of operation Networking and bringing together other actors Grantees are required to describe to what extent DFID funding enables them to provide the added value described.
	Learning	The extent to which grantees learn from their work, and integrate the learning into improved programming, as well as the extent to which others (civil society, governmental and international organisations) make use of this learning in altered policy and practice. Learning will be understood under the following headings: <b>Learning that improves the organization’s own capacity:</b> This learning is essentially organizational development for the grantee. Grantees will need to show that this learning has demonstrably improved programming, in the intervention from which it arose and beyond. <b>Learning that provides contextual knowledge,</b> essential for good programming: for example learning about the situation of a target population. This learning is largely specific to a particular context and will have little generalizability. Grantees will need to show that this learning has demonstrably improved programming, in the intervention from it arose. <b>Learning that can be shared with others:</b> for example, improved ways of ensuring participation of marginalized groups. This is learning that can be generalized from the intervention context. Grantees will need to describe their strategy for communicating the learning and the extent to which others took up the learning. Grantees should also use this section to report on their interaction with the Learning Partnership and its four thematic sub-groups and how this interaction affects their capacity to learn and share learning. This type of learning overlaps with innovation.



## APPENDIX 5.1: GRANTEE LEVEL ASSESSMENT CRITERIA

Criteria	Sub-criteria	Definition
		Grantees are required to describe the extent to which DFID funding impacts on their capacity to learn and use learning in any of the categories above.
	Innovation	<p>The extent to which grantees develop, test, and achieve the adoption by others of new knowledge, such as in techniques, approaches, and design of interventions. Innovation is a special type of learning. It is distinguished from learning in general by novelty. Two levels of innovation will be distinguished</p> <p><b>Incremental innovation:</b> This is innovation that applies or develops existing knowledge in new ways. For example, it might involve the application of an existing method to a new context, or it might involve elaboration and improvement of an existing method. Grantees will need to describe their strategy for communicating the innovation and the extent to which it was taken up by others. If it has not yet been taken up by others, grantees will need to provide evidence suggesting that it has the potential for replication and scale-up</p> <p><b>Radical innovation:</b> This is innovation that produces entirely new knowledge. For example, it might involve the development and testing of a new method for vulnerability mapping. Grantees will need to describe their strategy for communicating the innovation and the extent to which it was taken up by others. If it has not yet been taken up by others, grantees will need to provide evidence suggesting that it has the potential for replication and scale-up</p> <p>Grantees are required to describe the extent to which DFID funding impacts on their capacity to innovate or share their innovations.</p>
	Partnership approach	<p>The extent to which partnerships are made with others (civil society, the private sector, governmental and international organisations) that enhance the effectiveness and impact of interventions and encourage sustainability. Partnerships that build sustainability might include leveraging funds for continuation, securing policy adoption of an intervention or approach, building capacity of southern actors to deliver a service or to monitor service delivery.</p> <p>Grantees are required to describe the extent to which DFID funding influences their partnership approach.</p>
	M&E	<p>The extent to which grantees effectively monitor and evaluate their performance and assess their impact. Effective M&amp;E and impact assessment includes demonstrable assessment and reporting of results at different levels, especially outputs and outcomes.</p> <p>Grantees are required to describe the extent to which DFID funding influences their M&amp;E systems and capacity to undertake impact assessments.</p>

## APPENDIX 5.1: GRANTEE LEVEL ASSESSMENT CRITERIA

Criteria	Sub-criteria	Definition
Efficiency	Cost effectiveness	<p>In its simplest form cost effectiveness assesses the extent to which grantees have delivered units of outputs and outcomes at the 'least cost' in order to achieve the 'desired' results, typically through the formulation of unit costs. Whilst the assessment of a grantee's cost effectiveness is most appropriate for outputs and outcomes of a quantitative nature, it is also an appropriate tool for capturing results that are harder to express in monetary units. This is particularly relevant to PPA fund holders and GPAF organisations where outputs and outcomes are presented in more qualitative terms. In these instances, grantees will be expected to demonstrate an acute understanding of key drivers of the costs that are incurred – 'cost drivers' are the strategic and operational determinants of a specific resource or activity cost. These cost drivers reflect the interdependencies between the strategic decisions that organisations make concerning the ways in which resources are used and the operational requirements associated with the delivery of activities that are relevant to the needs and priorities of poor and marginalised people. It is expected that grantees are able to evidence and demonstrate to a reasonable degree what costs have been incurred, why they have been incurred and the extent to which the costs incurred have been driven by the necessity to deliver the quality and quantity of results required. Essentially, this approach to the assessment of a grantee's cost effectiveness seeks to understand and demonstrate the strength of the relationship between the 'value' and 'money' parts of the 'value for money' equation.</p> <p>Whether cost effectiveness is being assessed at the input, output or outcome levels an underlying principle of the cost effectiveness assessment is that grantees should be able to demonstrate that funding and resources are being allocated and managed in ways that delivers the greatest added value at the least cost. Consequently the cost effectiveness assessment should draw on evaluation findings concerning the assessments of the relevance, effectiveness and results achieved by individual grantees.</p>
Results	Performance against the logframe	<p>The extent to which grantees have delivered on outputs and achieved the changes indicated in their LogFrames. In the first annual review this will largely assess outputs, while subsequent reviews will be able to increasingly assess outcomes. For GPAF organizations this assessment will be at project level; for PPA organizations, the assessment will be of the whole organization or of the part of an organization's programme covered by the PPA.</p> <p>Note: grantees are required to demonstrate and evidence wherever possible the extent to which results are attributable to DFID funding.</p>
	Improving lives	<p>An assessment of the extent and the manner of changes in the lives of poor and marginalized people as a result of the changes achieved, and the extent to which these changes are likely to be sustained. It is recognised that PPA/GPAF agency reporting in this area is likely to be illustrative of changes, rather than comprehensive across the portfolio. See Annex 9.</p> <p>Note: grantees are required to demonstrate and evidence wherever possible the extent to which changes in people's lives are attributable to DFID funding.</p>
	Changes in civil society	<p>The extent to which citizens are able to do things for themselves, for example community organizations to manage and deliver a particular service, and the extent to which civil society organizations are able to hold governments (such as the private sector and international bodies) to account.</p> <p>Note: grantees are expected to demonstrate and evidence wherever possible the extent to which changes in civil society are attributable to DFID funding.</p>

## APPENDIX 5.2: RATING SCALES ACCORDING TO EVALUATION CRITERIA

NB: The outstanding boxes are deliberately blank for many assessment criteria, this is so that the scope of achievement is not limited and the assessor is able to recognise and reward exceptional performance.

### 1 RELEVANCE

Sub-criteria	Poor performing organisation / project	Medium performing organisation / project	High performing organisation / project	Outstanding organisation / project
<b>Relevance</b>	<ul style="list-style-type: none"> <li>The organisation provides little or no evidence that their interventions consider the balance between maximising impact and meeting the needs of the most poor and marginalised</li> <li>The organisation does not provide any evidence that they re-consider intervention design or targeting during the course of the intervention</li> </ul>	<ul style="list-style-type: none"> <li>The organisation provides evidence that the decision making process around intervention planning and design <b>considers</b> whether the interventions strike a balance between maximising impact and addressing the needs of the most poor and marginalised</li> <li>The organisation can show evidence of how they have tested the underlying rationale behind interventions. However, no evidence is provided to demonstrate that the results have any impact on intervention management</li> </ul>	<ul style="list-style-type: none"> <li>The organisation provides evidence of a clearly articulated targeting strategy addressing the balance between maximising impact and addressing the needs of the most poor and marginalised</li> <li>The organisation shows evidence of continuously re-evaluating their interventions, and making appropriate changes, to ensure that they respond to the needs of the target population</li> </ul>	

## APPENDIX 5.2: RATING SCALES ACCORDING TO EVALUATION CRITERIA

### 2 EFFECTIVENESS

Sub-criteria		Poor performing organisation / project	Medium performing organisation / project	High performing organisation / project	Outstanding organisation / project
<b>Distinctive offering</b>		The organisation does not provide any insights or evidence of their distinctive offering/ added value, or cannot show how their distinctive offering or added-value has improved or increased	The organisation can describe a distinctive offering, but does not demonstrate how this benefits DFID or the sector more broadly	The organisation provides externally verifiable evidence of a distinctive competence in one or more areas, whether it has evolved over the course of the funding, and demonstrates how this has added value to the sector or industry as a whole	
<b>Learning</b>	<b>To improve organisational capacity</b>	The organisation provides little evidence that it has used learning to improve key competencies	The organisation provides some evidence that it has used learning to improve key competences, and can show evidence of how this has become integrated into its interventions and organizational practice	The organisation provides evidence that it has used learning to improve key competences which have become integrated into its interventions and organizational practice, leading to increased organisational effectiveness with <b>demonstrable</b> results	To count as outstanding, the use of learning will need to be not only demonstrable but significant

## APPENDIX 5.2: RATING SCALES ACCORDING TO EVALUATION CRITERIA

Sub-criteria		Poor performing organisation / project	Medium performing organisation / project	High performing organisation / project	Outstanding organisation / project
	<b>To improve contextual knowledge</b>	The organisation is unable to show how learning during the course of the intervention[s] has affected the design and targeting of its interventions	The organisation shows some impact of learning about the context and/or learning during the course of the intervention[s] on the design and targeting of its interventions	<ul style="list-style-type: none"> <li>The organisation demonstrates that the design and targeting of its interventions derive from systematic learning about the context</li> <li>The organisation can show that learning during the course of the intervention[s] has resulted in significantly improved results</li> </ul>	To count as outstanding, the use of learning will need to be not only demonstrable but significant
	To share with others	The organisation can show little or no improvement in its learning strategies, and is unable to provide evidence of how any of the learning generated through its interventions has been used or adopted	<ul style="list-style-type: none"> <li>The organisation provides examples of learning generated from its interventions which have been generalized from the intervention context for the benefit of the sector/industry more generally</li> <li>The organisation describes a clear or improving strategy for communicating the learning</li> </ul>	The organisation can show clear and verifiable examples of how learning generated from its interventions has significantly improved results and has been used by others in the sector/industry	

## APPENDIX 5.2: RATING SCALES ACCORDING TO EVALUATION CRITERIA

Sub-criteria		Poor performing organisation / project	Medium performing organisation / project	High performing organisation / project	Outstanding organisation / project
Innovation	Incremental innovation	<ul style="list-style-type: none"> <li>The organisation provides little evidence of the development and testing of existing knowledge to new contexts</li> </ul>	<ul style="list-style-type: none"> <li>The organisation provides some evidence of the development and testing of existing knowledge to new contexts, and can show how this has been disseminated more widely</li> </ul>	<ul style="list-style-type: none"> <li>The organisation provides evidence of the development and testing of existing knowledge to new contexts that has led to a demonstrable <b>and significant</b> improvement in their interventions or organisational capacity</li> <li>The organisation provides evidence of the extent to which it has been taken up by others</li> </ul>	<ul style="list-style-type: none"> <li>To count as outstanding, the use of learning will need to be not only demonstrable but significant</li> </ul>
	Radical innovation	The organisation provides little evidence of the development and testing of new knowledge	The organisation provides some evidence of the development and testing of new knowledge, and can show how this has been disseminated more widely	<ul style="list-style-type: none"> <li>The organisation provides evidence of the development and testing of new knowledge that has led to a demonstrable improvement in their interventions or organisational capacity</li> <li>The organisation provides evidence of the extent to which the new knowledge has been taken up by others</li> </ul>	To count as outstanding, the use of learning will need to be not only demonstrable but significant
Partnership approach		The organisation can show little or no evidence of an explicit	The organisation has developed its partnership approach or can show it is	<ul style="list-style-type: none"> <li>The organisation provides evidence of a well developed or</li> </ul>	

## APPENDIX 5.2: RATING SCALES ACCORDING TO EVALUATION CRITERIA

Sub-criteria		Poor performing organisation / project	Medium performing organisation / project	High performing organisation / project	Outstanding organisation / project
		partnership approach	<p>following an existing partnership approach to high standards.</p> <p>The organisation is able to show how its partnership approach improves sustainability and/or enables mutual accountability between partners</p>	<p>substantially improved partnership approach with verifiable benefits for results and sustainability</p> <ul style="list-style-type: none"> <li>The organisation provides evidence of mutual accountability within the partnership</li> </ul>	
M&E and impact assessment		The organisation is unable to demonstrate that it has an effective M&E of impact assessment system or framework that enables it to capture, analyse, use and share information on changes (outcome and impact) or lessons learned	The organisation is able to provide evidence of improvements to its M&E or impact assessment systems, which have enabled it to improve the capture, analysis, use and sharing of information on changes or lessons learned	<ul style="list-style-type: none"> <li>The organisation provides evidence of an M&amp;E / impact assessment framework which ensures that results (in terms of changes in people's lives and civil society more broadly) and learning are captured, shared and taken up by the organisation and the sector more broadly</li> <li>The organisation provides evidence of impact assessments which have generated learning that has had an impact on the organisation and the sector more broadly</li> </ul>	

## APPENDIX 5.2: RATING SCALES ACCORDING TO EVALUATION CRITERIA

### 3 EFFICIENCY

Sub-criteria	Poor performing organisation / project	Medium performing organisation / project	High performing organisation / project	Outstanding organisation / project
<b>Cost effectiveness</b>	<ul style="list-style-type: none"> <li>The organisation demonstrates little or no understanding of its costs and cost drivers i.e. the main factors that influence costs and how they link to performance</li> <li>The organisation is unable to demonstrate that it takes account of its understanding of its costs and is able to make any efficiencies as a result</li> <li>The organisation is unable to provide any evidence concerning its cost effectiveness that is appropriate to the type and focus of the funding received; or the evidence available suggests that the organisation is very inefficient</li> </ul>	<ul style="list-style-type: none"> <li>The organisation is able to demonstrate a comprehensive and granular understanding of its costs and cost drivers</li> <li>The organisation is able to demonstrate good understanding of its costs and able to make efficiencies as a result</li> <li>The organisation is able to provide comprehensive and robust quantitative and qualitative evidence of its cost effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>The organisation is able to demonstrate an excellent understanding of its costs and cost drivers and as such is able to provide cost driver analysis clearly explaining the relationship between costs and performance</li> <li>The organisation is able to demonstrate an excellent understanding of its costs and achievement of excellent value for money</li> <li>The organisation is able to demonstrate innovation or best practice in the production of quantitative and qualitative evidence of its cost effectiveness</li> </ul>	



## APPENDIX 5.2: RATING SCALES ACCORDING TO EVALUATION CRITERIA

### 4 RESULTS

The overall project score will principally be based on organisations performance against the logframe. Results reported in other areas will be taken into account but the logframe is the primary mechanism for assessing organisations against the results they achieve.

Many organisations have included outcome statements and indicators in their logframes relating to changes in peoples' lives and wider changes in civil society (including changes in policy, mobilisation and capacity). Where this is the case then such evidence will be used against the two sub-criteria below. However, in the absence of such evidence organisations will need to provide additional information against those sub-criteria.

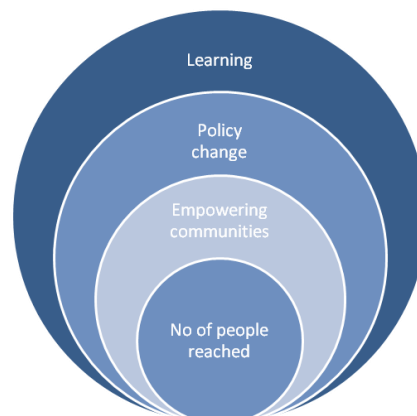
Sub-criteria	Poor performing organisation / project	Medium performing organisation / project	High performing organisation / project	Outstanding organisation / project
Performance against the logframe	Scoring against this criterion will be clarified when further details of the new Annual Review Process are announced by DFID.			
Improving lives	The organisation is unable to provide valid evidence of changes in the lives of poor and marginalised people	The organisations is able to show some verifiable examples of how the lives of the poor and marginalised have been directly or indirectly improved	The organisation provides robust evidence of how its interventions have directly or indirectly resulted in long-term and sustainable changes in the lives of the poor and marginalised	
Changes in civil society	The organisation is unable to provide valid evidence of changes in civil society	The organisations is able to show some verifiable examples of how its interventions have directly or indirectly resulted in sustainable changes to civil society (ie people doing things for themselves, civil society holding government to account) and can clearly demonstrate how this will improve the lives of the poor and marginalised	The organisation provides robust evidence of how its interventions have directly or indirectly resulted in sustainable changes to civil society (ie people doing things for themselves, civil society holding government to account) and can clearly demonstrate how this will improve the lives of the poor and marginalised	

## APPENDIX 5.3: GRANTEE VERIFICATION CASE STUDIES

The main purpose of the case studies at the grantees level will be to verify / assess grantee reporting. Within each case, the evaluation will look into the relevance of a Civil Society Organisation activities funded by DFID, their effectiveness, results, and efficiency.

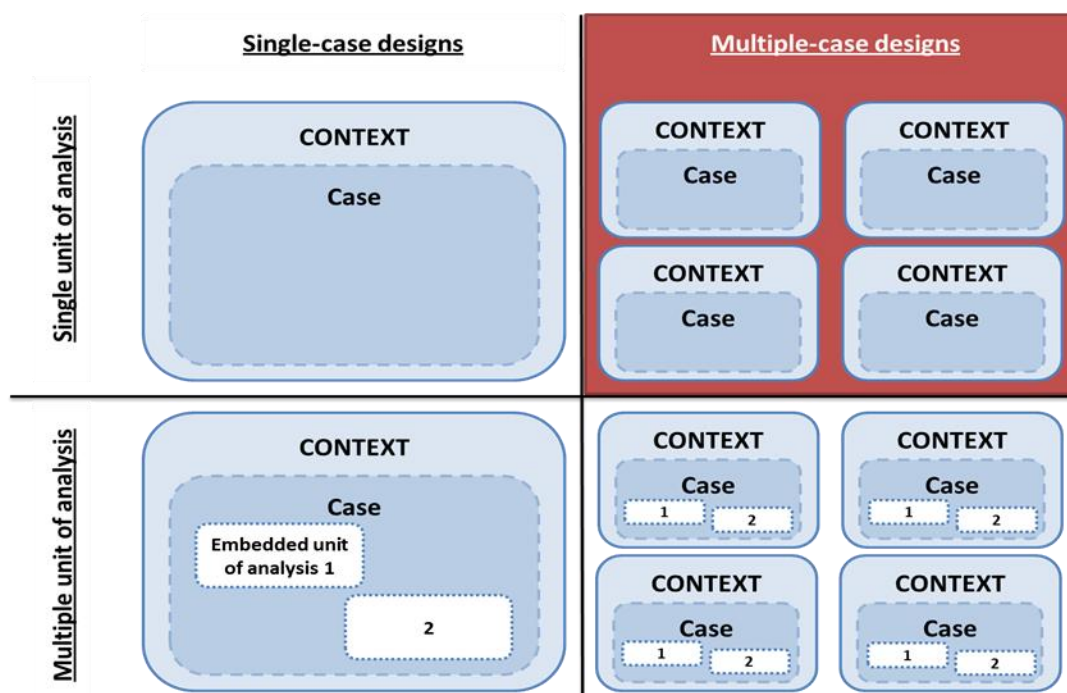
In particular, the case studies will help to substantiate the following issues:

- 1 number of local people reached by CSOs (and how their lives changed in result);
- 2 the extent to which CSOs help to empower local communities;
- 3 the extent to which they bring about the policy change;
- 4 the extent to which grantees generate, share, and use learning to inform their actions.



