



Cross Cutting Evaluation of DFID's Approach to Remote Management in Somalia and North-East Kenya

EVALUATION REPORT

January 2015

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Abbreviations

ADS	Alliance for Development Solutions
AIDAR	USAID Acquisition Regulation
ALNAP	Active Learning Network for Accountability and Performance
ASAL	Arid and Semi-Arid Lands
ASI	Adam Smith International
BRCiS	Building Resilient Communities in Somalia
DDG	Danish Deming Group
DFID	Department of International Development
HATI	Horn of Africa Institute
IBTCI	International Business & Technical Consultants
IOM	International Organisation for Migration
INGO	International Non-Governmental Organisation
IP(s)	Implementing Partner(s)
ISP(s)	Implementing Sub-Partner(s)
IRC	International Rescue Committee
JCC	Jubbalandese Charity Center
LNGO	Local Non-Governmental Organisation
JPLG	Joint Programme for Law and Governance
MEPS	Monitoring & Evaluation Project for Somalia
MoH	Ministry of Health
LNGOs	Local Non-Governmental Organisations
NCCI	NGO Coordination Committee
NE	North East
NGO	Non-Governmental Organisation
NRC	Norwegian Refugee Council
NSO	Nutrition Support Officer
OCHA	Office for Coordination of Humanitarian Affairs

OECD-DAC	Organisation for Economic Development and Cooperation- Development Assistance Committee
OECD	Organisation for Economic Cooperation and Development
POC	Point of Contact
RMU	Risk Management Unit
RPM	Remote Programme Management
SEED	Sustainable Employment and Economic Development Programme
SMS	Short Message Service
SMP	Somalia Monitoring Programme
SCZ	South Central Zone
SORADI	Social Research and Development Institute
SSF	Somalia Stability Fund
TPM	Third Party Monitoring
UK	United Kingdom
UN	United Nations
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNOPS	United Nations Office for Project Services
UNON	United Nations Office in Nairobi
USAID	United States Agency for International Development
US	United States
VfM	Value for Money
WFP	World Food Programme

Definitions: Programme Modalities

Agencies working in insecure environments may adopt several different modalities to continue operations, including remote programming which is the topic of this report. This glossary of terms defines the various programming responses donors and implementing partners can choose in response to high-risk contexts.

Acceptance Measures: A strategy in which the organisation accepts the risks posed by delivering programmes in a particular context. The acceptance measures can be passive (i.e. making clear distinctions of neutrality and distancing the organisation from military or political groups) or active (i.e. negotiating access to programming areas or obtaining guarantees of security).

Change of Activities: Agencies may choose to adjust the programme sector or the types of activities they conduct. They can do this while maintaining a presence in the area or after relocation in order to respond to specific risks associated with the types of activities they were originally undertaking.

Decentralised Programming: When an organisation that is located elsewhere engages in programming where the main purpose is the capacity building and support of another, often local, organisation. This type of programming is not necessarily chosen in response to particular situational dynamics, such as insecurity, but often as an intended purpose of the programme itself.

Mitigation Activities: Organisations can opt to continue operations, but adopt a series of strategies in response to specific threats. These activities would vary by risk and the degree of risk acceptance by the organisation. Examples of mitigation activities would be low profile travel, security measures for staff housing, armored vehicles, security details, and travel restrictions, to name a few.

Relocation of Activities: A common strategy used by aid agencies facing increasing insecurity and lack of access is relocating programme activities to accessible areas, while maintaining the same operational policies and procedures. Typically the decision to relocate is made when the donor or implementing partners determines that the risks involved in shifting to remote programming outweigh the benefits of trying to stay (OCHA, 2011).

Remote Programming: Remote programming (or remote programme management) is a response to insecurity and risk that involves a relocation of staff members and a shift in operational modalities. The change in the location of staff and their ability to access programme implementation sites and communities is accompanied to varying degrees by a transfer of responsibility and control over programme implementation and decision-making to other stakeholders. Sometimes this involves the formation of new partnerships and an increased investment in capacity building, support, and training for these partners. Remote programming can be a preferred way of working in environments where agencies perceive there to be an unacceptable level of risk because it allows for the continued delivery of assistance while managing contextual, institutional, and programme risks. It is important to note that remote programming is a risk-mitigation tool itself, but it can also incorporate the above-mentioned strategies.

Third Party Monitoring: Although not a programming response, third party monitoring is often employed by donors as an oversight mechanism for remotely managed programmes and is a significant focus of this report. It is undertaken by parties external to the programme's management structure and aims to provide an independent and external perspective on project implementation and management.¹ It can be adapted to fit

¹ Definition adapted from Van Wicklen et al. (2013).

requirements, verifying programme inputs and outputs or evaluating broader outcome and impacts. Third party monitoring can also provide information on various phases of the project cycle, impact, sustainability and governance. Third party monitoring encompasses a variety of tools and activities. (Please see Table 9 for a summary of third party monitoring tools.) It is undertaken by a number of different types of organisations, including civil society organisations (CSOs), think tanks, academic institutions, media, or private firms. Often, third party monitoring involves project beneficiaries, but differs from participatory approaches such as community-based or social accountability monitoring.

Executive Summary

Over the past two decades, donors, aid agencies, and their implementing partners (IPs) have engaged more frequently in fragile and conflict-affected environments, where the state is routinely incapable of assuring basic security or providing basic services. Staff working in these environments face high levels of insecurity and the organisations which employ them face high levels of programmatic, financial, and institutional risk. Organisations have increasingly adopted a range of remote management practices to mitigate these risks while continuing to deliver humanitarian and development assistance. As a result, remote management has become standard practice to offset the risks of deploying full-time personnel in the midst of insecurity.

Nowhere is this process more evident than in Somalia and some parts of Eastern and North-East (NE) Kenya, two countries that have suffered from decades of complex emergencies involving natural disasters and violent conflict. DFID is highly invested in both areas and for the period 2011-2015 committed to deliver programmes worth £510 million in Kenya² and £250 million in Somalia. This evaluation focuses on DFID Kenya's Humanitarian Pillar and the DFID Somalia portfolio which deliver programmes through a combination of remote modalities.

From June to September 2014, a joint evaluation team from Integrity Research & Consultancy ('Integrity') and Axiom Monitoring and Evaluation ('Axiom') conducted an independent process evaluation of the remote programme management (RPM) practices adopted by DFID and its implementing partners in Kenya and Somalia. The team mapped existing practice and gathered evidence to inform recommendations on appropriate remote management approaches and tools for its programming in these locations. In addition, the findings presented in this report are intended to feed into a wider discussion about remote management in other challenging contexts where DFID operates.

This evaluation's key findings include:

1. Remote programme management is not exclusively a provisional response to a temporary security deterioration. It has become a normal programme management approach in the insecure environments addressed in this evaluation.
2. RPM includes a set of tools adopted by agencies and organisations in order to continue to operate in insecure environments; however it does not mitigate all risks: Access remains limited (due to physical and/or security limitations) and geographic coverage is constrained despite a generally high risk tolerance among IPs in Somalia.
3. Remote management can lead to a disconnect between programmes and their context. Analysis of the information provided by respondents suggests that RPM may inadvertently contribute to a lack of understanding of the broader operating environment. This highlights the need to strengthen community involvement, an issue that will be addressed in this report.
4. In Somalia, DFID utilises third party monitoring (TPM) as a remote management tool. TPM has the potential to be a useful remote management tool, however it has been in use for less than a year, and is not being utilised to its full potential yet. Two of four pillars within the DFID portfolio have trialled running their own TPM model and a third is about to implement a different approach. Efficient information management systems would enhance the value of the increased flows of information across the portfolio.

² Only a portion of the total Kenya portfolio is delivered in NE Kenya, the area on which part of this evaluation focused.

5. TPM is a sensitive subject, viewed with scepticism by many IPs. Some see it as potentially contributing to donor micro-management. Others are hesitant to embrace TPM constructively due to fears that its results could result in their funding being cut. Selected interviewees hesitated to discuss what they saw as increased donor control and raised concerns over a lack of clarity on fundamental parameters such as the purpose of these tools, and the way the data/information would be shared and used. The introduction of TPM to the DFID Kenya portfolio would require a sensitive introduction to TPMs utility and benefits.
6. Information management and dissemination practices are inconsistent across RPM approaches, both within DFID and with its IPs. This evaluation highlights the opportunity for DFID to dedicate specific resources to capture RPM best practice and lessons as they emerge in its Kenya/Somalia portfolio.
7. Currently, there is a gap in information sharing both within DFID and among its partners in NE Kenya and Somalia. There is room for DFID to support a more systematic information sharing between its IPs around RPM and TPM. It would contribute to greater transparency and effective programming in both geographies.

Based on our findings, the evaluation team presents the following recommendations to DFID to enhance the remote management approach of itself and its implementing partners:

- Make remote management and conflict-sensitivity training available to programme managers and advisors. Doing so would help them identify and strengthen best practice within their portfolios from initial design and throughout the programme cycle. To initiate this process, DFID can learn from existing remote management practices commonly adopted in the private sector, as they relate to planning, teaming, information management, communications, monitoring and feedback.
- Appoint an internal team to coordinate information on remote management and third party monitoring across the portfolios, including capture and disseminate best practices. We recommend the Results Team/Monitoring Programme as best placed to do this. This coordination structure would enable DFID advisors and programme staff to engage in collaborative learning on RPM across the Kenya and Somalia portfolios and contribute to enhanced overall efficiency and effectiveness.
- Advocate externally for more systematic engagement and coordination around RPM and TPM in NE Kenya and Somalia. Building on its involvement in the Somalia Donor Remote Management Working Group, as well as its body of practice in Kenya/Somalia, DFID is ideally placed to lead such coordination and learning process with relevant partners (NGOs, consortiums, companies) and donors. This effort could serve to i) avoid duplication of efforts as well as ii) build consensus around minimum M&E and accountability standards for RPM.
- Generate and disseminate clear guidance in the area of data protection to IPs and third party monitors to assuage concerns over data protection and usage.

Recommendations specific to DFID's Humanitarian Programme in North-East Kenya are:

- Introduce additional monitoring mechanisms for oversight of its portfolio in NE Kenya. DFID currently relies primarily on partner programme reports which are at times based on a single data set (e.g. the MoH health database) and does not seek out additional sources of verification. Communication with partners about the need and the value-added in additional monitoring will aid this process.

Recommendations for DFID in Somalia are:

- Define a theory of change which is based on a careful examination of whom DFID is accountable to (Constituency), what they are trying to achieve (Outcome) and how (Strategy).
- Ensure appropriate RPM and TPM approaches are predicated upon the following factors: Level of access, the type of programming, and IP capacity to successfully deliver the objectives of the programme, including their ability to access areas of implementation, relevant technical expertise, and resource capacity.
- The selection of TPM tools should be based on the level of access to a location and the security risks associated with conducting monitoring activities there.

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1. Introduction

Over the past two decades, aid and development agencies have more frequently undertaken interventions in countries that are experiencing violent conflict or pose other security risks to staff and beneficiaries (OECD, 2013; Kaldor, 1999). In order to mitigate these risks, agencies now often use remote management practices and tools. These vary in terms of degree, from situating decision-makers remotely, to locating staff at a distance from project activities.

In some cases, remote programme management is a provisional response to temporary security and logistical challenges that make direct implementation of programmes impossible. However, in some areas ongoing violent conflict and natural disasters have created complex emergencies that have continued over an extended period of time. In this type of response, remote management practices have become the new norm. Development and governance programmes are in many locations, including those that are the focus of this report, implemented alongside life-saving humanitarian and emergency assistance—all of them delivered through various modes of remote programming.

Despite development organisations' increasing reliance on remote management approaches for programme delivery, learning and dissemination on best practice for delivering international development and humanitarian assistance in fragile and conflict-affected states has not kept pace. To date, discussions on remote programming have focused mainly on the organisations that deliver aid assistance and specifically those that deliver humanitarian aid. The remote programming environment, however, has implications for strategies and programmes of donors such as DFID, and the communities where interventions take place.

Advances in transportation and communications technologies have increased the potential for innovative approaches to remote programming by enabling a greater flow of information. At the same time, these same drivers have also raised public expectations, contributing to increased calls for transparency and accountability of aid agencies, development organisations and donor governments. These bodies have consequently exhibited growing interest in understanding remote programming practices, challenges and successes (Stoddard et al, 2010). However, there are programmatic and institutional risks that result from remote management. The current challenge for donors and their implementing partners in fragile and conflict-affected contexts is understanding how to structure their programmes and monitoring practices in order to manage the risks where remote management has become the norm.

1.1. About this report

DFID commissioned a joint team from Integrity and Axiom to conduct an independent process evaluation of its remote management practices in Eastern and North-East (NE) Kenya³ and Somalia, where from 2011-2015 it is funding a programme portfolio with the value of £250 million⁴ and £510 million respectively. DFID's implementing partners deliver both humanitarian aid and development assistance across a broad range of sectors from food rations to technical assistance for government ministries.⁵ They are doing so through a variety of remote programming approaches in an effort to maintain engagement with beneficiaries while adapting to the security risks prevalent in the locations in which they work.

³ Note that only the Humanitarian pillar in the DFID Kenya office participated in this evaluation.

⁴ Only a portion of the total Kenya portfolio is delivered in NE Kenya, the area that was the focus of part of this evaluation.

⁵ For more information on DFID's work in Kenya and Somalia, please see its 2011-2015 Operational Plans for Kenya (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/67526/kenya-1.pdf) and Somalia (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/67506/somalia-1.pdf).

This report explores the types of remote management practices and tools available to organisations implementing aid and development programmes in Kenya and Somalia and identifies best practices in applying remote management approaches. It focuses particularly on how donors such as DFID can make use of third party monitoring as a remote management and risk management tool.

The evaluation mapped current practices employed by DFID and its implementing partners in NE Kenya and Somalia to understand challenges around relevance, effectiveness, coordination, coherence and coverage. The outputs of this evaluation will enable DFID to:

- Learn lessons about appropriate remote management practices for different types of programming
- Inform its future strategy and programming decisions in these two countries
- Share findings with other DFID offices and development agencies using remote practices in their delivery
- Contribute to the knowledge base on remote management and third party monitoring

Our evaluation was guided by several key questions stipulated in the Terms of Reference:⁶

Table 1: Evaluation questions

DFID Kenya	What remote management practices are used by DFID Kenya’s implementing partners? Including what are the lessons and what approaches are used?
	What should/can DFID Kenya be doing directly, and how can we get assurances of our implementing partners’ remote management practices.
DFID Somalia	What remote management practices and tools does DFID Somalia use to date? Including what are the lessons, what approaches are used and what locations are used?
	Should DFID Somalia be consistent in the use of remote management tools or is it important to vary the approach?
	Which remote management approaches and tools are most appropriate for which types of programmes?

The parameters and objectives of this evaluation differ from existing work on remote programming in the following ways:

Donor Concerns and Practice: The evaluation considers the implications of remote programming for a donor agency, including the approaches used for monitoring and oversight, as well as lessons learned. It also makes recommendations on strengthening monitoring processes to increase the ability of donors to understand and manage programmatic and institutional risk.

Third Party Monitoring: The evaluation looks at several different monitoring tools but has a specific focus on the use of third party monitoring.

Community Voices: The lessons presented in Section Four are heavily informed by the fieldwork conducted in communities in NE Kenya and Somalia. The data widens the discussion by shedding light on what remote programming means for the people that interventions seek to benefit.

Cross-Sector: The evaluation considers the issue of remote programming across a variety of sectors, including development and humanitarian programmes and the private sector.

⁶ The Terms of Reference are attached as Annex A of this report.

This report is divided into five sections. Section One is this introduction. Section Two grounds the report with a common understanding of remote programme management, discussing the conditions that make such approaches necessary and defining key terms. Section Three maps the remote management approaches and monitoring systems employed in DFID's portfolio in Somalia and its Humanitarian Pillar in NE Kenya. Section Four presents the main lessons learned. In Section Five, we respond to the strategic questions about appropriate remote management approaches in NE Kenya and Somalia and make recommendations. In this section we also present a toolkit that provides DFID with a variety of remote oversight practices to consider based on critical factors like levels of access, the capacity of implementing partners, and type of programming.

1.2. Methodology

The evaluation used a primarily qualitative methodology that included a desk review, semi-structured interviews, focus group discussions and observations.

1.2.1. Data Collection

Desk Review

The desk review included grey literature, academic articles, media, evaluations, case studies documents, short reflection pieces, and guidelines.⁷ We also reviewed DFID reports, annual reviews, emails and other documents about the portfolios and individual programmes provided by DFID and its implementing partners.⁸ Finally, we conducted a review of open-source literature related to general remote programme management practices across the private business sector with the purpose of identifying common themes of best practice utilised by a broad range of companies that frequently engage in RPM.⁹

Key Informant Interviews

Based on a purposive sample, our team conducted semi-structured interviews¹⁰ with 144 people,¹¹ including:

- Twenty-eight DFID staff from the Kenya and Somalia offices, as well as Nigeria, Yemen, and the Democratic Republic of Congo (DRC).
- Twenty-nine staff from implementing partners in Kenya (Nairobi and NE), Somalia and Somaliland.
- Thirteen Third Party Monitoring (TPM) staff in Kenya (Nairobi) and Somalia.
- Seven stakeholders with an interest or expertise in remote management including staff from other Embassies.
- Three staff from NGOs implementing non-DFID funded programmes in NE Kenya, Somalia and Somaliland.
- Sixty-four community members in twenty programme locations, including twenty-one community elders, fifteen government officials, twenty-two traders, and six community members.

⁷ For a reading list of the documents included in the desk review, please see Annex B.

⁸ We did not review programme documents after August 2014, thus programme information obtained in that review and presented in this report may have changed since the document review period. This report presents information that was made available to us during the evaluation period.

⁹ The findings of this desk review are synthesised in working paper entitled, "*No Longer a Last Resort: A Review of the Remote Programming Landscape.*"

¹⁰ The various interview guides employed during this evaluation are attached as Annex H-M.

¹¹ A list of individuals interviewed during this evaluation is included as Annex C.

The interviews, which we conducted either in-person or by phone or Skype, were guided by data collection tools tailored to the specific category of respondent. The interviewer took either handwritten or electronic notes during the interview. These notes were then reviewed and cleaned prior to analysis. The field officers who conducted interviews in Somalia were trained on the interview tools. The interviews conducted by the lead evaluator were conducted in English, while the interviews conducted by the field officers in Somalia were conducted in Somali and the notes translated into English.

Focus Group Discussions

Our field teams also conducted thirty-three focus group discussions (FGDs)¹² with 216 programme beneficiaries in twenty programme locations,¹³ which were selected from the following criteria to cover a range of criteria relevant to DFID programming:

- The profile of local authorities in the project location (in South Central Somalia);
- The type of programming (humanitarian, stabilisation, development);
- The profile of DFID's implementing partners (NGOs, UN, private sector);
- The type of remote management practice; and
- The profile of DFID's third party monitors (in South Central Somalia and Somaliland).

Given the large and geographically wide sample of implementing partners, we deployed a team of field officers who had access the locations included in the evaluation. All field officers were trained on how to identify the appropriate sample of participants, conduct the discussion and report the information collected. The FGDs were organized with groups of at least five respondents. We relied on support from the implementing partners to mobilize and identify some beneficiaries when needed. Separate FGDs with non-beneficiaries were organized based on the field officers' local networks. Focus group discussions were conducted in Somali by one field officer. The field officer recorded notes in Somali and wrote a report in English following the discussion.

Observations

The data collection teams augmented information from the interviews and FGDs with guided observations.¹⁴ We also observed two verification visits¹⁵ conducted by one of the third party monitoring organisations in Mogadishu.¹⁶

1.2.2. Data Analysis

The information collected provides a snapshot of management practices across twenty individual programmes. The sample design was not intended to allow statistical analysis. Rather, the twenty locations offer qualitative information to illustrate the dynamics of remote management processes in programme implementation.

To analyse data arising from the desk review and field research, we used an analytical framework based on OECD's DAC Criteria for Evaluating Development Assistance. The criteria were: relevance, effectiveness, coverage, coherence and coordination. In addition, for each of the twenty locations in the field research, we mapped the remote management process using

¹² The FGD guide is attached as Annex N.

¹³ A map of the programme implementation sites our team visited during this evaluation is included as Annex D.

¹⁴ The guided observation tool is attached as Annex O.

¹⁵ The verification visit observation guide is attached as Annex P.

¹⁶ We were originally meant to observe verification visits for all of DFID's 3PM organisations in order to do a comparative assessment of the different approaches they employ, but scheduling conflicts with the verification visits only permitted us to observe one organisation.

information from the interviews and focus group discussions. This process enabled us to identify key themes and lessons from each location, which are presented in Section Four.

The field material was collated by location, then analysed in this order:

- Programme documents;
- Notes from the interviews with community members; and then
- Notes from the community-level focus group discussions.

The data analyst adopted a modelling analysis approach aimed at identifying generalized trends and patterns. The analyst would read through each document twice, first noting anything unusual before reading through once more, carefully thinking about how it related to the overall picture being drawn of how remotely managed projects and (where relevant) third party monitoring practices worked in that programme and location.

In the analysis of the interview and focus group discussion notes, we identified themes and trends based on frequency of recurrence. Themes that were mentioned more often were given greater weight than those mentioned by only one individual. Following individual analysis of the interviews and field data by the evaluators and data analyst, the team conducted a group data analysis workshop structured around the analytical framework and responding to the evaluation questions and identifying supporting evidence.

1.2.3. Limitations of the methodology

There were several limitations to the methodology and data collection which must be considered for the potential impact that they may have on the depth and type of information gathered by the team.

- Remote program management and third party monitoring were sensitive topics and some IPs were reluctant to participate in the evaluation. Another participated in the interview, but declined to share programme information. During the field data collection, the subjects proved equally sensitive. Negative perceptions of RPM/TPM and an unwillingness to discuss these topics may have influenced less than open responses during interviews and FGDs.
- The concept of remote management is complex and not all respondents (particularly at the community level) has either a clear or similar understanding of this concept. Different understanding have influenced the way the answers were provided.
- There was no central database of DFID programming that we could access, which meant we relied on programme documents provided by DFID and their IPs for information to inform the sampling and to complete the programme mapping. The information took longer than anticipated to receive from multiple sources, with a negative impact on the work plan. Additionally, some IPs declined to provide any programme documentation, so the mapping of the RPM practices in NE Kenya (Annex E) and Somalia (Annex F), are incomplete.
- The overall methodology is a qualitative approach aiming at compiling the information from various stakeholders in twenty programme locations, so key findings are built on a purposive sample that is not statistically representative of DFID's portfolios. There are limitations to this approach; however, they are offset by the degree to which we were able to highlight the contextual and programmatic dynamics in each of the locations. Our approach supported the development of lessons learnt with the understanding that they were general themes and not wholly representative of all programming in all locations.

- The wide sample of different organizations, different geographic areas, and different sectors, contributed to collect large amount of information increased the complexity of the data analysis approach.
- The constraints of working within such a broad and challenging area meant that quality of interviews (coherency of answer, whether or not respondent answered the question, length of responses – these were issues and more) could not always be assured and more readily leant the analysis to modelling trends as opposed to documenting dialogue. It is fair to recognize that the level of detail collected varies between regions and the ability to conduct FGDs in Somalia decrease in correspondence with the level of insecurity and perception of the sensitivity of the subject.

