

**EVALUATING DFID'S
POLICY ON TACKLING
SOCIAL EXCLUSION:
BASELINE, FRAMEWORK
AND INDICATORS**

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By Cathy Gaynor & Sadie Watson, the PARC

Disclaimer: Full responsibility for the text of this report rests with the authors.

In common with all evaluation reports commissioned by DFID's Evaluation Department, the views contained in this report do not necessarily represent those of DFID or of the people consulted.

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PREFACE

Social Exclusion is a process by which certain groups are systematically disadvantaged because they are discriminated against on the basis of ethnicity, race, religion, sexual orientation, caste, descent, gender, age, disability, HIV status, migrant status or where they live. It is often a cause of poverty, conflict and insecurity, and makes poverty reduction more difficult.

In September 2005, DFID published the Policy Paper, 'Reducing Poverty By Tackling Social Exclusion', setting out the ways in which DFID will do more to address social exclusion in its planning, partnerships and programmes. The paper was accompanied by an implementation plan, setting out actions that DFID would take to put the policy into practice. It also committed DFID to be accountable for the implementation of the policy by evaluating progress in 2007-2008.

This working paper is part of the preparation for the evaluation of progress that will take place in 2007-2008. It develops a framework for assessing progress against the commitments in the implementation plan, and lays the ground for a fuller evaluation of the results of DFID's work in the future. It also provides a summary of baseline information on DFID's work on social exclusion.

The paper, and the evaluation of progress which will follow, are important steps in DFID's efforts to strengthen accountability processes in connection with policy commitments. It highlights critical challenges to embedding and tracking a policy within the organisation, and makes recommendations for achieving this through corporate systems. It also discusses challenges to national and international data collection and monitoring of social exclusion, and indicates some ways in which DFID at country level and through international partnerships can contribute to improvements. Recommendations are also made for the evaluation of progress in 2007-2008. Evaluation Department will work with Policy Division to ensure the recommendations from this study are communicated through the organisation.

The working paper was produced by independent consultants under the management and guidance of Joanne Bosworth, with the assistance of Karen Kiernan. Advice and comments have also been provided by Zoe Stephenson from Policy Division. The framework and baseline draw on earlier work conducted for Policy Division's Equity, Rights and Justice team under the direction of Cindy Berman and Julia Chambers. We are grateful for the input provided by other members of DFID staff, in particular those in the five 'focus' country offices, and to representatives of research centres consulted in the course of the study.

Nick York
Head, Evaluation Department



Abbreviations

ARIES	Activities Reporting and Information E-System
CEDAW	The Convention on the Elimination of All Forms of Discrimination against Women
CEP	Country Engagement Plan
CAP	Country Assistance Plan
CDF	Country Development Framework
CHASE	Conflict, Humanitarian and Security Department
CLEAR	Country-led Approaches and Results Team
CPIA	Country Performance and Institutional Assessment
CRD	Central Research Department
CS	Civil Society
CSG	Corporate Strategy Group
CSO	Civil Society Organisation
DC	Development Committee
DRC	Democratic Republic of Congo
DDP	Director's Delivery Plan
DFID	Department for International Development
DoC	Drivers of Change
EC	European Commission
EFA	Education for All
EMAD	Europe, Middle East and Americas Department
ERT	Equity and Rights Team
EU	European Union
EvD	DFID Evaluation Department
FCO	Foreign and Commonwealth Office
GEAP	Gender Equality Action Plan
GED	Gender Equality Duty
GLSS	Ghana Living Standards Survey
GPRS	Ghana Poverty Reduction Strategy
GSDRC	Governance and Social Development Resource Centre
GSEA	Ghana Social Exclusion Analysis
HH	Household
HR	Human Resources
HR	Human Rights
ICD	Information and Communication for Development
ICSD	Information and Civil Society Department
IFID	International Financial Institutions Department
IMF	International Monetary Fund
IRIA	IDA Resource Allocation Index
ISP	Institutional Strategy Paper
JAS	Joint Assistance Strategy
LDS	Learning and Development Services

LSI	Livelihoods Social Inclusion (Nepal)
MDGs	Millennium Development Goals
MoV	Means of Verification
MTEF	Medium Term Expenditure Framework
NDP	National Development Plan
OPM	Oxford Policy Management
PAF	Performance Assessment Framework
PARC	Performance Assessment Resource Centre
PILDAT	Pakistan Institute of Legislative Development and Transparency
PGG	Programme Guidance Group
PRD	Policy and Research Division
PETS	Public Expenditure Tracking Study
PIMS	Policy Information Marker System
PPA	Partnership Programme Agreement
PPA	Participatory Poverty Assessment
PRBS	Poverty Reduction Budget Support
PRGF	Poverty Reduction and Growth Facility
PRISM	Performance Reporting Information System for Management
PRS	Poverty Reduction Strategy
PRSC	Poverty Reduction Support Credit
PSA	Public Service Agreement
PSIA	Poverty & Social Impact Assessment
RAP	Regional Action Plan
RBA	Rights Based Approach
RED	Race Equality Duty
RES	Race Equality Scheme
SCA	Strategic Conflict Assessment
SDA	Social Development Advisor
SE	Social Exclusion
SI	Social Inclusion
SP	Social Protection
SWAP	Sector Wide Approaches
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
WB	World Bank
WeB	Western Balkans
WP	Working Paper

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Executive Summary

Introduction

S1 This report originated from work done in early-mid 2006 for DFID's Policy Division to develop an Evaluation Framework and a related baseline for implementation of the DFID policy on social exclusion, '*Reducing poverty by tackling social exclusion*', published in September 2005. It is intended to explore further the development of a baseline and anticipate some of the issues related to an evaluation of the policy. It describes the Evaluation Framework, comments on the construction of the baseline, assesses availability of data for DFID, country and (somewhat) international level indicators and explores technical and institutional challenges faced in developing the baseline and a future evaluation of the policy.

S2 The report is based on desk work, involving a review and analysis of key DFID documents, including Country Assistance Plans (CAPs) and other strategic planning documents. It has also involved discussions by phone/email with key informants in relevant DFID departments; the distribution and analysis of a questionnaire sent to selected research programmes/consortia and liaison with social development advisers and statisticians in five purposefully selected 'focus countries'.

S3 Because this was a short study, based on desk work and remote communication, it does not benefit from in-depth contextual discussion with relevant departments about what information they collect/might collect related to the indicators, and what additional information they have to populate the baseline. Likewise, discussions on country level data and baseline development were limited to a few countries, a few informants and a review of a short list of documents. Nonetheless, we believe the findings are robust and indicative of what DFID needs to do to effectively monitor and evaluate the implementation of the social exclusion policy.

The Evaluation Framework

S4 The paper first provides a conceptual framework that is based on the definition of social exclusion in the policy paper. This provides the rationale for an indicative Evaluation Framework which is constructed as a logical flow diagram with five levels, starting with DFID accountable levels 1-2 and postulating that this contribution will influence national and international level outcomes 3-5.

S5 For DFID accountable levels, the Framework is consistent with programme and performance management approaches in the organisation, and indicates four key change areas: Corporate Systems and Performance; Policy and International; Regional and Country Programming and Learning. Indicators are developed for these levels based on commitments in the Implementation Plan. Levels 3-4 have indicators for, respectively, changes in national capacities and planning frameworks related to social exclusion, and sustainable benefits for socially excluded groups. The final level (5) of the framework relates to achievement of poverty reduction among excluded groups; greater achievement of hard-to-reach Millennium Development Goals (MDGs) and reduced conflict.