The evaluation literature identifies four classical designs which allow each case study to analyse contextual conditions in relation to the “case”.<sup>6</sup> Given the predefined focus of the case studies (i.e. grantees), the most appropriate approach is the multiple case design (see the figure below). This design allows each case study to analyse contextual conditions in relation to the “case”. This will vary slightly depending on type of organisation, source of funding, area of activity, etc.

**Figure 1 – Basic types of designs for case studies**



Source: *Case Study Research, Design and Methods*, Robert K. Yin, 2009

<sup>6</sup> See more in *Case Study Research, Design and Methods*, Robert K. Yin, 2009

## APPENDIX 5.3: GRANTEE VERIFICATION CASE STUDIES

Over the course of the evaluation, Coffey will conduct a total of approximately 30 case studies (i.e. 0.15 of the total number of projects/grantees) looking into different organisations and assessing them against all evaluation criteria. It is important that the sample includes grantees from different types of funding streams and an initial stratification is presented in the table below.

Fund	PPA		GPAF		Total
	General	CHASE	Impact	Innovation	
Type of funding					
(Ultimate) no of projects/grantees	28	16	(100) 30	(50) 6	<b>(194) 80</b>
Initial sample	6	3	6	1	<b>16</b>
<b>Target sample</b>	<b>6</b>	<b>3</b>	<b>14+</b>	<b>7+</b>	<b>30+</b>

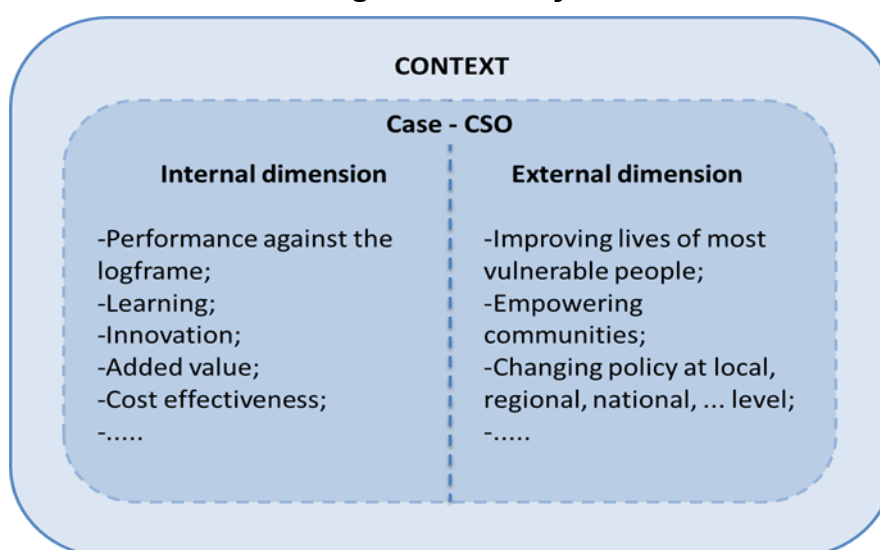
By working closely with Triple Line and making use of their field work envelope to create synergy effects, the sample for GPAF grantees can be further increased depending on the funding available.

In order to ensure a good selection of organisations in the sample, Coffey will use the following criteria:

- **sector:** selected organisations need to be active in different sectors, such as health, education, environment, etc.;
- **profile:** the sample will include niche organisations, multi-sectoral organisations, and organisations working at level at international systems;
- **geography:** the sample will be geographically balanced, including grantees operating at international level, as well as in specific regions and countries;
- **funding:** the selected grantees will represent a varying degree of dependence on DFID funding;
- **approach:** the selected organisations will be varied according to the services they provide, including: service delivery, advocacy, supporting people to do things for themselves (e.g. capacity building) partnership working, pilot studies.

Each case study will comprise of two closely linked elements, i.e. internal and external dimensions. This distinction has been made to emphasise the fact that evaluation at the grantee level will include collecting data on each organisation and, to an extent possible, their activities in the field.

### 4.1 Figure 2 – Elements of a single case study



## **APPENDIX 5.3: GRANTEE VERIFICATION CASE STUDIES**

Given the complex nature of each organisation and its activities, it is important that case study methods are carefully adapted and tailored to the specific conditions and context of each case. As a general rule, the methods will include:

- desk research of relevant documentation;
- face-to-face interviews with key DFID and Triple Line staff;
- mix of telephone and face-to-face interviews with key personnel of a grantee;
- country visits to verify CSO's reporting on the spot, including:
  - observation;
  - face-to-face interviews / focus groups / surveys with members of targeted communities;
  - face-to-face interviews with local authorities and key stakeholders.

## APPENDIX 5.4: FUND LEVEL ASSESSMENT CRITERIA

Criteria	Description	Definition
Relevance	The extent to which individual organisations or the combination of organisations funded are in line with DFID's strategic plan	<p>The extent to which the portfolio contributes to delivering DFID's strategic plan, especially in regard to poverty alleviation, the achievement of the Millennium Development Goals, and good governance.</p> <p>Contribution to DFID's higher level goals will be reported on individually by grantees through their annual review process, the independent progress reviews and grantee-led case studies reporting on lives changed. These methods are described in Annexes 7, 8.</p>
Effectiveness	Learning and innovation	<p>The extent to which learning and innovation generated from the portfolio demonstrably improves the performance of grantees and of the sector, including DFID. This will include:</p> <ul style="list-style-type: none"> <li>• The extent to which lessons from grantees own learning is applied and results in improved programming</li> <li>• The extent to which lessons are transferred to others in the sector and incorporated into improved policy and practice</li> <li>• The extent to which DFID takes up and uses lessons from the portfolio to improve fund design and funding decisions and provide an evidence base that supports policy and programming</li> <li>• The extent to which the Learning Partnership arrangements and its four thematic sub-groups meet their own success criteria.</li> </ul>
	Performance	<p>The extent to which the funds achieve their objectives:</p> <p>PPA</p> <ul style="list-style-type: none"> <li>• Enhanced delivery of results which provide value for money;</li> <li>• Enhanced generation and use of evidence to improve programming</li> <li>• Mainstreaming sector best policy and practice (e.g. gender, disability, tools)</li> <li>• DFID funding has multiplier effect on grantees overall targeting and geography</li> </ul> <p>GPAF</p> <ul style="list-style-type: none"> <li>• Enhanced delivery of results which change lives and provide value for money</li> <li>• Enhanced generation and use of evidence to improve programming</li> </ul>

## APPENDIX 5.4: FUND LEVEL ASSESSMENT CRITERIA

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Efficiency</p>	<p>Allocative efficiency of civil society funding modalities</p>	<p>In this context, allocative efficiency is defined as the extent to which each of the funding modalities is able to cost effectively deliver DFID’s overarching policy objectives associated with strengthening civil society as means towards poverty eradication. A specific focus on the cost effectiveness of the ways in which DFID has allocated and disbursed its funding requires assessment of the following effects:</p> <ul style="list-style-type: none"> <li>• Synergetic effects – the extent to which the funding modality has led to synergetic benefits and as such achieved either within portfolios, between portfolios and/or with other DFID-funded programmes;</li> <li>• Catalytic effects – the extent to which the funding modality has resulted in changes in attitudes and behaviours amongst other organisations and stakeholders in the sector either through influencing or coordination type activities; and</li> <li>• Leadership effects – the extent to which the funding modality has resulted in mainstreaming of policy and practice and as such led to greater sustainability of the benefits realised across the portfolio;</li> </ul> <p>From an efficiency perspective the hypothesis to be tested is that the specific characteristics associated with each of the funding mechanisms enables the above effects to materialise, which indirectly increases the benefits realised above and beyond the direct benefits achieved from the funding. Whilst it would be difficult to produce value and aggregate these effects at the portfolio level the meta-evaluation will seek to collate and synthesise evidence gathered at the grantee level in order to identify generalizable effects associated with each type of modality.</p> <p>High level resource and financial costs associated with the management and administration of each type of funding mechanism will be analysed in order to draw value-based conclusions on their relative efficiency given the effects specifically associated with the modality of funding.</p>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Results</p>	<p>Additionality of DFID funding</p>	<p>Grantees will each report on the additionality of DFID funding using a standard template in Annex 6 that provides the self-assessment criteria and sub-criteria covering the relevance, efficiency, effectiveness and results achieved as a result of DFID funding.</p>

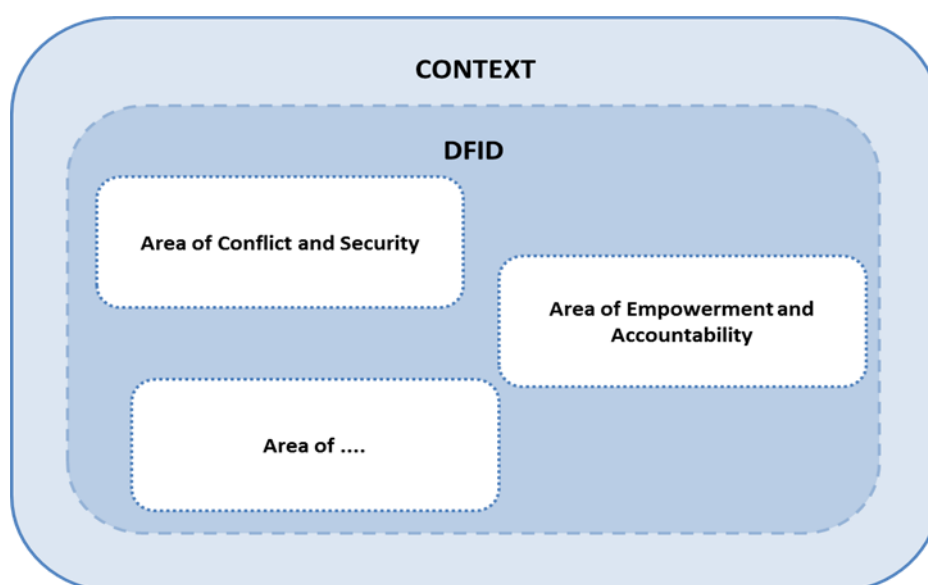
## APPENDIX 5.5: CASE STUDIES ON DFID LEARNING

In order to provide evidence to the question on the extent to which DFID is taking up the learning generated by CSOs, the last case study will look into DFID's different policy areas to see if, how, and to what extent the knowledge is accumulated and used to inform future actions, programmes, and policy developments. The case study will identify factors driving the learning process, e.g. relationship with grantees, visibility of grantees activities and evidence gathered, and timing with policy cycles.

These selected policy areas will form multiple units of analysis, presenting yet another evaluation approach.

Based on DFID areas of activities, Coffey prepared an initial long list of potential focal points of this case study:

- Conflict, Humanitarian Aid, and Security;
- Empowerment and Accountability;
- Growth and Wealth Creation;
- Empower Women and Girls.



The table below outlines the general approach to evaluating DFID's learning based on a modified Kirkpatrick's training evaluation model - the four levels of learning evaluation.<sup>7</sup> In brief it consists of measuring:

- attitudes towards CSOs – to establish overall context in which the learning can occur;
- learning – to verify if the learning occurs at individual level;
- behaviour – to check if the learning is used at work and/or shared with others internally;
- results – to test if, how, and why the learning is used by organisation at policy level (externally).

---

<sup>7</sup> <http://www.kirkpatrickpartners.com/>

## APPENDIX 5.5: CASE STUDIES ON DFID LEARNING

Level	Evaluation type	Description and characteristics	Tools and methods	Relevance and practicability	
1	Attitudes	What DFID staff knows about different funding mechanisms, grantees and their activities generally, and how staff feels about them and interacts with them	Online survey	Quick and easy to obtain.	OVERALL CONTEXT
2	Learning ( <u>individual</u> level)	Increase in knowledge in a given area	Online survey, including self-assessment and retrospective questions <i>In-depth interviews - optional</i>	Quick and easy to obtain but difficult to measure baseline. <i>Less easy for complex learning but best way to gather examples.</i>	
3	Behaviour ( <u>internal</u> dimension)	Extent to which “new” knowledge is applied on the job and/or passed on to others: within relevant department between different departments	<i>In-depth interviews - optional</i> Interviews with managers over time to assess change, its relevance and sustainability	<i>Good way to gather examples, potentially heavy biased.</i> Measurement of behaviour change typically requires cooperation of line-managers.	SPECIFIC TO GIVEN POLICY AREA
4	Results ( <u>external</u> dimension)	Effect on the organisation (and factors driving the learning process, e.g. relationship with grantees, visibility of grantees activities and evidence gathered, and timing with policy cycles)	Interviews with (senior) management Observation / desk research - measures are already in place via normal management systems and reporting Panel of experts in a given policy area working closely with DFID can trace trends in its operations Interviews with representatives of relevant CSOs that can note the change in DFID’s operation	Process must attribute clear accountabilities.	

Source: Coffey based on the Donald L Kirkpatrick's training evaluation model



# Annex 6

## **Impact assessment and additionality**

Appendix 6.1: Additionality Report Template

## ANNEX 6: IMPACT ASSESSMENT AND ADDITIONALITY

Annex 6 and is highly relevant for both PPA and GPAF grantees as it shows how the evaluation manager will measure the additionality of funded activities undertaken by all grantees. This measurement will be informed by the key principle of proportionality and verified through case studies. It further provides guidance to grantees on the concept of additionality and attribution in relation to their grants. PPA grantees should pay special attention to the PPA specific “Additionality Report”

### 1 ASSESSMENT OF ADDITIONALITY AND ATTRIBUTION: THE CONCEPT

An extremely important element of both the grantee and the fund level evaluation is understanding the effect that DFID funding has on the results achieved by grantees. In order to spend their money as effectively as possible, DFID need to understand:

- how DFID funding helps organisations to deliver enhanced results (**additionality**); and
- to what extent DFID funding is responsible for the results achieved (**attribution**).

The essential additionality question is: *What is being achieved by grantees that **would not** have been achieved without DFID funding?*

To make this assessment, grantees need to have a good understanding of what contributes to the achievement of results. As shown in figure 1, organisations have two main inputs that contribute to results<sup>1</sup>:

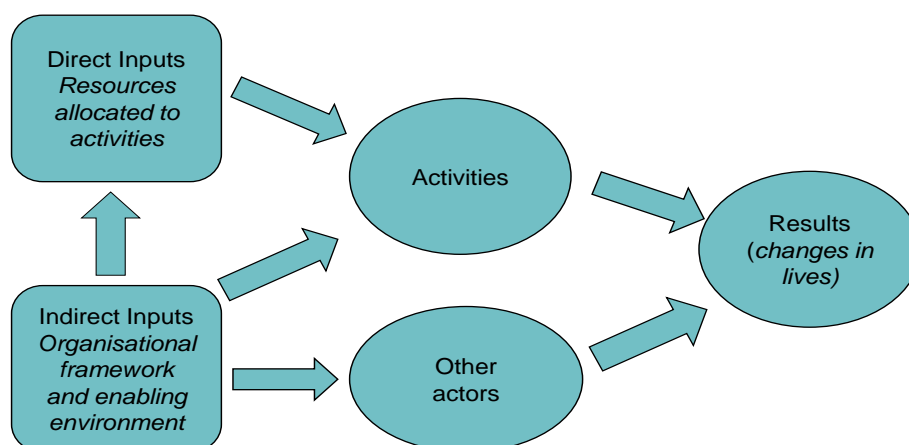
- **Direct inputs:** this includes the resources allocated to the delivery of activities, ie human resources, funding, materials etc
- **Indirect inputs:** this includes the organisational frameworks that supports the delivery of activities and create an enabling environment for the activities to take place ie management systems, partnership strategies, information databases, learning networks etc.

Indirect inputs also consider how organisations relate to other development actors and how these relationships help to achieve results.

The causal relationship between direct inputs and results is relatively straightforward to evidence. The relationship between indirect input and results is more complex and more difficult to demonstrate – especially over a short time period. Nonetheless, it is important that organisations have a thorough understanding of how their direct and indirect inputs affect the results they achieve and their capacity to change the lives of the poor.

**Figure 1: How the delivery of inputs changes lives**

Direct and indirect inputs feed into the delivery of activities and ultimately results or changes in lives



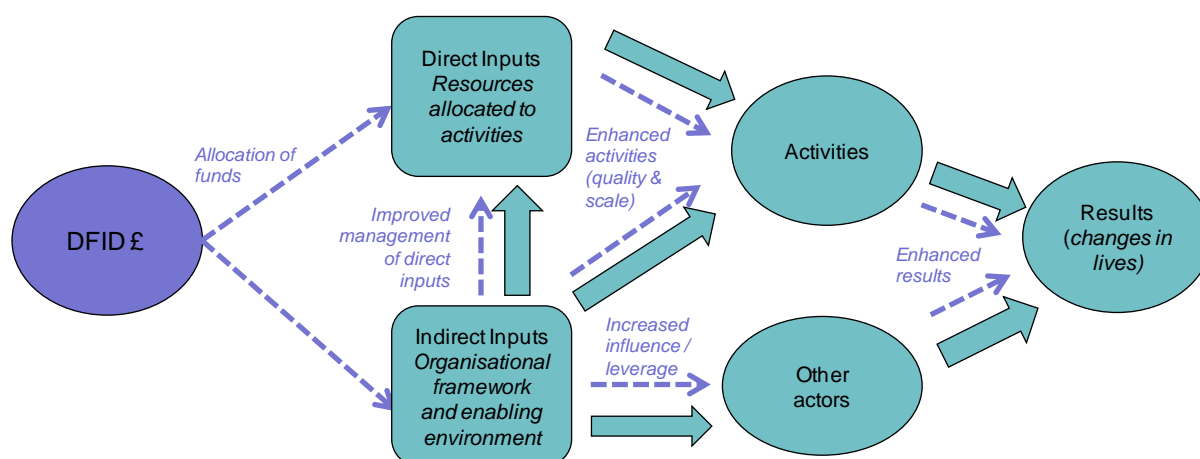
<sup>1</sup> There are obviously external factors that affect the achievement of results, but given that grantees have little or no control over these factors, and that they are not related to funding, they will not be considered in this section.