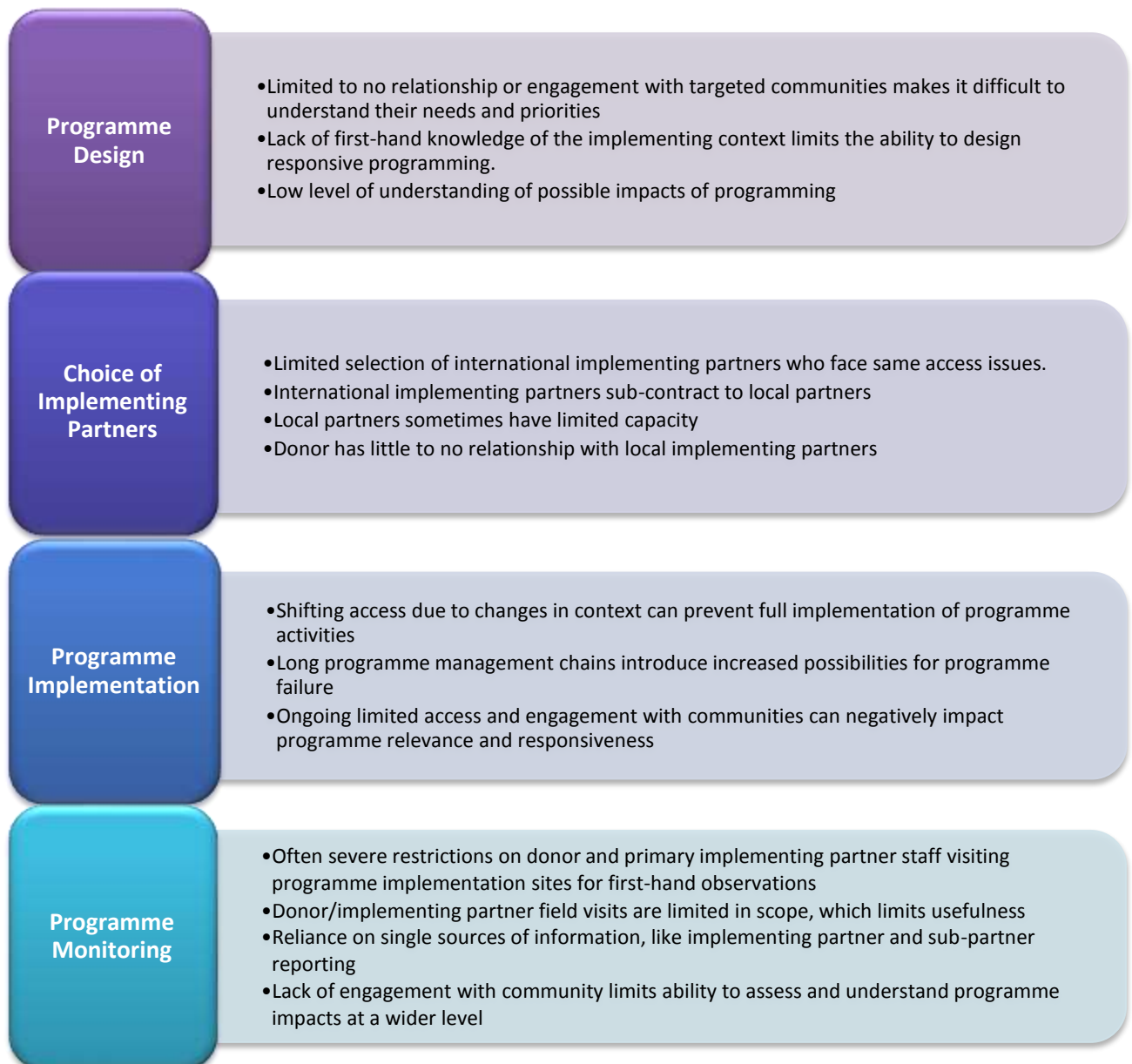
2. Remote Programme Management: Key Considerations

This section begins with a discussion about the different risks posed by programme implementation in fragile contexts, particularly lack of access. It concludes by presenting important considerations for programming in contexts which call for varying degrees of remote management and monitoring.

2.1. Operating in fragile contexts: Risks and the impact of lack of access

Fragile and transitional contexts represent a broad spectrum of challenges for humanitarian and development assistance, particularly in countries emerging from conflict. There are multiple interrelated risks, over which donors and their implementing partners have varying degrees of control. First, they must set their risk appetite in order to identify the thresholds at which direct implementation becomes impossible. This is most likely to be related to physical security risks and the point at which these become unacceptable, such that staff are extracted. At that point, the implementing partner is left with a choice to halt its programme or to find a way to implement

Figure 1: Risks in the programme cycle due to limited access



remotely. Remote management gives rise to different risks associated with a lack of access, both institutional and programmatic. From the programmatic side, a lack of access affects the design, implementation and monitoring, particularly as a result of reduced engagement with beneficiaries. From an institutional side, less direct oversight of implementation can lead to financial and reputational implications. How remote management is put into practice is therefore crucial in order to address these risks and mitigate them to the fullest extent possible.

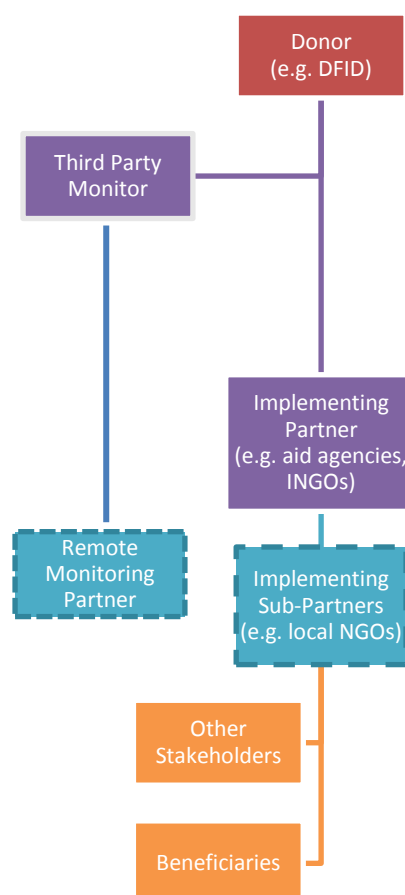
Despite the risks and the programming impact, delivering much-needed assistance to people living in fragile and conflict-affected environments holds the potential for substantial rewards in terms of improved results and outcomes. Donors and implementing partners working in these contexts do so on the assumption that the risks associated with engaging in these contexts are outweighed consequences of not doing so at all. The pressing question therefore is not whether to engage, but how to engage in ways that are context-specific, do not come at an unacceptable cost and capitalise on existing opportunities. In an effort to keep delivering in difficult environments, while managing risk and insecurity, donors and agencies have developed a variety of strategies, many of which are features of remote programming.

2.2. Key Elements of Remote Programme Management

Remote programme management is a response to insecurity and risk that involves relocating staff members and a shift in operational modalities, such as a transfer of responsibility and decision-making to other stakeholders. This might involve new partnerships, together with increased investment in capacity building, support and training for these partners.

As a donor, DFID is not an implementer; however, it forms the beginning of the programme management chain (outlined in Figure 2), setting parameters and authorising approaches. It also has a direct interest in oversight of programmes, which can be supported by third party monitoring. Third party monitors may also face the same challenges around lack of access as the implementing partners, obliging them to adopt remote monitoring practices to ensure that they have the appropriate level of access to conduct relevant monitoring activities. Additionally, levels of access and security have implications for the types of tools the monitors are able to use. (For further information on the types of monitoring tools that are appropriate for different types of contexts, please refer to Table 9.)

Figure 2: Actors in the programme management chain

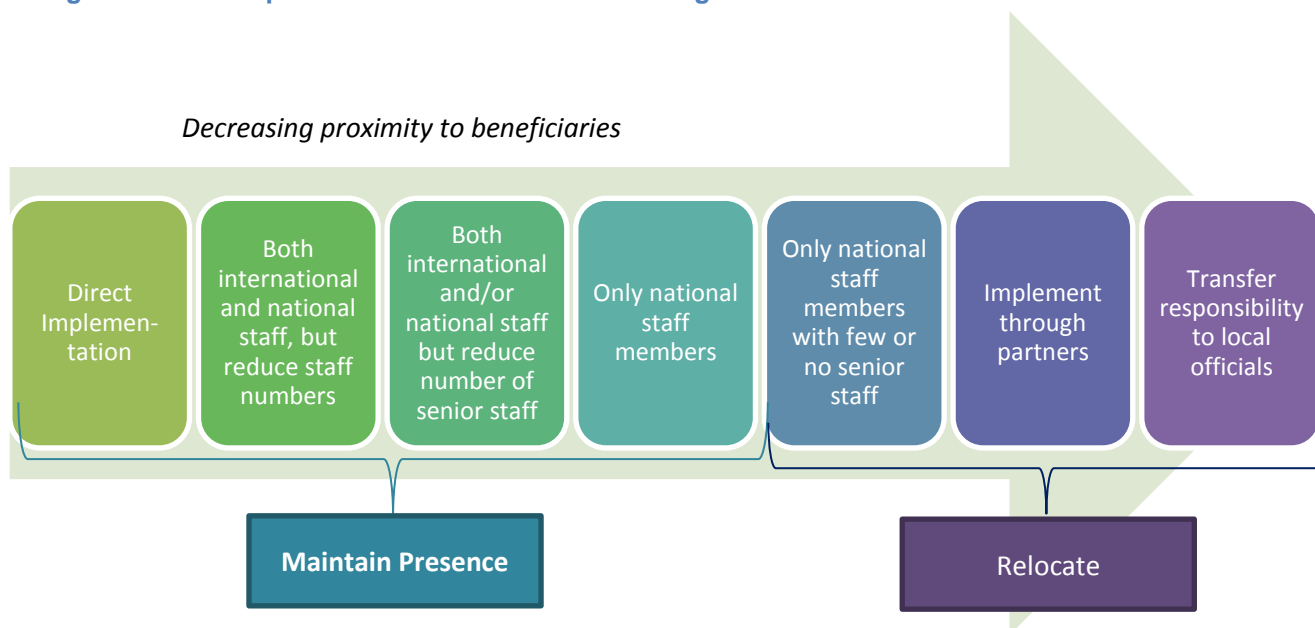


2.2.1 Location of Staff

Remote programming does not require a complete relocation of staff, but rather a change in

the location of some staff and perhaps the level of seniority of staff at each relevant location. The access of relocated staff to community and project sites may vary from regular but limited access to irregular access to no access at all. If all staff have been relocated, visits to the sites will be determined by available resources, as well as the organisation's perception of and tolerance for risk. Figure 3 shows the spectrum of options available to organisations implementing projects in terms of locating staff.

Figure 3: Current practices for location of staff in high-risk environments



2.2.2 Decision-making

Remote management practices are also characterised by alternative decision-making arrangements. The change in staffing levels requires agencies to relinquish control over certain aspects of their programming such as activity implementation, monitoring and financial oversight. An important decision for agencies is how much control they can give away to those now responsible for implementation without compromising the quality of programming. They must also decide what capacity they have to monitor activities, as well as the impact they can have on preventing fraud or corruption.

Table 2: Decision-making arrangements where access is limited

Decreasing proximity to beneficiaries	Modality	Decision-Making Control
	Direct Implementation	Main decision-making occurs at the location of programme activities.
	Remote Control	Centralised decision-making by relocated international managers. Delegation of responsibility for implementation to national or junior staff.
	Remote Management	Temporary but increased partial delegation of authority and responsibility to national staff for implementation and operational tasks.
	Remote Support	Goal to hand over decision making and authority to national/local actors, while the remote managers primarily oversee financial management, donor reporting and capacity building.
	Remote Partnership	International institution serves as a financial intermediary. Activities are completely managed by a partner organisation held accountable for all programming. Near-complete handover of responsibility to other actors.

2.2.3 Partnerships

Agencies can continue to implement activities through their own staff, or other partners. Table 3 lays out the various partnerships arrangements that are commonly used in remote programming. Partnerships may already be established but because of the primary agency's lack of access their dependency on their partner changes, especially when it comes to monitoring and reporting. New partnerships can also be formed with actors that can serve as a bridge between the agency and the community, in areas where the agency can no longer implement activities. The choice of partners is dictated not only by the type of programme and the capacity of the partner, but also the security situation, the partner's access, and already established bond of trust between partners. Types of partnership arrangements include:

Table 3: Options for types of programming partnerships

	Implementing Partner Operates Through:	Local Partners	Type of Management	Additional Information
Direct Implementation	Staff	No	In situ	N/A
	Reduced number of staff	No	In situ	N/A
	Specially contracted international, regional or national staff	No	In situ	Staff are either hired by another organisation but managed by primary organisation or hired by primary organisation but under special rules, usually concerning security provisions and movement.
Remote Management	Private organisation	No	Remote	N/A
	International partner organisation	No	Remote	N/A
	International or national partner organisations	Yes	Remote	Elements of the project implemented through local partner organisation
	Diaspora or regionally based contractors/experts	Yes	Remote	N/A
	Local project community	Yes	Devolved	Local project community implements and monitors project community themselves
	International or national partner organisation	Yes	Devolved	Partner supports the local project community to implement and monitor project activities themselves.

Some agencies use only one type of partnership; others use several, depending on the capacity of the partner, the project location and type of project (Hansen, 2008; Donni, 2011). For example, the JPLG Consortium in Somalia uses four different approaches in districts across the three regions. In addition, some agencies maintain operational partnership arrangements with locally based organisations that do not necessarily involve financial support but are required to carry out project activities, an approach used by some faith-based organisations in North East Kenya. Annexes E and F provide a detailed mapping of the remote programming practices of

implementing partners in Kenya and Somalia, while the practices are identified and discussed in Section 3.

2.2.4 Monitoring

Monitoring is an important element of remote management practices that allows donors and implementing partners alike to continue to assess the progress of programme implementation even with limited access or at a distance. It can be a means of mitigating some of the risks posed by remote management practices. Monitoring is also a tool that strengthens programme oversight for donors and other agencies that may not be directly involved in implementation, but are invested in the success of the programme. However, monitoring organisations and processes may also face the same challenges around lack of access to programme locations, requiring them to adopt remote practices.

Monitoring approaches that are utilised by both donors and implementers include, but are not limited to:

Table 4: Monitoring Approaches by Organisation

Monitoring Approaches	Undertaken By
Light touch verification	Donors Implementing partners
Independent monitoring (e.g. Third Party Monitoring)	Third party (not involved in the funding or implementation of a programme)
Independent programme evaluations	
Regular reporting processes integrated into programmes	Implementing partners
Spot checks	Donors Implementing partners

3. Mapping Remote Management Practices in DFID’s Portfolios in NE Kenya and Somalia

The evaluation mapped the remote management practices employed by implementing partners in the programme portfolios of DFID Somalia and the DFID Kenya Humanitarian Pillar.¹⁷ This section presents and discusses these practices, with a specific focus on third party monitoring.

3.1. Remote Management Practices

3.1.1. DFID Kenya’s Humanitarian Portfolio in NE Kenya

The DFID Kenya Humanitarian Portfolio supports two programmes in Kenya that are implemented through four partners. In Dadaab and Kakuma,¹⁸ DFID provides funds to UNHCR and WFP for the Support for Refugees in Kenya Programme. In the Arid and Semi-Arid Lands (ASAL) counties, DFID funds the Enhancing Nutrition Surveillance Response and Resilience Programme (ENSURRE), implemented through UNICEF and an NGO consortium led by IRC, which is active in Turkana, Wajir and Mandera. UNICEF implements across all ASAL counties, but with higher intensity efforts in selected counties including Wajir. Broadly speaking, all of the partners maintain field offices in their area of operations. The number and type of staff, location of the offices, and the implementing partners’ access to the beneficiaries vary by organisation. Each of the implementing partners operate through a variety of operational modalities, outlined in Table 5.¹⁹

Table 5: Programme Management Practices in NE Kenya (DFID Kenya's Humanitarian Pillar)

Remote Management Approach	Description	Location
Direct Implementation	The IRC-led consortium uses direct implementation for most of its activities. Consortium staff work directly with the community and the government. UNICEF also uses direct implementation but to a lesser extent.	ASAL
Specially Contracted Staff	Only one agency (UNICEF) implements through special contracts, which is a modality that permits staff to be hired through another organisation under contracts with different security or other regulations, allowing more freedom of movement. Staff usually report to the primary agency. UNICEF works through specially contracted staff that are hired by UNOPS but report directly to UNICEF. The different security regulations of specially contracted staff enables UNICEF to transfer risk and responsibility to the contracting organisation.	ASAL

¹⁷ The summary of the Humanitarian pillar includes a general overview of activities that are implemented across the pillar and outside of NE Kenya; however, this evaluation included only locations in NE Kenya.

¹⁸ Kakuma is located in North Western Kenya. It is included here because this section is only a description of the programming implemented through DFID Kenya’s Humanitarian pillar.

¹⁹ For a more in-depth outline of NE Kenya programme management arrangements please see Annex E.

Remote Management Approach	Description	Location
Implementing Sub-Partners	WFP, UNHCR and UNICEF operate mainly through implementing sub-partners. These can be either international NGOs or local NGOS. The INGOS have greater access than the UN agencies but still face movement limitations. As a result some of the sub-partners also work through local partners. For example UNICEF has two sub-partners that contract local organisations to carry out activities. In areas with limited government presence, the IRC-led consortium partners with local faith based organisations.	Dadaab & Kakuma ASAL
Incentive Workers	Many of the activities in Dadaab and Kakuma are carried out by incentive workers from the refugee population, providing them with livelihood opportunities. The incentive workers are hired directly by the UN or by sub-contracted partners. WFP hires incentive workers directly, but the majority of incentive workers are hired by the WFP sub-partners. UNHCR supports incentive workers only through its implementing partners.	Dadaab & Kakuma

In NE Kenya, DFID's implementing partners commonly defined remote programming as a situation where an agency had limited or no field presence and therefore had to rely on a third party to carry out activities. Given the fact that some IPs had sub-offices in NE Kenya, they did not generally perceive themselves to be operating through remote programming modalities. For example, WFP and UNHCR consider themselves as delivering aid in a difficult environment characterised by limited access and high security risks. They recognised that, at times, they must adapt their traditional implementation activities in order to continue operations. However, from their perspective, these alterations did not equate to remote management practices. In the view of UNICEF staff, they operate remotely only in Mandera and more recently Wajir, but otherwise they have been able to maintain a regular staff presence. UNHCR commented that they had come close to remote management in 2010 when they had to replace an implementing partner with refugee staff due to security risks. This arrangement lasted for only a limited period of time before they returned to regular operations.

The evaluation team found that access to the community and the implementing partners' ability to monitor the project sites and the activities of the implementing sub-partners in most cases was very limited, but varied by partner and location. Agencies also have limited means to verify information about programme implementation. These factors combined indicate that while the implementing partners may not be engaged in remote management under the traditional definition, they are forced to rely heavily on remote monitoring and oversight as a result of the operating context. This raises the possibility that agencies are overconfident of their knowledge of activities and the local context, particularly in Dadaab and Kakuma.

3.1.2. DFID Somalia

The DFID portfolio in Somalia consists of four pillars:

- Governance and Peacebuilding
- Health
- Wealth
- Humanitarian

The Health, Wealth, and Humanitarian pillars are grouped together for management purposes, but in terms of programme implementation they operate autonomously. Across the Somalia

portfolio DFID is engaging with dozens of implementing partners using a variety of remote management arrangements. Many of the implementing partners are UN agencies, but they also include international NGOs, local NGOs and mixed agency consortiums. Projects are being implemented through the modalities shown in Table 6.

Table 6: Programme Management Practices in DFID Somalia’s Portfolio

Remote Management Approach	Description	Programme
Direct Implementation with INGO	The international implementing partner maintains a presence, typically with international and national staff in an urban centre and national staff in sub-offices. In some cases, the management/HQ staff may still lack access and have a limited ability to monitor activities. In such cases, they are dependent on accurate feedback on activities from the sub-offices.	<ul style="list-style-type: none"> • Multi-Year Humanitarian Programme • Rule of Law & Safety – Access to Justice • Seed II • Joint Programme on Local Governance & Service Delivery (UN-JPLG)
Direct Implementation with LNGO	Direct implementation with a local NGO	<ul style="list-style-type: none"> • Community Safety in Somalia & Somaliland (limited) • Somalia Stability Fund (SSF)
Consortium Approach	In a consortium structure, responsibilities are divided among member implementing partners according to activities or geographic regions. Each partner implements activities independently and, at times, through different implementation methods. The consortium adds another link in the programming chain, but it also acts as a forum for information sharing and coordination and respondents reported that it at times serves as an additional monitoring source.	<ul style="list-style-type: none"> • Health Consortium for the Somali People • Humanitarian Programme has an NGO consortium BRCS
Implementing Sub-Partners	The majority of the UN agencies implement their programmes through implementing sub-partners. UNHCR, UNICEF, FAO and WFP maintain offices in Mogadishu, Hargeisa and Puntland, but the ability of staff to move outside of their compounds is severely restricted by security protocols, to the extent that even meeting with NGOs can be difficult. The international implementing sub-partners may also work through local partners, introducing another layer to the programme implementation structure, which can make it difficult for the lead partner to maintain first-hand relationships and knowledge organisations further down the chain.	<ul style="list-style-type: none"> • Community Driven Reconstruction & Development • Joint Health and Nutrition Programme (JHNP) • Multi-Year Humanitarian Programme • Rule of Law & Safety – Access to Justice • Seed II • UN-JPLG
Technical Assistance/ Diaspora	Government capacity building is part of several DFID portfolios in Somalia, mainly provided through technical assistance. The implementing partner hires an individual consultant or expert attached to a Ministry and working directly with the government staff. They may divide their time between the partner and government offices.	<ul style="list-style-type: none"> • UN-JPLG

	<p>There has been an effort to hire experts from the Somali diaspora to provide technical assistance, although this approach has faced challenges. Diaspora experts have greater access than non-diaspora international staff and possess the required language skills and cultural understanding; however, they can face suspicion and animosity by Somali government staff unsure of whether they are a threat to their jobs or who are unhappy about the salary discrepancies. Diaspora experts have greater freedom of movement, but still face significant security concerns.</p>	
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Many of the implementing partners have located their Country/HQ offices in Nairobi with one or more sub-offices in Somalia. Some agencies have been able to maintain a presence on the ground but the number of staff located in Somalia and the level of seniority of those staff members varies across the implementing partners. Within Somalia, the level of access that implementing partners have varies dramatically between the South Central Zone (SCZ), Puntland and Somaliland and can change suddenly. Although remote programming is often a response to insecurity, secure areas may also be difficult to reach due to distance, transport infrastructure and topography. These dynamics inform the way that implementing partners are able to operate within a given location. For example, those in Somaliland face fewer movement restrictions due to security risks or lack of roads, which allows them greater access to communities and a better ability to monitor programmes.

The operating environment in Somalia requires implementing partners to have a high risk tolerance. They generally acknowledged that there are significant programmatic and institutional risks that come with operating in a highly insecure, very dynamic and often inaccessible context. Agencies felt it was not only the insecurity of the environment that made it challenging, but the day-to-day uncertainty and the speed with which things could change dramatically. The multiple conflicts, constantly shifting frontline, and the rotation of political actors within the various regions are obstacles for programme implementation and monitoring. It is under such circumstances that remote programming becomes the norm, rather than the exception.

3.2 Third Party Monitoring in Somalia and NE Kenya

Amongst donors and implementing partners, there is growing focus on accountability and public scrutiny of programming activities, including in Somalia and NE Kenya. Several donors with Somalia programme portfolios, including DFID, the Government of Norway and USAID, have increased their support for monitoring and evaluation capacity development, as well as for third party monitoring. Other donors are advocating for increased funding and support for the UN Risk Management Unit (RMU) to bolster its capacity to service UN agencies. In addition, several UN agencies have established their own third party monitoring systems. Among these agencies are several of DFID’s implementing partners, including UNHCR, WFP, and UNICEF.