S6 Wherever possible, links have been made with existing indicators and monitoring or performance management processes. The full Framework is intended for use by Policy and Research Division (PRD) and Evaluation Department (EvD), otherwise it is expected that sub-sets of indicators would be monitored by appropriate departments or by country offices.

Developing the Baseline

S7 The baseline for DFID-accountable levels of the framework (1-2) was developed over the two stages of this exercise, drawing on key informant interviews, ad-hoc studies and existing corporate monitoring. In the process, proposed indicators and means of verification were tested and a preliminary baseline was constructed. The baseline cut off date was the policy launch in September 2005.

Looking ahead to outcomes and evaluation

S8 In order to anticipate and prepare for an evaluation of the outcomes of work in social exclusion, the indicators for Levels 3-5 and the status of data and likely means of verification were assessed for five focus countries, and from other broader sources.

Challenges: Technical and Institutional

S9 A number of challenges, both technical and institutional, emerged from this study and are briefly outlined here.

- Within DFID, the Implementation Plan is ambitious and the commitments are not yet fully disseminated and understood.
- Work on social exclusion spend and programming is not currently systematically tracked. Data availability is a problem, though monitoring and performance management systems are being improved across the organisation and for country assistance plans, and social exclusion indicators need to be embedded in these.
- It is difficult to hook into existing data systems due to lack of ‘the big picture’ on who is monitoring what – or planning to. This is partly due to the decentralised structure of the organisation.
- The concept itself is broadly defined and variably understood in the organisation.
- At country level, there is considerable variation in available information and important contextual differences between countries in terms of the nature, and manifestations, of exclusion and in if/how the concept is understood.
- National level census and survey data and poverty monitoring don’t offer much information on excluded groups, though more could be done, even with existing data.
- For small excluded groups local level information will be needed.
- Further analysis will be required to untangle multiple dimensions of exclusion.
- Commissioned studies by DFID and others add much to information available but are not necessarily taken up and/or tracked by national institutions – necessitating further follow-up studies.
- Likewise, national MDG reports don’t offer sufficient disaggregation to report on excluded groups.
- At international level, current MDG reporting and data sets such as Human Development Index (HDI) don’t offer sufficient disaggregated information on socially excluded groups, though the situation for gender is somewhat better, making it hard to track the impact of social exclusion on hard-to-reach MDGs, particularly disaggregated by group.

S10 Amongst the main *institutional challenges* identified in this exercise are:

- It will take time and effort to embed a social exclusion approach across DFID, a large and decentralised organisation, and there is need for greater clarity on who, if anyone, has the mandate to enforce policy implementation, in the context of country-led approaches espoused by DFID. However the Social Exclusion (SE) policy does contain public commitments, including to ‘analyse the impact of exclusion in all our country programmes’ and ‘strengthen the collection and analysis of statistics on excluded groups’ (page 21). There is a reputational risk to DFID if it does not fully support these public commitments.
- Social Exclusion analysis is not yet in the CAP guidance, so there are mixed messages on the prioritisation to be given to its implementation and, at present, insufficient clarity and guidance on what is required from country programmes in relation to exclusion analysis and implementation. Without county social exclusion analysis, it will be difficult to monitor aspects of the Social Exclusion Implementation Plan. Once social exclusion analysis is included in CAP guidance (and hence in the Blue Book of mandatory procedures) Finance and Corporate Performance Division (FCPD) will have a basis for ensuring compliance through the quality assurance of the CAP process.
- CAP Guidance also requires a robust performance monitoring framework (CAP monitoring), including Management and Results frameworks. As country teams work towards improving their monitoring frameworks, there is an opportunity to embed some of the SE policy indicators in these frameworks. FCPD would also assume the responsibility of ensuring that, where appropriate, social exclusion is considered in both the Management and the Results Frameworks.
- Indicators that involve partnerships, eg with civil society, multilateral organisations or research consortia, pose particular challenges, as DFID would clearly not wish to overload agreements but the policy commitments imply that a process of engagement on exclusion with a range of partners is required.

Major Recommendations

S11 The focus of the recommendations is on ensuring that there is adequate data for a stocktake of policy implementation in 2007-2008 and, in particular, that social exclusion is incorporated in DFID plans and accountability frameworks. In the recommendations below, we have allocated the responsibility for each one to specific departments on the understanding that the Equity and Rights Team provides support to them.

Dissemination and Embedding of SE Policy within DFID

- **Regional Directors** should use the baseline information and the DDP process to determine regional priorities for work on SE in the Directors Delivery Plans (DDPs).
- Develop and carry out a plan to disseminate the SE policy and to inform DFID departments of the implementation plan and commitments: **Equity and Rights Team (ERT)**.
- Ensure that the position of social exclusion analysis is clarified in the next update of the Blue Book (FCPD). Ensure that the position of social exclusion analysis is clarified in the CAP Guidance (FCPD).
- Ensure social exclusion is incorporated in the DFID Corporate Plan (FCPD).
- Ensure that social exclusion is incorporated in the DFID Action Plan on Results which will set out the results agenda for different parts of DFID, in particular, at county, agency and international level (**Policy and Research Division: Results Working Group**).

- Embed social exclusion in DFID CAP Monitoring and share good practice examples on efforts to tackle social exclusion (**Regional Directors with guidance from Corporate Strategy Group (CSG) and the ERT**).
- Where a social exclusion analysis *has* been carried out in countries, share this analysis with national partners (**Country Offices**).

Improving Understanding of Social Exclusion

- The ERT and Country-led Approaches and Results Team (**CLEAR**) work with Head of Profession Statistics to ensure that social exclusion is addressed in the ongoing work to further develop DevInfo into a one-stop tool for a range of data relevant to the MDGs and Poverty Reduction Strategy (**PRS**) monitoring (**CLEAR and ERT**). They should also engage with other DFID efforts to improve international data and statistics as they occur.
- Guidance on defining, monitoring and tracking SE should be included in the guidance notes being produced by the ERT, and support given to country offices. This would be based around the SE definition that already exists in the Policy Paper and ensuring that it is country specific (**FCPD and ERT**).
- ERT to support the departments identified in Table 3 (page 21) in the tracking of key indicators for level 2 of the Evaluation Framework. These include: Human Resources (**HR**), Learning and Development Services (**LDS**), Policy and Research Division (**PRD**), Information and Civil Society Department (**ICSD**), Conflict, Humanitarian and Security Department (**CHASE**), Central Research Department (**CRD**), and Country Programmes.

Recommendations on the SE Evaluation

- In conducting the stocktake, strengthen linkages between the SE evaluation framework and related work on indicators, feeding findings into adjusting and improving SE indicators and framework. This could be done by writing a short summary outlining how any new work that is carried out on indicator development within DFID relates to SE, and how it can feed into refining the SE Evaluation Framework (**ERT**). Updating the framework as advances are made in DFID monitoring systems could also be part of the Stocktake.
- ERT should manage a process of consultation on individual indicators with appropriate officers and sections and, where possible embed them in already existing systems (**ERT**).
- Raise awareness and signal well ahead what is planned and what will be required for the 2007-08 evaluation, and potentially for future impact assessment (**EvD**).
- Give early consideration to the evaluation *approach* in terms of, for example, focusing on selected key sector interventions, selected multilateral organisations and adoption of a case study or cross-country comparison approach – some aspects of which could be explored further in the light touch stocktake to inform future evaluation (**EvD**).