## ANNEX 6: IMPACT ASSESSMENT AND ADDITIONALITY

In order to understand the additionality effects of DFID funding, grantees will be expected to demonstrate how DFID funding contributes to direct and /or indirect inputs, and importantly, how these inputs affect the results depicted in organisations' logframes. Figure 2 demonstrates how DFID funding might improve the way organisations' achieve results. The additionality effects for each organisation depends entirely on how each organisations has chosen to use the funding provided.

**Figure 2: The additionality effects of DFID funding**

The additionality effects of DFID funding should ultimately lead to enhanced results and positive change in the lives of the poor and marginalised



With a clear understanding of the 'additionality effects' of DFID funding, grantees will also be required to make an assessment of attribution:

*To what extent can 'additionality effects' be attributed to DFID funding*

Understanding attribution will help demonstrate the impact of DFID funding, both at grantee and at fund level.

## 2 ASSESSMENT OF ADDITIONALITY AND ATTRIBUTION: IN PRACTICE

A key principle underpinning this evaluation strategy is one of proportionality. This is to ensure that evaluation approaches are proportionate to the amount of funding that grantees receive and sensitive to the funding modality, operational environment and strategic focus of the interventions and activities being delivered. The guidance for assessing additionality has been developed with this in mind.

Recognising that it may be problematic for some grantees to assess the additionality of DFID funding in strictly economic terms, the evaluation will measure the additionality and attribution through self-reporting exercises. The procedure for self reporting is described below for GPAF and PPA grantees in turn.

When reporting on additionality and attribution, grantees will be required to qualitatively assess and evidence:

- **The additionality effects of DFID funding**
  - How has DFID funding improved the organisation's delivery of activities in terms of quality, efficiency, scope, scale and/or timeliness?
  - How has DFID funding improved the organisational framework or enabling environment, leading to enhanced results and positive changes in the lives of the poor and marginalised (directly or indirectly)?
  - How has DFID funding enabled organisations to leverage additional funding or undertake activities which influence other stakeholders and partners to change their behaviour for the benefit of grantees' target groups?<sup>2</sup>

<sup>2</sup> This would include where DFID funding enabled the grantee to undertake activities that coordinate the actions of other stakeholders and partners and as a result has led to synergy benefits i.e. collective benefits that are greater than the sum of the parts.

## ANNEX 6: IMPACT ASSESSMENT AND ADDITIONALITY

- **What would have happened if DFID funding had not been provided**
  - How would the organisation have delivered activities without DFID funding in terms of quality, efficiency, scope, scale and/or timeliness?
  - What would the organisational framework and enabling environment have been without DFID funding, and what bearing would this have had on the results achieved by the organisation?
  - How and in what capacity would the organisation have interacted with other actors without DFID funding?
- **The extent to which ‘additionality effects’ be attributed to DFID funding**

### 2.1 Assessing additionality and attribution for GPAF grantees

#### Additionality

As GPAF grants fund specific projects, DFID funding will largely contribute towards ‘direct inputs’ and additional resources being allocated to activities. To demonstrate additionality, GPAF grantees must show how DFID funding has led to improved results through enhanced:

- **Quality:** where DFID funding has improved the quality of the results of interventions
- **Efficiency:** where organisations can achieve results at a lower cost than without DFID funding
- **Scale:** where DFID funding allows organisations to reach a greater number of beneficiaries
- **Scope:** where DFID funding allows organisations to provide a wider range of services or support to target beneficiaries
- **Timeliness:** where DFID funding has allowed grantees to provide services or support in a more timely manner

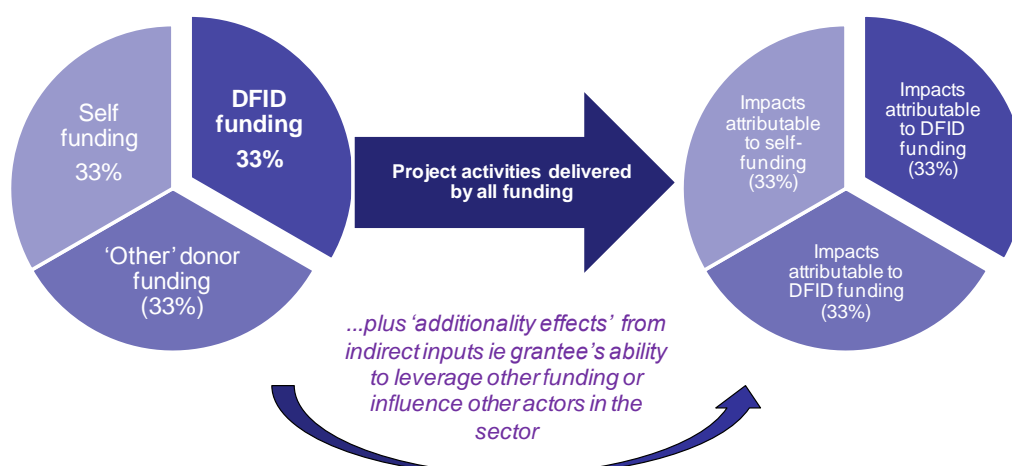
For some grantees, DFID funding may also contribute to *indirect inputs* and lead to additionality effects such as enabling an organisation to leverage more funds for a particular project or activity or increasing the capacity of an organisation to influence other actors. These additionality effects should be captured in grantees reporting and supported by externally verifiable evidence where possible.

#### Attribution

Assessment of **attribution** is similarly straightforward for GPAF grantees (see figure 3): the impacts attributable to DFID reflect the % contribution that DFID are making to the project. The ‘additionality effects’ from indirect inputs (i.e. leveraging other funding) is then supplementary to the impacts attributable to direct inputs.

**Figure 3: How DFID funding relates to attribution**

If DFID contribute to 33% of project funding, then 33% of the impacts are attributable to DFID.



## ANNEX 6: IMPACT ASSESSMENT AND ADDITIONALITY

Grantees will report on additionality and attribution as part of the annual review process which takes place in April each year. Details of the Annual review process can be found in Annex 7.

Please also see the library of documents for more guidance on additionality and attribution.

*Actions for GPAF grantees to report on additionality and attribution:*

- Report on 'additionality' in the relevant section of the annual review template (see annex 7)
- Report on what % DFID funding constitutes of total project funding

### 2.2 Assessing additionality and attribution for PPA grantees

#### *Additionality*

Assessment of additionality and attribution for PPA grantees depends on how the individual agency has decided to use the PPA grant and their interpretation of 'strategic' funding. Consultation with PPA agencies has revealed that the ways in which grantees have used PPA funding varies significantly across the portfolio. While some organisations have chosen to spend the grant on 'direct inputs' such as specific project activity, other agencies have allocated DFID funding to flexible budget lines that can be drawn upon to meet a variety of organisational needs in an unrestricted way.

While PPA funding is *unrestricted* and grantees are not required to specifically allocate money to activities as such, grantees should have a clear rationale for how they spend the PPA funds and what they hope to achieve with the funding received. Whether the funding be spent on direct inputs such as material resources, or indirect inputs such as organisational strengthening, it should ultimately improve the results delivered by the organisation for the benefit of the poor. Grantees should be able to demonstrate the impact of the funding received and describe the *additionality effects* it generates.<sup>3</sup>

It is recognised that it could be more complex to assess the additionality effects of indirect inputs, and that their impact on results will take time and be difficult to evidence'. However, the intention of this evaluation strategy is not to deter grantees from using the funds in ways that they deem to be 'strategic', especially when the anticipated outcomes of the PPA<sup>4</sup> include:

- *Enhanced delivery of results which provide value for money;*
- *Enhanced generation and use of evidence to improve programming;*
- *Mainstreaming sector best policy and practice (e.g. gender, disability, tools); and*
- *Ensure DFID funding has a multiplier effect on grantees overall targeting and geography.*

Recognising the difficulty of assessing additionality and attribution of indirect inputs, the evaluation of additionality does not solely rely on quantifiable evidence. Rather, grantees are encouraged to present a strong narrative and well supported case demonstrating how PPA funds have been used to directly or indirectly enhance an organisation's capacity to deliver its results in ways that otherwise would not have been possible..

Grantees will report on additionality as part of the annual review process, through a standalone additionality report in which they will provide:

- A narrative assessment of additionality in response to the questions highlighted above; and
- An assessment of additionality in relation to each of the defined performance assessment criteria.

The template for the additionality report is provided in Appendix 6.1 below. The template allows for flexibility of reporting across the diverse portfolio in the narrative assessment and a minimum level of comparability between agencies in the scoring assessment.

#### *Attribution*

Attribution looks at the extent to which positive changes or impact within organisations or their beneficiary groups relates to PPA funding. Assessment of attribution depends entirely on how organisations have chosen to allocate the PPA funding:

<sup>3</sup> Results chains are helpful ways to map out the impact logics or causal relationships between grant funding and improved lives. Clarity on how funding is intended to effect change will guide grantees assessment and reporting on whether this change is taking place.

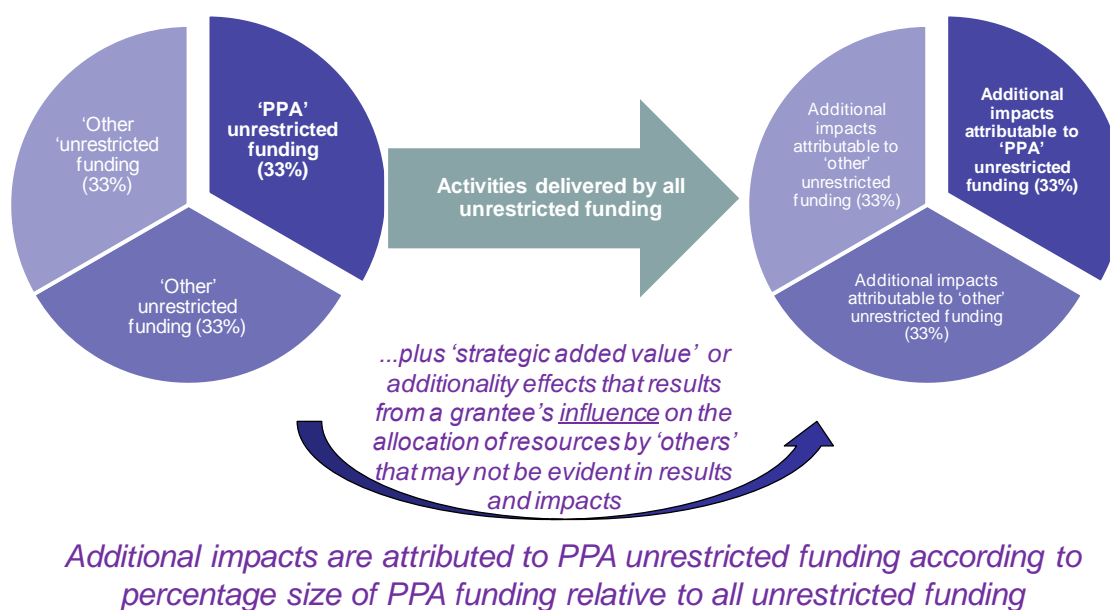
<sup>4</sup> See the Business Case Theory of Change in Annex 3.

## ANNEX 6: IMPACT ASSESSMENT AND ADDITIONALITY

- If the money is spent on specific activities or projects, then the attribution can be calculated according to the % of an activity funded by DFID
- If the money is part of a pool of unrestricted funding, then the attribution can be calculated according to the % of the unrestricted funding that is provided by the PPA grant (see figure 4)

In many cases, the money is spent on a combination of direct and indirect inputs, and will enable PPA holders to influence other actors in their sector. This should also be captured in reporting on attribution.

**Figure 4: Where the additionality impacts of unrestricted funding are understood, calculating attribution is reasonably straightforward**



### **Actions for PPA grantees to report on additionality and attribution:**

- Ensure that there is a clear understanding within your organisation for how the PPA grant will be spent, and how it's allocation is 'strategic'
- Assign responsibility to someone within your organisation to monitor and report on additionality and attribution of PPA funding
- Prepare an Additionality Report according to the template in appendix 6.1 and submit this as part of the annual reporting process in April each year.

## APPENDIX 6.1: PPA GRANTEES – ADDITIONALITY REPORT

Assessment of additionality and attribution for PPA strategic funding depends on how your particular agency has decided to use the PPA grant and your interpretation of ‘strategic’ funding. When assessing the additionality effects of PPA funding, grantees need to consider:

- How you have chosen to define ‘strategic’, and why the way in which you have allocated PPA funds is ‘strategic’;
- Where you expect to see the most significant additionality so that measurement of additionality effects can be targeted, realistic, robust and credible; and
- How your funding allocation will eventually lead to improve performance the delivery of enhanced results and positive changes in the lives of the poor.

The additionality report contains two sections:

- **A narrative assessment** to allow grantees to evidence (in quantitative and /or qualitative terms) the additionality effects of DFID funding (1000 words)
- **Grantee self assessment** where grantees rate the significance of additionality in relation to each of the performance assessment criteria

Grantees are required to complete both sections and submit the Additionality Report with the annual review template in April each year.

### *Narrative Assessment (2000 words)*

#### **What are the additionality effects of DFID funding?**

- *How has DFID funding improved the organisation’s delivery of activities in terms of quality, efficiency, scope, scale and/or timeliness?*
  - **Quality:** where DFID funding has improved the quality of the results of interventions
  - **Efficiency:** where organisations can achieve results at a lower cost than without DFID funding
  - **Scale:** where DFID funding allows organisations to reach a greater number of beneficiaries
  - **Scope:** where DFID funding allows organisations to provide a wider range of services or support to target beneficiaries
  - **Timeliness:** where DFID funding has allowed grantees to provide services or support in a more timely manner
- *How has DFID funding improved the organisational framework or enabling environment, leading to enhanced results and positive changes in the lives of the poor and marginalised (directly or indirectly)?*
- *How has DFID funding enabled organisations to leverage additional funding or undertake activities which influence other stakeholders and partners to change their behaviour for the benefit of grantees’ target groups?<sup>5</sup>*

#### **What would have happened if DFID funding had not been provided?**

- *How would the organisation have delivered activities without DFID funding in terms of quality, efficiency, scope, scale and/or timeliness?*
- *What would the organisational framework and enabling environment have been without DFID funding, and what bearing would this have had on the results achieved by the organisation?*
- *How and in what capacity would the organisation have interacted with other actors without DFID funding?*

#### **To what extent are the ‘additionality effects’ be attributable to DFID funding**

---

<sup>5</sup> This would include where DFID funding enabled the grantee to undertake activities that coordinate the actions of other stakeholders and partners and as a result has led to synergy benefits i.e. collective benefits that are greater than the sum of the parts.

## APPENDIX 6.1: PPA GRANTEES – ADDITIONALITY REPORT

### Grantee Self Assessment

Please complete the template below by rating the significance of additionality to overall achievements reported under each criterion. Grantees must provide justification for each score.

The rating system will be based on the same colour code elsewhere in the Evaluation Strategy, as follows:

- **Red** (the additionality is not very significant or non-existent) – the vast majority of what has been achieved would have happened without DFID funding;
- **Amber** (the additionality is significant) – approximately 50% of what have been achieved in the reporting period could credibly be attributed to DFID funding and it would not have been achieved without it; and
- **Green** (the additionality is very significant) – all or most of what has been achieved would not have been achieved without DFID funding.

Criteria	Sub-Criteria	Description of different dimensions of additionality (key prompts /questions)	Rating	Justification & verification
<b>Relevance</b>	Representativeness	<i>To what extent has DFID funded support represent the needs of the beneficiary group? How has this resulted in greater benefit than would have otherwise been achieved?</i>		
	Targeting Strategy	<i>To what extent has targeting resulted in greater benefit than would have otherwise been achieved?</i>		
<b>Efficiency</b>	Cost-effectiveness	<i>How has DFID funding resulted in efficiency gains that would not have otherwise been achieved?</i>		
<b>Effectiveness</b>	Learning	<i>How has learning achieved through DFID funding added value to the grantee, sector, DFID or other stakeholders?</i>		
	Innovation	<i>How has DFID funding enabled grantees to innovate and influence change that would not have otherwise been possible?</i>		
	Partnership working approach	<i>How has partnership working through DFID's funding resulted in benefits that would not have otherwise been achieved?</i>		
	M&E systems	<i>How have M&amp;E systems developed as a result of DFID's funding enabled information gathering and learning would not have been possible otherwise?</i>		
	Output performance against the logframe	<i>To what extent has DFID funding enabled grantees to deliver their outputs that would not have been possible otherwise?</i>		
<b>Results</b>	Improving lives	<i>To what extent has DFID funding enabled grantees to improve the lives of the poor and marginalised in ways that would not have happened otherwise?</i>		
	Other results	<i>To what extent has DFID funding enabled other results to be achieved that would not have happened otherwise?</i>		



## APPENDIX 6.1: PPA GRANTEES – ADDITIONALITY REPORT

### Examples:

<b>Cost-effectiveness</b>	<i>Grantee achieved economies of scale: standard bed net costs 10 GBP but negotiated a better deal for a larger contract (x GBP). Net savings: 'x' GBP</i>	<i>Green</i>	<i>This is the main area of CSO's activity</i>
<b>Learning</b>	<i>A part-time learning co-ordinator was hired to organise 1 learning session which would not have happened without DFID funding</i>	<i>Amber</i>	<i>More learning examples were shown in section XX and they were possible to achieve without DFID funding</i>

Coffey will assess overall additionality for each grantee based on its self-assessment and using the overall performance rating for each fund presented in Annex 5. The self-assessment of the additionality of grantees will also be verified by case studies of 30 selected organisations /projects undertaken by the Evaluation Manager.