Third party monitoring usually involves independent organisations with expertise in monitoring humanitarian and development programmes conducting assessments of programme activities and verifying partner reporting. The methodology, capacity and process of each organisation differs and ranges from verification of data or information to complex investigations of specific issues. Such approaches can mitigate the programmatic and institutional risks of remote management practices by triangulating information, generating additional narrative and contextual knowledge, and providing ongoing learning and practical recommendations that would otherwise be unavailable to donors and implementing partners.

While the majority of respondents felt that third party monitoring could potentially be useful for

programme oversight and verification, staff from several UN agencies and some INGOs in particular expressed concern over the introduction of such systems. They expressed these most commonly cited concerns: such systems could contribute to micro-management by donors; that the process may not bring back useful information; that third parties may not fully understand project objectives; and that increasing funding for monitoring activities may lead to a reduction in funding for the project itself.²⁰

3.2.1 Monitoring in NE Kenya

The DFID Humanitarian portfolio in NE Kenya does not use third party monitoring practices, relying mainly on the monitoring reports of implementing partners, together with internal DFID processes such as field visits and Annual Reviews. WFP, UNHCR and UNICEF are using similar monitoring tools: sub-partners reports, survey data, field staff reports, internal auditing and profiling systems, monitoring visits and evaluations. The IRC-led NGO consortium operates slightly differently because they implement directly for the most part. Monitoring is done internally by each agency and through the consortium structure. The various monitoring practices employed by DFID implementing partners in NE Kenya are presented in Table 7.

Table 7: Monitoring Practices in NE Kenya

Internal Processes	All of the implementing partners using sub-partners conduct financial verifications and audits of partners, including assessment of organisational profiles, internal and external evaluations. These activities seek to minimise or at least alert them to potential risk or red flags. UNICEF uses a high, medium, and low risk organisational profiling system. The level of risk dictates the frequency of monitoring and audit visits that are made.
Field Visits	Donor and implementing partner staff conduct visits to implementation sites, which typically involve staff from HQs in Nairobi visiting the sub-offices to meet staff and beneficiaries or to observe programme activities. In Dadaab DFID staff cannot observe programme activities but can attend meetings at the sub-field office in the camp.
Sub-partner Reports	Implementing partners implementing through sub-partners have reporting systems in place where they receive regular reports from the sub-partners and hold follow-up discussions based on the information provided. The level of confidence in these reports varied among the UN agencies from high to acceptable. Agencies said that in some cases the reports were late, lacked sufficient information or were of poor quality; however, they reported that they did not feel that the reports were intentionally misleading. ²¹
Survey Data	Sub-partners and incentive workers hired from communities conduct community and household surveys. The Consortium facilitates community data collection by the Kenyan Ministry of Health and nearly all implementing partners operating in NE Kenya reported relying on its health systems database as a single source for statistics.

²⁰ TPM may, in fact, be used by donors to secure assurances on programme implementation that may result in increased funding in areas where they do not have easy access.

²¹ While implementing partners expressed confidence that the sub-partner reports were not intentionally misleading, independent verification of the accuracy of the reporting would provide a stronger basis for the confidence in the reports.

Peer Review and Coordination	Each agency in the NGO consortium has its own M&E and quality assurance system. At the consortium level, there is an M&E Manager who assists all of the partners. The consortium also acts as a forum for sharing challenges and lessons learned. Implementing partners also use inter-agency coordination meetings, where information is shared and concerns raised about the activities of other agencies or their partners, as another method of verification.
GPS Tracking	In Turkana, World Vision has piloted the use of smartphone-based surveys with GPS tracking to improve the quality of the data and monitoring of their enumerators. Lessons learned from that experience have been shared with the rest of the consortium partners and incorporated into the roll-out of a similar pilot by Islamic Relief.

3.2.2 Monitoring in Somalia

DFID's implementing partners in Somalia are using a variety of tools to monitor project activities and sub-partners. Many of the implementing partners said they were currently going through a process of trial and error with different monitoring tools and methodologies. For example, the SNS Consortium has recently decided on an additional monitoring system and is rolling out the different activities among consortium members. The impetus to innovate is as a result of greater emphasis by donors on creative approaches to accountability. Table 8 details some of the approaches that are currently utilized by DFID's implementing partners.

Table 8: Monitoring Practices in Somalia used by implementing partners

Internal Processes	All of the partners have internal systems in place that include internal monitoring, internal and external evaluations, due diligence, organisational profiling, audits and financial verifications. Those are for the most part standard agency process and not necessarily suitable to the Somali context, which may not permit regular staff field visits or use of certain tools and approaches common in regular monitoring practices.
Field Visits	Field visits do take place but are limited. Visits to project sites by many UN agency staff are accompanied by armed escort and multiple car conveyances. Particularly for expatriate UN staff, even leaving the compound can be a challenge. National UN staff have more freedom but also have to adhere to UN security rules and therefore movement outside of the main cities is difficult. For example, WFP Field Monitors carry out process/activity monitoring by visiting the Food/Voucher Distribution Points (F/VDPs). They use standard checklists which are regularly updated by the Country Office M&E team. UN agencies using sub-partners have to rely heavily on their sub-partners. INGOs with in-country international staff conduct field visits but, with the exception of Somaliland, these are often to the agency field office and very limited time is spent at project sites, even if they can be accessed. In SCZ, the local partner often has the greatest access to the project site and the community. In areas throughout Somaliland and Puntland where security concerns are less, national INGO staff can conduct field visits to project sites. In Somaliland, the UN, and INGOs have greater access; the challenge is the distance of some of the districts rather than security.
Sub-Partner Reports	Implementing partners working through sub-partners have reporting systems in place where they receive regular reports from the sub-partners and hold follow-up discussions based on the information provided. The low capacity of the sub-partners to produce reports and collect information was cited as a major challenge for implementing partners.

Covert Monitoring	<p>Not many agencies had a formal covert monitoring system in place with the aim of providing information on programme activities and context. Opinions varied on the ethics of the tool. A few were considering the option and others used more informal networks. FAO has a low profile monitoring system in place. Field monitors are local Somalis that monitor projects covertly in areas where the security risk is high. The monitors are FAO staff but are not attached to a specific FAO office and operate under special security rules, called Low Profile Operation Mode. For administrative purposes they fall under the M&E or Food Security Unit.</p>
GPS Photos and Video	<p>A number of implementing partners are using GPS enabled photos as monitoring tools. The photos are used for verification and reporting by national staff, external field monitors and sub-partners. The Save the Children (SNS) Consortium, for example, used GPS photography and video in a monitoring pilot in Bakool that is now being rolled out by Concern and ACF. Photos are used to verify physical infrastructure projects, as well as events and asset distribution.</p>
Tablet based GPS Surveys	<p>Tablet-based questionnaires and surveys are being used as a tool by several agencies, but mainly for health surveys and data collection on project activities. The tablet-based surveys are seen as an improvement in terms of reliability because they have the potential to increase consistency and timely collection and feedback of data. So they are more reliable in this sense.</p> <p>However, as pointed out in the report, they have limitations. The data must be entered in a specific way and this means the room for narrative or different responses may be limited, there is still the possibility for human error and of course as with all technology there is the potential for the systems/battery/energy source to fail.</p> <p>The NRC-led consortium in the humanitarian programme is planning to pilot a digital real-time data collection system and has developed different activity-based questionnaires, (cash distribution, non-food item (NFI) provision, etc.), which can be uploaded to a tablet. The questionnaires will be completed by the national staff of the various consortium members and some of their local NGO sub-partners during monitoring visits; the same staff will also conduct beneficiary surveys. Fieldwork has worked with the consortium on the development of this system. NRC has, however, been implementing a similar system for the last 2 years using another company.</p>
Call Centres	<p>There are two main call-centre models that are being employed. The first is the call-out centre. FAO is using this model. Sub-partners provide the implementing partner with a previously agreed percentage of beneficiary names and mobile numbers in an area where they have carried out an activity. FAO staff based at the call centre call the beneficiaries to verify whether the activity has taken place and what was actually done. Beneficiaries are asked a series of questions, unknown to the sub-partners. FAO uses this model to monitor activities but also as a means to reduce fiduciary risk, as payment to the agency is linked to satisfactory verification of activities.</p> <p>The second model is the call-in centre. UNHCR has used this method. Beneficiaries can either call or send SMS messages to a central call centre, which filters the information and provides it back to the agency. This model allows for direct feedback from the community to the implementing partner. UNHCR has had mixed results with their system, reporting a lack of understanding about and hesitation to use the system. Somalia Stability Fund also uses an SMS feedback mechanism.</p>

Risk Management Unit	The purpose of the Risk Management Unit (RMU) is to support UN agencies to assess and understand risk. The unit was set up as a response to the lack of oversight of UN partners in Somalia. It is an eight-person office that provides risk assessments and monitoring mainly for UN agencies. The office also maintains a database with the information that can be accessed by all UN agencies working on Somalia. Recently the RMU has also begun to engage with INGOs to provide advice and feedback on an informal basis. (See the section on Coordination and Coherence for further details on the RMU.)
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Aside from the activities carried out by implementing partners, DFID Somalia carries out its own monitoring as well. The current tools employed by DFID staff allow them to collect information on programme performance, but there were questions raised by several of the advisors and programme staff about the usefulness of the reporting formats, the in-take of information and the ability of DFID to understand/process the information received. Specifically a lack of consistency in terms of reporting, a lack of SOP for monitoring and evaluation of projects, trigger points and feedback processes. Additionally, direct monitoring of programmes and engaging with partners is particularly difficult for DFID Somalia staff, who are based in Nairobi due to high levels of insecurity throughout Somalia. This is particularly the case in the SCZ, but also outside the urban centres in Puntland and Somaliland. The various modalities employed by DFID’s staff in Somalia are presented in Table 9.

Table 9: Monitoring practices used by DFID Somalia staff

Field Visits	<p>Staff are encouraged to go to Somalia and the majority of those interviewed for this evaluation said they had increased the frequency of their visits within the last few months. Within Somalia, DFID staff movement is severely limited due to security restrictions. Often, they cannot move outside of the airport or selected sites in Mogadishu. In Puntland, movement is also restricted, but in Somaliland staff can move more freely. Members of the Health Team, for example have been able to visit most of the Health Centres in Hargeisa and nearby districts. In 2013, DFID staff undertook fewer than 10 programme level field-monitoring visits, with few outside of regional capitals of Somalia (DFID SMP, Annual Review 2013).</p> <p>The quality of the visit depends on the type of project the staff member is overseeing. Technical assistance projects based out of one of the government ministries in Mogadishu may be easier to access than a food distribution project in a rural district. Conversely, while a food distribution project may be observed over a short and specific time period, technical assistance projects may require repeated visits over a longer time in order to understand the pattern of events and changes in practice.</p>
Partner Reporting	<p>DFID relies heavily on partner reports for information on programme activities, progress and impact. The confidence level in partners’ reports varied but tended to be quite low. In several cases, DFID funds a lead implementing partner that operates through various sub-partners, who may also contract out work to local NGOs, private companies, or community-based organisations. These multiple links in the project management chain also represent potential barriers to accurate information as individuals are involved in deciding at each level what to escalate. Useful reporting is further hindered by a lack of clarity from DFID on the type of information required. For example, several implementing partners were under the impression that DFID only needed to be alerted to problems in the field that had consequences in terms of programme budget or time frames.</p> <p>There is not a good understanding of how projects on the ground are actually being implemented and by which actors. Neither DFID staff nor their lead implementing partners had a good understanding of the quality assurance and verification processes of all of their partners. This indicates that partner reporting provides only a limited view of actual programme activities.</p>

Agency Tools	DFID has established oversight processes guided by its policy frameworks on fraud, risk management and Value for Money (VfM). Activities include due diligence, annual reviews, financial audits and full evaluations of projects. While these tools are useful and standardised, some flexibility and adaptation might make them more suitable for and responsive to insecure and high-risk contexts where access to the programme sites is often limited and where fraud investigations and financial audits may be coupled with increased security risks.
Third Party Monitoring	DFID introduced third party monitoring in an effort to address the challenges of operating in high-risk and low-access environments. Third party monitoring usually involves commissioning an independent company to conduct in-person verifications of programme activities in order to confirm partner reporting and report back at varying levels of detail. Flag systems can be used to highlight issues that require varying degrees of attention or examples that represent good practice. TPM findings can also be synthesized to uncover broader lessons about types of activities/ partners or geographies where particular issues are more or less likely to be found.
Other Tools	DFID is in the process of piloting other assessment and monitoring tools in Somalia, including various digital tracking tools ²² and political economy and conflict analysis.

In its Somalia portfolio, DFID uses four different companies to conduct third party monitoring for programmes in the Governance and Peacebuilding, Health, Wealth, and Humanitarian pillars. The third party monitors are at different stages in their contracts. Some have completed their monitoring work, while others have not yet begun to implement. In addition, several companies perform third party monitoring for the Somalia Stability Fund, a multi-donor fund that is managed by a private sector fund manager. Although it is not a third-party monitor, the UN Risk Management Unit, also provides risk assessment and monitoring services for all UN agencies in Somalia, many of which are implementing DFID-funded programmes.

Coffey International (SEED II)

The Wealth Pillar contracted Coffey International to provide third party monitoring of the Sustainable Employment and Economic Development Programme II (SEED II). Coffey focused on verifying inputs and, to some extent, outputs using desk reviews, two sets of field visits and one Value for Money Study. A round of verification was carried out from 11-18 January 2014 in Somaliland and additional monitoring reviews conducted in South Central and Puntland from 10-21 April 2014. With the SEED programme closing on 30 September 2014, DFID decided not to progress with the second fieldwork mission, but rather carry out a comprehensive SEED project completion review which would also include validation of project initiatives.

IBTCI (Multi-Programme)

The Governance and Peacebuilding team, Health team and the Somalia Stability Fund have contracted IBTCI to conduct third party monitoring of several programmes across the two pillars, with the Somalia Monitoring Programme coordinating the contract. Their approach consists of spot-checks and verifications, synthesis of lessons and technical assistance around monitoring systems and logframes. Between December 2013 and August 2014, IBTCI conducted eighty-four verification visits for DFID. IBTCI has four local partners that assist with the verifications process: SORADI (Somaliland); ADS (Puntland); Eagle Consulting (Mogadishu); and HATI - South and Central. IBTCI has an office in Nairobi where the Team Leader is based).

²² The Accountability Programme has plans to create a series of “real time” activity monitoring tools utilising cloud-based software for DFID staff (and potentially wider public) to access. This system was not functional at the time of the evaluation so it could not be included in our assessment.

ASI, Shaqadoon and Sahan Research (Somalia Stability Fund)

The Somalia Stability Fund (SSF), a multi-donor fund, is administered by Adam Smith International (ASI). The contracting of staff through ASI, which does not have the same security and travel restrictions as donor governments, has allowed the SSF to set up field offices across Somalia in Mogadishu, Garowe, Baidoa and Kismayo. The twelve staff have access to some of the SSF's programme implementation sites for direct monitoring. The SSF also uses several other types of monitoring systems. In February 2014 a Somaliland-based service provider, Shaqadoon established an SMS/voicemail beneficiary feedback system (www.stabilityfundfeedback.so) to promote transparency and accountability. Community members can text or call in their opinion and voice any concerns. Data is collated onto a website, where the public can view the comments, and filter by project, location and issue. This system is currently operational throughout Somalia and to date has received approximately 380 responses. Finally, Sahan Research provides project-level political economy analysis reporting for the Fund.

GDSI/Transtec (Humanitarian Programme)

DFID Somalia's Humanitarian team has contracted GDSI/Transtec to provide a comprehensive monitoring and evaluation package for their multi-year humanitarian programme for 2013-2017. The contract is in its early stages (the inception report was submitted in September 2014), so no monitoring has yet taken place. Planned monitoring activities include remote sensing (using satellite imagery), a beneficiary call centre, mobile phone data collection, third party verification, a knowledge platform and data analysis.

UN Risk Management Unit (General)

DFID, along with DANIDA and the CHF, provides funding to the UN's Risk Management Unit (RMU), which carries out risk assessments and monitoring, conducts due diligence on implementing partners and manages a database with information on contracts and partners. Many of the UN agencies that the RMU provides services for are lead implementing partners of DFID. DFID has used RMU services in the past, but not on a regular basis. A number of the UN agencies reported that they were not yet taking advantage of the Unit's services.

Table 10: Third Party Monitors of DFID's Portfolio in Somalia

Agency	Programme	Scope	Tools	Locations	Partners
IBTCI	Governance and Peacebuilding Health SSF	Confirmation of partner reporting Provides a traffic-light scoring approach to highlight potential areas for DFID to address following verification visits M&E Capacity Building for partners Provides information on achievement of verified activities High level access through local partners	Spot Checks and Verification Visits Technical Assistance on Monitoring and Evaluations Systems	Nairobi-based HQ with local Somali partners	SORADI (Somaliland) Alliance for Development Solutions (Puntland) Eagle Consulting (Mogadishu) HATI (South Central)
Coffey	Wealth	Verification of inputs and outputs Value for Money (VfM) analysis Mentoring for implementing partner (FAO) Some direct intervention when issues with programme implementation are identified Limited local access	Independent Field Verifications Focus Groups Discussions	London and Nairobi offices Local field officer(s) based in Nairobi with field visits to Somaliland, Puntland and South Central Somalia Local Somali partner	Alliance for Development Solutions (ADS) (Puntland)
Transtec	Humanitarian	Planned focus on verification of activities ²³	MFieldwork: Technical Assistance and software for tablet based monitoring and direct beneficiary feedback tools. PBi2: Third party monitoring spot-checks and verifications	European, Nairobi and Somalia offices Local research teams throughout all three regions.	MFieldwork PBi2
Sahan Research	SSF Humanitarian	Broad-level analysis not necessarily directly linked to specific programme-related issue Ability to access difficult areas History of operations in Somalia High level of access	Political Economy Analysis Consequence Management Guidance Liaison with Somalia Authorities	Nairobi-based office with ability to access difficult areas	Extensive network throughout Somalia (not necessarily organisations, but key individuals)
UN Risk Management Unit	All UN Agencies operating in Somalia	Risk assessment and highlighting issues for further investigation Maintains database of UN partners which can be shared across agencies For UN agencies only Limited access (under UN security requirements)	Risk Assessments Risk Monitoring Database on partners and contracting	Nairobi-based with field visits to Somalia under UNDSS rules	None

²³ At the time of the evaluation, Transtec had not yet begun to implement its planned monitoring activities and we were not provided with detailed information about its scope.

4. Lessons Learned from DFID's Remote Management Practices in NE Kenya and Somalia

In this section we present the findings of our analysis of the primary and secondary sources. The section is divided into subsections by criteria and findings related to both remote management and third party monitoring practices are presented in each subsection. Some findings are cross-cutting.

4.1 Relevance

Without concerted effort to involve wider communities, remote management can reinforce a highly targeted approach that precludes a wider understanding of the local context. This can reduce a programme's relevance to the community it is meant to serve.

An analysis of the approaches implemented in the 20 programme locations reveals that remote management bears the risk of dealing with a specific group of beneficiaries in isolation from the context in which they live. This resulted in 'helping in isolation', which led, in some cases, to negative unintended consequences such as increased tensions between project beneficiaries and surrounding communities. Elements inherent to remote management practices appear to bear increased risk of minimum i) context analysis and ii) community involvement in programme design. This risk increases with lack of access to programme locations by implementing partners.

Bosasso offers a good case study of this process. In this location community members reported that a livelihoods programme targeting internally displaced people (IDPs) had damaged the local fishing industry. The programme sought to give IDPs access to livelihoods through training and equipment. Community members accounted for only 20% of the project beneficiaries and felt left aside, in addition to fearing a loss of income in the face of increased competition. A government official from the Puntland Ministry of Fishing and Marines expressed serious concern that a proliferation of fishing livelihoods programmes had also upset the balance between consumption and supply.

The Bosasso project illustrates how the process of remote management can overlook the wider context to negative effect. This disconnect between programmes implemented remotely and the community in which they occur is also clearly seen in the refugee/IDP camps in Wajir and Mogadishu. Our analysis showed that in each of these locations, programmes served as a catalyst for resentment and conflict between beneficiaries and non-beneficiaries. In some locations, such as Mogadishu, the frustration between the two groups was reportedly driven by the fact that a small number of IDPs within the camp had received non-food items as part of an aid programme, while a majority had not. Although programmes cannot provide goods or services to everyone, a targeted approach within the context of an IDP/refugee camp can serve as a conflict driver, especially if the rationale is not clearly communicated. With implementing partners having little access to some of the camps, they are unlikely to identify the risks, let alone mitigate them.

In such contexts, selected factors and local dynamics are beyond the control of implementing partners. For example, in Somalia interview participants highlighted clan dynamics as a source of resentment. However, donors and implementing partners have a responsibility in such volatile environments to understand sources of frustration and conflict in order to be responsive to potential triggers. For staff that cannot regularly visit programme implementation sites, contextual analyses can provide useful background information to aid in a greater understanding of community dynamics and potential conflict drivers.

There is lack of clarity as to how third party monitoring contributes to relevance and value for money.

During interviews, DFID and implementing partner staff expressed different perceptions of the purpose of third party monitoring, mainly:

- It should provide more information about the environment where DFID is funding activities;
- It should identify areas of fraud and corruption;
- It should monitor and assess project implementation and activities;
- It should evaluate project impact; and lastly,
- It should provide information on the activities and compliance of implementing partners and potential implementing partners.

DFID staff do not appear to have a collective understanding of what third party monitoring should be used for. Lack of cohesion around the objectives of monitoring at the pre-contracting stage, combined with at times infrequent communications with TPM contractors, led some DFID personnel to be surprised by the delivery of selected third party monitoring activities.

There are a number of third party monitoring approaches and each of the organisations that provide third party monitoring services to DFID adopt differing approaches. (See Table 10 for more information about the approach taken by the third party monitors of DFID's Somalia portfolio.) Some focus on input and output level verification, while others evaluate programme outcome and impact. Some specialise in verification visits to locations throughout Somalia and rely on local partners for access. Others have limited access and focus more on desk-based analysis of reporting. Some offer M&E capacity development for IPs, while others take individual steps to address some deficiencies found in programme input.

DFID's objectives for third party monitoring should dictate the model employed in order to add value for DFID and produce the relevant information needed for programme oversight and adaptation. The link between risk management and third party monitoring does not yet seem to have been systematically incorporated into third party monitoring processes. Third party monitoring remains a verification process to increase confidence in the monitoring reports of implementing partners but it has the potential to strengthen programme implementation. It can also be used to verify more sensitive issues, providing an independent perspective on conflict sensitivity, fraud and diversion.

An earlier lack of understanding of the capacity of the third party monitors and monitoring tools diminished the relevance of information for DFID.

Third Party Monitoring is in relatively early stages across the DFID Somalia portfolio. In the pilot stages, staff did not necessarily have a comprehensive understanding of the purpose, strengths, weaknesses and full spectrum of different TPM models when projects started. As a result, they were unable to specify the tools and processes that would provide the most relevant information for their needs. For example, the Rule of Law programme uses spot-checks and verifications. They provide information about activities in the field, but do not bring out additional narrative on the experience of service users which could be used to ascertain the relevance of the programme.

Different third party monitoring models are appropriate for different types of programme objectives, as demonstrated by the way the third party monitors for DFID Somalia operate:

- IBTCI focuses on the activity level, providing clear guidance through a 'traffic light' ranking system for the activities and programmes they assess. The approach is highly collaborative and works well for partners that might need support and

capacity building. However in-depth analysis is limited and does not allow DFID to track trends in terms of sets of activities or geographical regions.