General recommendations for monitoring and evaluation of policy implementation plans

- FCPD should revisit the existing corporate tracking systems to consider how to track programming on social exclusion using existing corporate systems such as Policy Information Marker System (**PIMS**) and / or Activities Reporting and Information E-System (**ARIES**) (**FCPD**).

- Provide an overview on which policy issues are, or are not, currently being tracked across the organisation, and how. This could be linked to an audit of monitoring and evaluation in DFID (EvD, FCPD).
- Programme Guidance Group (PGG) to clarify when policies have clear public commitments and therefore for which DFID are accountable and those which are provided as a 'guidance' (PGG).



1. INTRODUCTION

Background

1.1 In September 2005 DFID published the Policy Paper '*Reducing poverty by tackling social exclusion*'. The paper sets out the rationale for addressing discrimination as a means to enhance poverty reduction efforts, and for stepping up the actions that DFID is taking to tackle social exclusion. It commits DFID to intensifying efforts in a number of areas as outlined in Box 1.

Box 1 Social Exclusion Policy Commitments

- 1 more exclusion analysis
- 2 strengthening collection and analysis of statistics
- 3 increasing inclusiveness of its own human resources
- 4 commissioning research and exchanging best practice
- 5 working collaboratively with others to strengthen capabilities and efforts to address social exclusion, including in conflict situations and fragile states
- 6 it also commits DFID to 'be accountable for implementation of the policy set out in the paper by evaluating progress in 2007-2008'

1.2 The social exclusion policy was the *first policy paper to include an Implementation Plan*. This follows concerns within DFID that there has been insufficient focus on the implementation of policies developed each year by DFID, and the consequent introduction of a requirement by the Development Committee¹ for all DFID policy papers to be accompanied by an implementation plan.

1.3 In response to this requirement, Policy Division (now Policy and Research Division) engaged consultants to develop *an evaluation framework* to support the monitoring and implementation of the social exclusion policy. This framework is intended to support the establishment of a baseline; a light touch stocktake exercise to assess how far and in what ways social exclusion is being incorporated into DFID's programming (2007-2008); and a comprehensive evaluation of the implementation of the policy – possibly in 2010.

1.4 Alongside the development of the evaluation framework, the consultants developed *a preliminary baseline*, completed in July 2006, with baseline information collected for the period up to September 2005 on the incorporation of social exclusion in DFID internal and external processes. This baseline was constructed chiefly from a review of key DFID documents and through communication with a cross section of departments and country offices.

Rationale for this Working Paper

1.5 *Anticipating challenges* posed by the forthcoming evaluation of the social exclusion policy, and recognising that the preliminary baseline had many shortcomings, this piece of work was commissioned by the Evaluation Department to build on the earlier work for Policy Division. Furthermore this work is intended to inform work to be undertaken by the Development Committee Secretariat on reviewing implementation plans more widely in order to determine what needs to be in an

¹ The Development Committee is one of a number of institutional structures in DFID with responsibility for ensuring DFID's policies and programmes will deliver the Public Service Agreement objectives and targets.

implementation plan and the processes to be followed in tracking it². The intention in this Working Paper (WP) is to provide an overview of the technical and institutional issues in evaluating implementation of DFID's social exclusion policy, and to recommend measures to address these issues either in advance of, or during, an evaluation of progress in 2007-2008. The full Terms of Reference are at Annex 1.

Methodology

1.6 The work involved *expanding further on baseline information* available from DFID internal sources on how social exclusion is being addressed by the organisation. Earlier work in constructing the Framework and preliminary baseline involved substantial document review and email/phone communication with identified key informants as agreed with Policy Division and Evaluation Department. This work has also informed this Working Paper.

1.7 Additional work included a *review of key DFID strategic planning documents* such as Country Assistance Plans or Country Engagement Plans, including Monitoring Frameworks where available (28)³, CAP Reviews (6), Regional Assistance Plans (5), Directors Development Plans (4), Institutional Strategy Papers (European Commission (EC) and World Bank (WB)); and Conflict Strategies (3), with respect to social exclusion. The review examined whether social exclusion appeared as an indicator in monitoring frameworks; in the analysis/discussion on challenges; through identification of socially excluded groups; in the DFID programmatic approach or in particular sectors or themes (see Annex 2 for further information on the document analysis checklist).

1.8 A short questionnaire was administered to *selected research programmes* and consortia supported by DFID to assess the extent to which their work incorporated social exclusion. Replies were received from eleven out of sixteen – the questionnaire is contained at Annex 3, as is the list of consortia approached and those who replied.

1.9 The consultants followed up by email and phone with agreed *key informants in different departments* and those involved in key processes to both expand on information for the baseline and to determine how evolving processes, such as work being done to establish an international data portal for DFID, might support future evaluation. For a full list of the people consulted during this, and the earlier exercise, see Annex 4.

1.10 The preliminary baseline developed was confined to determining how DFID incorporated social exclusion in its performance management and in programmes. However in order to increase clarity on the scale of the data challenge related to evaluation of social exclusion outcomes, it was agreed to liaise with five to six *'focus countries'* to assess the availability of data and identify expected challenges in assembling a baseline and/or conducting an evaluation. It is not intended that these 'focus countries' (those used in this exercise to assess data and challenges) will necessarily be the identified 'tracker countries' i.e. those selected for evaluation of the social exclusion policy. Their selection was primarily to provide the necessary insight needed at country level which could not be done simultaneously for all countries in this exercise.

1.11 The basis for *selection of focus countries* was determined between the consultants and Evaluation Department, through the Inception Report. Selection was purposive to provide a regional spread; a mix

² This work has not yet advanced but the Working Paper (WP) should help to inform the broader recommendations related to policy implementation plans.

³ In addition DFID's Poverty Reduction Framework agreement (April 2004) with Sierra Leone and the Technical Cooperation Portfolio Summary for Brazil were reviewed.

of countries where some level of baseline information was known to exist and others where this was less certain; and also to include at least one fragile state and a country programme with strong poverty reduction budget support (PRBS) orientation. The countries selected through this process were Ghana, Nepal, Pakistan, Sierra Leone and Western Balkans. It was hoped also to include Brazil, but the timing of this exercise did not allow the Brazil office to engage at this point in time.

1.12 Information was sought from contacts in these focus countries about available *country data, studies etc on social exclusion* from DFID/other donor, national and international sources and existing approaches to the monitoring of social exclusion. Attention focused on outcome levels related to National Development Frameworks, access to services, legislation, political inclusion and ultimately to poverty indicators and MDGs. See Annex 5 for a summary of the information sought through a checklist. The consultants also requested guidance on three good sources of information/data on social exclusion in each country and reviewed these. In addition through phone calls and email exchange the broader context for addressing social exclusion in each country was explored.

1.13 Some preliminary work was done by the consultants to assess available *international data sets* and how they might support future evaluation of outcomes related to social exclusion. Other related work planned by DFID on quantification of Social Exclusion is intended to yield more in-depth information on this.

Limitations of the study

1.14 This was a *short desk study* primarily intended to flag important issues related to a future evaluation of the social exclusion policy both from an institutional and a technical perspective. One major issue underpinning both this work, and earlier work for Policy Division, relates to constructing the baseline. This work allowed for further population of the preliminary baseline grid, but the reality is that only a comprehensive exercise by each section/department can realistically establish a baseline. Likewise, while cooperation from social development advisers and statisticians for each of the focus countries was excellent, this work cannot replace what could be done through an in-county exercise. Notwithstanding these limitations, it is our belief that the findings and recommendations are robust and provide an accurate picture of the likely challenges posed for future evaluation of the implementation of DFID's policy on social exclusion.