# Annex 7

## Annual Review Process

### Appendix 7.1: PPA Annual Review Process Template

## **ANNEX 7: OVERVIEW OF ANNUAL REVIEW PROCESS**

*Annex 7 outlines the general process and some of the key issues that will be addressed in the Annual Review Process. While the PPAs Annual Review Forms have been finalised for the PPA grantees, the GPAF Annual Reviews Forms are still subject to change.*

The annual review process differs for GPAF and PPA grantees. The following annex reflects the annual review process for PPA grantees only. While the annual review process for GPAF grantees is clear, the roles and responsibilities for assessing grantees reports is still being finalised. Advice on this will be provided by March 2012.

### **1 GRANTEE SELF ASSESSMENT**

- i. Grantees will complete the logframe template (appendix 7.1) Scoring against the logframe focuses on actual achievement of expected results rather than the likelihood of achievement in the future. Grantees are required to score themselves against the milestones etc. set in the logframe. A new 5 point scale will allow for both over and under achievement.
- ii. Grantees will also prepare the following as part of the annual review process:
  - an additionality report (see annex 6)
  - a changing lives case study (see annex 9)
- iii. Grantees will submit these documents to DFID Coffey should be cc'd into all correspondence

### **2 REVIEW OF LOGFRAME**

- i. DFID review and score all PPA logframes
- ii. DFID review PPA annual reports – this is done through a peer review process within the CSD and other relevant departments within DFID ie CHASE
- iii. PPA grantees are given an overall project score
- iv. The Evaluation Manager will undertake a 'light touch review' of grantees reports and provide comments
- v. DFID prepares a comprehensive set of comments and recommendations for grantees which outline any areas for concern

### **3 FINALISATION OF PROJECT SCORING**

- i. DFID will communicate the project score and comments to grantees
- ii. Grantees will have an opportunity to provide any clarifications or further information before the project score is finalised
- iii. Once the scoring and reporting is finalised, they will be entered into Coffey's grantee monitoring database

### **4 FOLLOW UP OF ANNUAL REVIEW COMMENTS**

Part of the Independent Progress Review will assess the extent to which comments and issues raised by DFID during the annual review process at this stage have been appropriately addressed by the grantees.

### **5 USE OF ANNUAL REVIEW REPORT AND SCORES**

Coffey will use the annual reports and case studies to:

- Inform the 'results' component of the grantee performance assessment
- Provide evidence to respond to the evaluation questions
- Conduct systematic reviews to inform fund level performance assessment.

## APPENDIX 7.1: PPA ANNUAL REVIEW FORM

### PPA Annual Review<sup>i</sup>

Completed review should be no longer than 30 pages and in font 12 (not including the end notes). Please submit an electronic copy to [PPA-Applications@dfid.gov.uk](mailto:PPA-Applications@dfid.gov.uk)

Complete areas within white boxes only

Reporting Year	
----------------	--

### Basic Information<sup>ii</sup>

Organisation					
	2010/11	2011/12	2012/13	2013/14	
Annual Income of Organisation					
	2010/11 (if applicable)	2011/12	2012/13	2013/14 (indicative)	
PPA funding (£)					
As % of total organisational income					
	2010/11	2011/12	2012/13	2013/14	
Other DFID funding (£)					
<b>Summary of relationship with DFID and other DFID funding<sup>iii</sup></b>					
<p><i>E.g. list of other DFID contracts or description of sectors worked in with DFID.</i></p>					
<b>Approximate % of total organisational expenditure allocated by sector or theme<sup>iv</sup></b>					

## APPENDIX 7.1: PPA ANNUAL REVIEW FORM

### Part A – Output Review and Scoring

<b>Output 1</b>
<i>[Insert Output]</i>
<b>Assessment of performance of output and progress against expected results</b>
<i>Summarise output 1 progress against expected results. This should assess performance as measured by the specific output indicators included in the logframe against the relevant milestones. You should set out exactly what was expected to be achieved and what was actually achieved.</i>
<b>Recommendations</b>
<i>Summarise future action relating to the output - including whether and how the output, future milestones and the overall target requires adjustment following this review.</i>
<b>Impact Weighting %</b>
<i>Input current impact weighting from logframe and whether the review has identified the need for revision? Why?</i>
<b>Risk: Low/Medium/High</b>
<i>Input current risk rating and whether the review has identified the need for revision? Why?</i>
<b>List any documentary supporting information<sup>v</sup></b>
<b>Actual achievement of expected results. Rate A++ to C<sup>vi</sup></b> Use the rating scale to assess whether actual results achieved to date meet those expected, drawing on milestones, targets and indicators in the logframe.

<b>Output 2</b>
<i>[Insert Output]</i>
<b>Assessment of performance of output and progress against expected results</b>
<b>Recommendations</b>

## APPENDIX 7.1: PPA ANNUAL REVIEW FORM

<b>Impact Weighting%</b>
<i>Input current impact weighting and whether the review has identified the need for revision? Why?</i>
<b>Risk: Low/Medium/High</b>
<i>Input current risk rating and whether the review has identified the need for revision? Why?</i>
<b>List any documentary supporting information</b>
<b>Actual achievement of expected results. Rate A++ to C</b>

<b>Output 3</b>
<i>[Insert Output]</i>
<b>Assessment of performance of output and progress against expected results</b>
<b>Recommendations</b>
<b>Impact Weighting%</b>
<i>Input current impact weighting and whether the review has identified the need for revision? Why?</i>
<b>Risk: Low/Medium/High</b>
<i>Input current risk rating and whether the review has identified the need for revision? Why?</i>
<b>List any documentary supporting information</b>
<b>Actual achievement of expected results. Rate A++ to C</b>

<b>Output 4</b>
<i>[Insert Output]</i>
<b>Assessment of performance of output and progress against expected results</b>
<b>Recommendations</b>

## APPENDIX 7.1: PPA ANNUAL REVIEW FORM

<b>Impact Weighting%</b>
<i>Input current impact weighting and whether the review has identified the need for revision? Why?</i>
<b>Risk: Low/Medium/High</b>
<i>Input current risk rating and whether the review has identified the need for revision? Why?</i>
<b>List any documentary supporting information</b>
<b>Actual achievement of expected results. Rate A++ to C</b>

If the programme involves more than 4 Outputs please copy the box above and paste below.

## APPENDIX 7.1: PPA ANNUAL REVIEW FORM

<b>Part B – i. Results and Value for Money</b> <b>ii. Relevance</b>
<b>Progress to date against PPA Outcome Statement(s)</b>
<b>Enter Outcome Statement(s)</b>
<b>Provide a summary of progress against the milestones and results achieved that were expected as at the time of this review.</b>
<b>Key Challenges</b>
<b>Highlight any key challenges (including emerging ones) to achievement of the overall results.</b>
<b>Risks and Assumptions</b>
<b>Review the key risks that affect the successful delivery of the expected results. Consider any different or new mitigating actions that will be required to address these risks.</b>
<b>Consider any climate or environment risks e.g. potential impacts on carbon emissions/wider environment and how the organisation is minimising and mitigating negative impacts. Provide an update on progress made against issues raised during the environmental screening process (if any).</b>
<b>Please provide any evidence to show how PPA funding allows you to take risks and innovate (if at all). Would this be the case if the funds would have been used in a restricted way to fund projects?</b>
<b>Are the assumptions identified in the logframe working out in practice? Any modifications required?</b>



## APPENDIX 7.1: PPA ANNUAL REVIEW FORM

<b>Evidence</b>
<i>Is there any new evidence (internal or external) available which challenges the programme design or rationale?</i>
<b>Strategy for Achieving Results and Sustainability</b>
<i>What additional financial and material resources has the PPA been able to lever from external partners to enable you to more effectively deliver your results?</i>
<i>How has this been achieved? (e.g. Partnership working; learning)</i>
<i>How have you used PPA funding strategically to ensure the delivery of sustainable results?</i>
<b>Direct Feedback from Beneficiaries</b>
<i>What direct feedback have you collected from beneficiaries about results and their experience of the intervention? Include methodology e.g. how it was collected, who collected data, size of sample etc.</i>
<b>Disaggregated Results</b>
<i>Describe how evidence is disaggregated by gender and age. We are also interested in other variables applicable to your organisation's work e.g. disability and other excluded groups.</i>
<b>Value for Money (VfM)</b>
<i>What are the main cost drivers for your organisation in delivering interventions? How have these been justified and or rationalised to ensure value for money?</i>
<i>What are the main risks to achieving VfM for your organisation/project? How are you monitoring and managing these risks?</i>
<i>Has PPA funding allowed any new VfM processes to be implemented across your organisation or driven any other efficiencies?</i>
<i>Briefly outline what you regard as significant VfM improvements.</i>
<i>Are you able to track your main efficiency savings? Are their processes in place to monitor these efficiencies?</i>

## APPENDIX 7.1: PPA ANNUAL REVIEW FORM

<b>Part B – ii. Relevance</b>
<b>Representativeness and Targeting</b>
<p><i>How do you ensure that the interventions represented in the logframe continue to respond to the needs of the target population?</i></p> <p><i>To what extent is your organisation targeting the most poor and marginalised - either directly or indirectly? What is the rationale for this?</i></p>

<b>Part C – Lessons Learned</b>
<b>What lessons are being learned and shared from this PPA?</b>
<p><i>Suggest you frame your response around what has worked well and what has worked less well with regard to one or more of the learning priorities identified by the 2011/14 Learning Partnership and/or comment on how the PPA has contributed to:</i></p> <ul style="list-style-type: none"><li><i>• Change in practice within your organisation</i></li><li><i>• Generating learning within your organisation and/or across the sector and beyond (i.e. the learning partnerships / other PPA agencies / UK public etc), and the impact this has had on practice, policy etc.</i></li><li><i>• DFID's thinking and/or evidence base</i></li></ul> <p><i>Please include evidence to support your comments.</i></p> <p><i>Where it is too soon to draw such conclusions on the impact of the learning, please include a description of the intended impact and/or your learning priorities, plans to generate knowledge and to measure its impact (including key audiences, themes and rationale).</i></p>

<b>Part D – Due Diligence and Transparency</b>
<b>Due Diligence</b>
<p><i>Provide an up-date on any action taken following the Due Diligence Assessment by KPMG. Also provide an up-date on progress against any due diligence conditions highlighted in your agreement.</i></p>
<b>Transparency</b>
<p><i>Provide an up-date on progress made towards applying transparency standards in line with the UK Aid Transparency Guarantee to the funds received from DFID</i></p>

## APPENDIX 7.1: PPA ANNUAL REVIEW FORM

Accountability
<p><i>Please describe your systems for collecting, collating, sharing and reporting information on the performance and impact of your PPA funding.</i></p>

Part E – Additional Information
<p><i>This is an opportunity for you to highlight other strategic pieces of work or achievements through the PPA that you have been unable to bring out already. This is also an opportunity to highlight your work with excluded groups where this is not your main focus e.g. disability.</i></p>

### **Part F Additionality Case Study (2000 word limit)**

Please refer to guidance in revised Evaluation Strategy

### **Part G Changing Lives Case Study (2000 word limit)**

Please refer to guidance in revised Evaluation Strategy

## APPENDIX 7.1: PPA ANNUAL REVIEW FORM

### End Notes

---

<sup>i</sup> The Annual Review is only part of the reporting story. Organisations will be able to supply evidence, case studies and other material they feel will show impact on the ground.

<sup>ii</sup> *Basic Information* - this is a useful snapshot of the full relationship between DFID and each PPA organisation.

<sup>iii</sup> This is intended to be a cumulative list of DFID contracts etc. from when your PPA began. If there is a large amount of information, please summarise by e.g. department and add any additional information to an appendix. We wanted to leave this section quite open to interpretation by each organisation.

<sup>iv</sup> This should provide an indication of your overall organisational allocations by sector or theme (i.e. not limited to your PPA).

The % breakdown may change from year to year and is intended to reflect key organisational priorities for the reporting year under assessment.

<sup>v</sup> This can be used as an opportunity to provide DFID with case studies, YouTube clips etc.

<sup>vi</sup> The new project scoring system measures **actual achievement of expected results** rather than the *likelihood of achievement* in the future.

Ratings to be applied:

**A++** = Outputs substantially exceeded expectation.

**A+** = Outputs moderately exceeded expectation.

**A** = Outputs met expectation.

**B** = Outputs moderately did not meet expectation.

**C** = Outputs substantially did not meet expectation.

# Annex 8

## **Independent Progress Review**

Appendix 8.1: Terms of reference

Appendix 8.1.1: Assessment criteria for grantees

Appendix 8.2: Guidance on planning and conducting evaluations

Appendix 8.2.1 - An example of assessment scores

Appendix 8.2.2 - Letter template to unsuccessful bidders

Appendix 8.2.3 - Letter template to a successful contractor

## ANNEX 8: INDEPENDENT PROGRESS REVIEW GUIDELINES

*Annex 8 provides guidance to both PPA and GPAF grantees on the purpose and scope of the Independent Progress Review (IPR), including terms of reference for this evaluation. This annex also presents recommendations on how to commission an evaluation, along with some good practice examples.*

### 1 OVERVIEW OF INDEPENDENT PROGRESS REVIEW PROCESS

Independent Progress Reviews (IPR) are independent evaluations that are commissioned and managed by grantees. The sections below outline the key steps in commissioning and quality assuring the IPR and also provide an indication of key roles and responsibilities.

**GPAF grantees** are required to submit an IPR prior to the end of their funding.

**PPA grantees** are required to submit an IPR at the mid-term of funding and at the end of funding.

While there is no hard rule for the size/cost of the IPR evaluation, we recommend that between 3-5% of the total grant should be spent on evaluation, which the Evaluation Manager feels is consistent with the principle of proportionality.

While the IPR commissioned by organisations must respond to all elements of the TOR, the cost and scope of the IPR should be proportionate to the amount of funding received by grantees. General guidance is that evaluation costs should represent **3-5% of the total funding allocation**. It will be for each organisation to determine exactly how much it is reasonable for them to spend on their IPR.

The indicative level of expenditure suggested for evaluation activity is provided as a **'rule of thumb' guide only**. This range is based on the experience of evaluation commissioners and practitioners and reflects what the Evaluation Manager believes is a reasonable proxy for the amount of evaluation work that would need to be undertaken given the amount of funding being evaluated. This is based on the premise that the greater the expenditure the greater the amount of evaluation activity required to measure the performance and impact of the scale and type of funded activities - this certainly holds true for project-specific grants (such as GPAF) where project activity is directly attributable to DFID funding. This premise is less robust for grantees with a lot of money or very little money, which therefore **requires a common-sense approach to be taken to the commissioning process**.

Typically for grantees receiving more modest allocations the scope for applying resource-intensive quantitative methodologies would be limited. However, even a limited amount of input from an independent evaluator can add considerable value to the evaluation process and help demonstrate the impact of well targeted investments – for example, by undertaking a combination of independent desk-based research and a limited amount of qualitative research to provide a critical assessment of performance. For the purpose of ensuring a proportionate approach, **the Evaluation Manager, together with DFID Policy Advisors and Programme Managers will provide advice to PPA grantees receiving smaller amounts of DFID funding, or those who use it to support a limited set of outcomes**, to ensure that the evaluation process is itself value for money. It is envisaged that similar support will be provided by the Fund Manager to GPAF grantees.

## APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR

### 2 PURPOSE OF THE IPR

Coffey will supplement this evidence base with independent studies in relevant areas.

The purpose of the IPR is twofold:

1. To verify, and supplement where necessary, grantees reporting through the annual review process, changing lives case study and for PPA holders only, the additionality report; and
2. To independently evaluate the impact that DFID funding has had on organisations and projects and assess value for money. The evaluation should answer the question: *What has happened because of DFID funding that wouldn't have otherwise happened?*

### 3 ROLES AND RESPONSIBILITIES

The key roles and responsibilities for the IPRs are laid out in the table below:

Task	Responsible	Description
Design the Terms of Reference (TOR)	Evaluation Manager	A generic TOR for the IPR has been designed by the Evaluation Manager and is available in appendix 8.1. Grantees should use this as the basis for their TOR and amend it where necessary.
Provide guidance on the IPR	Evaluation Manager	Guidance on designing, commissioning and managing an external evaluation is provided in appendix 8.2. This guidance has been provided at the request of grantees and contains advice and templates. This is guidance only. Grantees should ensure that they comply with relevant government procurement regulations and with their own internal systems and processes.
Commission and manage the IPR	Grantees	Grantees are responsible for designing the IPR study, commissioning an independent evaluator, managing and quality assuring their inputs and submitting their findings to DFID and the Evaluation Manager.
QA the IPR	Evaluation Manager	The Evaluation Manager will QA all independent evaluations as part of the performance assessment: the process for doing this is described in Annex 5. The Evaluation Manger will provide grantees with an Evaluation Manager Report appraising the quality of the IPR and highlighting its strengths and weaknesses.
Disseminate the IPR report	Grantees	According to transparency guidelines, grantees are asked to publish the IPR report. PLEASE NOTE however, that the IPR report should not be published until after it has been reviewed by the Evaluation Manager and comments have been provided. Grantees are asked to publish the report together with the management report and comments.

## APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR

### 4 IPR PROCUREMENT

Grantees will be responsible for commissioning and managing the IPR. Grantees may use their discretion in how the procurement procedure is carried out.

For PPA holders, it is recommended that both IPRs be commissioned at the same time to reduce administrative burden and enhance value for money.

Organisations who receive both General and CHASE funding as part of the PPA may commission one evaluation for both funds, but the scope of the evaluation is expected to be commensurately wider and the evaluation report must consider the additionality effects of each funding stream separately.

Grantees may choose to work together and commission 'joint' evaluations. This is permissible provided that grantees can demonstrate the value of a joint evaluation and ensure that sharing resources will not in any way compromise the quality of the evaluation.

### 5 TIMING

**GPAF grantees** are required to commission an IPR prior to the end of their funding.

**PPA grantees** are required to commission an IPR at the mid-term of funding (to be completed by October 2012) and at the end of funding (to be completed by April 2014).

While the dates for submission to DFID vary, it is recommended that the independent evaluations be commissioned by grantees as soon as possible so that the grantees may benefit from the expertise of the independent evaluator in designing and setting up the studies.