- Coffey is gathering information from DFID and the implementing partner then providing a desk review supported by limited field visits. This approach is analytical and can highlight problems, but it remains distant from programme implementation. The focus here is on the inputs and outputs but not necessarily the impact of the project. This light touch model is appropriate when confidence in the implementing partner is high.
- Transtec is still in the early stages and plans to roll-out an extensive, frequent and locally based spot-check and verification system, with various levels of analysis. This work will be carried out by a consortium of companies. While implementing partners reported positive experiences with MFieldwork, they see Transtec as a separate entity. They have had little engagement thus far with Transtec and some expressed apprehension and lack of understanding about who Transtec is and their planned activities. Although they have a high capacity for information gathering and analysis, some expressed concern that transparency may be compromised. This model is currently untested.
- Sahan Research is providing political economy analyses that are helpful in understanding contextual and programmatic risks. This type of analysis is useful at the macro country or sector-level planning, but can also be used for individual programme design, particularly for those projects that focus on policy or governance issues.
- The ASI model being used by the SSF is very specific. ASI provides DFID with access to locations while allowing them to shift the duty of care primarily to the IP. ASI staff have movement limitations due to security, but enjoy greater access than DFID staff. ASI staff maintain a regular presence in the SSF field offices, but it was not clear to the evaluation team whether this added value in terms of providing more information to DFID on programme activities and community perceptions. In addition, this model carries the potential for institutional risks that the others do not because ASI may be perceived (wrongly) as representing DFID in the political sense. As such, a clear distinction should be maintained in the field between DFID and ASI.

How the monitoring information is consolidated by and between these different actors defines what DFID is then able to do with the information. The third party monitoring exercise provides DFID with the opportunity to consolidate a global overview of its portfolio in Somalia to enhance lesson-learning across the different pillars and programmes.

4.2 Effectiveness

A lack of community consultation and feedback mechanisms limits the effectiveness of remote management practices.

In the absence of direct feedback mechanisms, remote management hinders one's ability to assess the effectiveness of a given programme.

In some cases, agencies appear so far removed from the communities where activities take place that they struggle to identify the chain of actors that exist between the implementing partner and the community per se. This was particularly the case with humanitarian implementing partners. For example, in the Dadaab refugee camps, staff have very limited access to the camps beyond the feeding stations. In such cases, RPM has contributed to a lack of engagement with the community and resulted in a continued lack of understanding of programme impact and social change. In another example in

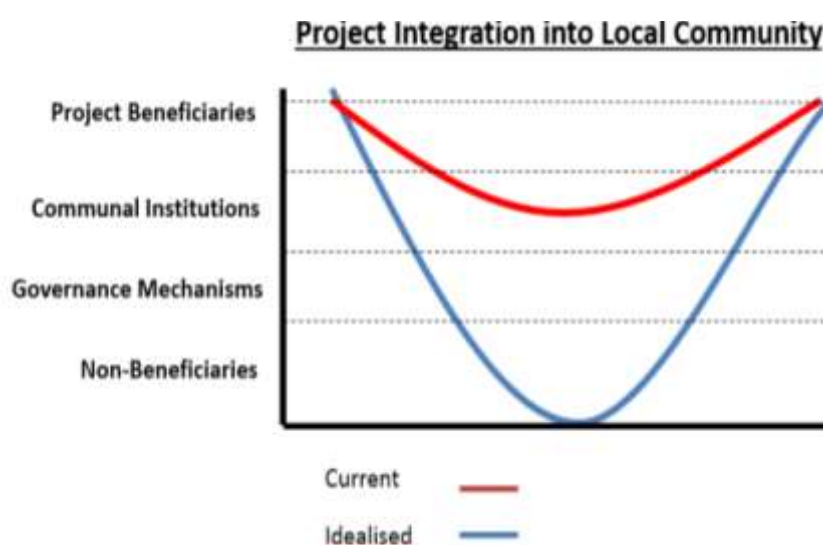
Hiraan, community members pointed to the lack of a two-way communication system through functioning complaint mechanisms. This inhibited programme effectiveness.

Communities in around Dadaab also reported that programmes were more distant than in the past, expressing frustration at their lack ability to communicate readily with programme staff as they had done previously. In this area, the lack of interaction with the community was partly due to the high level of security constraints placed on staff, who are based in a protected and inaccessible compound. However, there were also perceptions of cultural distance. Local community representatives complained that senior programme staff are often non-Somali and might not understand local dynamics. Such perceptions affect acceptance, security and therefore sustainability of the projects.

Building community ownership through deeper integration enhances project effectiveness.

Long-term programmes may need to promote more integrated engagement with the wider community, based on a thorough understanding of community dynamics and relationships. The blue line in Figure 4 illustrates a programme that is deeply invested over a longer period and engages through the community social processes with beneficiaries and non-beneficiaries alike. This sort of programming design would address many of the issues inherent to many development-orientated programmes, such as misunderstandings of programme rationale, lack of community dialogue, lack of beneficiary integration into programme design and evolution and lack of elder involvement.

Figure 4: Levels of programme integration into the community



A strong example of better integrated programme design was in Garowe, where the implementing partner used remote management practices that focused specifically on community-based development and operated with a high level of community integration. This had positive results in creating a sense of ownership within the community and

decreasing some of the issues outlined above, such as misperceptions among non-beneficiaries. By contrast, many respondents across other communities said that, as non-beneficiaries, they knew very little about aid and development programmes and were often frustrated at the lack of engagement.

Remote programming risks compounding problems in managing sensitive issues.

In Somalia, there are sensitivities around all project selection processes, including the location of infrastructure, beneficiaries and suppliers. These exercises require a detailed understanding of the local context, an appreciation of the various risks related to selection processes and careful negotiation. Compounding these challenges is the fact that negotiations with local communities are often conducted by local staff who may be subject to pressure from various local actors or perceived as outsiders themselves. Monitoring exercises usually focus on the profile of beneficiaries but understanding the profile of the communities as a whole is also essential in order to understand the profile of the non-beneficiaries, at least from a clan and livelihoods perspective.

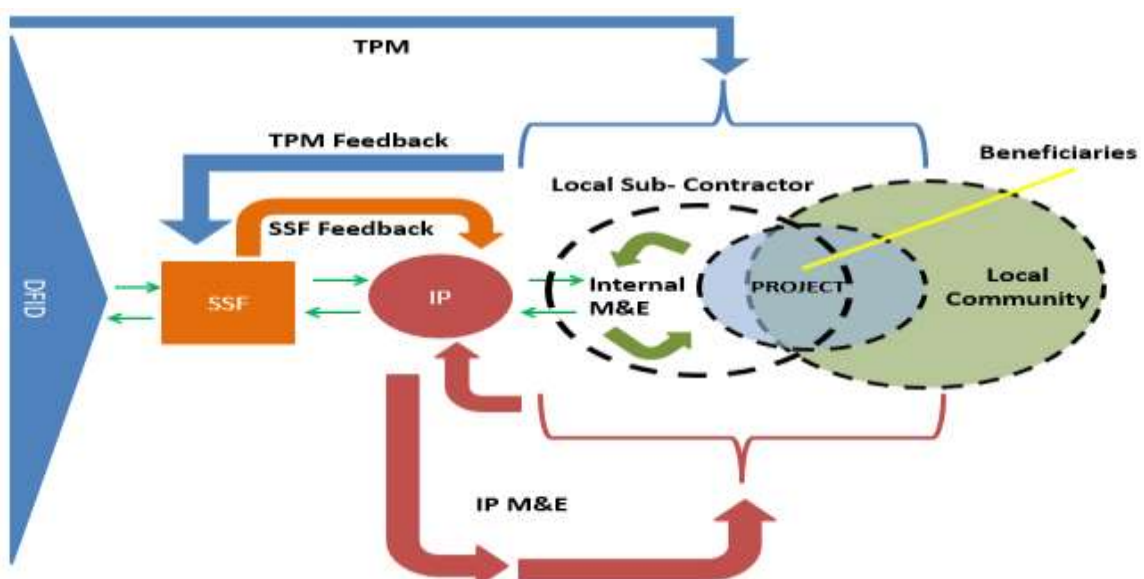
The implementing partner's capacity - particularly for projects that require a high degree of technical skill - is an important ingredient in the successful implementation of remote management.

In Somalia, the prevailing criteria for the selection of local implementing partners is their ability to access locations, rather than their capacity or expertise. This is understandable and indeed necessary to an extent. However, in a context like Somalia where the availability of local technical experts is already low, a focus on access further reduces the scope for engaging technically skilled partners to manage and deliver complex projects. The case of the port rehabilitation project in Bosasso is a perfect illustration of this consideration. There, a local company is contracted to rebuild some of the port facilities, under the supervision of an international engineer. Our findings suggest that the programme was initiated without a context analysis or a partner capacity assessment. The local contractor is reported to have insufficient capacity and, as a result, a significant amount of effort goes into monitoring their work. This consideration points to the need to i) undertake a proper capacity assessment prior to implementation and ii) ensure that resources are earmarked for capacity building and monitoring in cases where the implementing partner may lack some of the required skills.

Remotely managed programmes with strong M&E processes work more effectively.

Building monitoring and evaluation processes into the institutional arrangement of a programme can increase its effectiveness. Such an approach lends itself to more effective programming because it introduces a higher degree of accountability. This process can be achieved through a number of different strategies, including, but not limited to: community based M&E processes, third party monitoring, and capacity development of training of sub-partners. There are a range of M&E approaches across the DFID Somalia portfolio in particular, from partial community-based M&E in Yufle to the multi-party approach in Qardho depicted in Figure 5. In this latter case, the implementing partner (represented in the figure by the red oval), has invested a great deal in building the monitoring capacity of the local NGO it contracted as a sub-partner (the white oval). The sub-partner conducts its own internal M&E activities (green arrows), which are closely linked to and complemented by the implementing partner's own M&E approach (red arrows). In addition, a third party monitor contracted by DFID conducts independent verifications of the programme activities (blue arrows). Programme effectiveness is strengthened by the multiple layers of monitoring activities from different actors which enable staff to identify and respond to potential problems with implementation early.

Figure 5: An example of a multi-layered M&E system in a programme using remote management



Ensure that feedback loops are built into programmes so that information is used for regular adjustments, and contributes to enhanced effectiveness

In Somalia, implementing partners use monitoring tools that generate more information, but there is little evidence to show that this information feeds back into the programme cycle to improve performance and outcomes. Third party monitoring has also provided DFID with a wealth of information about programming activities and outcomes, but this information is only useful if it feeds into the programme decision-making process afterwards. The challenge for agencies, therefore, is not the implementation of additional monitoring mechanisms but rather the development of feedback loops so that information feeds into programming decisions as per results-based management best practice. During interviews few agencies had put such processes in place.

4.3 Coordination and Coherence

Concern about the repercussions of sharing information formally is a barrier to constructive learning

Currently, there is no formal coordination structure that focuses on remote programming. While donor agencies in principle agreed that more information sharing could be useful, they stopped short of suggesting the creation of a formal structure focused on remote programming and risk management. All of the external partners that were interviewed felt issues could be incorporated into other forums, particularly in cases of multi-donor funded projects, where regular meetings already existed. The reluctance for more formal coordination mechanisms arose from fears of the consequences of openly reporting on programmatic failures and issues of fraud and corruption, especially in terms of reputational risk.

Unwillingness to coordinate among UN agencies diminishes the potential of the RMU.

The Risk Management Unit was established to assist UN agencies with risk assessment and profiling and as a coordination tool. UN agencies can access the RMU's database and share non-confidential information with donors on a case-by-case basis. However, the potential of the RMU as a risk management tool is hindered by the UN agencies' reluctance to share information or develop coherent policy approaches or standards. In addition the RMU has limited resource with only eight full-time staff members. It is worth noting that the UN Humanitarian and Residents Co-coordinators have both recently called for greater UN coordination on risk management.

Increased coordination with other DFID missions would enable sharing of lessons and best practices in monitoring remotely managed programmes.

The evaluation highlighted a desire across DFID missions to exchange experiences on remote monitoring practices and challenges. The DFID missions in Yemen, Nigeria and DRC had different remote programming experiences and specific challenges based upon the location of DFID staff, the funding mechanisms and types of partnerships being used. Greater sharing of practices would be mutually advantageous, particularly in terms of adapting tools to different contexts and learning from new innovations.

Similar monitoring tools are being used by DFID in Yemen, Somalia, and DRC, but the management models differ. For example, DRC is using third party monitoring for individual programmes and has set up a 'Decisions Support Unit' to conduct independent studies and horizon scans that report directly to the 'Results and Monitoring' Advisor. Missions are also at different stages of implementation, from a few months into programming (Yemen), piloting approaches (Somalia) or in the first phase of expansion (DRC). While coordination is desirable in the immediate future, coherence may only be useful later on when missions have had more time to reflect, evaluate and understand their own challenges and experiences. Ultimately, the cross learning from such a forum may be useful in developing future DFID policy on remote programme monitoring and

oversight. According to the DFID Somalia/Kenya Results Advisor, a group of statisticians and results advisors from different DFID missions who are commissioning third party monitoring has been constituted for the purpose of lesson-learning and sharing experiences. The group is still nascent, having met twice.

A coherent internal information management system for DFID's portfolio could increase knowledge sharing and internal coordination.

At the time of the evaluation, there was no comprehensive map or database of DFID individual programmes in Somalia and NE Kenya. Attempts had been made to gather this information across the Somalia portfolio, but gaps remain. Coordination between different pillars that are using the same implementing partners across Somalia and Kenya can help Advisors better understand the context and the coverage of DFID's programmes, manage partner relationships and develop consistent approaches to risks and challenges. To address this gap, DFID needs a comprehensive information management system that consolidates not only the information reported by implementing partners, but also the information verified by all third party monitoring. This would require some standardisation of information but has the potential to benefit donors, implementing partners and, ultimately beneficiaries by strengthening knowledge about the programmes.

The changing nature of assistance in Somalia requires increased coordination between development and humanitarian programmes.

The distinction between humanitarian aid and longer-term development assistance may be clear at the headquarters level, but it is less so on the ground in chronic emergencies or protracted conflict. The emergence of resilience programming has the potential to further blur the lines between the two pillars at the activity level. Increased dialogue between these sectors will build greater understanding of the overlap between humanitarian and development programming, enabling relevant lessons to be shared. While third party monitoring has generated significant quantities of data, there is a lack of analysis and understanding that would allow it to be applied across DFID's whole Somalia portfolio. IBTCI has compiled an analysis of the results of the verifications they have completed. A cross portfolio analysis of this nature generates preliminary information about common problems with certain types of activities, or particular areas. Analysis of the monitoring data across pillars and programmes will facilitate learning on the relevance not just of specific interventions but also sets of activities and ultimately, DFID's overall approach to assistance in Somalia.

4.4 Coverage

Limited access in NE Kenya and Somalia results in limited coverage, both in terms of programming and monitoring.

DFID staff and implementing partners face drastic security restrictions which impede their ability to access project sites, local partners and communities. Third party monitoring can help in mitigating some of these challenges, insofar as DFID clearly stipulates the geographic scope of the TPM, and selects TPM providers on the basis of their access to those locations.

As it is currently configured, third party monitoring provides limited coverage of some issues, particularly fraud and fiduciary risk; however, it has the potential to do more in these areas.

As third party monitoring is currently designed and delivered, there are limits to i) the type of information that it can generate as well as ii) the type of risks that it can help DFID understand and mitigate. Some of the third party monitors interviewed as part of this evaluation had limited capacity and -in some cases- willingness to monitor fraud or corruption. Delving into these issues moves the monitoring exercise from verification to investigation and bears the risk of antagonizing powerful local actors. This would in turn

compromise the ability of the TPM service provider to operate. Should fiduciary risk be a priority, TPM in its current configuration may not be an appropriate tool. DFID may want to consider the use of other agencies that will specifically focus on this issue.

5. Recommendations for Remote Management and Third Party Monitoring Practices

The first part of this section outlines general recommendations that are relevant to both the Kenya and Somalia offices and potentially other DFID offices overseeing portfolios implemented through remote management practices. The subsequent text responds to the forward-reaching questions posed by DFID Kenya and Somalia about appropriate approaches for future programming and monitoring activities.

5.1 General Recommendations for DFID

DFID should undertake activities to build a solid foundation of best practice for both oversight and third-party monitoring of programmes using remote management.

A review of the literature around remote management in the private sector focusing on companies that regularly employ remote programme management indicates that there are practices that can mitigate the risks associated with remote programming. They can also strengthen programme implementation and results. Many of the general management principles that private companies rely on to deliver programmes successfully remotely across a range of sectors and contexts can be adapted to international development programmes delivered in high-risk environments such as those in Somalia. In order to mainstream these practices, DFID should consider remote management and conflict-sensitivity training for programme managers and advisors to help them identify and strengthen best practice within their portfolios from initial design and throughout the programme cycle. General elements of successful remote management are listed in Table 11 below:

Table 11: Elements of successful remote management

Planning	<p>Programme planning is particularly important in fragile and high-risk contexts, as it is in this phase that conflict and needs assessments should be conducted in order to inform the design of conflict-sensitive and targeted programming. In the planning phase organisations should:</p> <ol style="list-style-type: none"> 1) Conduct participatory conflict/context analyses and needs assessments to identify potential sources of conflict and local capacity with the goal of understanding better the relationship between the proposed programme and the context. 2) Define the purpose of engagement in the sector in question. Ensure that implementing partners clearly understand the purpose of the programme that they are proposing. <ul style="list-style-type: none"> <i>Questions to consider in this phase are: What are we trying to achieve? What is the overarching objective of this programme? In the case of third party monitoring, the questions to consider are: What information do we want? What are we going to do with this information? How will we feed this information back into the programme?</i> 3) Work with the implementing partner to design strategic programmes that are adaptable and flexible to changing dynamics during implementation.
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Teaming	<p>The importance of teaming with the partner who has the capacity to deliver the programme and a history of either successful direct engagement or sub-partners with strong ties to the programme locations is absolutely essential for successful remote management. To ensure that appropriate partners are identified, these actions are recommended:</p> <ol style="list-style-type: none"> 1) Conduct partner capacity assessments and due diligence reviews of all potential IPs and ISPs. 2) Invest time building strong relationships with key staff from the IPs (and ISPs, if possible) early on. 3) Clarify roles, responsibilities, and expectations for all team members from the beginning.
Information Management	<p>Information management systems enable coherent knowledge management at both the portfolio and individual programme levels. At the portfolio level, this would ensure that relevant staff could access programme data and information in a uniform and consistent way. Information management can be streamlined through the use of basic project management software, but software needs to be paired with governance of information, including setting expectations on information flows, giving staff responsibility and ownership of information, and holding them accountable for sharing it.</p>
Communications	<p>Much like setting the expectations for partners, it is essential to outline a clear communications strategy at the beginning of any programme. This extends beyond internal reporting to include frequency and the information to be communicated throughout the programme implementation period, and crucially an understanding of which audiences need to be communicated with and how.</p> <p>The foundation of the communications strategy should be the type of information deemed useful and appropriate, and to whom. For example, weekly status updates that outline that week's activities, planned activities for the coming week, outstanding issues and actions that require staff attention may be useful and relevant for some managers and programmes, less so for beneficiaries.</p> <p>Regardless of the frequency, emphasis should be placed on real-time communications that are relevant for the particular context. There should be clear points of contact for each stage of the programme chain; contact details for key partner and sub-partner staff should be available to project managers.</p>
Monitoring and Feedback	<p>Clarity around the purpose of monitoring must be provided from the outset of a programme. This applies both to monitoring of programmes by implementing partners and to specific third party monitoring activities. In both cases, feedback loops about performance should be integrated into the programme design and used to improve the programme. Feedback loops are particularly important for programme relevance and responsiveness to the communities in which they are implemented.</p> <p>For third party monitoring, DFID should ensure it has access to different models and actors with a spectrum of tools from light touch verification to detailed investigation. The most sensitive cases, such as fraud or fiduciary issues could then be handled separately to the regular verification team. To support this, DFID should consider a system of flags that would trigger additional verification. Examples of such triggers include a lack of consistency in the implementing partner</p>

	<p>reports, reports of fraud and corruption through complaints mechanisms and a low level of trust in the implementing partner.</p> <p>In reference to monitoring, DFID staff should consider these questions at the design phase of the programme:</p> <ol style="list-style-type: none"> 1) What approach to monitoring is relevant to this programme, partner, and level of access? 2) What type of information is needed? 3) How will the information be gathered? 4) What will DFID do with the information? 5) How will DFID provide feedback to the implementing partners and sub-partners? The community? The government? Other stakeholders?
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A separate coordinating body should be given the mandate to coordinate information on remote management and third party monitoring across the portfolios.

Internally, DFID could benefit from the creation of a specific coordination structure to encourage information sharing. It would enable advisors and programme staff to engage in a deeper analysis of the results of third party monitoring exercises, with a clearer picture of what remote programming practices DFID partners are using. This coordination structure could facilitate learning around DFID’s approach to programmes in Somalia and NE Kenya and focus on both the relevance of individual programmes, as well as the strategic impacts of sets of activities. It would also serve to mitigate the siloed effect of the DFID portfolio management structure and encourage more information sharing between staff working in different pillars and programmes, with positive effects for overall efficiency and effectiveness.

This coordinating body should be led and owned by one team within DFID. We recommend the Results Team/Monitoring Programme as best placed to do this. Whichever team or entity within DFID assumes this role should also be provided with the necessary staff and technological resources to undertake this critical coordination activity.

DFID should continue to advocate for more engagement and coordination on the part of all stakeholders around remote management practices and third party monitoring in NE Kenya and Somalia.

There is space for more engagement and coordination around remote management practices and third party monitoring between stakeholders in both Kenya and Somalia. DFID has already been leading the discussion and learning on these topics through a number of assessments and evaluations of its practices, as well as its willingness to share knowledge and experience. As one of the few donors engaging critically with these issues, DFID is well placed to capitalise on its knowledge in this area and strive to engage more with NGOs and consortiums. If one does not already exist, a multi-agency forum around monitoring and evaluation in fragile states that meets once a quarter could be helpful. For example, it could focus on building consensus around M&E standards for Somalia and understanding and mitigating the various types of risks that organisations face in that context.

This forum could also serve as a coordinating mechanism for third party monitoring activities, as there are several agencies adopting such models. A number of DFID’s implementing partners are implementing third party monitoring of their own: UNICEF is currently tendering two such contracts and WFP already has a third party monitoring system in place. Third party monitors need to maintain their independence for monitoring to be useful but DFID will need to engage with its implementing partners about the

implications of having parallel systems to avoid duplication of monitoring efforts, the use of the same company and to ensure that communities are not overwhelmed with multiple monitoring missions and actors.

If not already in place, DFID should outline ethical practices related to third party monitoring.

There are several ethical dilemmas that can arise from the use of external monitors by donor agencies in an environment like Somalia. The evaluation found instances of aggression towards third party monitors from implementers who were concerned about receiving negative feedback. Concerns were also raised about the potential for conflicts to arise when staff from locally based NGOs monitor another NGO in the same area, highlighting the personal risk to individuals carrying out monitoring activities. Therefore, the purpose of the M&E system should be explained clearly to all contractors from the outset of a programme, emphasising that it is a supporting function rather than a policing role.

Additionally, the provision of beneficiary data to third party monitors is a data protection issue. DFID must provide clear guidance for the protection of beneficiary data. This is a requirement for all programmes, but may be a particular concern for humanitarian projects where protection is a core principle and populations are extremely vulnerable. Questions to consider include:

- What is the level of DFID's duty of care to ensure that beneficiary data given to third party monitoring will not be used for other purposes?
- What data protection procedures will the implementing partners and third party monitors follow?

DFID should also put in place a transparent process to ensure that the implementing partners and third party monitors adhere to the same ethical development and humanitarian principles that DFID does.

5.2 Recommendations for DFID's Humanitarian Programme in NE Kenya

The recommendations that follow address DFID Kenya's questions on what it should or can do directly, and how it can get assurances of its implementing partners' remote management practices.

DFID should adopt additional monitoring mechanisms for oversight of its portfolio in NE Kenya.