Outline of the Working Paper

1.15 Following this introductory section, there are *five additional sections*, plus annexes:

- Section 2: Introduces the Evaluation Framework and its relationship to the Policy Paper and Implementation Plan; provides an explanation of the links between levels; and a discussion of accountability and attribution issues at each level.
- Section 3: Focuses on the DFID accountable levels of the Framework; provides a description and overview of the preliminary baseline data, including additional information collected through this working paper; with comments on the adequacy of existing data systems and methodologies for measuring indicators.
- Section 4: Focuses on the possible future evaluation of outcomes with comments on availability of outcome level data.

- Section 5: Identifies data constraints and institutional challenges in constructing the baseline and in future monitoring and evaluation.
- Section 6: Provides recommendations for DFID to consider towards addressing gaps and overcoming challenges in monitoring and evaluation of the social exclusion policy.

1.16 Additional technical information is provided in annexes covering indicators and means of verification for the Evaluation Framework; questionnaire and other tools used; and a list of people consulted. There is also a bibliography.

2. THE EVALUATION FRAMEWORK

Overview of Framework

2.1 This section presents the *monitoring and evaluation framework* and outlines its rationale. In order to understand how the evaluation framework was developed we firstly needed to consider the concept of social exclusion contained in the policy paper; the commitments contained therein and in the Implementation Plan.

2.2 There are inherent *challenges to developing a shared understanding* of social exclusion deriving from its diversity and pervasiveness. While there are common traits there are different manifestations in different regions, countries and even localities which make it difficult to ensure that we are talking of the same process when referring to exclusion. Both the Review of Social Exclusion conducted by DFID in 2005 (Beall & Piron 2005) and the Policy Paper discuss the conceptualisation of social exclusion so it is not intended to dwell on the debate here. Unlike the concept of poverty which has benefited from much research and knowledge on definition determination, social exclusion is a relatively new concept and one that is both obvious and opaque depending on the observer. It matters to DFID however because it causes poverty, makes it harder to achieve the Millennium Development Goals (MDG) and leads to conflict and insecurity. The DFID Policy Paper is very clear that discrimination is at the heart of social exclusion, and this helps to distinguish it from other closely related processes. See Box 2 for the definition of social exclusion from the policy paper.

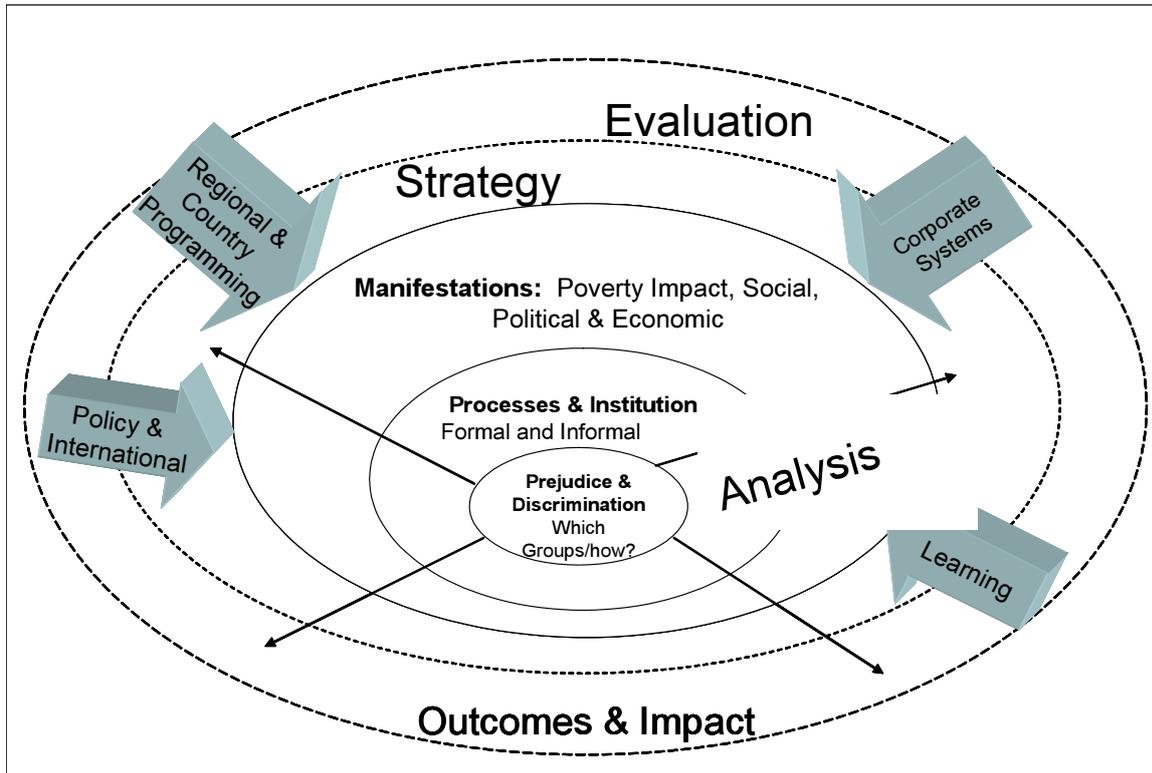
Box 2 Social Exclusion Definition from DFID Policy Paper

'Social exclusion describes a process by which certain groups are systematically disadvantaged because they are discriminated against on the basis of their ethnicity, race, religion, sexual orientation, caste, descent, gender, age, disability, HIV status, migrant status or where they live. Discrimination occurs in public institutions, such as the legal systems or education and health services, as well as social institutions like the household'

2.3 The *conceptual framework* underpinning the evaluation framework derives from this and is presented in Figure One, which was conceived as a ripple effect. This framework highlights the importance of putting prejudice and discrimination at the centre of a social exclusion analysis and of understanding who is socially excluded (groups and individuals) and how. This discrimination is transmitted through institutions and behaviour, both formal and informal, leading to exclusion outcomes in poverty and at political, economic and social levels. Social exclusion is therefore both an outcome and a dynamic process, often with multiple layers of discrimination compounding the impact.