### 6 UTILITY

Coffey will analyse the information generated by the IPR process at individual grantee level and in aggregate format at meta/fund level. The analysis of the information from the IPR process will represent one source on which Coffey will base the performance assessment at both grantee and fund level.



## APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR

### TERMS OF REFERENCE FOR THE INDEPENDENT PROGRESS REVIEW (IPR)

#### 1 BACKGROUND INFORMATION

DFID provides significant funding to civil society organisations (CSOs) annually in line with its overall strategy to alleviate poverty and promote peace, stability and good governance. The Programme Partnership Arrangements (PPA) and Global Poverty Action Fund (GPAF) are two of DFID's principal funding mechanisms and will provide £480 million to approximately 230 CSOs between 2011 and 2013. The current political climate and results-based agenda demand a rigorous assessment of the effectiveness of funds disbursed to ensure that they are managed to provide value for money.

One of the key tools in the performance assessments of each agency is the Independent Progress Review (IPR) which will be commissioned by the individual grantees.

#### 2 EVALUATION OF THE PPA AND GPAF

Coffey International Development is the Evaluation Manager for the PPA and GPAF and is responsible for assessing the performance of individual grantees and of the funding mechanisms as a whole. The Evaluation Strategy lays out the approach and methodology to the Evaluation and should be read in full in preparation for the IPR.

In terms of grantee performance, the Evaluation is concerned with:

- a) the extent to which grantee organisations are performing against their objectives<sup>1</sup>;
- b) the extent to which grantee organisations and achievements align with DFID's theories of change (annex 2 and 3);
- c) the impact of DFID's funding in terms of the additional benefits realised because of funding and its attributable contribution to organisational effectiveness and the results set out in grantees' logframes. The impact assessment will consider the value for money organisations derive from DFID funding.

Grantees will be assessed according to standard criteria based on the OECD DAC criteria<sup>2</sup>: relevance, efficiency, effectiveness and results. Further definition of these criteria is provided in appendix 8.1.1. The criteria should be used to structure the IPR.

#### 3 PURPOSE

The purpose of the IPR is threefold:

1. To assess the extent to which comments provided as part of the Annual Review Process(es) have been acted upon by grantees;
2. To verify, and supplement where necessary, grantees' reporting through the Annual Review Process, changing lives case study and for PPA holders only, the additionality report; and
3. To independently evaluate the impact that DFID funding has had on organisations and projects and to assess the value for money of the funding. The IPR should answer the questions

---

<sup>1</sup> This is reflected in grantees' initial applications and their logframes. For PPA holders this is also reflected in the business cases prepared by DFID to justify funding.

<sup>2</sup> [http://www.oecd.org/document/22/0,2340,en\\_2649\\_34435\\_2086550\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/22/0,2340,en_2649_34435_2086550_1_1_1_1,00.html)

## **APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR**

*What has happened because of DFID funding that wouldn't have otherwise happened? and To what extent does the use of funding represent good value for money?*

### **4 ANNUAL REVIEW PROCESS ACTIONS**

The IPR will have an important role in assessing the extent to which comments provided during the Annual Review Process<sup>3</sup> (ARP) have been acted upon by grantees.

Grantees are accountable to DFID for their use of the grants. The ARP is the process by which DFID hold grantees to account and ensures that they are working towards their stated objectives. The feedback provided during the ARP is DFID's principle management tool, and as such, it is extremely important that this feedback be acted upon by grantees.

The IPR will provide an independent assessment on the extent to which feedback has been acted upon.

### **5 VERIFICATION OF GRANTEES REPORTING**

Grantees will be assessed by the Evaluation Manager according to the criteria defined in appendix 8.1.1. The IPR will contribute to this assessment by:

- Verifying grantee reporting related to the evaluation criteria; and
- Providing an independent assessment of the organisation or project in relation to the evaluation criteria.

Some relevant assessment questions are detailed below – these questions are guidelines only. The Independent Evaluator should use their discretion in obtaining the information relevant to the assessment criteria.

#### **5.1 Relevance**

- Representativeness: Do the planned interventions and outcomes (as expressed in the LogFrame) reflect the needs of the target population?
- Targeting: To what degree do the planned interventions and outcomes reach the poorest and most marginalised? To what degree do these interventions maximise the impact on the poor and marginalised? Is the balance between these two targeting principles appropriate to the situation? (Note: in cases where the organisation or programme is not working directly with beneficiaries an assessment should be made of the implicit or explicit results chain that link the outcomes to changes for the beneficiary population)
- Do the planned interventions, outcomes and targeting continue to be relevant to the needs of the target population? Does the targeting strategy continue to be appropriate?

#### **5.2 Efficiency**

- To what extent are grantees able to evidence their cost effectiveness and as such demonstrate an understanding of their costs, the factors that drive them, the linkages to their performance and an ability to achieve efficiency gains?

---

<sup>3</sup> GPAF holders will receive comments from the GPAF Fund Manager, and PPA holders will receive comments from DFID. The Evaluation Manager will be involved in preparing the comments and recommendations to some extent for both funds.

## APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR

### 5.3 Effectiveness

- Distinctive offering: What is the distinctive offering of the organization and how does it complement or add value to DFID's portfolio? Examples here might include:
  - The organization has distinctive expertise in a particular area of work;
  - The organization provides support and advice in this area and/or builds the capacity of DFID and others;
  - The project or programme fills a gap in DFID's portfolio, complementing existing work in country programmes, or offering a channel to provide support where DFID has no presence;
  - Linking together different levels of operation; and
  - Networking and bringing together other actors.
- Learning and innovation
  - How has organisational culture promoted or impeded learning and innovation?
  - Assess the extent to which the organization has learned from its work and has incorporated the lessons into improved performance. Examples and case studies should be provided. A distinction should be made between two types of learning. Firstly, learning that improves the organization's capacity (for example improved capacity to monitor and evaluate). This learning is essentially organizational development for the grantee. Assess the degree to which this learning has demonstrably improved programming, in the intervention from which it arose and beyond. Secondly, learning that provides contextual knowledge, for example learning about the situation of a target population. This learning is largely specific to a particular context and will have little generalizability. Assess the degree to which this learning has demonstrably improved programming, in the intervention from which it arose.
  - Assess the extent to which the organization has produced generalizable learning that has been incorporated into its own practice and shared with others. Assess the degree to which this learning has demonstrably improved programming. Describe the strategy for communicating the learning and assess the extent to which others took up the learning in changed policy and practice. Examples and case studies should be provided. This type of learning overlaps with innovation.
  - Innovation is a special type of learning. It is distinguished from learning in general by novelty. Assess the extent to which grantees develop, test, and achieve the adoption by others of new knowledge, such as in techniques, approaches, and design of interventions. Describe the organization's strategy for communicating the innovation and the extent to which it was taken up by others. If it has not yet been taken up by others, provide evidence indicating the potential for replication and scale-up. Two levels of innovation should be distinguished. Firstly, incremental innovation. This is innovation that applies or develops existing knowledge in new ways. For example, it might involve the application of an existing method to a new context, or it might involve elaboration and improvement of an existing method. Secondly, radical innovation. This is innovation that produces entirely new knowledge. For example, it might involve the development and testing of a new method for vulnerability mapping.

## APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR

- Monitoring and evaluation. Assess the organization's monitoring and evaluation capacity, and in particular its ability to measure results (focusing on the quality of reported results and lessons learned rather than an assessment of M&E systems themselves). Indicate with clear examples of the trajectory of change. Identify and assess any impact assessment studies and clarify what part they play in the organization's monitoring and evaluation system.

### 5.4 Sustainability

- Assess the extent to which an intervention or its results are likely to be sustainable. This should include an examination of the outcome of the uptake of learning and innovation by others. It should also include the nature of partnerships built with civil society, governmental and international organisations and their impact on sustainability. Elements of sustainability might include leveraging funds for continuation, securing policy adoption of an intervention or approach, or building capacity of southern actors to deliver a service or to monitor service delivery.

### 5.5 Results

- Performance against the LogFrame: To what extent is the organization achieving (or progressing towards) the intended outcomes?
- Changes in lives. Assess the information about what changes these outcomes are making in people's lives and how many people are affected.
- Changes in civil society. To what extent are citizens doing things for themselves (for example community organizations managing and delivering services)? To what extent is civil society enabled to hold government to account?
- Assess what conditions led to success and failure – external, internal combination of interventions.
- To what extent does DFID funding achieve additionality, i.e. enable CSOs to achieve things they would have otherwise not been able to achieve? Assessment of additionality will be covered during the impact assessment as described below.

## 6 IMPACT ASSESSMENT OF DFID FUNDING

The section set out the proposed approach to the assessment of the additional impacts achieved by grantees as a result of DFID's funding. It starts by explaining the fundamental principles that underpin the assessment of impact and the type of techniques that are typically used to undertake quantitative analysis. The purpose here is **not to prescribe that all grantees should apply these and only these quantitative techniques**. The intention is to provide an overview of a robust approach that should be considered if appropriate, cost-effective and proportionate to do so. The section also stresses the **importance of a mixed-methods approach** to the impact assessment that uses qualitative research to provide an explanation of 'why' and 'how' the programme is affecting the type and scale of changes that are quantitatively assessed.

The section concludes by providing guidance on contribution analysis, which adopts a theory of change approach to evaluation. This approach is informed by a wide range of evidence sources and perspectives brought together to produce a 'plausible' assessment of the 'contribution' of grantees to higher level outcomes and impacts. This Evaluation Strategy is first and foremost concerned with ensuring that grantees are able to produce the most robust evidence possible by rigorously using

## APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR

evaluation approaches and research tools that best suit the variety of ways in which DFID funding has been used across both the PPA and GPAF portfolios.

Impact assessment is defined here as the ‘net’ impact that an organisation or project intervention has in terms of the *additional benefits realised that are directly attributable* to the activities delivered by the organisation or project intervention. The *additionality* of the funding is of key importance for DFID as it is crucial to understanding the net impact of its interventions. Additionality is defined as “*an impact arising from an intervention is additional if it would not have occurred in the absence of the intervention*”.<sup>4</sup> Typically, this requires a comparison between what actually happened (i.e. factually) and what would have happened in the absence of the intervention, otherwise called the counterfactual. The fundamental evaluation problem that all impact assessment faces is that we cannot observe what would have happened if the intervention had not happened to those already affected by the intervention. Therefore impact evaluation requires a rigorous approach to establishing the counterfactual. The most robust way to do this is to compare the outcomes achieved by those who benefited from an intervention with the outcomes achieved by a group of people who are similar in every way to the beneficiaries, except that they were not subject to the project intervention being evaluated i.e. by using a comparison or control group. This approach to the assessment of impact and additionality typically involves experimental or quasi-experimental approaches and methodologies.

Grantees should note that depending on the level of expenditure and ‘evaluability’<sup>5</sup> of the type of investment or intervention, the expectation is that the additionality and impacts of DFID’s funding should be quantitatively assessed as far as possible. It should be noted that this approach is not exclusive to qualitative methodologies, which are required to ensure that any evaluation of impact is firmly grounded in the context of a grantee’s activities. Crucially, a mixed-method approach provides a qualitative explanation of ‘why’ and ‘how’ the programme is affecting the type and scale of change assessed through quantitative research.

### 6.1.1 Acknowledging the impact attribution problem

The higher level objective of PPA and GPAF funding is to alleviate poverty by strengthening civil society and in doing so, contribute to the achievement of the Millennium Development Goals, and good governance. These goals are at the highest level and DFID’s investment through PPA and GPAF to achieving them is relatively insignificant in the context of the global corpus of interventions aimed at alleviating poverty. Moreover there are a large number of very important factors external to DFID’s and the grantees involvement which varies according to circumstance and which will influence the results achieved. For these reasons, experimental or quasi-experimental approaches to credibly assessing the attributable effects and impacts on observed changes may be difficult to achieve and quantify. Under these conditions it is necessary to consider alternative methods for assessing the funds’ ‘contribution’ to change that do not solely rely scientifically quantifying ‘attributable’ change<sup>6</sup>.

### 6.1.2 Contribution analysis

Whatever the evaluation design or research methodologies used to evaluate the impact of DFID’s funding it is essential that a rigorous assessment of a grantee’s additionality is undertaken. At the very least this should result in a ‘plausible’ account of the difference that DFID’s funding has made to the effectiveness and performance of grantees. Contribution analysis is an approach that can help grantees overcome the attribution problem by systematically constructing an evidence-based and

---

<sup>4</sup> HMT Green Book

<sup>5</sup> *Evaluability* is defined in this context as the extent to which grantees’ activities can be measured to produce reliable evidence-based judgements of performance, impact and value for money.

<sup>6</sup> Please see the Key Evaluation Terms document and the NONIE paper on impact evaluation for more guidance

## APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR

plausible assessment of changes that would not have happened without the support of DFID's funding.

**Contribution analysis**<sup>7</sup> involves assessing the 'contribution' that the funding is making or has made to results through a 'theory of change' based approach. Essentially this requires an evidence-based approach to verifying the plausibility of theories of change that underpin the rationale for the different ways in which grantees have used DFID funding to either:

- indirectly 'enhance' the delivery of results (in the logframe) in the majority of cases for PPA grantees; or
  - directly delivery results (in the logframe) in the majority of cases for GPAF grantees.

Contribution analysis entails a more pragmatic, inclusive and iterative evaluation process than more experimental methods that for some grantees may not be feasible or practical given the variety of ways in which DFID funding is being used.

Contribution analysis involves the following 6 steps<sup>8</sup> that typically a grantee would follow:

### Step 1: Develop a theory of change and the risks to it

- Establish and agree with stakeholders a 'plausible' theory of change that accurately reflects the ways in which DFID funding has been used to deliver or enhance the delivery of planned results. Specifically focus on the type and nature of cause and effect relationships at each stage in the impact logic of the theory of change. The Three 'circles of influence' (Montague et al., 2002) are useful in this respect<sup>9</sup>:
  - **direct control** – where DFID funding has fairly direct control of the results, typically at the output level;
  - **direct influence** – where DFID funding has a direct influence on the expected results, such as the reactions and behaviours of its target groups through direct contact, typically intermediate outcomes; and
  - **indirect influence** – where DFID funding can exert significantly less influence on the expected results due to its lack of direct contact with those involved and/or the significant influence of other factors.
- Grantees should identify and articulate the assumptions that have been made in order to establish a set of cause and effect linkages between DFID funding, how it has been used and how this relates to the delivery of activities and ultimately the achievement of results set out in the logframe. In parallel, grantees should identify external influencing factors that could affect these linkages.
- To be clear, in the case of GPAF grantees where the link between DFID funding, outputs and outcomes is relatively direct these linkages may be expressed in the logframe. However, in the case of PPA grantees where DFID funding has been used in an unrestricted /indirect way these linkages and a theory of change will need to be developed that specifically focuses on how DFID

---

<sup>7</sup> Mayne, J., (2008) 'ILAC Brief 16 – Contribution analysis – an approach to exploring cause and effect', ILAC

<sup>8</sup> Mayne, J., (2008) 'ILAC Brief 16 – Contribution analysis – an approach to exploring cause and effect', ILAC

<sup>9</sup> Ibid

## APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR

funding has been used e.g. to improve organisational effectiveness through strengthening human resource management to ultimately enhance the delivery of results –n these instances this is a distinctly different theory of change or impact logic that is presented in the grantee’s logframe.

### Step 2: Set out the attribution problem to be addressed

- Grantees should determine the specific cause and effect questions that each grantee needs to assess through the evaluation process; assess the nature and extent of the attribution problem by asking:
  - What do we know about the nature and extent of the contribution expected?
  - What would show that DFID funding has made an important contribution?
  - What would show that DFID funding has ‘made a difference’?
  - What would indicate that DFID funding has had the effects envisaged in the theory of change underpinning the way in which the grant has been used?
  - How difficult is it to evidence these effects and why?

### Step 3: Gather existing evidence on the theory of change

- Grantees should gather evidence through routine monitoring /management data as far as possible. Whatever the nature of the theory of change underpinning how DFID funding has been used it is advisable to establish a baseline position in order to benchmark the progress made. For example, if DFID funding has been used to enhance human resource management of a grantee then a simple survey could be undertaken of a sample of project offices in order to establish the current state of human resource management from the perspective of those that benefit from it. Further questions could elaborate on the extent to which this enhances the capacity of project offices to deliver their activities and ultimately achieve their results.

### Step 4: Assemble and assess the contribution narrative and challenges to it

- From the outset it is important to validate whether the theory of change and the assumptions that it depends on holds true. This validation process should be undertaken systematically and regularly in order to iteratively build up a convincing and plausible evidence-based narrative of the effects DFID funding is having in direct and/or indirect ways. It is also essential that this process involves relevant external stakeholders who are in a position to externally verify that the original theory of change and future observed changes are plausible and credible.

### Step 5: Gather additional evidence

- This Evaluation Strategy provides guidance, tools and templates for gathering different types of evidence that could be required to supplement monitoring and management data. The type of evidence gathered will largely depend on the ways in which DFID funding is being used. Ideally the evidence base would consist of a combination of quantitative and qualitative data focused on testing and proving a plausible theory of change that is specific to DFID funding.

### Step 6: Revise and strengthen the contribution narrative

- This is a continuous process of testing and revising the theory of change that underpins the central argument that DFID’s funding is making a difference. In this way contribution analysis has

## APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR

a formative effect in that it enables grantees to quickly understand whether or not DFID funding is being used in an optimal way to deliver the changes envisaged at the outset.

There are several analytical approaches that could be used to assess the additionality of DFID funding in addition to contribution analysis. However, the key reason for presenting this approach is to demonstrate that this Evaluation Strategy is fully committed to gathering the best possible evidence concerning the impact and value for money attributable to DFID funding however great the challenge is. Even if a scientific approach to impact evaluation is not possible or is inappropriate then at the very least the approach to assessing the additionality of DFID funding should be as plausible and rigorous as possible, including evaluation designs and activities that entail predominantly qualitative research methodologies.

While responsibility for assessing and reporting on the additionality of DFID funding rests with grantees, the independent evaluators who will undertake the independent progress reviews (IPRs)<sup>10</sup> will be involved with the impact assessment. Where feasible, they should be involved as early as possible by grantees so that they can provide technical support to design the assessment or carry out the steps described above.