Currently, DFID does not use third party monitoring for the Humanitarian Pillar's portfolio in NE Kenya. The evaluation team found that the implementing partners in NE Kenya were reluctant to engage with discussions around independent monitoring of their programmes. This was true of both UN agencies and INGOs. Currently, DFID relies primarily on partner programme reports to determine the success and impact of the portfolio. These programme reports are sometimes based on single sources of information that all implementing partners in the area rely upon, such as the health database managed by the Kenyan Ministry of Health. In order to improve reporting and monitoring practices, DFID should seek out additional sources of verification. This could come through independent monitoring or engaging in government networks or with other actors who have networks in NE Kenya.

Due to the finite nature of funding, DFID and its implementing partners should carefully consider the benefits of third party monitoring mechanisms in light of available resources. For instance, this evaluation found that there were divergent priorities at an institutional level between capacity building of government ministries and monitoring of their activities. Both capacity building and monitoring are aimed at improving the quality of programming.

Therefore funding should be allocated to whichever approach is better suited to achieving this goal.

DFID Kenya needs to manage the relationship with its partners carefully in order to introduce additional monitoring mechanisms successfully.

While DFID in NE Kenya maintains a good relationship and level of communication with its partners, the introduction of third party monitoring may impact this relationship. However, additional monitoring could be quite useful. DFID NE Kenya staff needs to think carefully about the process of integrating third party monitoring into their programmes, particularly around issues of communication, transparency and relationship management with the implementing partners.

5.3 Recommendations for DFID in Somalia

This section provides recommendations on which remote management approaches and tools are most appropriate for which types of programmes and the extent to which DFID Somalia should vary its approach.

In Somalia, DFID should vary its use of remote management and monitoring tools.

The programmes that were reported to be most effective by respondents integrated various layers and types of monitoring tools and activities, which increased the ability to triangulate information and provide additional contextual understanding.²⁴ Variations in monitoring and verification activities also limit the opportunities for diversion of programme funds and resources, as those engaged in such activities would find it more difficult to formulate a system of fraud against multiple monitoring tools. On the other hand, consistent use of a monitoring tool or schedule increases the opportunities for corruption. If people and organisations know how and when they will be monitored, they have space to conduct fraudulent activities and avoid detection.

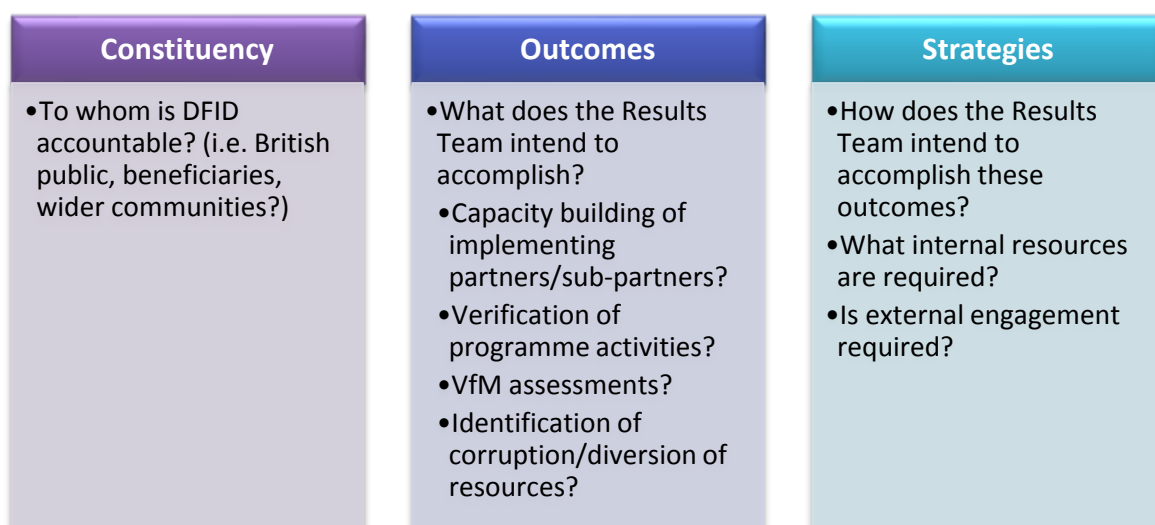
The use of a variety of approaches responds to the challenges of monitoring in the Somali context, where access and risks to monitors vary widely between locations. The most relevant monitoring system for DFID Somalia depends on the scope and scale of the projects, the level of risk, the type of programme and the verification requirements.

Three areas should guide the development of a theory of change for DFID's remote management practices.

One of the evaluation objectives was the creation of a theory of change that addresses whether different types of tools were appropriate for some types of programmes with the aim to help better inform DFID's portfolio oversight choices; however, there are fundamental questions in three areas that DFID must discuss and answer prior to any formulation of a theory of change. These areas include are outlined in Figure 6. Responses to these questions will allow DFID to formulate a theory of change (or potentially several theories of change, as necessary) that provides direction to the objectives they have identified.

²⁴ See Section 4.2, p. 26.

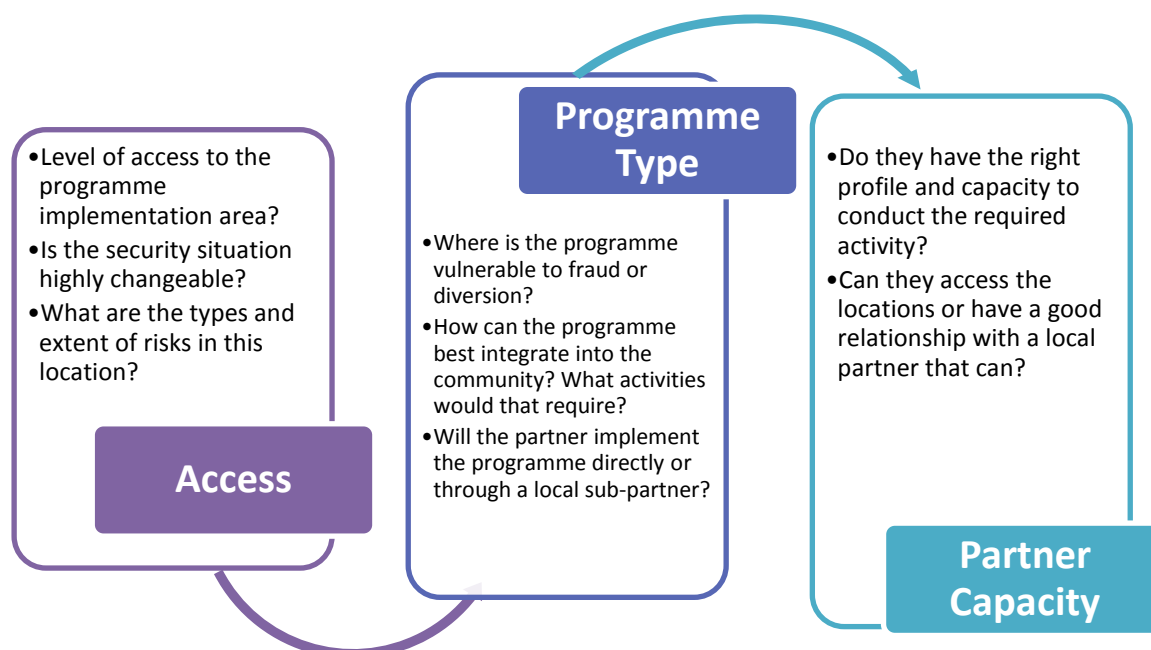
Figure 6: Key areas of consideration for developing a DFID Theory of Change for Remote Management



DFID should choose its remote management approaches based on three factors, not just type of programming.

Complex environments like Somalia require a nuanced examination of the choice of remote management practices instead of a prescriptive, predetermined selection. The selection of approaches in DFID’s portfolio should be informed by three elements as shown in Figure 7: Access, programme type, and partner capacity. The selection process should begin with a discussion around these three factors, guided by the related questions.

Figure 7: Three deciding factors in the selection of RPM and TPM approaches



There are a variety of tools which will give DFID Somalia better oversight of its programmes. Table 12 presents a toolkit of monitoring activities that are possible in different contexts.²⁵ The selection of these tools is based on the level of access to a

²⁵ A more detailed assessment the various monitoring approaches is included in Annex G.

location and the security risks associated with conducting monitoring activities there.

Table 12: Monitoring tools that can be employed in areas with different security profiles and levels of access

Type of Monitoring Activity	Low Security Risk/ Easy-to-Access Area	High Security Risk/ Difficult-to-Access Area
Call Centre	<p>Call centres could be used to decrease the cost of logistics and /or to cover a larger sample of respondents.</p> <p>Sample of respondents to a call centre is limited to beneficiaries with a phone number and responding to their phone, introducing a bias in the sampling.</p>	<p>Call centres could be used for the most complicated areas to access.</p> <p>Sample of respondents to a call centre is limited to beneficiaries with a phone number and responding to their phone, introducing a bias in the sampling.</p>
Desk Review	<p>Review of relevant programme and open source background documents focusing on identifying specific issues lack of reports, lack of coherence during triangulation.</p>	<p>Same as in low risk areas.</p>
Feedback Mechanisms	<p>Develop a channel of communication between communities and senior organisation manager, ideally to the Nairobi HQ level. This system can be used to call a specific phone number and / or to have a system receiving email/SMS. The flagging system from a feedback mechanism could be used to justify purposive sampling on the field.</p>	<p>Same as in low risk areas.</p>
Field Observations	<p>Use of GPS-enabled camera, Use of GPS-enabled tablets for field data collection. Observation forms filled out.</p>	<p>Sample geographically restricted. No use of camera or GPS enabled equipment because of security risks. Observation forms filled out.</p>
Focus Group Discussions	<p>Group meetings with community members—both beneficiaries and non-beneficiaries during field visits.</p>	<p>In urban areas only if possible at all. FGDs are sensitive as they bring people together and increase the visibility of the field data collection which might not be recommended in all cases.</p>

Type of Monitoring Activity	Low Security Risk/ Easy-to-Access Area	High Security Risk/ Difficult-to-Access Area
Ghost (or Covert) Monitoring	N/A	Ghost monitoring can be used to verify certain information on the field. Ghost monitoring is used when openly collecting information on the field will generate a high level of security risks for the field data collection team. Risks for the team can also compromise the integrity of the field data. Ghost monitoring is used to collect information available through informal discussion and field observation. It can report on a process of diversion for example, to point out specific issues but it has no reliable statistical relevance. It carries significant practical and ethical risks.
Household Surveys	Use of GPS-enabled tablet for field data collection during a field visit.	Sample geographically restricted. Paper forms can be during interactions with households. Some questions cannot be asked directly to respondent for security reasons.
Key Informant Interviews	Interviews can be conducted with community members during a field visit. This would usually include the local authority, elders, traders, specific livelihood or beneficiaries representative, religious leaders, etc.	Use of telephone/Skype for some locations. Restricted access to respondents as per the level of sensitivity of the subject and the profile of the respondent.
Satellite Imagery	Based on satellite imagery available, analysis and comparative analysis can be done between before/after images.	Same as in low risk areas.

5.4 Conclusion

Remote management practices have become a norm in environments characterized by fragility and conflict. In a protracted humanitarian crisis, such reality calls for a critical assessment of programming impact, through a specific appraisal of management processes and oversight, including but not limited to monitoring and evaluation.

DFID Somalia and NE Kenya have piloted a range of approaches and sought to learn from them.

During this evaluation, it was clear that remote management and oversight practices were perceived as a sensitive topic. Implementing partners fear that tools such as third party management increased micro-management and potentially reduced programme funding. As a result, they were often reluctant to engage in this conversation. This reluctance bears a three-pronged risk to the DFID funded portfolio:

- a lack of understanding about actual risks;
- a culture of unaccountability on the part of the IPs; and
- inadequate donor monitoring and oversight systems.

All these factors carry with them the potential to increase the institutional risk facing donors and implementing partners.

Despite these challenges, DFID is ideally placed to promote a culture of transparent information sharing and coordination on RPM and TPM, in support of more effective and efficient programming within the organisation and between its implementing partners. DFID can easily initiate such an effort in relation to the Somalia/Kenya portfolio, becoming a global policy leader on the topic by expanding to other geographies such as Yemen, Afghanistan, Nigeria, Sudan, and Syria where its portfolios are similarly engaged in RPM and TPM practices.

DFID Somalia and DFID Kenya Joint Management Response to the Evaluation

DFID Somalia and DFID Kenya welcome this report which is of value to us and we believe others in DFID and beyond. It provides an important first step towards having an evidence base for remote programming in an insecure environment. We believe it will be a valuable resource for people new to working in fragile or conflict-affected states and designing programming in such a context and will encourage greater dialogue between us and our implementing partners on the realities we are facing. We are conscious that some of the areas the evaluation looks at - such as third party monitoring - have only been trialed for a short period of time and are in a learning and adaptive phase, hence the study is timely, but also not definitive. We recognise that we will need to continue to experiment and develop our understanding further in future. To this end we are also participating in the Secure Access in Volatile Environments research study which will produce further insight later in 2015 and working with others in DFID to consolidate thinking on the role of third party monitoring in our programming.

In undertaking fact-checking of this report, we shared it with all the partners mentioned in it. Many responded saying they found it a useful examination of the issues involved in remote management, which identified things they thought should be taken forward. However, one partner- UNHCR Kenya - felt that the report was mistaken in its assessment of the situation with regard to their operations, 'over-emphasising a perceived lack of accountability' and disregarding extensive senior level international field presence and daily camp visits. While the evaluators stand by their assessment, UNHCR was keen that we highlight their views as well.

We have given careful consideration to the report's recommendations for DFID and responding to each in turn, over the next year:

- We will seek to have the DFID Kenya and Somalia Conflict Advisers deliver annual conflict sensitivity training in the Nairobi office and ensure that learning from this study is shared widely through our existing Programme Management fora and with new staff during inductions.
- DFID Somalia will use six monthly 'risk, results and value for money meetings' held with each thematic team to discuss remote management and third party monitoring (TPM). Each thematic 'pillar' currently has a dashboard of management information; two pillars already show third party verification data in terms of total numbers undertaken and the resulting ratings, and we can look to extend this to the other pillars too. We have built into contracts for providers of TPM that evidence should be synthesized and we can share such synthesis information more widely through the Accountability and Results Team (ART) which will continue to champion this agenda. The next iteration of our Anti-corruption strategy will include the latest learning about remote management. DFID Kenya is currently developing its response to increasing insecurity in some parts of the country and seeking to learn lessons from experience in DFID Somalia. ART is playing a facilitation role and thought will be given to how best to coordinate on this agenda going forward. Both DFID Kenya and DFID Somalia will work to ensure that adequate staffing and other resources are in place to support this work as it develops.
- We will share the findings of this study widely with relevant constituencies and see what the appetite is for more coordination outside of DFID. We understand that in Somalia the United Nations Risk Management Unit is currently coordinating a wider forum on improving risk management, with DFID support, so we will need to ensure no duplication of effort.

- With regard to data protection concerns highlighted, ART will consult with relevant DFID departments on various dimensions of this including contractual obligations around release of data from Implementing Partners (IPs) to Third Party Monitors (TPMs) and storage & dissemination of identifying personal data whether by IPs or TPMs. We will share guidance as appropriate.
- DFID Kenya's Humanitarian pillar does not currently intend to commission third party monitoring of partners since there is currently access to Kakuma Refugee Camp and high confidence in programme implementers (with good evidence from due diligence work too) in Dadaab Refugee Camp and visits will continue to the Camp compound to maintain contact with field counterparts. For the nutrition programme, a real time learning process is being put in place which will provide additional oversight as well as improving programme delivery and sharing good practice. The nutrition programme aims to strengthen Government systems and programme reports can be counterchecked against the internet-based Ministry of Health District Health Information System (DHIS) giving fair confidence in the reports. TPM may be considered as an option if there is a need to verify sensitive issues (e.g. possible theft of commodities) but the benefit of contracting a TPM agent to oversee the whole nutrition programme is not presently obvious, although the position across areas of Kenya experiencing insecurity will be kept under review.
- DFID Somalia is working on a theory of change for third party monitoring work in Somalia which will incorporate wider remote management issues.
- DFID Somalia will continue to examine our third party monitoring systems across the portfolio and endeavour to ensure that both programme delivery partners and TPMs have capacity to deliver in terms of technical skills and access.
- DFID Somalia will continue to use and test a wide range of Third Party Monitoring tools as appropriate to the context ranging from satellite imagery to interviews on the ground.



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Annex A: Terms of Reference - Cross cutting evaluation of DFID Somalia's approach to remote management

1. CONTEXT

Remotely-managed programmes are the primary mode of practice for many development and humanitarian actors in Somalia where security risks are high. As such, DFID Somalia staff are unable to visit most programmes they fund and there is high potential for corruption. In some parts of Eastern and North Eastern Kenya, near the Somali border, DFID and its partners face similar constraints.

DFID Somalia and Kenya want to be better able to assess the risks involved in our programming and to understand the results we are achieving. This information will then be used to inform programme design and monitoring arrangements.

In Kenya, DFID has primarily relied on partner agencies to monitor activities (whether implemented directly or by sub-grantees) in areas where DFID staff are unable to visit. However, even these agencies cannot deploy international staff (or national staff not local to the area) to certain areas. Even if monitoring does take place it is often infrequent or rapid given the risks. There currently appears to be little cross- learning regarding monitoring in the Somalia context and in Kenya.

DFID Somalia also uses partners to monitor but has also gone further in terms of deploying remote management in a variety of ways. The types of remote management practices currently used include third party monitoring, spot checks and light touch verification visits. For example, we currently use IBTCI as third party monitors in the Governance and Peacebuilding portfolio, use Coffey in the wealth creation portfolio and use several approaches in the Stability Fund and the humanitarian programmes. The UN's Risk Management Unit is also used to some extent across the programme.

"Remote management" can mean different things to different people within DFID including fraud detection systems with third party operators on the ground; contract enforcement processes with partners; looking at ourselves (our project management systems, legal obligations and incentives around corruption reporting and management); tools for verification – overt and agreed with partners or covert.

Other donors are also using a variety of remote management practices in Somalia. A cross donor Remote Management Working Group was established in 2013 comprising DFID, USAID/OFDA and EU/ECHO. The aim of the group is to develop a common understanding of what remote management means in the Somali context and whether an informal remote management standard can be developed for Somalia. However, the group is still new, it only has a small membership and there has been some unwillingness to share lessons. So, there is wider interest in the findings of the evaluation and the potential to widen the scope of the evaluation to include the remote management approaches of other donors.

Other DFID offices are also employing remote management techniques, including Yemen, Afghanistan, Nigeria, Sudan and Syria. However, there is interest but the timing is not right at the moment for a joint evaluation with other DFID offices, however, DFID Yemen are about to start implementation of their remote monitoring programme which is planning for an evaluation specifically for this programme. So there may be a possibility of broadening the scope of this evaluation in a year or so. This is a relatively new field and we are not aware of other evaluations seeking to compare approaches.

2. PURPOSE

The intended audience for the evaluation is DFID Somalia and DFID Kenya. The main purpose is to learn lessons from current remote management practices. The findings will be used to inform, and possibly make revisions to DFID remote management practices by providing a theory of change which addresses whether different remote management practices are more appropriate for some types of programmes or whether a mixed approach is appropriate.

The evaluation findings will also be useful for a wider audience including other donors and agencies working in Somalia or Kenya. Outside of Somalia and Kenya, the findings will be useful for other DFID offices that are managing programmes remotely.

The timing of the evaluation seems right for DFID Somalia and Kenya in terms of operational application to our programme and also in terms of wider interest from other donors and other DFID offices that are operating remotely.

DFID's Research and Evaluation Division has commissioned a longer term piece of research on "Secure Access in Volatile Environments". This includes a component looking at the effectiveness of monitoring and evaluation approaches in these settings and emerging best practice. Whilst this research is unlikely to yield final results until 2016, it will provide an opportunity to learn and build on the shorter term piece of work proposed in this TOR.

3. SCOPE & OBJECTIVES

This will be a cross cutting evaluation looking primarily at DFID Somalia, but also a few DFID Kenya programmes that use remote management approaches.

DFID Somalia has done substantial consultation on evaluation questions and would like to focus on the following:

- What remote management practices and tools does DFID Somalia use to date? Including what are the lessons, what approaches are used and what locations are they used?
- Should DFID Somalia be consistent in the use of remote management tools or is it important to vary the approach?
- Which remote management approaches and tools are most appropriate for which types of programmes?

DFID Kenya would also like to investigate:

- What remote management practices are used by DFID Kenya's implementing partners? Including what are the lessons and what approaches are used?
- What should/can DFID Kenya be doing directly and how can we get assurances of our implementing partners remote management practices.

The evaluation could also include desk based research of the strengths and weaknesses of approaches used by other donors working in Somalia/ Kenya. Other donors have not yet been approached. But the evaluation could draw on the resources of the Remote Management Donor Working Group of which DFID Somalia is an active member.

The main risks and changes faced by this evaluation will be the issues around access and security in Somalia when observing remote management practices.

4. EVALUATION CRITERIA

The following OECD-DAC evaluation criteria will be used:

- **Coordination, coherence and coverage** of DFID Somalia and DFID Kenya's current remote management practices which would include: mapping the locations of current approaches to assess coverage; assessing the coordination and coherence of approaches between the teams within DFID Somalia; assessing our coordination with other donors on remote management and whether a more coordinated approach is needed.
- **Relevance** of the remote management practices used by DFID Somalia and DFID Kenya in relation to the particular programmes and whether it is appropriate to use certain practices for some programmes or whether a mix of tools for each programme is needed.
- **Effectiveness** of remote management practices used by DFID Somalia and DFID Kenya and the reasons for this which could include: reducing opportunities for corruption/diversion; providing useful data on risks and results; and creating a positive culture around remote management.

The DAC criteria on sustainability, efficiency and impact are less relevant to this evaluation.

The main aim of the evaluation is to investigate the cross cutting use of remote monitoring. It will not include any other cross cutting issues

5. METHODOLOGY

The following is a possible methodology that could be followed. We are open to different approaches and so bids should make their proposed methodology clear but we expect robust qualitative methods to be used.

1) Explore remote management as currently deployed in a range of DFID Somalia and DFID Kenya programmes and, where possible, the approaches used by a selection of other development partners. Assess their effectiveness and reasons for this in terms of:

- Reducing opportunities for diversion of resources
- Providing useful information on risks and results for management
- Creating a positive culture around remote management

2) Use this information to create a theory of change linked to remote management which addresses issues of whether different tools are more appropriate for some types of programmes than others, whether we need a mix of tools for each programme, and whether there is an advantage to varying the approach or remaining consistent.

It is expected that the supplier will conduct interviews with DFID staff, our third party monitors, our partners that are being monitored and some other donors. These interviews should investigate the methods and approaches used as well as testing the theory of change. There is also the option to speak to the consultants currently researching "Secure Access in Volatile Environments".

The supplier may wish to investigate all of the remote management practices used by DFID Somalia and to investigate a sample of tools or specific verifications in more detail. We expect tenderers to clearly explain their sampling approach for selecting verification visits to observe. For example, IBTCI will undertake 40 verification visits for a variety of DFID programmes before

June 2014; Coffey will undertake a round of verification visits before September 2014; GDSI will be starting to use a variety of techniques in the humanitarian programme from around June 2014.

For DFID Kenya it is expected that the scope of the evaluation will be smaller and will only look at 2 to 4 programmes in Northern Kenya. It is expected that the supplier would conduct 2 site visits; one in Dadaab and one in north eastern Kenya. These visits would investigate in more detail the methods used by implementing partners to monitor programmes.

6. DATA SOURCES

The main sources of information for the study will be: reviewing DFID programme documents, partner reports, partner methodologies (e.g. for verifications); interviews with DFID staff, third party monitors, implementers that are being monitored remotely, and implementers that are undertaking remote management themselves; and observing remote monitoring practices such as verification visits.