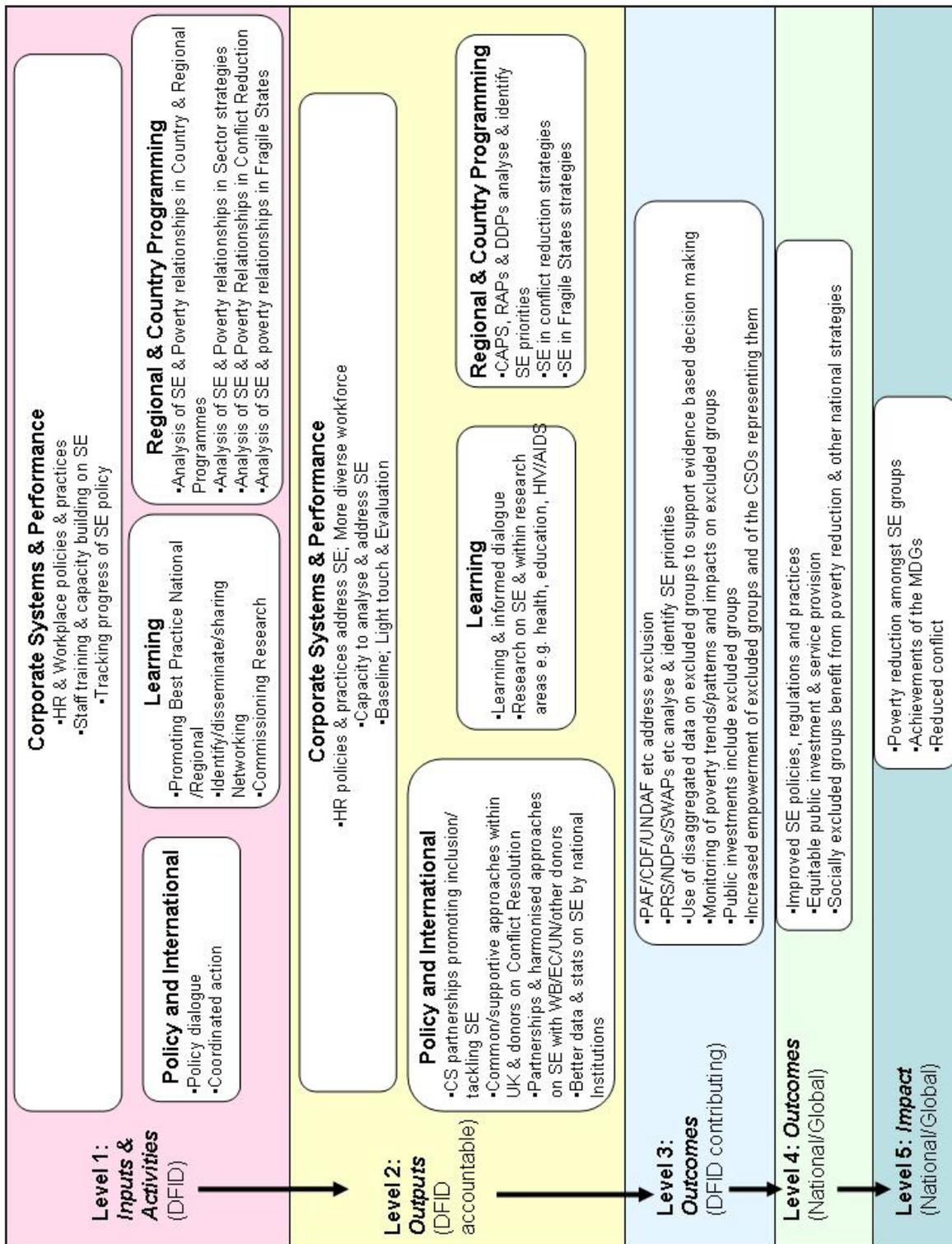
2.4 The framework further proposes that *strategies* can be developed to tackle social exclusion. Though the particular strategies will vary given national and local contexts, an organisation like DFID can support such strategies by incorporating attention to SE in its internal/institutional processes and its external programming. In line with current performance management approaches in DFID the conceptual framework identifies four areas of activity with potential to impact positively on outcomes for the excluded. These will be further elaborated in the next section when describing the Evaluation Framework. Finally Figure 1 captures the need to evaluate progress in terms of positive outcomes and impacts for the socially excluded.

Figure 1. Social Exclusion Conceptual Framework



2.5 The Social Exclusion (SE) policy document and Implementation Plan formed the basis for development of the Evaluation Framework. *The DFID SE policy document* outlines commitments against which performance will be monitored and evaluated and indicates what DFID will do to help reduce SE. This commitment is further stated in White Paper III ie ‘support initiatives to tackle social exclusion and radicalisation’ (Chapter 3, page 40). *The Implementation Plan*, endorsed by the Development Committee, indicates how DFID will implement the SE policy in three areas (A) regional programmes; (B) policy and international; (C) and corporate. It contains 12 recommendations and sets out the rationale and the resource implications for each. These areas and recommendations have been incorporated into the Evaluation Framework. An additional area has been disaggregated from the above to encompass Organisational Learning. This keeps the evaluation framework in line with other processes such as the development of a performance framework in Policy Division. The links between the evaluation framework and the implementation plan are elaborated in Table 1, following Figure 2 on the evaluation framework.

Figure 2. The Social Exclusion Policy Evaluation Framework



2.6 The Evaluation Framework is *based on the logical framework approach*, with different activities/results at five levels from inputs/activities through to long-term impacts (See Figure 2). This Framework postulates the expected results from implementation of the SE policy based on a logical chain of events.

2.7 Table 1 makes explicit the manner in which the evaluation framework has been constructed on the implementation plan commitments. The table follows the sequencing of the Implementation Plan with A1-A5 encompassing Regional Programmes; B6-B7 Policy and International and C8-C11 Corporate Systems and Performance. All elements of the implementation plan are reflected in the framework. However in instances where the implementation plan identified an input or activity, the evaluation framework provides an output i.e. what one would expect to see as a result of this. Thus, for example, in relation to Implementation Plan Commitment C10 (a and b), which identifies work for the International Civil Society Department (ICSD) on engagement with minority ethnic organisations etc and in sharing experiences, the associated expected output relates to Civil Society (CS) partnerships promoting SE and the indicators relate to integration of SE in Partnership Programme Agreement (PPA) outcomes and in core mandates of CSOs, including media organisations supported by DFID.

Table 1. Links between Implementation Plan and Evaluation Framework

Implementation Plan commitment	M & E framework output	M & E framework indicator
A1: All country offices to conduct social exclusion analysis between now and their next CAP. Regional Directors to champion action to address social exclusion and to set out regional priorities in DDPs.	2.10 CAPs, RAPs & DDPs analyse and identify SE priorities	Evidence of discussion and decision on how to implement SE policy within regional/country programmes; Evidence of exclusion in the analyses informing CAP, RAP, Sector Programmes and JAS; SE indicators in CAPS & monitored through annual reviews
A2: Where this analysis reveals that exclusion is a significant cause of poverty or insecurity, targeted work on social exclusion will be built into new or amended country assistance programmes	2.10 (as above)	As above and Types and scale of exclusion issues addressed in DFID country programmes
A3: DFID will work to improve the availability of disaggregated data for more effective design and monitoring of poverty reduction policies, including a focus on improving availability of disaggregated data for PRSPs, sector programmes, and other areas	2.7 Better data & statistics on SE groups by National institutions	Evidence that country programmes are providing support to national institutions on improving national statistics and data on SE groups
A4 (c) In post conflict countries or those at risk of conflict CHAD and country offices will seek opportunities to support medium and longer-term	2.5 Common and supportive approaches within the UK conflict pool/DAC fragile states group; SE addressed by the DAC Fragile	Tackling prejudice is a key strategic objective for xx Conflict Pool Country Strategies SE in framing joint donor

Implementation Plan commitment	M & E framework output	M & E framework indicator
programmes to increase social cohesion, promote mediation and promote reconciliation between groups in conflict....	states group in piloting for principles for good engagement in fragile states; 2.11 SE in conflict reduction strategies; 2.12 SE Analysis informing Fragile States strategies	common approaches & support programmes on conflict reduction – DAC Conflict Peace and Dev Co-op disseminate a Policy Brief about Conflict & SE by 2008 SE in work programme and outputs of DAC Fragile States Group SE in DFID-supported piloting in Nepal, Yemen (with UNDP) and Somalia (with WB) Evidence of SE analysis in Conflict Prevention Strategies/Assessments increased from 2 to 4 Link in with PSA target 5: By 2007/08 improved UK & International support for conflict prevention, through addressing long-term structural causes of conflict Strategies targeted at SE more explicit in Fragile states policy/strategy than they were in 2005 document
A5 The regions and PRD will agree a forward work programme to facilitate national and regional sharing of experience between all parties	2.8 Learning and informed dialogue amongst National and Development Partners about SE issues and challenges	SE explicit in policy dialogue with Nat and Dev partners at different levels and in different channels (PRBS, Paris Declaration, Joint Donors etc.)
B6 (a) ERT will directly support regional divisions in their work, including lesson learning, use of aid instruments, devising strategies and (especially for Africa) provide direct advisory support in-country (up to 6 countries)	2.8 (as above) 2.2 Improved capacity to analyse and address SE amongst DFID staff	(as above) Greater number of DFID staff understand benefits of SE approach (incl. linking SE with Aid Modalities, PRSPs) & perceive the benefit of using a SE perspective to complement DFID's focus on poverty & inequality
B6(b) Other PRD teams will integrate exclusion in their work in 2006, including work with other government departments, international partners and guidance and support for country offices	2.8 (as above) 2.2 Improved capacity to analyse and address SE amongst DFID staff	(as above) And Proportion of new policy products that address SE
B6(c) Governance & Social Development Resource Centre shares good practice on SE	2.9 Research on SE and within research areas	GSDRC sharing of good practice on SE