---

<sup>10</sup> See section 3.2 for further details on IPRs



## APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR

### 7 IPR METHODS

The methods to be used in the IPR include:

#### 7.1 Document review - this will include the assessment of the funding related documents:

- Organisations applications for funding
- DFID's business case for funding (PPA only)
- Organisation's MOU with DFID for funding
- Updated versions of organisational (PPA) logframes / project logframes (GPAF)
- Organisations' annual review reports and comments provided by DFID
- *Changing Lives* case studies submitted
- Additionality reports (PPA only)
- The review should also consider other relevant organisational documents such as:
  - Organisational mission statement and strategy
  - Organisational monitoring & evaluation strategy
  - Impact studies undertaken by the CSO
  - Financial information / information on resources spent
  - Statement of experience
  - Information on synergies / collaboration with DFID country programmes, other actors etc
  - Published material (e.g. to demonstrate sharing of learning with others)
  - Additional documents as required and appropriate (e.g. information to assess changes in lives / changes in civil society)

#### 7.2 Interviews and workshops with key stakeholders:

- Interviews and workshops with management teams to determine how funding is allocated and used
- Beneficiary interviews
- Interviews with staff at grantee organisation involved in strategic aspects / delivery of work
- Interviews with partners looking at e.g. uptake of learning and innovation, partnerships built with civil society, governmental and international organizations, building capacity of southern actors etc
- Additional interlocutors as appropriate

## **APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR**

The consultant or consulting firm commissioned to carry out the IPR and the PPA/GPAF Manager are jointly responsible for choosing the methods that are the most appropriate for the purpose of this evaluation. The consultant or consulting firm is also required to present a detailed statement of evaluation methods including the description of data collection instruments and procedures, information sources and procedures for analyzing the data.

### **8 IPR CONSULTANT**

The IPR shall be carried out by a suitably-qualified and experienced consultant or consulting firm (referred to as “IPR consultant” in the following). The consultant profile should include:

- A specialist with a minimum of seven years experience in programme/project delivery in an international development context
- Experience of results-based monitoring and evaluation

While IPR consultants may be nominated by the stakeholders listed above, they must not have a conflict of interest with the ongoing activities of grantees.

### **9 RESOURCES REQUIRED**

- Consultancy days, including preparation and site visits;
- Travel and accommodation expenses will be reimbursed (economy class airfares, mid-class hotel);
- Vouched expenses (including travel at economy rates and mid-class hotel accommodation) and subsistence costs according to established rates per country (to be agreed in advance with the contracting party).

## APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR

### 10 MANAGEMENT ARRANGEMENTS

The grantee organisation's Manager will be responsible for the recruitment of and initial briefing to the IPR consultant, and will be the point of contact within the grantee organisation for the duration of the IPR process. They will also provide logistical and technical support, including through the organisation of meetings and interviews.

### 11 QUALITY ASSURANCE

It is imperative that the evidence collected as part of the IPR be robust and reliable. Where high quality data is not available, the limitations of the data and any conclusions drawn from it must be clearly stated. The following table provides a framework for appraising the quality of evaluation evidence submitted to the Evaluation Manager. Grantees are responsible for quality assuring the IPR as it is undertaken. The Evaluation Manager will also undertake a quality assurance exercise and will provide comments in an *Evaluation Manager Report*.

Appraisal focus	Key appraisal questions	Key quality indicators
<b>FINDINGS</b>	1. How credible are the findings?	Findings /conclusions are supported by data /study evidence Findings /conclusions 'make sense' /have a coherent logic Findings /conclusions are resonant with other knowledge and experience Use of corroborating evidence to support or refine findings
	2. How well does the evaluation /evidence address its original aims and purpose?	Clear statement of study aims and objectives (where relevant) Findings clearly linked to the purposes of the study – and to the initiative or policy being studied Summary of conclusions directed towards aims of study Discussions of limitations of study in meeting aims
	3. Scope for drawing wider inference – how well is this explained?	Discussion of what can be generalised to wider beneficiary population Detailed description of the contexts in which the study was conducted to allow applicability to other settings /contextual generalities to be assessed Discussion of how hypotheses /theories of change may relate to wider theories of change at the policy level Discussion of limitations on drawing wider inference
<b>DESIGN</b>	4. How defensible is the research design?	Discussion of how overall evaluation /research strategy was designed to meet the aims of the study Discussion of the rationale of the study design Use of different features of design /data sources evident in findings presented Discussion of limitations of research design and their implications for the study evidence
<b>DESIGN</b>	5. How well was the data collection carried out?	Discussion of: <ul style="list-style-type: none"> <li>• Who conducted data collection</li> <li>• Procedures /documents used for collection /reporting</li> <li>• Checks on origin /status</li> </ul> Description of fieldwork methods and how these may have influenced data collected

## APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR

<b>ANALYSIS</b>	6. How well has the approach to and formulation of the analysis been conveyed?	<p>Description of form of original data</p> <p>Clear rationale for choice of data management method</p> <p>Discussion, with examples, of how any constructed analytic concepts have been devised and applied</p>
<b>REPORTING</b>	7. How clear are the links between data, interpretation and conclusions – i.e. how well can the route to any conclusions be seen?	<p>Clear conceptual links between analytic commentary and presentations of original data</p> <p>Discussion of how /why particular interpretation /significance is assigned to specific aspects of data</p> <p>Discussion of how explanations /theories /conclusions were derived</p>
<b>NEUTRALITY</b>	8. How clear are the assumptions /theoretical perspectives /values that have shaped the form and output of the evaluation /evidence submitted?	<p>Discussion /evidence of the main assumptions /hypotheses /theoretical ideas on which the evaluation was based and how these affected the form, coverage, or output of the evaluation</p> <p>Discussion /evidence of the ideological perspectives /values of the evaluation team and their impact on the methodological or substantive content of the evaluation</p> <p>Evidence of openness to new /alternative ways of viewing subject /theories /assumptions</p> <p>Discussion of how error or bias may have arisen in design /data collection /analysis and how it was addressed, if at all</p> <p>Reflections on the impact of the researcher on the evaluation process</p>
<b>AUDITABILITY</b>	9. How adequately has the research process been documented?	<p>Discussion of strengths and weaknesses</p> <p>Documentation and reasons for changes in coverage /data collection /analytic approach and implications</p> <p>Reproduction of main study documents</p>

## 12 DELIVERABLES AND TIMEFRAME

**PPA grantees:** the IPR consultant shall submit the finalised IPR to DFID following the timeframe below:

- at the mid-term evaluation stage (by October 2012)
- at final evaluation stage (by April 2014)

Exact dates for submitting IPRs will be communicated by DFID to grantees in due course.

**GPAF grantees:** the IPR consultant shall submit the final IPR on project completion.

- The main body of the IPR (draft and final version) must be limited to 30 pages, excluding annexes. One of the annexes should consist of a table which summarizes the findings according to the criteria listed in section 3 above.

## **APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR**

### **13 UTILITY**

Coffey will analyse the information generated by the IPR process at individual grantee level and in aggregate format at meta/fund level. The analysis of the information from the IPR process will represent one source on which Coffey will base the performance assessment at both grantee and fund level.

#### **13.1 Dissemination**

According to transparency guidelines, grantees are asked to publish the IPR report. PLEASE NOTE however, that the IPR report should not be published until after it has been reviewed by the Evaluation Manager and comments have been provided. Grantees are asked to publish the report together with the Evaluation Manager Report which contains comments on the quality of the evaluation.

## APPENDIX 8.1.1: ASSESSMENT CRITERIA FOR GRANTEES

Criteria	Sub-criteria	Definition
Relevance	Representativeness	The degree to which the supported civil society organisations represent and respond to the needs and priorities of their constituencies, (including where relevant the poorest and most marginalized). This will include an assessment of whether the planned interventions, as described in the LogFrame, continue to respond to these needs and priorities.
	Targeting strategy	The extent to which the interventions target the poorest and most marginalized, and the extent to which they target in such a way as to achieve maximum benefit. These targeting strategies are likely to be mutually exclusive, and the assessment will reflect on the way in which the balance between them has been struck. This will include an assessment of whether the targeting continues to be relevant. Grantees are required to describe the extent to which DFID funding impacts on their targeting strategy.
Effectiveness	Added value	Whether grantees offer a distinctive competence or otherwise complement and add value to DFID’s portfolio, and how this has been developed and/or demonstrated throughout the funding period. Examples here might include: The organization has distinctive expertise in a particular area of work, The organization provides support and advice to other organisations in this area and/or builds the capacity of DFID and others The project or programme fills a gap in DFID’s portfolio, complementing existing work in country programmes, or offering a channel to provide support where DFID has no presence Linking together different levels of operation Networking and bringing together other actors Grantees are required to describe to what extent DFID funding enables them to provide the added value described.
	Learning	The extent to which grantees learn from their work, and integrate the learning into improved programming, as well as the extent to which others (civil society, governmental and international organisations) make use of this learning in altered policy and practice. Learning will be understood under the following headings: <b>Learning that improves the organization’s own capacity:</b> This learning is essentially organizational development for the grantee. Grantees will need to show that this learning has demonstrably improved programming, in the intervention from which it arose and beyond. <b>Learning that provides contextual knowledge,</b> essential for good programming: for example learning about the situation of a target population. This learning is largely specific to a particular context and will have little generalizability. Grantees will need to show that this learning has demonstrably improved programming, in the intervention from it arose. <b>Learning that can be shared with others:</b> for example, improved ways of ensuring participation of marginalized groups. This is learning that can be generalized from the intervention context. Grantees will need to describe their strategy for communicating the learning and the extent to which others took up the learning. Grantees should also use this section to report on their interaction with the Learning Partnership and its four thematic sub-groups and how this interaction affects their capacity to learn and share learning. This type of learning overlaps with innovation.

## APPENDIX 8.1.1: ASSESSMENT CRITERIA FOR GRANTEES

Criteria	Sub-criteria	Definition
		Grantees are required to describe the extent to which DFID funding impacts on their capacity to learn and use learning in any of the categories above.
	Innovation	<p>The extent to which grantees develop, test, and achieve the adoption by others of new knowledge, such as in techniques, approaches, and design of interventions. Innovation is a special type of learning. It is distinguished from learning in general by novelty. Two levels of innovation will be distinguished</p> <p><b>Incremental innovation:</b> This is innovation that applies or develops existing knowledge in new ways. For example, it might involve the application of an existing method to a new context, or it might involve elaboration and improvement of an existing method. Grantees will need to describe their strategy for communicating the innovation and the extent to which it was taken up by others. If it has not yet been taken up by others, grantees will need to provide evidence suggesting that it has the potential for replication and scale-up</p> <p><b>Radical innovation:</b> This is innovation that produces entirely new knowledge. For example, it might involve the development and testing of a new method for vulnerability mapping. Grantees will need to describe their strategy for communicating the innovation and the extent to which it was taken up by others. If it has not yet been taken up by others, grantees will need to provide evidence suggesting that it has the potential for replication and scale-up</p> <p>Grantees are required to describe the extent to which DFID funding impacts on their capacity to innovate or share their innovations.</p>
	Partnership approach	<p>The extent to which partnerships are made with others (civil society, the private sector, governmental and international organisations) that enhance the effectiveness and impact of interventions and encourage sustainability. Partnerships that build sustainability might include leveraging funds for continuation, securing policy adoption of an intervention or approach, building capacity of southern actors to deliver a service or to monitor service delivery.</p> <p>Grantees are required to describe the extent to which DFID funding influences their partnership approach.</p>
	M&E	<p>The extent to which grantees effectively monitor and evaluate their performance and assess their impact. Effective M&amp;E and impact assessment includes demonstrable assessment and reporting of results at different levels, especially outputs and outcomes.</p> <p>Grantees are required to describe the extent to which DFID funding influences their M&amp;E systems and capacity to undertake impact assessments.</p>

## APPENDIX 8.1.1: ASSESSMENT CRITERIA FOR GRANTEES

Criteria	Sub-criteria	Definition
Efficiency	Cost effectiveness	<p>In its simplest form cost effectiveness assesses the extent to which grantees have delivered units of outputs and outcomes at the 'least cost' in order to achieve the 'desired' results, typically through the formulation of unit costs. Whilst the assessment of a grantee's cost effectiveness is most appropriate for outputs and outcomes of a quantitative nature, it is also an appropriate tool for capturing results that are harder to express in monetary units. This is particularly relevant to PPA fund holders and GPAF organisations where outputs and outcomes are presented in more qualitative terms. In these instances, grantees will be expected to demonstrate an acute understanding of key drivers of the costs that are incurred – 'cost drivers' are the strategic and operational determinants of a specific resource or activity cost. These cost drivers reflect the interdependencies between the strategic decisions that organisations make concerning the ways in which resources are used and the operational requirements associated with the delivery of activities that are relevant to the needs and priorities of poor and marginalised people. It is expected that grantees are able to evidence and demonstrate to a reasonable degree what costs have been incurred, why they have been incurred and the extent to which the costs incurred have been driven by the necessity to deliver the quality and quantity of results required. Essentially, this approach to the assessment of a grantee's cost effectiveness seeks to understand and demonstrate the strength of the relationship between the 'value' and 'money' parts of the 'value for money' equation.</p> <p>Whether cost effectiveness is being assessed at the input, output or outcome levels an underlying principle of the cost effectiveness assessment is that grantees should be able to demonstrate that funding and resources are being allocated and managed in ways that delivers the greatest added value at the least cost. Consequently the cost effectiveness assessment should draw on evaluation findings concerning the assessments of the relevance, effectiveness and results achieved by individual grantees.</p>
Results	Performance against the logframe	<p>The extent to which grantees have delivered on outputs and achieved the changes indicated in their LogFrames. In the first annual review this will largely assess outputs, while subsequent reviews will be able to increasingly assess outcomes. For GPAF organizations this assessment will be at project level; for PPA organizations, the assessment will be of the whole organization or of the part of an organization's programme covered by the PPA.</p> <p>Note: grantees are required to demonstrate and evidence wherever possible the extent to which results are attributable to DFID funding.</p>
	Improving lives	<p>An assessment of the extent and the manner of changes in the lives of poor and marginalized people as a result of the changes achieved, and the extent to which these changes are likely to be sustained. It is recognised that PPA/GPAF agency reporting in this area is likely to be illustrative of changes, rather than comprehensive across the portfolio. See Annex 9.</p> <p>Note: grantees are required to demonstrate and evidence wherever possible the extent to which changes in people's lives are attributable to DFID funding.</p>
	Changes in civil society	<p>The extent to which citizens are able to do things for themselves, for example community organizations to manage and deliver a particular service, and the extent to which civil society organizations are able to hold governments (such as the private sector and international bodies) to account.</p> <p>Note: grantees are expected to demonstrate and evidence wherever possible the extent to which changes in civil society are attributable to DFID funding.</p>



## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

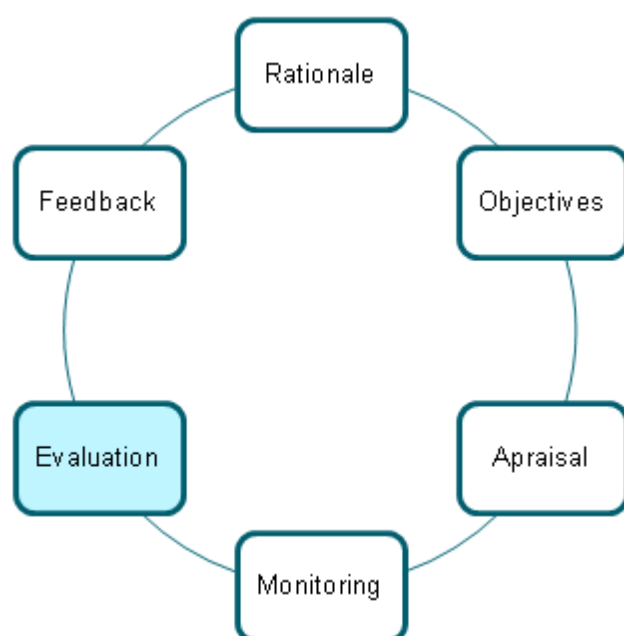
### 1 INTRODUCTION TO PLANNING AND CONDUCTION EVALUATIONS

#### Purpose and rationale

This document explains how evaluation fits into the policy cycle and it outlines and explains subsequent steps of the evaluation process. This guide is meant to be a practical tool supporting GPAF and PPA grantees in planning and conducting external evaluation in order to fulfil their obligation specified under the Evaluation Strategy. It is, however, reasonably generic and can be used to support the design and management of other evaluations.

Evaluation is an integral part of a broad policy cycle often referred to as ROAMEF, which stands for Rationale, Objectives, Appraisal, Monitoring, Evaluation and Feedback.<sup>11</sup> The ROAMEF cycle is presented in Figure 1 below.

Figure 1 – The ROAMEF Policy Cycle



Source: *The Magenta Book*

It is important to note that evaluation evidence can feed in throughout the whole policy cycle and although the figure suggests that these phases of the ROAMEF cycle occur in a stepwise fashion, the process is often iterative and there are significant interdependencies between the various elements. A similar logic is applied at project cycle management to depict evaluation as a process following project planning and implementation.<sup>12</sup>

For the PPA grantees, the first IPR will take place at the mid-term of funding and therefore it will have some potential to improve performance. For the GPAF grantees, the evaluation will take place in the final stages of their projects and should help to inform future project design and implementation.

Importantly, decisions affecting and relating to any evaluation are often taken early in the policy and programme design and implementation processes. Because even minor aspects of project

<sup>11</sup> The Magenta Book - Guidance for evaluation, HR Treasury (2011)

<sup>12</sup> See more on evaluation in Project Cycle Management at [http://ec.europa.eu/europeaid/how/delivering-aid/project-approach/index\\_en.htm](http://ec.europa.eu/europeaid/how/delivering-aid/project-approach/index_en.htm)

## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

formulation can have significant impacts on the ability to evaluate it rigorously, evaluation should be considered, planned, and built in the project design in order to **recognise and mitigate these risks**. This is particularly relevant for any impact evaluations and the assessment of additionality, i.e. what would have occurred in the absence of the intervention (generally through examining a comparison group of unaffected individuals or areas).

### 1.1 Proportionality

The need for proportionality is a key principle underpinning this Evaluation Strategy. It is recognised that amount of funding, as well as the size and capacity of organisations varies greatly across the PPA and GPAF portfolios.