7. OUTPUTS

The outputs of the evaluation will be:

- A Progress Report setting out:

Progress that has been made so far including sampling approaches, accessing documents, setting up interviews etc. (It is expected that the tender bid would already set out the proposed methodology and timeline).

- An Evaluation Report (or reports) to include:

A mapping of the current remote management practices used by DFID Somalia including their locations, coordination between teams within DFID Somalia and with other donors.

A brief mapping of current practices used by DFID Kenya's implementing partners.

Lessons learned across both offices including:

An assessment of the effectiveness of remote management techniques and reasons for this.

A theory of change which addresses whether different types of tools are more appropriate for some types of programmes or whether a mix of tools is needed and whether there are advantages to varying the approach or remaining consistent.

The main audience of these outputs will be DFID Somalia and Kenya but they will be of wider interest to other donors working in Somalia, Kenya and other DFID offices that are using remote management techniques. A communications plan will be developed during the inception phase of the evaluation.

8. WORKPLAN

The tenderer should set out in their bids the timeline which they think is realistic. A proposed timetable is set out below.

Date	Activity / output
1 st May 2014	Progress report
May to August 2014	Assess the effectiveness of DFID remote management practices. Observe a sample of verification visits or other techniques. Develop a theory of change to compare different techniques.

1 st September 2014	Evaluation report(s)
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10. COMPETITION CRITERIA

Bids will be reviewed according to the following criteria:

- Quality of personnel – including expertise, mix of skills, leadership in the field of conducting quality evaluations. (only those with named core personnel with specific, substantive roles will be scored) (25%);
- Evidence of capacity to undertake work as set out in the ToRs – track record of performing high quality, rigorous evaluations using appropriate methods, skills in design, implementation and analysis; ability to link with Somali counterparts. (30%);
- Ability to operate in fragile and conflict affected contexts, including Somalia (20%)
- Commercial / value for money criteria (25%)

The Supplier should demonstrate experience in the following areas:

- Extensive qualitative and quantitative evaluation experience.
- Working in humanitarian settings and especially fragile states (previous work in Somalia and Kenya will be an added advantage).

The supplier should also have the ability to travel to Somalia/NE Kenya and experience of establishing working relations with local Somali staff. Local Somali staff would be required if the tenderer proposes to observe verification visits.

11. RESPONSIBILITIES

The evaluation will be managed by the DFID Kenya/Somalia Accountability and Results Team. The funding and programme management support for the evaluation will come from the DFID Somalia Accountability Programme. The Accountability and Results Team will also be responsible for taking forward recommendations and lessons learned from the evaluation in consultation with programme teams. The evaluation will be managed in consultation with other DFID Somalia and Kenya advisers and programme staff as well as others from HQ and other DFID offices.

The bids should provide detailed breakdowns of the proposed budget. The budget should include VAT as well as all travel and security costs to Somalia, North East Kenya and Nairobi.

The supplier will be expected to collate all necessary documents themselves from our partners such as verification and monitoring reports. The supplier will also be expected to organise all interviews and travel themselves.

12. DUTY OF CARE

The Supplier is responsible for all acts and omissions of the Supplier's Personnel and for the health, safety and security of such persons and their property. The provision of information by DFID shall not in any respect relieve the Supplier from responsibility for its obligations under this Contract. Positive evaluation of proposals and award of this Contract (or any future Contract Amendments) is not an endorsement by DFID of the Supplier's security arrangements". Note that the term "Supplier's Personnel" is defined under the Contract as "any person instructed

pursuant to this Contract to undertake any of the Supplier's obligations under this Contract, including the Supplier's employees, agents and sub-contractors.

DFID will share available information with the Supplier on security status and developments in-country where appropriate. DFID will provide the following:

- All Supplier Personnel will be offered a security briefing by the British Embassy Nairobi (Mogadishu when in Somalia) on arrival. All such Personnel must register with their respective Embassies to ensure that they are included in emergency procedures.
- A copy of the DFID visitor notes (and a further copy each time these are updated), which the contractor may use to brief their Personnel on arrival.

This Procurement will require the supplier to operate in conflict-affected areas and parts of it are highly insecure. The security situation is volatile and subject to change at short notice. The supplier should be comfortable working in such an environment and should be capable of deploying to any areas required within the region, where they adjudge security permits, in order to deliver the contract.

The supplier is responsible for ensuring that appropriate arrangements, processes and procedures are in place for their Personnel, taking into account the environment they will be working in and the level of risk involved in delivery of the Contract. The Supplier must ensure their Personnel receive the required level of training and complete a UK government approved hostile environment training course (SAFE) or safety in the field training prior to deployment.

The Supplier is responsible for ensuring appropriate safety and security briefings for all of their Personnel working under this contract and ensuring that their Personnel register and receive briefing as outlined above. Travel advice is also available on the FCO website and the Supplier must ensure they (and their Personnel) are up to date with the latest position.

Tenderers must develop their Tender on the basis of being fully responsible for Duty of Care in line with the details provided above and the initial risk assessment matrix developed by DFID (see annex). They must confirm in their Tender that:

- They fully accept responsibility for Security and Duty of Care.
- They understand the potential risks and have the knowledge and experience to develop an effective risk plan.
- They have the capability to manage their Duty of Care responsibilities throughout the life of the contract.

Duty of Care Questions

Please state 'yes' or 'no' to each of the Duty of Care questions detailed below in the boxes provided. Please refer to any information provided on Duty of Care within the Terms of Reference, Additional Information Documents before completing this section.

Your responses must be supported by evidence (no more than 2 A4 pages) attached as a separate Annex and must include a statement confirming that you (as the Lead Organisation) fully accept responsibility for Security and Duty of Care (including any personnel and subcontractors) throughout the life of the contract. The supplier must demonstrate their capability to take on this responsibility in terms of knowledge, experience and resources.

DFID reserves the right to clarify any aspect of this evidence or to request additional evidence/information where we deem appropriate. We may also decide to conduct an interview before short-listing a supplier for Invitation to Tender.

If you are unwilling to accept responsibility or are assessed by DFID as not having the capability to provide Security and Duty of Care for any contract awarded under this procurement, your tender will be excluded from any further Technical Evaluation and Scoring.

Note: this assessment of supplier capability does not form part of the Technical Evaluation and Scoring and should not be viewed as DFID setting any standard of Duty of Care requirements, which is for the supplier to determine.

1.	Have you completed an initial assessment of potential risks that demonstrates your knowledge and understanding, and are you satisfied that you understand the risk management implications (not solely relying on information provided by DFID)?
2.	Have you prepared an outline plan that you consider appropriate to manage these risks at this stage (or will you do so if you are awarded the contract) and are you confident/comfortable that you can implement this effectively?
3.	Have you ensured or will you ensure that your staff are appropriately trained (including specialist training where required) before they are deployed and will you ensure that on-going training is provided where necessary?
4.	Have you an appropriate mechanism in place to monitor risk on a live/on-going basis (or will you put one in place if you are awarded the contract)?
5.	Have you ensured or will you ensure that your staff are provided with and have access to suitable equipment and will you ensure that this is reviewed and provided on an on-going basis?
6.	Have you appropriate systems in place to manage an emergency/incident if one arises?

Annex

- DFID Somalia Operational Plan:
<https://www.gov.uk/government/publications/dfid-somalia-operational-plan-2013>
- DFID Kenya Operational Plan:
<https://www.gov.uk/government/publications/dfid-kenya-operational-plan-2013>
- DFID's Evaluation Policy:
<https://www.gov.uk/government/publications/dfid-evaluation-policy-2013>
- DFID Ethical principles for research and evaluation
<https://www.gov.uk/government/publications/dfid-ethics-principles-for-research-and-evaluation>
- TORs for DFID research on "Security Access in Volatile Environments".
- DFID Risk Assessment for Somalia
- DFID Risk Assessment for Kenya

Annex B: Selected Bibliography

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- . 2012c. *Business Case and Intervention Summary - Title: Support for Refugees in Kenya: 2012-2014*.

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Annex C: List of Interviewees

DFID Staff (Total Interviewed: 28)

No.	Position/Title	Office	Interview Date
1	Wealth Advisor	DFID	19/06/2014
2	Deputy Director	Somalia stability Fund-Adam Smith International (ASI)	24/06/2014
3	Senior Program Officer	DFID Kenya	17/06/2014
4	Senior Governance Adviser – Head of Governance and Peacebuilding Team	DFID Somalia	12/06/2014
5	Programme Officer	DFID Somalia	11/06/2014
6	Humanitarian Adviser, DFID Kenya	DFID Kenya	12/06/2014
7	Humanitarian Adviser, DFID Kenya	DFID Kenya	12/06/2014
8	Statistics Adviser	DFID Nigeria	18/06/2014
9	Governance Advisor	DFID Somalia	30/06/2014
10	Head of Programme Support on Governance and Peacebuilding team	DFID Somalia	17/06/2014
11	Head of Stability Fund	DFID Somalia	11/06/2014
12	Senior Statistics Adviser	DFID Yemen	30/06/2014
13	Policy Officer	DFID Somalia	17/06/2014
14	Deputy Head of Office, DFID Kenya	DFID Kenya	17/06/2014
15	Programme Officer –Wealth programme	DFID- Somalia	12/06/2014
16	Health Adviser	DFID Somalia	17/06/2014
17	Results Adviser	DFID Somalia	18/06/2014
18	Health Advisor	DFID- Somalia	30/06/2014
19	Governance and conflict adviser	DFID Somalia	17/06/2014
20	Wealth Advisor	DFID Somalia	12/06/2014
21	Head of Section – health, wealth and humanitarian pillars and Somaliland Development Fund	DFID Somalia	19/06/2014
22	Programme Assistant	DFID Somalia	30/06/2014
23	Deputy Head of Office	DFID Somalia	20/06/2014

No.	Position/Title	Office	Interview Date
24	Governance adviser	DFID Somalia	12/06/2014
25	Humanitarian Adviser	DFID Somalia	17/06/2014
26	Programme Assistant	DFID Somalia	12/06/2014
27	Programme Assistant	DFID Kenya	12/06/2014
28	Results and Evaluation Advisor	DFID DRC	7/29/2014

Implementing Partner Staff (Total Interviewed: 20)

No.	Position/Title	Office	Interview Date
29	Area and Office Manager	CARE	6/26/14
30	TBC	WFP	6/13/14
31	M&E Advisor with the GPC Programme Quality Unit	IRC	6/26/14
32	Monitoring and Evaluation Specialist, Partnerships and Planning Unit	UNDP	6/25/14
33	Governance and Right Coordinator	IRC	6/26/14
34	Coordinator, Livestock Sector	FAO Somalia	7/29/14
35	Agro-economist	FAO Somalia	25//06/2014
36	Program Officer	World Vision	6/20/14
37	East Africa Deputy Regional Director	PSI	12/08/214
38	Nutrition Officer	WFP	6/13/14
39	Country Representative	PSI Somaliland	8/13/14
40	Nutrition Advisor	Islamic Relief Kenya	6/20/14
41	BRCiS Consortium Manager	NRC	8/21/14
42	M&E Officer	JPLG Programme Management Unit, Hargeisa	6/26/14
43	Senior Programme Officer	UNHCR	6/13/14
44	Chief of Social Policy Planning Monitoring and Evaluation	UNICEF	8/21/14
45	Deputy Country Director (Somalia)	Danish Demining Group	6/27/14
46	SNS – Strengthening Nutrition in South Central Somalia - Consortium Manager	SNS/Save the Children	8/21/14

No.	Position/Title	Office	Interview Date
47	Local Area Manager	JPLG Programme Management Unit - Hargeisa	6/25/14
48	Nutrition Specialist- Emergency	UNICEF	6/13/14
49	Governance and Peacebuilding Consortium Coordinator	CARE/DRC	6/26/14
50	Livelihood and Reintegration Officer	UNHCR	8/22/14
51	UN Joint Programme on Local Governance and Decentralized Services	UNDP	6/25/14
52	Technical Advisor	HCS-Nairobi	8/7/14
53	Program Officer	WFP	6/13/14
54	Deputy Director, Programs	International Rescue Committee	6/20/14
55	External Relations Officer	WFP	8/26/14
56	Programme Quality Coordinator	Islamic Relief Kenya	6/20/14
57	Nutrition Advisor	Save the Children	6/20/14

3rd Party Monitoring Staff (Total Interviewed: 13)

No.	Position/Title	Office	Interview Date
58	Head	Eagle Consulting-Mogadishu	24/06/2014
59	Risk Management Analyst	UNON	16/06/2014
60	Senior M & E specialist	IBTCI/MEPS-Nairobi	16/06/2014
61	IBTCI Partner – South & South Central Somalia	IBTCI partner	18/06/2014
62	East Africa Business Development Manager	Coffey	06/06/2014
63	Deputy Chief of Party	IBTCI/MEPS – Nairobi	16/06/2014
64	Managing Director	Sahan Research	18/06/2014
65	IBTCI – Chief of Party	IBTCI – Nairobi	10/06/2014
66	Head- Monitoring and Evaluation practice	Transtec Project Management	30/06/2014
67	Team Leader – SEED Independent Monitoring Support	Coffey – Nairobi	6/06/2014

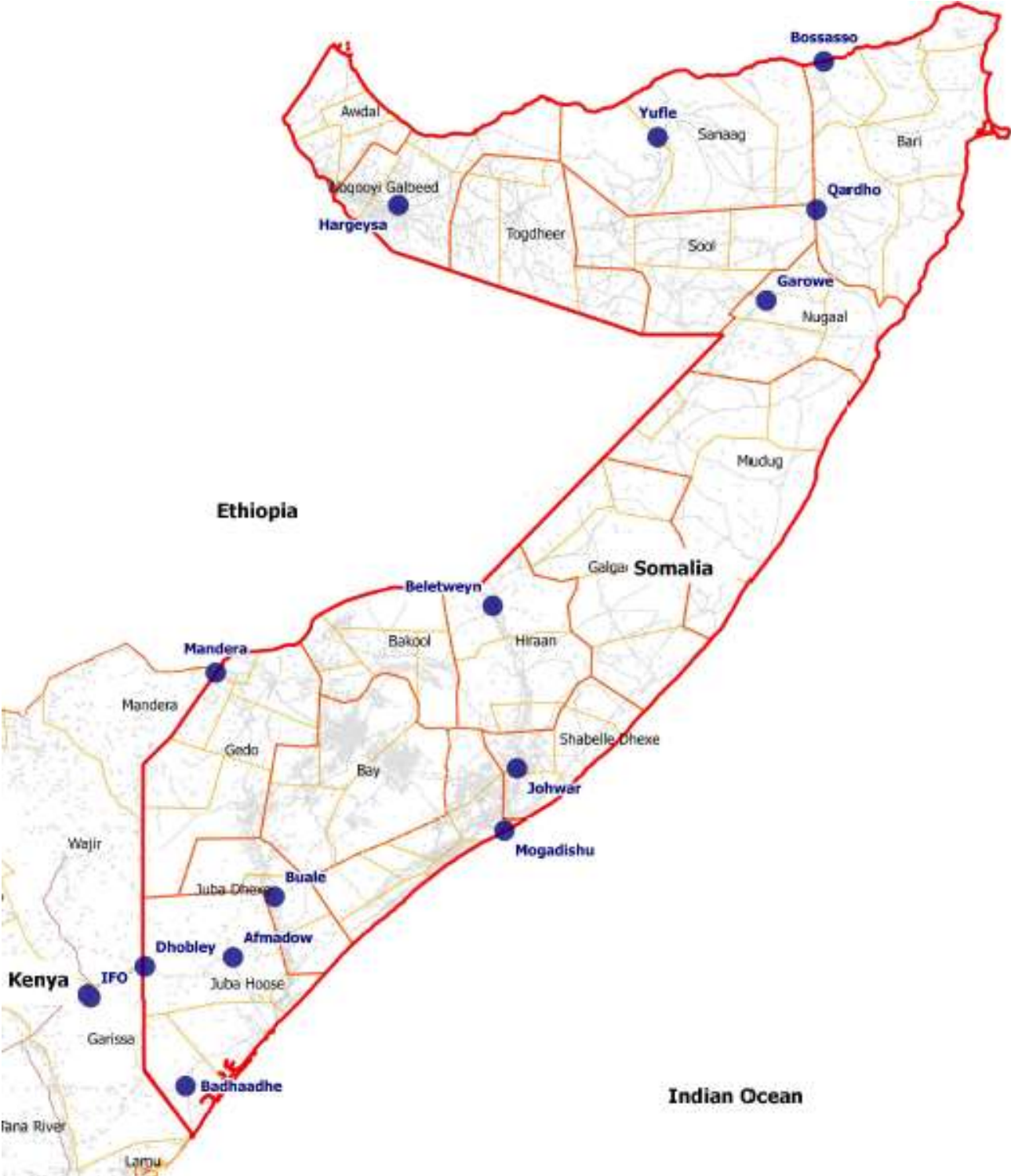
No.	Position/Title	Office	Interview Date
68	Associate Director/Lead monitor	Social Research & Development Institute-Hargeisa	26/06/2014
69	Risk Information Analyst –Risk Management unit office of the Resident & Humanitarian coordinator	UNON	16/06/2014
70	Third Party Monitoring Team Lead	IBTCI	24/06/2014

Other External Stakeholders (Total Interviewed: 7)

No.	Position/Title	Office	Interview Date
71	Partner	Humanitarian Outcomes	17/06/2014
72	Counsellor	Norwegian Embassy	20/06/2014
73	First Secretary	Norwegian Embassy	
74	Program coordinator community stabilization	IOM	11/06/2014
75	Development Officer – Foreign Affairs Trade & Development Canada	Canadian Embassy	23/06/2014
76	Senior Programme Assistant – TIS	IOM	11/06/2014
77	Deputy Director	Somalia Stability Fund, Adam Smith International	6/24/2014

Annex D: NE Kenya/Somalia Data Collection Table and Map

The Axiom team conducted data collection activities in the areas marked with a blue dot.



Annex E: Map of NE Kenya Remote Management Practices

	Lead Agency	Location	Programming Approach	Activities	Partners	Monitoring Tools
Support for Refugees in Kenya	WFP	Dadaab Kakuma	<p>1). Direct implementation WFP maintains a sub-office in Dadaab with field offices in each of the five camps where WFP staff work during the day. WFP hires a small number of local incentive workers.</p> <p>2). Sub-contracting through INGOs/LNGOs Seven implementing partners: Six INGOs, one LNGO. The ISPs also rely heavily on local incentive workers.</p>	<ul style="list-style-type: none"> Moderate Acute Malnutrition (MAM) interventions General food distributions 	<ul style="list-style-type: none"> CARE International Danish Refugee Council (DRC) International Rescue Committee (IRC) Islamic Relief Worldwide (IRW) Kenya Red Cross Society (KRCS) MSF SWISS (MSF-CH) Norwegian Refugee Council (NRC) 	<ul style="list-style-type: none"> Beneficiary feedback: community meetings at accessible sites Biometrics In-field Monitoring Visits: WFP staff- from Dadaab and Nairobi Internal and External Evaluations and audits. Joint monitoring visits: all stakeholders Regular In-field Monitoring: Field staff monitoring at distribution sites and reports. Trend tracking: Survey data
	UNHCR		<p>1). Direct implementation UNHCR maintains a sub-office in Dadaab, with a Director-level (D-1) Head of Sub-Office who is a member of the Somali diaspora. There is increased focus on placing senior international staff in the office, increasing responsibility for decision-making and financial autonomy to the sub-office level. UNHCR also hires local incentive workers.</p> <p>2). Sub-Contracting through INGOs/LNGOs Twenty-one I/LNGO partners. Number of sub-contracted implementing partners recently reduced to fourteen.</p>	<ul style="list-style-type: none"> Severe Acute Malnutrition (SAM) and Moderate Acute Malnutrition (MAM) interventions Out-patient health care provision WASH activities Support for refugee registration, settlement, and voluntary return 	<ul style="list-style-type: none"> CARE International Kenya Danish Refugee Council Department of Refugee Affairs Don Bosco Fafi Integrated Development Assoc. FilmAid International Hebrew Immigration Aid Society International Rescue 	<ul style="list-style-type: none"> Beneficiary feedback: community meetings at accessible sites In-field Monitoring Visits: UNHCR staff- Dadaab and Nairobi Internal and External Evaluations, financial verifications, and audits Joint monitoring visits: all stakeholders Trend tracking: Survey data

					<p>Committee</p> <ul style="list-style-type: none"> • Islamic Relief Worldwide • Jesuit Refugee Service • Kenya Magistrates and Judges Assoc. • Kenya Red Cross Society • Legal Advice Centre-Kituo Cha Sheria • Lokichoggio Oropoi Kakuma Development Org. • Lutheran World Federation National Council of Churches in Kenya • Norwegian Refugee Council • Peace Winds Japan • Refugee Consortium of Kenya • Relief Reconstruction and Development Organization • Save The Children International. • Windle Trust UK in Kenya 	
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Enhancing Nutrition Surveillance Response and Resilience Programme (ENSURRE)	UNICEF	ASAL Counties Mandera ²⁷ Wajir ²⁸	<p>1). Direct implementation UNICEF maintains a sub-office in Dadaab as well as field offices.</p> <p>2). Sub-contracting through INGOs/LNGOs Eight implementing partners: Seven INGOs, one LNGO. Two of the INGOs further sub-contract to LNGOs.</p> <p>3). Implementation through government structures One national UNICEF Nutrition Support officer (NSO) is embedded in the government office. The staff member covers 2-3 counties.</p>	<ul style="list-style-type: none"> • Nutrition services • System strengthening activities and coordination in the nutrition sector, mainly through support of the Ministry of Health at the district level. 	<ul style="list-style-type: none"> • ACF • Concern Worldwide • Food for The Hungry • IMC • Kenya Red Cross • Mercy USA • Save the Children • World Vision 	<ul style="list-style-type: none"> • Beneficiary feedback: community meetings in accessible areas • Daily In-Field Monitoring: NSO and staff reports, activity support, capacity building and visits • In-Field Monitoring: Nairobi staff visit at least once every quarter to do monitoring and spot-checks • Internal and External Evaluations • Government reports • Organisational profiles and audits. Follow-up checks depending on the risk level will be carried out. (High Risk: Every 3 months; Medium Risk: Every 6 months; Low Risk: Once a year.) • Trend tracking: Survey data. Community members work as enumerators.
	NGO Consortia	<p>Mandera (Save the Children/ Islamic Relief)</p> <p>Turkana (IRC/ World Vision)</p> <p>Wajir (Save the Children/ Islamic Relief)</p>	<p>1). Direct implementation The consortium members are mainly implementing activities directly with community support and collaboration with some faith-based organisations.</p> <p>2). Sub-contracting through LNGOs IRC has two local partners. It is the only consortium member that sub-contracts to local partners.</p>	<ul style="list-style-type: none"> • Nutrition services 	<ul style="list-style-type: none"> • AIC Lokichoggio • Catholic Diocese Lodwar 	<ul style="list-style-type: none"> • Beneficiary Feedback: at project sites. Some areas difficult to access • Consortium Monitoring and Evaluation processes • Internal and External Evaluations • Smart phone survey with GPS • Survey data. Community members work as enumerators.

Note: The information in this annex was synthesized from several programme documents provided to us during the evaluation period. All documents were dated before August 2014; programme information may now be out-of-date.

²⁷ UNICEF has no direct access to the programme in Mandera.

²⁸ UNICEF recently moved staff from Wajir due to security risks.