Implementation Plan commitment	M & E framework output	M & E framework indicator
B7(Regional and country programmes and PRD influence multi & bilateral agencies to do more on SE, including UNCH to channel support to UN agencies, IFID and others to promote with WB, IMF and regional development banks, including exclusion analysis through PSIA's and PPAs	2.6 Partnerships and harmonised approaches on SE with WB, EC, UN, other donors	SE (and related concepts) on the agenda of global, regional & country partnerships with WB, UN, EC, other donors PRD Performance Framework Indicator: Good progress towards common approaches on SE and SP with Int. Partners
C8 The HR Dept will ensure that inclusion is a key part of DFID's recruitment practices and training and development programmes	2.1 More diverse workforce within DFID; HR policies & practices address social exclusion issues; Gender Action Plan adopted and targets met 2.2 Improved capacity to analyse and address SE amongst DFID staff	DFID Diversity targets for 2008 achieved (see framework for details) Diversity and gender are addressed across the four stages of all training (identification, design, delivery & evaluation) The demand for and number of staff attending training in diversity & equality increases
C9 Central Research Dept will commission new research and ensure adequate attention to SE in existing and new thematic research	2.9 Research on SE and within research areas such as health, education, HIV/AIDS	DFID commissioned research on exclusion Exclusion in research reports in key areas Exclusion in work programmes of Development Research Centres & Research Consortia
C10(a) ICSD will consider the scope for increased engagement with minority ethnic organisations, disabled people's organisations, faith-based groups & Diaspora communities to aid understanding & DFID will raise SE concerns in cross-Whitehall engagement on faith/faith-based organisations	2.4 CS partnerships promoting inclusion and tackling SE	Proportion of PPA Agreed Outcomes focused on tackling SE issues increases
C10(b) ICSD will act as focal point for sharing experiences between PPA and CSCF partners, DFID and others & will facilitate lesson learning & access to guidance material on increasing information for excluded groups	2.4 (as above)	As above, plus, proportion of CS partners with core mandate on SE (or monitor 10 of the largest CSOs to see whether their strategies are becoming more SE focused) Aspects of SE addressed by media organisations supported by DFID
C11 Evaluation Dept will evaluate progress against this plan as part of its 2007/08 workplan and report to the Mgt Board by April 2008	2.3 Baseline, light –touch evaluation and Evaluation; and Lesson on progress fed back to corporate systems & programming	

Levels of the Framework

2.8 The *first level of the Framework relates to inputs and activities*. Corporate Systems and Performance is placed at the top as this is essentially underpinning the other three areas. The expected activities are presented for each of the four areas. The Implementation Plan provides the basis for what is identified here. The investment of human and financial resources at this first level will be the main determining factor of DFID performance in incorporating social exclusion into its systems and programmes. The Implementation Plan, for example, emphasises:

- o inclusion in DFID's recruitment practices and training and development programmes
- o investment of time and resources in influencing multilateral and bilateral agencies to do more on social exclusion
- o commissioning new research
- o intensification of exclusion analysis in development and implementation of Country Assistance Plans (CAPs)

2.9 The *second level presents the expected immediate results or outputs* from realisation of the inputs and activities of level one. This investment is expected to have a positive effect on DFID's internal and external performance related to social exclusion in all four areas previously identified. The effects will lead to:

- o improved DFID corporate systems and performance related to diversity of workforce, capacity of staff to address SE and tracking of progress on SE
- o more coordinated and harmonised approaches on SE between DFID and other donors and better data and statistics on SE by national institutions
- o more informed dialogue on SE, arising from sharing of practice and dissemination of knowledge from research
- o increase in activities and programmes that address exclusion within CAPs, conflict reduction and fragile state strategies, where analysis supports this

2.10 Over the medium term it is expected that the above changes will have a *positive effect on national capacity to address exclusion* and on the manner and extent to which social exclusion is addressed at the national level. This is captured as level three outcomes, expected to result in:

- o development partner accountability structures incorporating attention to SE
- o national level plans and programmes addressing SE
- o improved planning and decision making through increased use of disaggregated data on excluded groups
- o better tracking and understanding of poverty reduction impacts on excluded groups

- o increased public investment in addressing SE
- o increased demand from excluded groups and civil society

2.11 Level four presents the expected situation over time, producing *sustainable benefits for excluded groups* through:

- o improved policies, legislation and practices related to SE
- o equitable public investment, service provision and access for excluded groups
- o inclusion of previously excluded groups

2.12 Ultimately this should lead to *poverty reduction amongst excluded groups*; greater achievement of hard-to-reach MDGs and reduced conflict (Level 5 Impacts).

2.13 The Framework indicates that *DFID is accountable for the first two levels* ie (i) inputs and activities and (ii) immediate outputs in the identified four areas. Given the mandate and direction provided by the Implementation Plan one would expect to see sufficient investment and consequent changes within DFID and its partnerships and programmes. DFID is accountable for progress at these levels as these are issues within the organisation's control.

2.14 DFID can only contribute to, however, and cannot be held accountable for, changes at subsequent levels. These *results are dependent on the activities of many partners*, and methods for assessing individual donor contribution to such changes are not well developed. To the extent that such outcomes have been critically analysed by DFID in previous evaluations, the conclusion has been that attribution is not possible (DFID 2002, EV640). Because of the country-owned and shared nature of these outcomes it is even arguable as to whether there should be major investment in attempting attribution at this level and beyond. This Framework proposes that DFID's level of accountability be measured at levels 1 & 2 and suggests the use of local, national and international data for levels three onwards. While establishing a causal link between DFID's activities and interventions and subsequent development outcomes may not be feasible, it is reasonable to seek some measure of DFID's performance and effectiveness in influencing these outcomes. This might be achievable for immediate results (leading to Level 3) but the challenge is very considerable for longer-term changes and impacts at subsequent levels. Just how challenging attribution will be moving from Level 1 & 2 to Level 3 is likely to be highly country-specific. It will depend for example on the size of the country; the scale of DFID's contribution and on the mix of aid modalities. Project style support lends itself more readily to measurement of contribution, while multi-sector and multi-donor programmatic support will be much more challenging. To establish some performance measure would require the identification of DFID-attributable intermediate performance indicators related, for example, to policy dialogue and influence. These would include looking at issues such as:

- what channels were used (e.g. formal such as a memorandum of understanding to informal discussions), the extent to which these channels were used and to what effect
- what methods were used (policy dialogue; commissioned studies; piloting, technical assistance) and what was the response to these

- what approach was used (DFID directly with government or through joint donor effort, working through civil society etc.), and how strategic and effective the approach(es) adopted proved to be
- what were the objectives and focus of policy influencing such as getting better SE data; to have SE addressed in national or sector strategies; to influence legislation etc.