While the IPR commissioned by organisations must respond to all elements of the TOR, **the cost and scope of the IPR must be proportionate to the amount of funding received by grantees**. General guidance is that evaluation costs should represent 3-5% of the total funding allocation. It will be for each organisation to determine exactly how much it is reasonable for them to spend on their IPR.

## 2 STEP-BY-STEP GUIDE THROUGH THE EVALUATION PROCESS

Evaluation is a process that needs to be planned, designed, conducted, and managed (see Figure 2 below).

Figure 2 – Evaluation process



Table 1 summarises the main steps involved in the evaluation process which are explained in more detail in the subsequent paragraphs. The word ‘programme’ is used throughout the following sections. For GPAF and PPA holders, this can also refer to projects or interventions. For PPA holders, programme can also refer to the way in which PPA funds have been allocated and used.

Table 1 – Steps involved in planning an evaluation

Steps involved in evaluation	Questions to consider
1. <b>Defining the objectives and intended outcomes</b>	<ul style="list-style-type: none"> <li>• What is the programme logic or theory about how inputs lead to outputs, outcomes and impacts, in the particular policy context?</li> </ul>
2. <b>Defining the audience for the evaluation</b>	<ul style="list-style-type: none"> <li>• Who will be the main users of the findings and how will they be engaged?</li> </ul>
3. <b>Identifying the evaluation objectives and research questions</b>	<ul style="list-style-type: none"> <li>• What do decision makers need to know about what difference the programme made, and/or how it was delivered?</li> <li>• How broad is the scope of the evaluation?</li> </ul>
4. <b>Selecting the evaluation approach</b>	<ul style="list-style-type: none"> <li>• What type of evaluation is required?</li> <li>• How extensive is the evaluation likely to be?</li> <li>• What level of robustness is required?</li> </ul>
5. <b>Identifying the data requirements</b>	<ul style="list-style-type: none"> <li>• At what point in time should the impact be measured?</li> <li>• What data is required?</li> <li>• What is already being collected / available?</li> <li>• What additional data needs to be collected?</li> </ul>

## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

	<ul style="list-style-type: none"> <li>Who will be responsible for data collection and what processes need to be set up?</li> </ul>
6. <b>Identifying the necessary resources and governance arrangements</b>	<ul style="list-style-type: none"> <li>How large scale / high profile is the programme, and what is a proportionate level of resource for the evaluation?</li> <li>What budget is to be used for the evaluation and is this compatible with the evaluation requirements? Has sufficient allowance been built in?</li> <li>Who will be the project owner, provide analytical support, and be on the steering group?</li> <li>What will the quality assurance processes be?</li> </ul>
7. <b>Conducting the evaluation</b>	<ul style="list-style-type: none"> <li>Who will be responsible for specification development, tendering, project management and quality assurance?</li> <li>When does any primary data collection need to take place?</li> <li>Is a piloting or cognitive testing of research instruments required?</li> <li>When will the evaluation start and end?</li> </ul>
8. <b>Using and disseminating the evaluation findings</b>	<ul style="list-style-type: none"> <li>What will the findings be used for, and what decisions will they feed into?</li> <li>How will the findings be shared and disseminated?</li> <li>How will findings feed back into the ROAMEF cycle?</li> </ul>

Source: *The Magenta Book*

### 2.1 Define the programme objectives and intended outcomes

The decision to evaluate is an opportunity to define limits in terms of institutional, temporal, sectoral, and geographical dimensions of the evaluation. Defining the scope of an evaluation amounts to asking the question: *What is going to be evaluated?* Experience shows that during the evaluation process stakeholders wish to examine almost everything. However, in order to reach conclusions, the evaluation should be confined to an examination of DFID funding and the grantees performance against the assessment criteria.

The TOR (appendix 8.1) clearly define what should be covered in the Independent Progress Reviews of DFID and PPA funding.

### 2.2 Define the audience for the evaluation

The evaluation findings might be used in various ways (see the box below). As long as the IPR meets the requirements set out in the TOR (appendix 8.1) organisations should also consider:

- who the target end-users of the evidence are (e.g. managers, implementers, local authorities, the general public or local community groups);
- how and when the results might be used (particularly for the on-going delivery);
- what will help the end users to make most effective use of the evaluation findings (data requirements, presentation, dissemination, etc.);
- how robust the evaluation results need to be, and what level of scrutiny they will be subject to.

#### Evaluation findings can be used to:

- support the implementation of policy;
- inform future decision-making;
- support funding applications;
- improve the on-going delivery process;
- provide accountability to stakeholders, parliament and the public; and
- contribute to improved knowledge amongst those best able to take advantage of it.

Source: *The Magenta Book*

## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

There are usually many actors potentially interested in the evaluation. This situation provides opportunities to improve the design, to support the implementation, and to better inform evaluation. Furthermore, engaging a wide range of stakeholders from the start ensures they are bought into the evaluation process and are more likely to act on recommendations or define their own action priorities on the basis of findings.

Some practical benefits for including relevant stakeholders in the evaluation process are outlined in the box below.

### **Why involve key stakeholders:**

- to understand the programme better
- to ask better evaluation questions
- to take into consideration various points of view
- to obtain good quality information (incl. understanding of indirect effects, unintended consequences, the causality chains, etc.)
- to provide a better basis for judging the results

---

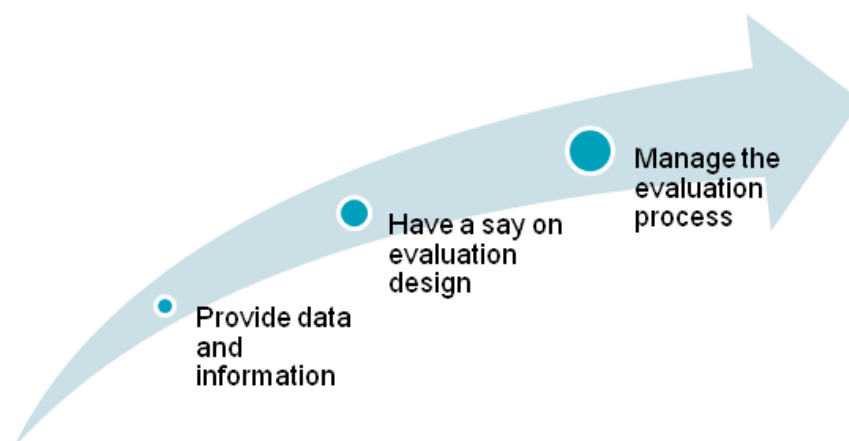
*Source: EVALSED Guide, European Commission*

## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

After the scope of the evaluation has been determined, one needs to ask: *Who are the individuals, groups, or organisations interested in the intervention to be evaluated, in the process or in the results of the evaluation itself?* Among those who are involved should be actors potentially and actually affected by the intervention and/or the evaluation process. Ideally the evaluation stakeholders should be identified prior to defining the details of the evaluation.

Figure 4 illustrates how the involvement of the stakeholders can vary: it can be limited to simply providing data, documents, and information through a consultative process (interviews, surveys, etc.) but the stakeholders can also play a more significant role in defining priorities and evaluation questions.

Figure 3 – Various levels of stakeholders' involvement



In practice the involvement of stakeholders in evaluation falls somewhat in the middle. While the participation of stakeholders in the Steering Committee is usually limited to key partners, other actors are engaged in a more informal way (e.g. through the dissemination of reports, consultation process, ad hoc meetings, etc.)

### 2.3 Identify the evaluation objectives and research questions

The TOR in appendix 8.1 set out the objectives and some draft research questions for the evaluation. This is guidance only, and organisations should refine the objectives and questions in consultation with key stakeholders and experts commissioned to undertake the work.

In drafting evaluation questions it is important to prioritise issues, taking into consideration how and by whom the information will be used, as well as what is feasible to achieve given the resources and data available.

Very broadly, there are two types of evaluation questions: one asks about results (what difference did the programme make?), the other – how these were achieved (how was the programme delivered?). Table 2 below provides a useful summary of key differences.

## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

Table 2 – Issues to consider when developing evaluation questions (sample)

What difference did the funding make?	How was the programme delivered?
<ul style="list-style-type: none"> <li>• <b>How will you know if the programme is a success?</b></li> </ul>	<ul style="list-style-type: none"> <li>• Is it important to understand why the programme does or does not achieve planned outcomes?</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Do you need to quantify impacts, as well as describe them?</b></li> </ul>	<ul style="list-style-type: none"> <li>• Which aspects of the delivery process are innovative?</li> </ul>
<ul style="list-style-type: none"> <li>• <b>What were the impacts for the target group?</b></li> </ul>	<ul style="list-style-type: none"> <li>• Is it important to learn about uptake, drop-out, attitudes etc.?</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Were there different impacts for different groups?</b></li> </ul>	<ul style="list-style-type: none"> <li>• What contextual factors might affect delivery?</li> </ul>

Source: *The Magenta Book*

An alternative typology of evaluation questions differentiates between:

- descriptive questions - intend to describe and measure changes;
- causal questions - aim to address attribution of the change;
- normative questions - call for judgements (e.g. are the results satisfactory?);
- predictive questions - try to foresee results of planned interventions; and
- critical questions - intend to support changes (e.g. what are the effective strategies to reduce social exclusion?)<sup>13</sup>.

It is important to note that evaluation questions cannot be too complex and addressed through monitoring, audit or other control systems. Once the evaluation questions have been identified, one has to consider if they can be answered, given the available data.

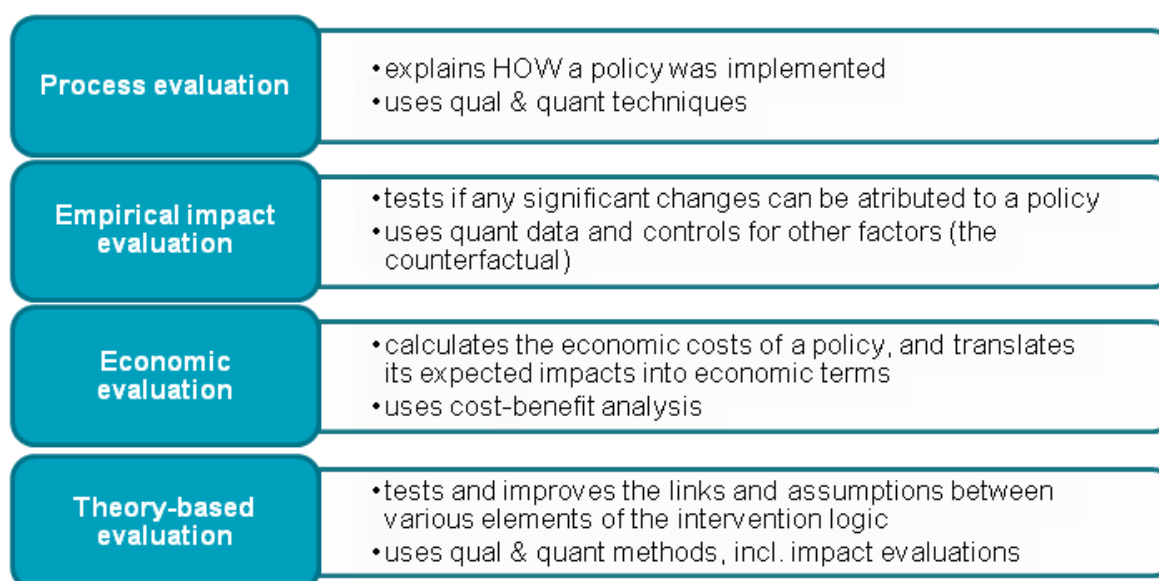
### 2.4 Select the evaluation approach

The approach is a conceptually distinct way of thinking about, designing, and conducting an evaluation study. While there is a great variety of evaluation approaches, and different typologies are used in the evaluation literature, Figure 5 below presents some examples often applied in the evaluation practice.

<sup>13</sup> See more: EVALSED Guide, European Commission (2012)

## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

Figure 3 – Examples of evaluation approach



Source: *The Magenta Book*

There are several factors that should be taken into consideration before the evaluation approach is determined, including:

- evaluation objectives and research questions;
- complexity of a logic model;
- availability and quality of existing evidence and data sources;
- evaluability of research questions and measurability of outcomes;
- time and resources available.

### 2.5 Identify the data requirements

As mentioned earlier, the evaluation questions will determine data requirements for the evaluation. The information could be obtained through primary and secondary data sources, as illustrated in Table 3.

## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

Table 3 – Examples of data sources

Primary information	Secondary information
<ul style="list-style-type: none"><li>• Interviews with stakeholders</li><li>• Survey of beneficiaries</li><li>• Focus group interviews</li><li>• Case studies</li></ul>	<ul style="list-style-type: none"><li>• Monitoring data</li><li>• Comparisons with similar activities</li><li>• Statistical data</li><li>• Previous evaluations – see more below</li></ul>

### Baseline

In order to evaluate at the end of the project what additional benefits the project has achieved, it is essential to know the position it started from. Establishing the baseline position requires information to be collected that defines the nature and extent of the problem that the project intends to address, but crucially provides quantitative and/or qualitative data against which performance can be compared with over time. For example, if a project intends to improve social infrastructure in a certain community, in order to assess and demonstrate the extent of improvements:

- photographs would enable a before and after qualitative comparison – without the photographs of the existing environment before the intervention of the project, it would be relatively difficult to capture the changes that occurred once the work was completed;
- data on a local hospital or school capacity before and after the intervention would enable a quantitative comparison and help to translate the results into economic terms.

Establishing baseline positions potentially involves specific monitoring and evaluation activities being undertaken throughout the lifetime of the project that can have significant resource implications and therefore contract implications. Therefore, it is important at the design stage to be clear what information is needed, how it needs to be collected, who should do it and by when.

### Use of existing evaluations

In certain circumstances (namely for the PPA rounds signed between April and September 2011), previous evaluations can be used to provide evidence for the IPR providing that the following criteria are met:

- 1) the evaluations cover the time period after the PPA contract was signed;
- 2) they are directly relevant to the process or results indicated in the logframe for this PPA round; and
- 3) they fulfil the requirements of proportionality and additionality with regard to the reporting obligations.



## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

### Provisions for the use of existing evaluations

- apply to grantees from PPA rounds signed between April and September 2011;
- evaluations must cover the period after the signature of the PPA contract;
- evaluations must be directly relevant to the results/processes set in the logframe;
- they comply with PPA reporting obligations, including proportionality and additionality.

## 2.6 Identify the resources and governance arrangements (commissioning evaluation)

### Resources

An evaluation should be proportionate to the scale, risk and profile of the intervention. As mentioned earlier, it is recommended that organisations use 3-5% of their grants to commission external evaluations. This involves ensuring a budget to commission an evaluation and a dedicated member of staff, who will supervise and manage the evaluation process.

The most appropriate basis for determining the budget is the nature and scope of the work required. Good evaluation requires inputs from good evaluators and the commitment of those commissioning the work and stakeholders alike. The budget for an evaluation can vary from below 1% (for simple and standard interventions) up to 10% (in the case of highly innovative programmes) of the total funding<sup>14</sup>. These estimates need to be carefully considered, taking into account factors briefly presented in Table 4.

**Table 4 – Factors affecting appropriate resourcing of an evaluation**

Factor	Explanation
<b>Innovation and risk</b>	<ul style="list-style-type: none"> <li>• High risk policies are likely to require robust evidence to understand both how they are working in practice and whether they are having the predicted impacts. In those cases where the innovative initiatives might offer “low cost solutions” evaluation resources might be “disproportionately” high but are still needed to demonstrate the scale of the returns on the policy investment</li> </ul>
<b>Scale, value and profile</b>	<ul style="list-style-type: none"> <li>• Large scale, high-profile, or innovative policies or policies that are expected to have a high impact are likely to require thorough, robust evaluation to help build the evidence base on what works, meet accountability requirements, assess returns on investment and demonstrate that public money is well spent</li> </ul>
<b>Pilots</b>	<ul style="list-style-type: none"> <li>• Pilot or demonstration projects, or policies where there is a prospect of repetition or wider roll out, require evaluation to inform future activities</li> </ul>
<b>Generalizability</b>	<ul style="list-style-type: none"> <li>• If it is likely that the findings will have a much wider relevance than the policy being evaluated, more resource may need to be allocated to ensure that the results can be generalised with confidence</li> </ul>
<b>Influence</b>	<ul style="list-style-type: none"> <li>• If the evaluation is capable of providing information which can have a large influence on future policy (for example, it can</li> </ul>

<sup>14</sup> EVALSED Guide, European Commission (2012)

## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

	report at a strategic time point and/or meet a key evidence gap) more resource is likely to be justified
<b>Variability of impact</b>	<ul style="list-style-type: none"><li>• The effects of policies with highly uncertain outcomes or with significant behavioural effects are likely to be more difficult to isolate, and there is likely to be a greater case for conducting a more extensive evaluation</li></ul>
<b>Evidence base</b>	<ul style="list-style-type: none"><li>• Where the existing evidence base is poor or under-researched an evaluation is likely to require more resource in order to fill the gaps</li></ul>

Source: *The Magenta Book*

### Governance

An evaluation is guided by a steering group or a committee. A steering committee provides a platform to:

- assure the quality of the research design and delivery;
- support evaluators by offering access to relevant information and contacts;
- discuss evaluation findings, and
- ensure the findings are fed back to the relevant audience, taken seriously and used.

Steering committees may include the evaluation manager, decision makers and main stakeholders of an evaluated intervention (i.e. any person who is potentially a user of its recommendations, any person who has an interest in the information produced, and any person who is likely to win or lose in the course of the intervention). Stakeholders invited to join an evaluation steering committee improve the relevance of the questions asked and their presence makes the evaluation more credible. On the other hand, there is a risk that they might interfere in the evaluation and seek to influence conclusions rather than ensure its accurate use of information, an understanding of a particular context and that the evaluation team is true to its terms of reference.