Annex F: Map of DFID Somalia Remote Management Practices²⁹

	Lead Partner	Location	Programming Approach	Activities	Partners	Monitoring Tools
Community Driven Reconstruction & Development	Danish Refugee Council (DRC)	<i>Somaliland</i>	1). Direct implementation DRC implements directly with the community	<ul style="list-style-type: none"> Capacity building activities with the community 	<ul style="list-style-type: none"> Community 	<ul style="list-style-type: none"> IBTCI 3rd Party Monitoring
Community Safety in Somalia and Somaliland	Danish Deming Group (DDG)	<p><i>Somaliland:</i> Erigavo Elafweyn</p> <p><i>Puntland:</i> Eyl Gardo Garowe</p> <p><i>South Central:</i> Abdiasiz Abudwaq Belet Xawo Dullow Hodan Luuq Mogadishu Waberi Wadajir</p>	<p>1). Direct implementation DDG implements directly with the community</p> <p>2). Sub-contracting through LNGO DDG partners with a LNGO for the gender violence component of its programming activities.</p>	<ul style="list-style-type: none"> Mine Risk Education Firearms Safety Education Conflict Management Training 	<ul style="list-style-type: none"> Community government WAAPO 	<ul style="list-style-type: none"> Feasibility study IBTCI 3rd Party Monitoring Impact evaluation Research study

GPC	DRC	<i>Puntland:</i> Galkacyo	1). Direct implementation DRC implements directly with the community government structures. DRC is also the Grants Manager for the programme.	<ul style="list-style-type: none"> Capacity building activities with village councils. 	<ul style="list-style-type: none"> Local councils 	<ul style="list-style-type: none"> Feasibility study IBTCI 3rd Party Monitoring Impact evaluation Outcome mapping
	IRC	<i>Puntland:</i> Burtinle,	1). Direct implementation IRC implements directly with the community government structures. IRC is also the lead M&E for the programme.			
	CARE International	<i>Somaliland:</i> Erigavo,	1). Direct implementation DRC implements directly with the community government structures. CARE is the Technical Lead for the programme.			
	UNICEF	Not operational				
Health Consortium for the Somali People (HCSP)	Population Services International (PSI)	<i>Somaliland:</i> Hargeisa	1). Direct implementation PSI implements directly with the community advisory boards. PSI is also the Project Coordination Agency. 2). Sub-contracting through LNGOs PSI partners with INGOs and local pharmacies .	<ul style="list-style-type: none"> Social marketing of water purification tablets, diarrhea treatment kits and family planning products in Somaliland 	<ul style="list-style-type: none"> Community Advisory Boards Government Agencies LNGOs Medical Associations, Institutes, and Universities 	<ul style="list-style-type: none"> Community Monitoring Committees IBTCI 3rd Party Monitoring Independent Technical Advisor and Monitor
	Health Poverty Action (HPA)	<i>Somaliland:</i> Sahil Region	3). Partnerships with local health organisations IPs partner with local health organisations. This arrangement differs from			
	Tropical Health &	<i>Somaliland:</i>		<ul style="list-style-type: none"> Essential Package of Health Services 		

	Education Trust (THET)	Hargeisa	implementation with LNGOs because of its capacity development component.	(EPHS) <ul style="list-style-type: none"> • Capacity building with the Ministry of Health and professional associations 		
	Save the Children	<i>Puntland:</i> Karkar		<ul style="list-style-type: none"> • Essential Package of Health Services (EPHS) 		
	Trocaire	<i>South Central:</i> Gedo,		<ul style="list-style-type: none"> • Essential Package of Health Services (EPHS) 		
Joint Health and Nutrition Programme (JHNP)	WHO UNFPA	<i>Somaliland</i> <i>Puntland:</i> Bari Mudug Nugal <i>South Central:</i> Banadir Galgadud Lower Juba	1). Direct implementation Both agencies implement directly, relying heavily on local staff.	<ul style="list-style-type: none"> • Technical assistance • Governance and leadership capacity building at the ministry level (WHO) • Procurement (UNFPA) • Scholarships and training for midwives (UNFPA) 	<ul style="list-style-type: none"> • Government Agencies • Communities 	<ul style="list-style-type: none"> • Assessments by the UN agencies • IBTCI 3rd Party Monitoring
	UNICEF	<i>Somaliland</i> <i>Puntland</i> <i>South Central</i>	1). Sub-contracting through LNGOs Service provision has been contracted out to LNGOs	<ul style="list-style-type: none"> • Support for the EPHS at the district level 	<ul style="list-style-type: none"> • District governments • LNGOs (partners were in the process of being contracted so were not known at the time of verification) 	

Multi-Year Humanitarian Programme

<p>Nutrition Programme Consortium led by SCI. Members include ACF, Concern, Oxfam, and SCI.</p>	<p><i>Somaliland</i> <i>Puntland</i> <i>South Central:</i> Mogadishu</p>	<p>1). Direct implementation 50% of the programme is directly implemented.</p> <p>2). Sub-contracting through LNGOs 50% of the programme is implemented through LNGOs</p>	<ul style="list-style-type: none"> • Nutrition and health activities 	<ul style="list-style-type: none"> • LNGOs (not known) 	<ul style="list-style-type: none"> • Harmonised Remote Monitoring Process, including GPS photos and video, joint field monitoring, peer review, focus groups, checklists) • Transtec 3rd Party Monitoring
<p>Resilience Programme Consortium led by Norwegian Refugee Council. Members include CESVI, Concern, IRC, NRC, SCI.</p>	<p>Somaliland Puntland <i>South Central:</i> Mogadishu</p>	<p>1). Direct implementation CESVI, IRC, NRC, and SCI implement directly.</p> <p>2). Sub-contracting through LNGOs Concern contracts with LNGOs for implementation of its projects.</p>	<ul style="list-style-type: none"> • A wide variety of activities under the <i>Building Resilient Communities in Somalia Programme (BRCiS)</i> 	<ul style="list-style-type: none"> • LNGOs (not known) 	<ul style="list-style-type: none"> • Capacity Development of LNGOs • Real-time data collection • Secondment of staff to LNGOs. • Transtec 3rd Party Monitoring
<p>UNICEF</p>	<p><i>Somaliland</i> <i>Puntland</i> <i>South Central:</i> Mogadishu</p>	<p>1). Sub-contracting through INGO and LNGOs UNICEF sub-contracts the implementation of its activities in this programme through cooperative agreements with over 75 INGOs and LNGOs throughout Somalia and Somaliland.</p>	<ul style="list-style-type: none"> • Urgent responses to unexpected food insecurity • WASH interventions • Flood relief activities 	<ul style="list-style-type: none"> • Over 75 INGO/ LNGO partners (Number and name of those implementing DFID-funded activities not provided) 	<ul style="list-style-type: none"> • Overt 3rd Party Monitoring • Organisational profiles and risk database • Transtec 3rd Party Monitoring
<p>WFP</p>	<p><i>Somaliland</i> <i>Puntland</i> <i>South Central:</i> Mogadishu</p>	<p>1). Sub-contracting through INGO and LNGOs UNICEF sub-contracts implementation through cooperative agreements with over 124 INGOs and LNGOs throughout Somalia and Somaliland.</p>	<ul style="list-style-type: none"> • Urgent responses to unexpected food insecurity • WASH interventions • Flood relief activities 	<ul style="list-style-type: none"> • Over 124 INGO/ LNGO partners (Number and name of those implementing DFID-funded activities not provided) 	<ul style="list-style-type: none"> • Process/activity monitoring by WFP staff visiting the Food/Voucher Distribution Points (F/VDPs) using standard checklists • 3rd Party Monitors based in WFP Area Offices that monitor inaccessible areas, third party

						<p>field monitors are trained by WFP and use the same M&E toolkit as WFP monitors.</p> <ul style="list-style-type: none"> • Transtec 3rd Party Monitoring
	Detailed information was not available on the UNHCR and FAO components of this programme.					
Rule of Law and Safety – Access to Justice Project	UNDP	<p><i>Somaliland</i></p> <p><i>Puntland</i></p> <p><i>South Central:</i> Mogadishu</p>	<p>1). Direct implementation Both agencies implement and provide support directly, relying heavily on local staff.</p>	<ul style="list-style-type: none"> • Mobile courts support • Case Management to the Somaliland and Puntland Supreme Courts • Scholarship support to law students • Legal Aid Support 	<ul style="list-style-type: none"> • Legal aid centres 	<ul style="list-style-type: none"> • IBTCI 3rd Party Monitoring • Local UNDP staff support and monitoring of legal aid centres
SEED II	FAO	<p><i>Somaliland</i></p> <p><i>Puntland</i></p> <p><i>South Central:</i> Mogadishu</p>	<p>1). Direct implementation FAO implements some activities directly</p> <p>2). Sub-contracting through LNGOs For some of the programme implementation, FAO contracts LNGOs</p> <p>3). Sub-contracting through the private sector FAO also contracts for—profit companies to implement some programme activities</p>	<ul style="list-style-type: none"> • Support to livelihoods and employment opportunities • Investment in market-related infrastructure • Strengthening of public and private institutions • New approaches on conflict-sensitivity and market development in Somalia Capacity building for medium, small, and micro enterprises focusing on women and young people 	<ul style="list-style-type: none"> • American Refugee Committee (ARC) • Community Care Organization (COMCARE) • Jubaland Development Organizations (JDO) • Swiss KALMO • Women and Child Care Organization (WOCCA) 	<ul style="list-style-type: none"> • Coffey and Alliance for Development Solutions (ADS) 3rd Party Monitoring • FAO Call Center • Low Profile Monitoring • Programme Evaluations • Rapid Assessments • Spot-checks and verification visits • Value for Money (VfM) Assessments

Somalia Stability Fund (SSF)	CESVI	<i>Puntland:</i> Bari	1). Direct implementation CESVI implements directly with the community	<ul style="list-style-type: none"> • Conflict prevention strategies • Youth vocational training 	<ul style="list-style-type: none"> • Community government 	<ul style="list-style-type: none"> • ASI field visits • IBTCI 3rd Party Monitoring • Political Economy Analysis • SMS Call Centre
	DRC	<i>South Central (Benadir):</i> Abdiaziz Shibis	1). Direct implementation CESVI implements directly with the community	<ul style="list-style-type: none"> • Community-driven development projects • Construction 	<ul style="list-style-type: none"> • Community 	
	Finn Church Aid (FCA)	<i>Somaliland:</i> Erigavo <i>Puntland:</i> Galkacyo Mudug Sanag Sool	1). Direct implementation FCA implements some activities directly 2). Sub-contracting through LNGOs For some of the programme implementation, FCA contracts LNGOs	<ul style="list-style-type: none"> • Regional plans for peacebuilding • Community security interventions • Conflict Resolution 	<ul style="list-style-type: none"> • LNGOs 	
	Jubaland Charity Centre (JCC)	<i>South Central:</i> Middle Juba	1). Direct implementation JCC implements some activities directly. It is one of the few DFID programmes that is implemented directly through an LNGO.	<ul style="list-style-type: none"> • Conflict resolution training • Youth vocational training 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • SMS Call Centre
	PACT	<i>South Central:</i> Gedo Lower Juba Middle Juba	1). Direct implementation PACT implements some activities directly 2). Sub-contracting through LNGOs For some of the programme implementation, PACT contracts LNGOs.	<ul style="list-style-type: none"> • Conflict prevention strategies • Youth vocational training 	<ul style="list-style-type: none"> • Community • LNGOs (number not known) 	<ul style="list-style-type: none"> • ASI field visits • IBTCI 3rd Party Monitoring • Political Economy Analysis • SMS Call Centre

UN Joint Programme on Local Governance and Service Delivery (UN-JPLG)	ILO	<i>Somaliland:</i> Berbera Hargeisa <i>Puntland:</i> Garowe Qardho	1). Direct implementation ILO implements activities directly	<ul style="list-style-type: none"> • Technical assistance • Procurement 	<ul style="list-style-type: none"> • District governments 	<ul style="list-style-type: none"> • IBTCI 3rd Party Monitoring • UNDP Field Monitoring
	UNCDF	<i>Somaliland</i> <i>Puntland</i>	1). Direct implementation UNCDF directly manages the JPLG fund	<ul style="list-style-type: none"> • Technical assistance • JPLG fund management • Feasibility study 	<ul style="list-style-type: none"> • Ministries of Finance • Ministries of Interior 	
	UNDP	<i>Somaliland</i> <i>Puntland:</i> Boroma <i>South Central:</i> Mogadishu	1). Direct implementation UNDP implements activities directly	<ul style="list-style-type: none"> • Technical Assistance 	<ul style="list-style-type: none"> • Government (District and Ministry planning departments) 	
	UN Habitat	<i>Somaliland:</i> Hargeisa	1). Direct implementation UN Habitat implements activities directly	<ul style="list-style-type: none"> • Technical Assistance 	<ul style="list-style-type: none"> • Community Governments 	
	UNICEF	<i>Somaliland</i>	1). Direct implementation UNICEF implements some activities directly 2). Sub-contracting through LNGOs For some of the programme implementation, UNICEF contracts LNGOs.	<ul style="list-style-type: none"> • Social accountability training 	<ul style="list-style-type: none"> • Community • LNGOs 	

Note: The information in this annex was synthesized from several programme documents provided to us during the evaluation period. All documents were dated before August 2014; programme information may now be out-of-date.

Annex G: Assessment of Monitoring Tools

Method	Actors	Scope/Focus	Learning Potential	Type of Analysis	Uses	Transparency	Limitations
Aerial Photography	IPs and downstream partners; Can also be used by external TPM	Activity Verification focused on outputs – infrastructure or events	Provides information on stages of progress and usage of infrastructure projects	Activity level Output level	Monitoring during and after cycle: Verification of project outputs	Limited means of verification	Potential cost prohibitions More helpful for infrastructure or large-scale activities
Call Centers (call out)	IPs, External private company, External TPM	Specific questions to communities to assess activities and impact	Activity verification	Project/Activity level	Monitoring during and after cycle: Verification of information in IPs reports and outputs Enhance/Inform communications with IPs	Limited means of verification beyond strategic questions. Dependent upon information from the IP	Dependent upon IP to provide numbers. Difficult to verify cellphone user at time of the call.
Community Discussions and Focus Groups	External TPM	Community Feedback	Community views on interventions and IPs Information on project impact Broad picture, snapshot or in-depth analysis depending on tools and time	Community Level Perceptions Pulse on the ground Problem Based analysis	Project Design Monitoring during and after cycle: Information on project outcomes and impact Enhance/Inform communications with IPs Future project planning: Identification of recurring issues across sectors/IPs/ project sites	Community pressure, confidentiality, and cultural/political dynamics can heavily affect results	Results are heavily dependent upon the facilitator(s) and framing of the questions Lengthy process if done properly. Methodology/ participant selection very important

Method	Actors	Scope/Focus	Learning Potential	Type of Analysis	Uses	Transparency	Limitations
Desk Review	IP, DFID	<p>Focus will first be on consolidation of information provided by IP to enable some overview of the project but also to define clearly which project should be verified and which tools should be used.</p> <p>After the reports from various monitoring entities, consolidation of information could be produced. This constant standardization and consolidation of information will enable to develop an overview of the whole portfolio but also to prepare the various data sets to be triangulated.</p>	<p>Define purposive sample of project to be verified.</p> <p>Define level of confidence prior to field deployment.</p> <p>Propose the most appropriated tools to be used</p>	<p>Activity</p> <p>Outputs</p> <p>Processes</p> <p>Mapping,</p> <p>Budget consolidation</p> <p>Procurement files.</p>	<p>Overall analysis of the portfolio.</p> <p>Targeted sampling.</p>	<p>Dependent on the accuracy of the documents.</p>	<p>Major effort should be put in by DFID or a contractor to aggregate the whole data sets.</p> <p>There can be signification gaps in literature or reporting.</p> <p>Does not engage directly with the context or programming.</p>
External Monitoring Consultant	Individual Consultant or company	<p>Measurement of: Indicators of the LF.</p> <p>Processes of project implementation.</p> <p>Verification accuracy of reports.</p>	<p>Can provide timely information to manage the project.</p> <p>Can support capacity building for organization to build their internal monitoring system.</p>	<p>Activity</p> <p>Outputs</p> <p>Processes</p>	<p>Quality assurance / trust.</p> <p>Take timely and justifies decision to manage the project.</p>	<p>Internal process for the organization.</p>	<p>IPs may be unwilling to engage with the external monitoring process.</p> <p>Access may be limited.</p> <p>Important to clarify roles and responsibilities to all stakeholders.</p>

Method	Actors	Scope/Focus	Learning Potential	Type of Analysis	Uses	Transparency	Limitations
		Conduct triangulation of reports (audit approach)					
Ghost (or Covert) Monitoring	TPM or evaluators. Field monitors are deployed anonymously and/or relay on local entities to report and observe specific practices.	This approach should be used when the level of risk on field is believed to high to deploy a field team in a visible manner and where data integrity could be compromise.	The key and core problems related to project implementation in Somalia can be assessed.	Diversion Local perception Mismanagement	Verify specific rumors potentially identified through a compliant mechanism or during consistency issue in the desk review.	Enables to include all type of project.	The level of ambition on this type of tool should be lower and would rely only on various informal discussion explaining specific processes. No quantitative or nominative information should be expected but rather an understanding of the process to be used.
GPS tracking	IPs and downstream partners; Can also be used by external TPM	Activity verification focused on surveys and poll tracking	Provides real-time information on staff movement and area coverage for surveys and polling exercises	Activity Level Survey or Polling Verification	Monitoring during and after cycle Verification of specific activities, IP staff and downstream partners	Offers assurance as to exact location of project activities	Networks may be limited in areas where tracking most needed. Battery life and technology failure skews results. Verification of results requires knowledge about GPS systems.
Independent Complaint Agency	An INGO/ agency not involved in project Delivery	Direct Individual or group problem based feedback Additional and locally based point of reference for community members	Information on problems that may not be communicated by the IPs Extra pair of eyes in the field Continuous monitoring of project progress, relationships, protection and human right issues	Problem-based interaction	Monitoring during project cycle: Additional source of feedback on project related problems	Direct reporting to the donor	Potentially challenging relationship management. Important to clarify roles and responsibilities to all stakeholders. Can be reactive or proactive dependent upon agency's understanding of protection and human rights issues Access may be limited

Method	Actors	Scope/Focus	Learning Potential	Type of Analysis	Uses	Transparency	Limitations
Monitoring and Evaluation Technical Assistance	External TPM; Individual Consultant or company	Same as above. But the TPM will report to the donor and not to the IP, although verifications can be used as an IP management tool and to provide programme implementation information to the IP. The TPM therefore falls between a monitoring system and an evaluation system. Rather than evaluating the impact (standard evaluation) the TPM verifies reporting, collects information on activities or processes but do not work at a programme impact level.	Same as above. The TPM managed by donors on a set of IP can enable to develop a structured overview of the portfolio of projects.	Same as above.	Same as above + Standardization and consolidation of information across the portfolio.	Process usually led by donor so, higher level of sensitivity for IP than an external monitoring consultant.	Important to clarify roles and responsibilities to all stakeholders. Access may be limited.
Narrative and Financial Reports	IPs Downstream partners	Project Activities Reporting against project log frame and workplan	Information on project activities, and logframes results Lessons learned	Project Based Quantitative and Qualitative reporting against project frameworks	Tracking project progress throughout project cycle Foundation for communication with IPs	High level of trust needed by donor Little means of verification Limited if only source of information	Partners often report against logframe not reality. Lack of capacity of IPs. Important information may not be requested or allowed for in reporting formats.

Method	Actors	Scope/Focus	Learning Potential	Type of Analysis	Uses	Transparency	Limitations
Organizational Profiling/ Database	UN Body, Implementing partners, External TPMs	In depth profile of current and potential implementing partners. Continually updated shared database	Can provide additional, and specific information on IP programming capacity, operational systems and staffing background, etc. A method of sharing information amongst agencies Potential for increasing co-ordination without additional meeting or formal meetings	Organizational/ Partnership level	Project Contracting: Selection of partners and perhaps areas of operation Review of downstream partners Relationship Management Additional source of information if problems with IP arise during project	Confidentiality of and access to information and security are major concerns	Usefulness heavily dependent upon co-ordination and information sharing
Political Economy Analysis	External TPM – Research Focused	Power relations and resource distribution and contestation in different contexts, and the implications for development outcomes.	More realistic expectations of what can be achieved, and risks involved. Options for interventions consequence management Identification of the main opportunities and barriers for policy reform	Macro-country level Sector level Problem-driven (usually policy focused)	Formulation of Country Plans Design of Project/Programme Selection of aid modalities and partners Informing dialogue and engagement with partners	Highly dependent upon external organization positioning in the local context. But usually used as an additional source of information	Broad/Marco analysis Though can be specifically focused usually not project focused. Limited return for information on specific project interventions/organisations. May be difficult to link PE analysis to practical action Potential lack of incentives within DFID to operationalise findings

Method	Actors	Scope/Focus	Learning Potential	Type of Analysis	Uses	Transparency	Limitations
SMS Direct Beneficiary Feedback (call/text-in)	Private company External TPM	Direct individual feedback	Direct unsolicited information on activities and IP relations from remote or inaccessible areas or continued feedback from areas that become inaccessible during the project	Project or activity level Direct feedback on IP behavior and relations	Monitoring during project cycle. Additional source of feedback on project activities and IP relations	Direct linkage to individuals and can allow for anonymous communication and protection of users Easily misused or abused.	Requires careful analysis to determine relevance and linkage to interventions Usage, and relevance can vary greatly by area/project Mobile networks may be limited. Community may not understand the purpose and/or value of platform.
Spot Checks and Verifications	External TPM and their local partners, local community focal points	Snapshot of the project at a specific point in time. Activity verification, project impact and process information	Verification of activities and IP reports. Information on the aftermath of interventions Highlight issues for further investigation/action /research Assist understanding relationship dynamics between IPs and the community Provide information on IPs approaches in the field	Activity and project level Community Level Perceptions Implementing Partner-Community Relations	Monitoring during project cycle: Tracking project activities; Information on project outcomes and impact Verification of complaints Enhance/Inform communications with IPs Future project planning: Identification of recurring issues across sectors/IPs/ project sites	Clear focus on transparency for some agencies Highly dependent on the approach of the TPM and the communication and relationship management between the key actors throughout	Raises ethical issues depending on type of organization used to do verifications and the process Uncertain line between verifications, investigations and intelligence gathering. Snapshots and perceptions but limited potential for deeper analysis of results. Limited capacity of local organisations. Limited Skill Set in terms of development expertise Limited /no potential for information fiduciary risk, fraud and corruption Difficult relationship management. Potential to negatively impact relationships between donor, IPs, community, government officials and TPM

Annex H: Key Informant Interview Guidance Tool – DFID Management

These questions are meant to serve as a guide for the semi-structured interviews that will be held with DFID staff. It should be noted that the evaluators will speak to a variety of staff in DFID Somalia and DFID Kenya. As such some questions will be more relevant to certain staff than others. For example, in the case of DFID Kenya where the third party monitors are the implementing partners the questions will differ slightly to reflect the different modality that is being used.

1. Relevance
1. How do you understand the concept of remote management within DFID?
2. To what extent does remote management correspond with the overall strategic goals of the UK's development policy?
3. What is its value added and how has it influenced programming and the potential impact of DFID in the area of operations?
4. Is remote management a continuous operational modality in your AoR?
5. What is the value added of the third party monitors?
2. Risk Analysis and Access
6. What are the areas where access is the most challenging (at regional level for senior staff and at district level for Somali-based team)?
7. Describe the main risk justifying low access (senior manager, usually based in Nairobi?)
8. How are decisions made to introduce, adjust or end remote management practices?
9. How often do you go to the field? Describe what your field visits consist of.
10. How is risk assessed for your implementing partners assuming programming responsibilities?
3. Coverage
11. Where are you currently implementing programs through a remote management mechanism?
12. What kind of remote management mechanisms are you using?