2.15 The challenges posed by attribution at this level will need to be looked at from a methodological perspective during the initial stocktake. The aim should be more to reduce uncertainty about the contribution made than to prove the contribution made (Mayne, 1999 p7). This would require wide ranging consultations with different stakeholders in an attempt to track the effect of DFID actions in contributing to Level 3 changes.

Considerations in developing the framework

2.16 It is not intended that this Evaluation Framework would be universally utilised across the organisation. *The complete framework* would only be used by Policy Division, the Equity and Rights Team (ERT) to monitor progress with policy implementation and by the Evaluation Department to conduct evaluations. For other departments, sections and teams, sub-sets of indicators should be used to track progress.

2.17 Ideally these indicators to track progress in SE policy implementation should be embedded in the relevant *departmental or country monitoring frameworks* and reporting mechanisms. For example, a sub-set of indicators can be identified for country programmes to monitor at different levels, for departments such as Learning and Development (LDS) and for teams such as ERT. Some country offices are currently in the process of strengthening performance management frameworks to improve monitoring frameworks and processes for CAPs. The indicators in the resulting frameworks need to be linked with these processes rather than providing a separate set of indicators. Wherever possible we have endeavoured to do this, as will be described in more detail in the next section.

2.18 When developing the indicators and Means of Verification (MoV) we *considered the following*:

- o linking in with ongoing monitoring systems and using indicators and MoV that already exist
- o relating back to the Policy and the Implementation Plan
- o being as explicit as possible to ensure that we were capturing the different elements of the social exclusion concept and breaking it down as much as possible
- o specifying social exclusion, but also recognising that it must also be applicable in contexts where the approach to issues of exclusion and or language used to discuss the issues are different (e.g. Rights Based Approach (RBA)) or where the focus is on a narrow sub-set of issues (e.g. gender, age, ethnicity)
- o developing MoVs that take account of what is locally specific but at the same time is comparable across countries

- o recognising that some of the MoVs such as International Strategy Papers (ISPs) may need to be tailored to produce something more in depth to capture the real essence of the partnerships
- o continual awareness of the balance to cover all of the above points whilst not creating an over proliferation of indicators

2.19 We shared the first draft of the Evaluation Framework and indicators with representatives from the Brazil, India, Nepal, Nigeria, and Western Balkans Country Offices, selected statisticians, those responsible for developing the Human Rights and Social Exclusion indicators⁴ and the people responsible for the ongoing work on developing a Performance Framework for Policy Division. This gave us additional insight into what was and was not available and appropriate.

2.20 We also tried to include *indicators for measuring influencing*. However, we had to be pragmatic in selecting indicators in this area. More work will need to be done to develop this further. Likewise, when developing the indicators, it was agreed that tracking human and financial resources invested by DFID in addressing social exclusion was beyond the scope of this exercise as this required developing agreements on method that could not be achieved for this study. However it remains a critical element for the organisation to track and mechanisms and guidance on how to do so will need to be developed.

2.21 Sections 3 and 4 highlight some of the *specific challenges* and comments on the adequacy of data systems and methodologies for measuring indicators. These were brought out when endeavouring to develop a baseline. A comprehensive list of the indicators and means of verification can be found in Annex 6.

⁴ The ToR for this piece of work were in draft form at this stage of the process.

3. DEVELOPING A BASELINE

The Approach to Development of Baseline

3.1 As outlined above, Level 2 of the Evaluation Framework is an attempt to build a picture of *the extent to which the SE Implementation Plan has been adopted by DFID* both centrally, in the country programmes and with its partners. It covers four broad areas: Corporate Systems and Performance, Policy and International, Learning and Regional and Country Programming. Within these areas, the indicators track activities that are directly attributable to DFID staff.

3.2 We carried out an exercise to develop a preliminary Level 2 baseline for these indicators in three stages:

- o Stage 1: organising a **reference grid** that highlighted the documents and systems that currently contain information relevant for the preliminary baseline
- o Stage 2: carrying out a **rapid review** of each indicator for 42 countries using the documents that had been identified in the grid. This painted a broad picture of what information is and is not available by region and also was a first attempt at pulling together some information that could later be used to develop a more comprehensive baseline
- o Stage 3: pulling this information together, and gathering additional information from the five focus countries, and relevant departments within DFID to develop a grid that assembles a **picture of the baseline**. While recognising that this baseline is not comprehensive and that further retrospective work is likely to be required when undertaking the light touch stocktake of the Policy Implementation in 2007-2008, a baseline now exists to support monitoring and evaluation of policy implementation.

3.3 This section will draw out some of the *key lessons from these three stages* and examine some of the challenges encountered and observations made around both the collection and analysis of data. Initial development of the monitoring and evaluation framework and preliminary baseline was undertaken with the PRD ER Team and further work to populate the baseline was undertaken while developing this Working Paper for EvD. The consolidated baseline can be found in a separate document, and will be used by the ER Team and Evaluation Department in the future stock-take and evaluation. It is unpublished and can be accessed from the Evaluation Department or the ERT. A summary of this baseline data is outlined in Table 2 below. This table represents a flavour of the baseline and what exists. It is not the baseline itself.

Table 2. Baseline Summary for Level 2 of the Evaluation Framework

Output	Indicator	Baseline – Before September 2005
<p>2.1 More diverse workforce within DFID Human Resource policies & practices address Social Exclusion issues Gender Action Plan adopted and targets set</p>	<p>Diversity targets for 2008 achieved Diversity and gender is addressed across the four stages of all training (identification, design, delivery and evaluation) Baseline and indicators to be derived from GEAP and Gender Equality Duty</p>	<ul style="list-style-type: none"> • Proportion of women in the SCS – 27% • Proportion of women in Pay Band 2 and above – 32% • Proportion of BME staff in the SCS – 11% • Proportion of disabled staff in the SCS – 3% • Proportion of BME staff in feeder grades – 8% • Proportion of disabled staff in feeder grades – 1% <p>(Annual Diversity Report 2005/6)</p> <p>No gender training in 2005; no SE training; low uptake of disability/diversity training, no specific tracking of exclusion in training</p> <p>Recognition of need to revitalise action on gender equality. Conducting gender evaluations centrally and gender audits conducted/underway/planned in some countries such as Malawi, China and Rwanda</p>

Output	Indicator	Baseline – Before September 2005
<p>2.2 Improved capacity to analyse & address Social Exclusion amongst DFID staff</p>	<p>Greater number of DFID staff understand benefits of SE approaches The demand for, and number of staff attending training in diversity, equality increases Proportion of new policy products that address SE</p>	<p>There is evidence (from SE Review) of some understanding of social exclusion amongst staff :</p> <ul style="list-style-type: none"> • <i>Understanding of SE:</i> 1) diversity of definitions; 2) important but "in the air" • <i>Benefits of SE:</i> 1) focus on social structures and processes; 2) looks at poverty in a dynamic way; 3) moves beyond income-based analysis to include issues of access • <i>Challenges of SE:</i> 1) Operationalising SE perspective in DFID (DFID SE Review, 2005) <p>The Disability Equality Training course is not well subscribed (81 out of 160 places) Evidence of SE or SE related issues addressed in 7 policy products⁵</p>
<p>2.3 Baseline, light-touch & Evaluation Lessons on progress fed back to corporate systems & programming</p>	<p>Baseline, light touch and evaluation are conducted Messages identified and disseminated</p>	<p>No baseline, light touch or evaluation has been conducted No systematic dissemination. Some feedback on thematic issues e.g. gender, disability disseminated</p>
<p>2.4 CS partnerships promoting inclusion and tackling SE</p>	<p>Proportion of PPA Agreed Outcomes focused on tackling SE issues increases Aspects of social exclusion addressed by media organisations supported by DFID</p>	<p>7 out of 17 PPAs explicitly mention working on SE issues in Outcome Agreements Is addressed in some programmes, especially gender but no systematic oversight or mandate on this, some data from age and disability mapping studies</p>