### Commissioning an evaluation

Once the previous steps are accomplished, a project specification for an evaluation should be developed in the form of Invitation to Tender documents (ITT). These will incorporate the Terms of Reference in appendix 8.1 and specific information tailored to the intervention to be evaluated, including:

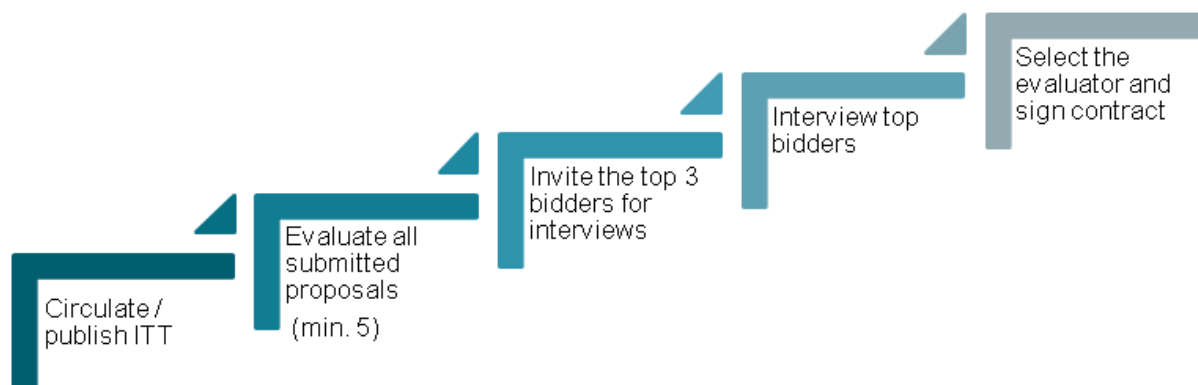
- the background, rationale and objectives of the programme to be evaluated, its target recipients, delivery method and intended outcomes;
- the extent of the existing evidence base related to the programme;
- the evaluation objectives and research questions;
- the audience and intended use of the evaluation (including DFID, Coffey, and the grantee);
- the available information, such as monitoring data collection processes already set up;
- the possible evaluation approach, research design and methods;

## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

- the required capabilities, skills and experience of the proposed evaluation and team;
- the required evaluation outputs and the milestones to be met;
- the indicative budget and timetable<sup>15</sup>; and
- technical information, including award criteria.

Figure 6 below illustrates the key steps of the tendering process, once the ITT has been developed.

**Figure 4 – Milestones in commissioning an external evaluation**



ITT documents are sent to potential contractors and/or published, providing clear instructions on how to submit tenders, deadlines for receipt, draft contractual terms and conditions, and any associated pricing and technical schedules etc. The commissioner of an evaluation should request information about the contractor’s intention to submit an offer, and strive to receive at least 5 proposals to ensure the competition.

Each tender should be individually assessed and the assessments compared, together with the prices tendered, to identify the tender which offers the “economically most advantageous tender” against the pre-determined **award criteria** clearly defined in the ITT. Table 5 below outlines the criteria most frequently used in commissioning the evaluation services.

**Table 5 – An example of award criteria and their weighting**

Criteria	Weighting:
<b>Quality of tender including several sub-criteria such as:</b>	<b>70-80%</b>
• <b>method statement – description of activities to deliver requested services;</b>	30-40%
• <b>project team’s and organisation’s experience and relevant expertise;</b>	15%
• <b>project and resource plan;</b>	15%
• <b>quality assurance and risk;</b>	10%
<b>Price</b>	<b>20-30%</b>
<b>Total</b>	<b>100%</b>

<sup>15</sup> Please see HMT Magenta Book in the library of documents

## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

It should be noted that the character of an intervention or project to be evaluated is important to determine the price/quality ratio indicated above: the more innovative or complex the intervention, the higher emphasis should be placed on the quality of the evaluation.

The **evaluation panel** should comprise of the grantee staff with sufficient technical ability to evaluate detailed tenders. It is important that the evaluation panel should be above criticism and therefore no member of the panel should be associated in any way with any of the suppliers. The panel will:

- evaluate the tenders;
- make the recommendation for award; and
- ensure DFID procurement policy is adhered to.

The selection procedure consists of two stages: in the first phase bidders are assessed according to criteria quoted above. Each tender has to be evaluated individually by all members of the evaluation panel by filling in a scoring template. Only the top scoring tender submissions are invited to an interview and separate evaluation criteria are developed and circulated among the top bidders for this stage. The assessment process is carried out by the evaluation panel and documented, using the assessment template. Please refer to annex 8.2.1 for an example of assessment scores.

All bidders should be debriefed on the results of the tendering process in order to help them to improve their competitive performance. Also, unsuccessful tenderers have a right to know the reasons for their rejection. Please refer to Annexes 8.2.2 and 8.2.3 for the relevant letter templates. With the signature of the contract, the evaluation can start.

### 2.7 Conducting the evaluation

It is important to note that with the selection of an external evaluator the management of the evaluation process continues. There are a number of reasons why the management of an evaluation requires continuous and meaningful interaction between all the involved partners (including the evaluation team itself). Those include:

- to test and refine the evaluation methodology, including data collection tools;
- to specify the methods and work plan in a more detailed way than was possible at the proposal stage;
- to keep the evaluation team up-to-date with regard to any policy changes;
- to notify any unforeseen circumstances or problems faced during the evaluation;
- to ensure the quality of the evaluation.

One simple mechanism to ensure the frequency of Steering Committee meetings is to specify them at the ToR stage. A minimum of two meetings are usual at inception and to approve a draft final report.

## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

### Appendix 8.2.1 – An example of assessment scores

Please note you should only type in cells highlighted in yellow. Type shown in italics is for illustration purposes only. Actual criteria, weightings and data will vary from project to project. If you have any problems with this template, or any comments or suggestions please contact SPD.

Procurement title:		<i>Project X</i>		Members of Tender Board:		<i>Board member 1, Board member 2, Board member 3</i>						
Project technical & quality weighting (%):		80		Overall Quality Threshold (optional):		60						
Project price weighting (%):		20										
<b>QUALITY SCORES</b>												
Example Technical & Quality Criteria		Individual Quality Threshold (optional)	Criteria Weight (must total 100)	<i>Tenderer 1</i>			<i>Tenderer 2</i>			<i>Tenderer 3</i>		
				Quality Threshold reached?	Score (out of 5)	Weighted Score	Quality Threshold reached?	Score (out of 5)	Weighted Score	Quality Threshold reached?	Score (out of 5)	Weighted Score
<i>Method statement</i>		0	45	Yes	4.8	43.2	Yes	1.1	9.9	Yes	3.2	28.8
<i>Project team</i>		0	20	Yes	3.7	14.8	Yes	3.3	13.2	Yes	4.5	18.0
<i>Resource plan</i>		0	20	Yes	3.0	12.0	Yes	4.0	16.0	Yes	3.0	12.0
<i>QA</i>		0	15	Yes	4.0	12.0	Yes	3.6	10.8	Yes	4.0	12.0
<b>Quality Totals (MUST EQUAL 100)</b>			<b>100</b>			<b>82.0</b>			<b>49.9</b>			<b>70.8</b>
Is overall quality threshold reached?						Yes			No			Yes
<b>PRICE SCORES</b>												
Tender price (whole life costs)				Tenderer 1 price =		£30,000.00	Tenderer 2 price =		£70,000.00	Tenderer 3 price =		£80,000.00
Price score (mean price =)		£60,000.00 = 50 points		Tenderer 1 price score =		100.0	Tenderer 2 price score =		33.3	Tenderer 3 price score =		16.7
Project quality weighting x quality score				80% x 82.0 =		65.6	80% x 49.9 =		39.9	80% x 70.8 =		56.6
Project price weighting x price score				20% x 100.0 =		20.0	20% x 33.3 =		6.7	20% x 16.7 =		3.3
<b>Overall score</b>						<b>85.6</b>			<b>46.6</b>			<b>60.0</b>
Order of tenders (ranking)						<b>1</b>			<b>3</b>			<b>2</b>
Comments						This tender is below the overall quality threshold						
Signed by members of the Tender Board (for file copy )				_____				Date _____				
_____				_____				_____				
_____				_____				_____				

## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

Example Technical & Quality Criteria	Section Weighting %	Question Weighting	Example Scoring Rationale			Tenderer 1		
			No answer/Poor answer that does not meet minimum requirements	Adequate/Acceptable 2-3	Better than average/Exceptional	Score (out of 5)	Weighted Score	Section Score
<b>Method statement</b>	45		<b>0-1</b>	<b>2-3</b>	<b>4-5</b>			<b>4.8</b>
Q1 Tenderers must describe what reports are available...		80%	No answer/non-relevant response <b>0</b> ; Reporting capabilities poor, does not meet minimum requirements <b>1</b>	Barely adequate reporting capabilities that just meet minimum requirements <b>2</b> ; Acceptable reporting capabilities that fully meet but do not exceed minimum requirement <b>3</b> ;	Good reporting capabilities that demonstrably go beyond the minimum requirements <b>4</b> ; Exceptional reporting capabilities that demonstrably far exceed the minimum requirements <b>5</b>	5	4	
Q2 What categories of data can be appended...		10%	No answer/non relevant response <b>0</b> ; Less than minimum expected categorisation <b>1</b>	Barely adequate levels of categorisation that just meet minimum requirements <b>2</b> ; Acceptable response detailing how the system fully meets minimum categorisation requirements <b>3</b>	Good response detailing clearly how the tool will deliver categorisation above and beyond the minimum requirements <b>4</b> ; Excellent response which demonstrates the tools ability to deliver useful categorisation far in excess of minimum requirements <b>5</b>	4	0.4	
Q3 What functionality...		10%				4	0.4	
<b>Project team</b>	20							<b>3.7</b>
Q4 Describe how the system...		70%				4	2.8	
Q5 What processes...		20%				3	0.6	
Q6		10%				3	0.3	
<b>Resource plan</b>	20							<b>3.0</b>
Q7		50%				3	1.5	
Q8		50%				3	1.5	
<b>QA</b>	15							<b>4.0</b>
Q9		60%				4	2.4	
Q10		20%				3	0.6	
Q11		20%				5	1	

Source: Coffey adapted based on Scottish Public Procurement Toolkit

## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

### Appendix 8.2.2 – Letter template to unsuccessful bidders

Dear X,

Thank you for your tender dated (\*\*date of tender\*\*) for (\*\*title of contract\*\*). We have now completed our evaluation of all the tenders received for this contract and, on behalf of the (\*\*contracting authority\*\*), I must inform you that on this occasion your tender has not been successful. The table below shows the individual scores given against the published criteria in respect of your submission and those of the winning tenderer (\*\*name of winning tenderer\*\*).

AWARD CRITERIA	YOUR SCORE	WINNING TENDERER'S SCORE
<b>OVERALL SCORE</b>		

You may request additional debrief information be made available to you within (\*\*x\*\*) days of this letter, provided such request is received by (\*\*contracting authority\*\*) no later than 2 working days after the date of this letter. Should your request be made after this time, additional debrief information will still be available to you within 15 days of receipt of a written request.

Source: *Scottish Public Procurement Toolkit*

## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

### Appendix 8.2.3 – Letter template to a successful contractor

Dear X,

I refer to your tender submission dated (\*\*date\*\*) in respect of (\*\*title of contract\*\*). We have now completed our evaluation of all tenders received for this contract in accordance with our previously published evaluation criteria, and your tender has been found to be the most economically advantageous tender. The table below shows the individual scores given against the published criteria in respect of your submission.

AWARD CRITERIA	WEIGHTING	YOUR SCORE
<b>OVERALL SCORE</b>		

After the contract evaluation process is complete we are required to provide information regarding the outcome of the evaluation process to all companies that registered an interest in bidding for the contract. We are also required, at this stage, to observe what is known as the ‘standstill period’ – during which we must refrain from entering into contract with you. For the purposes of this contract, the standstill period shall run for a period of (\*\*x\*\*) days commencing the day after the date that this letter is despatched to you by email. (*Draft Note: Rewording will be required if letter is sent other than by email. Also, purchaser must ensure that standstill period is a minimum of 10 calendar days*).

As soon as possible after the expiry of the standstill period, unless at some point before that date:

- interim proceedings are commenced to prevent (\*\*the contracting authority\*\*) awarding the contract, or
- there is judicial interruption in the form of an order by a court of competent jurisdiction that (\*\*contracting authority's\*\*) decision as regards the award of contract should be set aside, or its implementation suspended pending a full hearing of the matter by a court of competent jurisdiction,



## APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

- it is intended that a letter accepting your offer will be issued to you in respect of the above contract. (*Draft Note: May have to be reworded if award is not through 'offer and acceptance' route*).

You will be notified in writing upon the commencement of any court action or proceedings preventing, or which may prevent or delay, the contract award or of any other circumstances which may prevent or delay contract award. (\*\*Contracting authority\*\*) will have no liability to you in the event of delay or non-award.

This letter is not and is not intended to be contractual and no action should be taken by your company at this time in respect of this contract. (\*\*Contracting authority\*\*) accepts no responsibility or liability for any actions which you may take based on the information detailed in this letter. Any such actions and their financial consequences will be entirely at your own risk.

I would be grateful for your written acknowledgement that you have received, and understood the contents of, this letter.

*Source: Scottish Public Procurement Toolkit*

*Annex 9 presents information on how to estimate “lives changed” for both PPA and GPAF grantees in a case study format, along with clarification of how these case studies will be used to inform the Evaluation Manager’s evidence base on the strengths and limitations of civil society interventions.*

### 1 INTRODUCTION

The theories of change around why and how DFID should fund civil society are based on a number of hypotheses and assumptions around the interaction between civil society organisations and beneficiary groups. DFID relies on these assumptions for funding and programming decisions, and as such, they need to be tested as part of the evaluation.

The PPA and GPAF portfolios will eventually include up to 200 grantees with a wide range of profiles<sup>1</sup>, employing various delivery modalities to change lives across the globe. Analysing data and reporting across the portfolio will enable the Evaluation Manager to respond to the following key evaluation questions<sup>2</sup>:

- *How many people are being reached through the GPAF and PPA and how are their lives changed?*
- *What are the necessary pre-requisites for interventions to be effective (i.e. external environment, DFID involvement, supporting interventions, strength of partnerships and/or coalitions)?*
- *What might be effective combinations of interventions to achieve results in different areas?*
- *To what extent are civil society organisations and their partners unique in their local knowledge, legitimacy with and trust from the communities they work with (especially the poorest and most marginalized) and their ability to deliver in areas where Government or donors cannot?*
- *How are CSOs encouraging citizens to do things for themselves?*
- *The “sustainability hypothesis”: Direct service delivery is localised and unsustainable, whereas civil society holding government to account leads to broader and more sustainable results*
- *What is the distinctive value of different types of organisations in delivering the critical success criteria outlined in the Business Case Theory of Change?*

The Changing Lives Case Study will capture information which will help answer these questions, but asking all grantees to report on best, typical and worst case scenarios and to provide qualitative evidence around how and why their interventions were or were not successful in changing lives.

The Changing Lives case studies **will not** be used to judge grantee performance, but to better understand strengths and limitations of civil society interventions more generally.

### 2 CASE STUDY FORMAT

The format is designed to capture, in narrative form, not just the best examples, which are often the only output of “case studies”, but rather a sense of the range of changes in people’s lives resulting from the intervention. Few interventions are 100% successful and capturing the range of outcomes is important. The format divides the intervention group into three: “best case”, “typical case” and “worst case”, and asks for short narrative examples of each. These should be provided for the relevant outcomes in each organisation’s LogFrame

“Worst case” should not be thought of as “failure”. There is always a subset of a population who do not or cannot respond to the intervention. Understanding the reasons why outcomes are poorer for this group often leads to important learning about barriers to uptake which can lead to improvements in the design of the intervention or to new interventions.

---

<sup>1</sup> Including faith based organisations, niche-organisations, multi-sectoral organisations etc

<sup>2</sup> The full set of Evaluation Questions are listed in Section 3 of the main report

### 3 REPORTING GUIDELINES

PPA and GPAF grantees will be required to submit a Changing Lives case study as part of the annual review process in April each year. GPAF grantees will only be required to submit a case study from their second year of implementation onwards.

**The case studies will not be used to judge grantee performance**, and so grantees are encouraged to be frank and open in their reporting, recognising the limitations of interventions and their capacity to sustainably change the lives of the poor and marginalised.

It is recognised that impacts, particularly in areas such as policy change, take a long time to be realised. Where possible, grantees should report on changes in lives that are as a result of DFID funding – particularly in the latter reporting phases of GPAF funding. However, it is also acceptable for grantees to report on impacts realised during the funding period that are the result of previous interventions managed by the grantees – ideally interventions similar to those included in grantees logframes.

## Appendix 9.1: Changing Lives Case Study Template

### 1 INTRODUCTION

The Changing Lives case study provides a qualitative assessment of how organisations interact with beneficiary populations, and the factors that influence the success or failure of interventions.

PPA and GPAF grantees will be required to submit a Changing Lives case study as part of the annual review process in April each year. **It is important to note that the changing lives case studies will NOT be used to judge grantee performance.**

Depending on the scope and scale of grantees interventions the best, typical and worst case scenarios may choose to focus on individual beneficiaries in single interventions<sup>3</sup>, or beneficiary groups across a range of interventions.

### 2 REPORTING TEMPLATE

Grantees are required to follow the outline provided below for the Changing Lives Case study. Each question should be addressed in turn to ensure consistency in reporting.

#### Best case (approx 650 words)

*What was the situation before the intervention?*

*How has life tangibly and demonstrably changed as a result of the intervention?*

*How do we know this change has occurred?*

*What are the characteristics of this group that distinguish it from the others?*

*For GPAF grantees only: Would this case study be an effective or appropriate communication piece?*

*Why or why not?*

*Estimated percentage of the intervention population in this group – (0, 1-25%, 26-50%, 51-75%, 75-99%, 100%)*

Estimated number of people in the group (percentage in group x total population)

#### Typical case (approx 650 words)

What was the situation before the intervention?

How has life tangibly and demonstrably changed as a result of the intervention?

How do we know this change has occurred?

What are the characteristics of this group that distinguish it from the others?

What changes in intervention design might or have been made to increase these benefits?

Estimated percentage of the intervention population in this group – (0, 1-25%, 26-50%, 51-75%, 75-99%, 100%)

Estimated number of people in the group (percentage in group x total population)

#### Worst case (approx 650 words)

What was the situation before the intervention?

How has life tangibly and demonstrably changed as a result of the intervention?

How do we know this change has occurred?

What are the characteristics of this group that distinguish it from the others?

What is it about this group that creates barriers to accessing benefits?

What changes in intervention design might or have been made to increase these benefits?

Estimated percentage of the intervention population in this group – (0, 1-25%, 26-50%, 51-75%, 75-99%, 100%)

Estimated number of people in the group (percentage in group x total population)

<sup>3</sup> This is particularly relevant for GPAF grantees