13. Who are your key partners?
14. What types of projects are being implemented through remote management?
15. What monitoring mechanisms are in place for these projects?
16. Who does the monitoring?
17. How do you identify and select a Third Party Monitoring Organisation? (For DFID Somalia only.)
18. Have there been any instances where you have had to terminate your relationship with a chosen Third Party Monitor? (For DFID Somalia only.)
4. Effectiveness
19. Do you focus on monitoring the following? <ul style="list-style-type: none"> - Project Impact - Project Activities - Project Processes
20. What is the level of confidence of the field report you receive/produce? Explain.
21. What do you do to increase your level of confidence on the field report?
22. Do you think that safety or sensitivity issues may be impacted the information that you receive from your partners? If no, kindly describe the type of information, which you think cannot be reported safely?
23. Describe how you organize the information reported to you? (Databases, mapping, online system, photos GPS enabled, specific software, etc.)
24. Have the monitoring reports enabled you to take better decisions on the project manager? Yes/No
25. How do you usually rate the quality of the information you receive in terms of its ability to enable you to make decisions?
26. What have been the major decisions taken on project implementation as a result of the information that you have received? From partners? From 3 rd party monitors? (New project, project extension, change of monitoring system, stopped of a project, change of staff, change of suppliers/contractors, etc.)?

27. What were the triggers to make such decision(s)?

28. Has the 3rd party monitoring assisted projects in achieving their objectives or can it be reasonably expected to?

29. Has any capacity building been needed or taken place with third party monitors?

30. In situations where 3rd party monitors have been used has this influenced your relationship with implementing partners? If yes please explain how.

31. What kind of relationship (if any) do you have with local implementing partners or sub-contractors

5. Co-ordination and Coherence

32. What kind of co-ordination mechanisms are in place within DFID to facilitate the sharing of information, lessons learned and best practices of remote management modalities?

33. Has the coordination that is in place (if any) lead to better effectiveness and impact of the interventions?

34. What factors have made co-ordination difficult or encouraged co-ordination

35. Do you think that more co-ordination across the agency is needed?

36. What would be required to strengthen co-ordination of remote management practices within DFID?

37. Is coherence necessary or feasible across agencies in the present situation at all?

38. How actively is DFID involved in the coordination?

39. What partners were involved in the coordination and how?

40. Why were they included?

41. Are there any incentives for external coordination?

42. Which factors have restricted the coordination, and which factors have supported it?

Annex I: Key Informant Interview Guidance Tool – DFID Implementing Partners

These questions are meant to serve as a guide for the semi-structured interviews that will be held with staff from DFID’s implementing partners. They will be adapted to reflect the differences in experiences and perspectives from staff based in Nairobi and those working in NE Kenya, Somalia, and Somaliland.

1. Relevance
1. What does the term remote management mean to you?
2. How would you characterise your relationship with DFID?
3. Do you consider yourself to be implementing projects through a remote management mechanism?
4. If yes, what kind of remote management mechanisms are you using?
5. What types of projects are being implemented through remote management?
6. Who are your key partners?
7. Are any of your projects monitored by 3 rd parties? <i>(DFID Somalia Only)</i>
8. What is the purpose of third party monitoring? <i>(DFID Somalia Only)</i>
9. What are the main issues or challenges with third party monitoring? <i>(DFID Somalia Only)</i>
10. In which types of environments can 3 rd party monitoring be useful, if any? (Remote management, urban setting, etc.).
2. Relationships
11. What are your main program delivery mechanisms for DFID funded activities—directly or through sub-contractors?
12. If you use subcontractors/INGOs/LNGOs, please describe this relationship.

13. What percentage of your projects is implemented by each of these mechanisms? (Directly, specially contracted staff, sub-contracted agencies.)
14. How are decisions made as to what type of implementation mechanisms you will use for different projects? (Location, project type, timing, etc.)
15. How is risk assessed for the local entities assuming programming responsibilities?
16. Describe the relationship between your organization, and the Third Party Monitor (in the field) (introduction, communication frequency, etc.) <i>(DFID Somalia Only)</i>
17. Describe the relationship between your organization, and the TPM (in Nairobi). <i>(DFID Somalia Only)</i>
3. Risk Analysis and Access
18. What are the areas where access is the most challenging?
19. Describe the main risk justifying low access (senior manager, usually based in Nairobi) <ul style="list-style-type: none"> - Main threats - Who mainly is the target? - Who is the main origin of the threat?
20. What do you think are the main risks for your field team? <ul style="list-style-type: none"> - Main threats - Who mainly is the target? - Who is the main origin of the threat?
21. What do you think are the main activities generating risk to your field team?
4. Effectiveness – Process
22. Is the focus of your monitoring on the: <ul style="list-style-type: none"> -Impact of your projects -Activities of your projects -Processes of your projects
23. Can you describe your monitoring and reporting processes for projects that are directly implemented? <ul style="list-style-type: none"> - Who is involved in the monitoring process? - How is the data that is collected?

<p>24. Can you describe your monitoring and reporting processes for projects that are delivered by your partners or community based staff?</p> <ul style="list-style-type: none"> - Who is involved in the monitoring process? - How is the data that is collected?
<p>25. Are you able to make field visits to the locations where projects are being implemented by partners or community based staff and if so under what circumstances?</p>
<p>26. What is the level of confidence of the field reports you receive from sub-contracted agencies? Explain.</p>
<p>27. Have there been any instances where you have had to terminate your relationship with a sub-contracted agency based on information received during monitoring? If yes, please explain.</p>
<p>28. What quality assurance processes do your partners have in place for their data collection and reporting activities?</p>
<p>29. Has any capacity building been needed or taken place with sub-contracted agencies around on data collection or monitoring?</p>
<p>30. What do you do to increase your level of confidence in the field reports you receive?</p>
<p>31. What is the feedback process with DFID? Your partners?</p>
<p>32. What types of activities/projects are monitored by the Third Party Monitors? <i>(DFID Somalia Only)</i></p>
<p>33. Does the TPM complement, overlap with, duplicate, or challenge your own monitoring activities? Explain. <i>(DFID Somalia Only)</i></p>
<p>34. How is the data that is collected by the TPM reported to you? <i>(DFID Somalia Only)</i></p>
<p>35. What is your feedback process? To DFID? To the TPM in Nairobi? The TPM in the field? <i>(DFID Somalia Only)</i></p>
<p>36. Has third party monitoring affected your relationship with the community/sub-contractor/INGO/LNGO? If yes, how? <i>(DFID Somalia Only)</i></p>
<p>5. Effectiveness – Knowledge Generation</p>
<p>37. What type of information are you able to gain from your monitoring activities?</p>
<p>38. Describe how you organize the information reported to you? (Databases, mapping, online system, photos GPS enabled, specific software, etc.)</p>
<p>39. Have the monitoring reports enabled you to make better decisions on project management or implementation? (New project, project extension, change of monitoring system, stopped of a project, change of staff, change of suppliers/contractors Yes / No. Please explain.</p>

40. What were the triggers to make such decision(s)?
41. If there are problems highlighted by your monitoring activities what steps do you take to verify, investigate and possibly address them?
42. Is there any information that you are not able to access that you feel would be useful for understanding the implementation and impact of your projects? If yes, which type of information and what are the obstacles to obtaining the information?
43. How have you used the information provided through Third Party Monitoring? <i>(DFID Somalia Only)</i>
44. What level of confidence do you have in the information collected by Third Party Monitoring? Explain. <i>(DFID Somalia Only)</i>
45. Have you ever had to complain or challenge information collected by the Third Party Monitor? If yes, how was this handled? <i>(DFID Somalia Only)</i>
46. If there are problems highlighted by the Third Party Monitor what steps have you taken to verify, investigate and possibly address them? <i>(DFID Somalia Only)</i>
47. What kind of information does the Third Party Monitor <i>not</i> provide that could be useful? <i>(DFID Somalia Only)</i>
48. How could the information and data received from 3 PM be improved to be more useful to you? <i>(DFID Somalia Only)</i>
6. General
49. How could DFID support your monitoring activities?
50. Can Third Party Monitoring add value to your monitoring activities? If yes, how and if no, why?
51. Can Third Party Monitoring be used to mitigate some of the challenges of remote management?

Annex J: Key Informant Interview Guidance Tool – DFID Third Party Monitors (Nairobi)

These questions are meant to serve as a guide for the semi-structured interviews that will be held with the Nairobi-based staff from DFID’s third party monitors.

1. Relevance
1. What do you think are major issues with remote management?
2. In your opinion, what is the purpose of third party monitoring?
3. In which types of environments can 3 rd party monitoring be useful? (Remote management, urban setting, etc.).
2. Relationships
DFID
4. In your opinion what are DFID’s expectations of you as a Third Party Monitor?
5. Are DFID’s expectations, as you understand them feasible? If no, then please explain.
6. How often do you meet with DFID and for what purposes?
7. Have you received any training or capacity building from DFID?
8. Do you feel there is a need for capacity building or training from DFID for your organization or your partners? If yes, what kind of training and how would this training enhance your ability to monitor the projects?
9. Are there areas where you feel DFID could support your work more? If, yes please explain how this could take place
Implementing Partners
10. Describe the relationship between your organization, and DFID’s implementing partners.
11. Have you ever received complaints from the implementing partners or challenges to the information you have collected? If yes, how was this handled?
12. Are implementing partners generally positive or cautious about being monitored? Please explain.

Local Partners
13. Can you describe your relationships with local partner organisations?
14. How do you identify local partner organisations and staff?
15. How do you: <ul style="list-style-type: none"> - Assess your partners' capacity and training needs? - Assess your partners' ability to conduct verifications and carry out monitoring activities? - Verify their work?
16. Have you conducted any training with your local partners? <ul style="list-style-type: none"> - If yes, what kind of training or capacity building activities did you conduct? - How did you assess the impact/uptake? - If no, why?
17. What are the main challenges and successes in working with partner agencies in the field?
18. Have you ever had to terminate a relationship with a local partner? If yes, why?
3. Effectiveness – Process
19. Can you describe your monitoring process including the stages of information gathering and reporting?
20. What data collection methods do you use?
21. Is there a difference between in 3 rd party monitoring process of humanitarian projects vs. governance and peacebuilding? If yes, please describe what the different approaches are and why they are necessary.
22. Has it been necessary to alter the methods you use to adapt to changes (security, environmental and political and cultural) in the environments where you operate? If yes, please explain and give an example?
23. How do you receive information from your field partners? (format, frequency, language)
24. Describe how you organize the information reported to you? (Databases, mapping, online system, photos GPS enabled, specific software, etc.)
25. What is the feedback process to your partner once you have received their monitoring report

26. What is the reporting and feedback process to DFID and the implementing partner?
27. In your opinion what are the main operational challenges in the field faced by the TPMs where monitoring is done directly?
28. Do you see your role as a monitor or a manager?
4. Effectiveness – Knowledge Generation
29. What purpose does 3 PM serve for DFID? The implementing partner? The community?
30. What kinds of knowledge do you gain from your monitoring processes
31. Is the focus of your monitoring on: <ul style="list-style-type: none"> - Project impact - Project Activities - Project Processes
32. Are there any types of information that you cannot obtain from your monitoring process?
33. What are the main obstacles in accessing this information?
34. Are there any specific types of data or information that you have been asked to gather by DFD that you have been unable to?
35. What are the main obstacles in accessing this information?
36. Do you think the security set up of the TPM officer allows him/her to collect any sensitive information (corruption, fraud, taxation, diversion, very low performance etc.)?
37. Do you see your role as being primarily focused on analysis or information gathering? Please explain
38. Do you feel that DFID has a good understanding of how to use the information that you provide? If no, explain and describe how the information could be better utilised in your opinion.
5. Risk Analysis and Access
39. In your opinion what are the main risks that you/your staff/partners face in the collection of data?

40. How often do you assess this risk?

41. Do staff/partners ever feel insecure when going to the field? Have your local partners ever lost or had staff members injured or threatened in the process of data collection?

42. If yes, please detail the circumstances and consequences for the organization and the monitoring process.

Annex K: Key Informant Interview Guidance Tool – DFID Third Party Monitors (Field-Based)

These questions are meant to serve as a guide for the semi-structured interviews that will be held with the staff from DFID’s third party monitors based in NE Kenya, Somalia, and Somaliland.

1. Relevance
1. What do you think are major issues with remote management?
2. What is the purpose of third party monitoring?
3. In which types of environments can 3 rd party monitoring be useful? (Remote management, urban setting, etc.).
2. Relationships
DFID
4. Describe your relationship with DFID (if any)?
5. Have you received any training or capacity building from DFID?
6. Are there areas where you feel DFID could support your work more? If yes, please explain how this could take place.
Third Party Monitors – HQ
7. Describe your sub-contracting relationships with the Nairobi based 3 rd party monitoring agencies?
8. Have you received any training or capacity building activities from the Nairobi –based organisations?
9. What are the main challenges and successes in working with agencies in Nairobi?
DFID Implementing Partners
10. Describe the relationship between your organization, and the implementing partner(s). (Introduction, communication frequency, etc.)
11. Have you ever received complaints or challenges from implementing partners concerning the information you have collected? If yes, how was this handled?

12. Are implementing partners generally positive or cautious about being monitored? Please explain.

Local Partners

13. Do you monitor the projects directly or use local monitoring partners?

14. How do you identify and select local monitoring partners?

Community

15. How are you introduced to a community?

16. In the areas where you are working how has your staff/partners been received by the community, generally?

17. What are the major obstacles in developing community relationships? And how have you dealt with this?

3. Effectiveness – Process

18. Can you describe your monitoring process including the stages of information gathering and reporting?

19. What data collection methods do you use?

20. Is there a difference between in 3rd party monitoring process of humanitarian projects vs. governance and peacebuilding? If yes, please describe what the different approaches are and why they are necessary.

21. Has it been necessary to alter the methods you use to adapt to changes (security, environmental and political and cultural) in the environments where you operate? If yes, please explain and give an example?

22. Is the monitoring process different in areas where you use local partners to do monitoring? If yes, Why? In these cases how is the process different?

23. What is the reporting process to you from your local partners?

24. What is the feedback process to your Nairobi-based partner once you have sent a report?

25. In your opinion what are the main operational challenges in the field?

4. Effectiveness – Knowledge Generation

26. What kinds of knowledge do you gain from your monitoring processes?

27. Please rank the following: Do your monitoring activities focus on:

- Verification of activities
- Community relationships
- Fraud and corruption
- Project impact
- Other (please explain)

28. Are there any types of information that you cannot obtain from your monitoring process?

29. Are there any types of data or information that you have been asked to gather that you have been unable to?

30. Do you think the security set up of the profile of the TPM officer allows him/her to collect any sensitive information (taxation, diversion, very low performance)?

31. Do you see your role as being primarily focused on analysis or information gathering? Please explain.

32. What purpose does the information gathered serve for the community?

33. Do you feel that DFID has a good understanding of how to use the information that you provide? If no, explain and describe how the information could be better utilised in your opinion.

Annex L: Key Informant Interview Guidance Tool – Other Stakeholders

These questions are meant to serve as a guide for the semi-structured interviews that will be held with Nairobi and field-based staff of other organisations involved in remote management or third party monitoring.

1. Relevance
1. What does remote management mean to you?
2. Is remote management a permanent operational modality in your AoR?
3. If no, then how are decisions made to introduce, adjust or end remote management practices?
4. What has the impact of remote management been on your programmes?
5. What are the main challenges of remote management?
2. Risk Analysis and Access
6. What are the areas where access is the most challenging (at regional level for senior staff, and at district level for Somali based team)?
7. Describe the main risk justifying low access (senior manager, usually based in Nairobi).
8. How is risk assessed for your implementing partners?
3. Coverage
9. Where are you currently implementing programs through a remote management mechanism?
10. What kind of remote management mechanisms are you using? <ul style="list-style-type: none"> - Who are your key partners? - What types of programs are being remotely managed?
11. Does your organization have local staff on the field?
12. Are you able to make field visits and if so under what circumstances? How often?
13. If you are currently using a Third Party Monitoring organisation, how were they selected?

14. If you are currently using a 3rd party monitoring organisation, how were they selected?

15. Which projects do they monitor specifically?

16. Specific types of projects?

17. Certain areas?

18. How are these choices made?

19. How do you view your role?

4. Effectiveness

20. Describe your remote programme management monitoring and reporting processes?

21. Describe how you organize the information reported to you? (Databases, mapping, online system, photos GPS enabled, specific software, etc.)

22. Does monitoring focus on the:

- Project impact
- Project activities
- Project processes

23. Is there a difference between monitoring humanitarian projects vs. governance and peacebuilding? If yes, please describe what the different approaches are and why they are necessary.

24. Do you think that all information can be reported safely? If no, kindly describe the type of information, which cannot be reported safely?

25. What is the level of confidence in the field reports you receive?

26. What do you do to increase your level of confidence in these reports?

27. Do you know what the quality assurance process of your implementing partners entails?

28. What is your quality assurance process for reports you receive from the field?

29. Are Third Party Monitors part of this process?

30. If yes, what kind of information does 3rd party monitoring allow you to know?

31. How do you use the information provided by 3rd party monitors to enhance your monitoring processes?

32. If no, why?

33. Have you implemented any innovative practices in your use of remote management and monitoring that you would like to share?

34. Have you set up a complaint / feedback mechanisms to allow community to report directly to senior project managers?

5. Co-ordination and Coherence

35. Does your organization have specific guidelines on remote management?

36. If yes, please outline the guidelines (or provide a copy).

37. Do the guidelines provide specific instructions about monitoring? And specifically on Third Party Monitoring?

38. If no, what frameworks guide your remote management practices

39. What kind of co-ordination mechanisms are in place within your agency that focus on remote management?

40. What have been the benefits of the coordination mechanisms that are place (if any)?

41. What factors have made co-ordination difficult or encouraged co-ordination?

42. Is coherence necessary or feasible

43. Are you involved in any coordination inter-agency co-ordination initiatives?

44. If yes, please describe the structure? (Timelines, members, and, activities).

45. If no, what are the reasons for not participating?

Annex M: Key Informant Interview Guidance Tool - Community Members in Somalia and NE Kenya

These questions are meant to serve as a guide for the semi-structured interviews conducted with community members in the field research locations.

Date		Location (district name)	
Name enumerator			

PROFILE ORGANIZATION

1. Name of respondent			
2. Category respondent		3. Position	
4. Phone			

5. Who are the main aid organizations operating in your district

1.	2.
3.	4.
5.	6.
7.	8.
9.	10.

11. Do you know enough about the activities of these organizations Yes / No

Explain:

12. Do you think these organizations operate with enough control mechanisms Yes / No

Explain:

13. According to you what are the main issues with the aid project implemented (no name are required, full confidentiality will apply)?

Explain then issues and why they could happen:

1. Do you think decision makers based in Nairobi know enough about the project Yes / No

Explain

2. What do you think should really change for aid delivery in your area?

14. Do you think the changes you mention above will generate security issues? Yes / No

3. According to you what are the main risks for aid workers in your areas (make a distinction between the different types of aid workers when needed).

4. According to you what are the main challenges / problems faced by aid organizations in your area which cannot be changed?

5. Are you aware about complaint mechanisms you could use to report anything to senior manager of the organization (based in Nairobi) Yes / No

If yes, explain does it work?

6. If yes, do you know someone who ever used it , Yes / No

If yes, what was happened?

Annex N: Focus Group Discussion Guidance Tool (Beneficiaries and Community Members)

This tool will guide the focus group discussions conducted with community members and beneficiaries in the field research locations.

<p>1. What do you know about this project?</p> <ul style="list-style-type: none">- Who is involved- How long it will last- What is it trying to achieve- How does the organisation monitor the project- How was the community selected?
<p>2. Do you think you have enough information about the project? If no, what is your recommendation to improve your access to information? If yes, which mode of communication on the project was the most efficient?</p>
<p>3. Why do you think that some organisations involved in the project have not visited?</p>
<p>4. What is your opinion of the way that projects are managed from a distance?</p>
<p>5. If there is something wrong with the way the project is going or you have a complaint about the project, is there a way to let the organisation working on the project know?</p>
<p>6. Do you think you could use this complaint mechanism? Why?</p>
<p>7. Have you ever used this complain mechanism? (Yes/No)</p>
<p>8. What would you like the senior project managers to know about this project? (e.g. successes, challenges, performance, use of resources, management, etc.)</p>
<p>9. What would you expect to be changed with the way the project is implemented and managed?</p>
<p>10. What would you expect to be changed with the way the project is monitored?</p>

Annex O: Field Observation Checklist

This checklist will be employed to record the evaluation team's observations during each focus group discussion.

Item	Researcher's Notes
<p>FO.1 General observations about location of FGD</p> <p><i>(Is it in a large community? Is it in an urban or rural area? What kind of community is it? For example: Single clan or mixed clans? Are there a lot of IDPs, nomads, or marginalized groups? What is the main economic livelihood in the area?)</i></p>	
<p>FO.2. What were the attitudes of the participants at the beginning of the FGD?</p> <p><i>(Eager to participate, quiet, communicative, etc.)</i></p>	
<p>FO.3. Did the participants interact with each other?</p> <p><i>(Not a lot of interaction between the participants, they were friendly with each other, there were some participants who were hostile to each other, etc.)</i></p>	
<p>FO.4. Did everyone have a chance to share their opinions or did one person dominate the discussion?</p>	
<p>FO.5. What were the attitudes of the participants at the end of the FGD? (Compare with 2).</p> <p><i>(Same, more open, less open...)</i></p>	

Researcher's Post-FGD Analysis: Are there any observations that you feel are important to include in the analysis?

Item	Researcher's Notes
A1. Community	
A2. The way the participants interacted with each other	
A3. Any opinions shared in the FGD that were very important for the participants.	

Annex P: Observation Checklist for Verification Visits

This checklist will be employed to record the researcher's observations during verification visits conducted by third party monitoring teams.

Date		Location	
Name of Researcher			

PROFILE OF ORGANIZATIONS

1. Name of TPM officer		2. Name TPM organization	
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Implementing Partner Organization

3. Name organization		4. Project	
5. Type of organization	LNGO	INGO	UN Donor
6. Email		7. Phone	

	Item	Researcher's Notes
VVO.1	<p>What type of project activity are you visiting?</p> <p><i>(Technical advisor to a government office; workshop; infrastructure project, etc.)</i></p>	
VVO.2.	<p>What activities are the third party monitors doing during the verification?</p> <p><i>(Reviewing documents, talking with implementing partner staff, interviewing beneficiaries, taking photographs, etc.)</i></p>	
VVO.3.	<p>How long did the verification visit last?</p> <p><i>(Please note the beginning time and end time.)</i></p>	
VVO.4.	<p>What verification method was used during the visit?</p> <p>Was it participatory and if so who participated?</p>	

Were the third party monitors provided with any reports on the activity by the implementing partner staff? If yes, what kind of document?

VVO.5. How would you describe the relationship between the Implementing Partner staff and the Third Party Monitoring staff (please choose only one and provide some examples of the staffs' interaction with each other):

1. Collaborative : Third Party Monitoring Staff are supportive and positive
2. Friendly: They are open and friendly with each other, but the third party monitoring staff do not offer advice or support.
3. Neutral: The staff are business like and professional with each other, but not friendly.
4. Unfriendly: The staff have some open disagreements during the visit.
5. Hostile: The staff are not friendly at all with each other and the environment is very hostile.

VVO.6. Were there any problems, issues or unresolved matters raised during the visit?

If so what was the issues? Who raised it? And How was this handled?

VVO.7. If there were beneficiaries present, how would you describe their attitudes towards the verification team?

(Eager to participate, quiet, communicative, etc.)

VVO.8.8 What record was kept of the meeting?

Researcher's Post Verification Visit Analysis: Are there any observations that you feel are important to include in the analysis?

Item	Researcher's Notes
1. In your opinion did the objectives of the visit seem clear to the implementing partner?	
2. In your opinion, what were the most challenging aspects of the activities conducted by the verification team?	
3. In your opinion, what activities worked well?	

End of Evaluation Report

**LISTEN
COMPREHEND
RECOMMEND**