⁵ SE addressed in: Gender TSP (2000) – mainly gender; HR TPS (2000); Disability Issues Paper (2000); Reducing Maternal Deaths: Evidence and Action A strategy for DFID (2004) – mainly gender; Girls Education, towards a better education for all (2005); Learning to Listen: DFID Action Plan on Children's and Young People's Participation (2005) – mainly children and youth; The UK's strategy for tackling HIV & Aids in the developing world – gender, vulnerability and rights; Break the Cycle of Child Poverty (2002)

⁵ SE addressed in: Gender TSP (2000) – mainly gender; HR TPS (2000); Disability Issues Paper (2000); Reducing Maternal Deaths: Evidence and Action A strategy for DFID (2004) – mainly gender; Girls Education, towards a better education for all (2005); Learning to Listen: DFID Action Plan on Children's and Young People's Participation (2005) – mainly children and youth; The UK's strategy for tackling HIV & Aids in the developing world – gender, vulnerability and rights; Break the Cycle of Child Poverty (2002).

Output	Indicator	Baseline – Before September 2005
<p>2.5 Common and supportive approaches within the UK Conflict Pool/DAC Fragile States Group</p> <p>SE addressed by DAC Fragile States Group & in piloting for Principles for Good Engagement in Fragile States</p>	<p>Tackling prejudice is a key strategic objective for all Conflict Pool Country Strategies/assessment.</p> <p>SE in framing joint donor common approaches & support programmes on conflict reduction</p> <p>SE reflected in work programme and outputs of DAC Fragile States Group</p> <p>SE in DFID-Supported piloting in Nepal, Yemen (with UNDP) and Somalia (with WB)</p>	<p>Tackling prejudice is a key strategic objective for 1 out of 4 conflict strategies/assessments reviewed</p> <p>SE did not frame joint donor common approaches on conflict reduction</p> <p>SE was not included in the initial Piloting Principles for Good Engagement in Fragile States (2005)</p>
<p>2.6 Partnerships & harmonised approaches on Social Exclusion</p>	<p>Social Exclusion (and related concepts) on the agenda of global, regional & country partnerships with WB/UN/EC/other donors</p>	<p>There is no mention of SE in EC or WB ISP, some mention of vulnerable groups in WB ISP⁶</p>
<p>2.7 Better data & Statistics on SE groups by National Institutions</p>	<p>Evidence that Country Programmes are providing support to National institutions on improving national statistics and data on SE groups</p>	<p>3 out of 4 DFID Country Programmes (Focus Countries) provided some support to national institutions on improving national statistics and data on SE</p>
<p>2.8 Learning & informed dialogue amongst National and Development partners about SE issues and challenges</p>	<p>SE explicit in Policy Dialogue with National & Development partners at different levels and in different channels</p>	<p>4 out of 5 focus countries had some SE in policy dialogue</p>
<p>2.9 Research on SE & within research areas</p>	<p>DFID commissioned research on Exclusion</p>	<p>From documents reviewed, there is evidence that DFID has commissioned a number of research papers on SE and SE groups (with a focus on: Exclusion: 13 research papers, Gender: 6 research papers, Disability: 7 research papers, Age: 2 research papers)</p>
<p>2.10 CAPS, RAPs & DDPs analyse & identify SE priorities</p>	<p>Evidence of discussion and decision on how to implement SE policy within regional/country programmes</p> <p>Evidence of exclusion in the analyses informing CAP, RAP, Sector Programmes and JAS (could be specific SE analysis or in DoC, PPA, SCA etc.)</p> <p>SE indicators in CAPS & monitored through annual reviews</p> <p>Indicator</p>	<p>Number of CAPs⁷ (out of 28) where SE is: specified in challenges (4); is implicit but not specified (22); is discussed as a selective issues (1)</p> <p>Number of RAPs⁸ (out of 5) where SE is: specified in challenges (2); is implicit but not specified (3); is discussed as a selective issues (0)</p> <p>Number of DDPs⁹ (out of 4) where SE is: specified in challenges (2); is implicit but not specified (2); is discussed as a selective issues (0), no SE</p> <p>Baseline/Before September 2005</p>
<p>Output</p> <p>2.11 SE in conflict reduction strategies</p>	<p>Evidence of SE Analysis in Conflict Pool Country Strategies increased from 2 out of 4 to 4 out of 4</p>	<p>2 out of 4 Conflict Strategies/Assessment reviewed identify SE as a key factor in the analysis</p>
<p>2.12 SE Analysis informing Fragile States strategies</p>	<p>Strategies targeted at tackling SE more explicit in Fragile states policy/strategy than were in 2005 document</p>	<p>No explicit mention of SE in Fragile States Policy (2005)</p>

⁶ We applied the same criteria as the CAP analysis that can be found in Annex 7

⁷ We applied the same criteria as the CAP analysis that can be found in Annex 7.

⁸ Nepal, Pakistan, Bangladesh, Burma, Cambodia, India, Vietnam, Burundi, Ethiopia, Nigeria, Rwanda, Sierra Leone, Malawi, Angola, Sudan, Uganda, Zambia, Ghana, Kenya, Tanzania, DCR, Mozambique.

⁹ Caribbean, Latin America, Central Asia South Caucasus & Moldova, Middle East & North Africa.

⁹ Asia, Africa, EMAD, International Division.

Challenges and Observations at Level 2 for Baseline and Evaluation

3.4 There are a total of twelve outputs at Level 2 of the Evaluation Framework many of which are further broken down, resulting in approximately 30 corresponding indicators. The rationale for keeping each of these indicators in the grid was that they all related to the Implementation Plan, and reflected the broad impact that the uptake of a Policy could have on DFID's work. However, we recognise that *this is a lot of indicators to track*, and that if each Policy were tracking this amount it could become rather time consuming. In order to counteract the risk that officers would become overwhelmed, it is recommended that a select number are tracked by specific sections within DFID, whilst others are used primarily as baseline information and revisited for the Evaluation. As indicated earlier, it is not recommended that the comprehensive framework is distributed to staff, but that the ERT manages a process whereby it is split up and individual indicators are discussed with appropriate officers and sections and, where possible, are embedded in already existing systems.

3.5 It was agreed that the *baseline cut-off date* would be September 2005 to coincide with the publication of the Social Exclusion Policy Document. However, developing a retrospective baseline can be problematic. Key staff may have moved on since the cut off date, and other staff may not remember when specific activities took place. In the absence of a comprehensive monitoring system, we relied heavily on the use of documentation and specific studies to counter-balance this. They are set in time, so make it easier to build a snapshot picture before the agreed cut-off date. However this often meant that information was fragmented, as one-off studies often did not focus on social exclusion itself, but rather related issues. The use of one-off studies will be further elaborated on below.

3.6 In constructing the baseline, considerable use was made of documents to gather evidence. However there are *limitations to paper-based means of verification*, especially for some indicators, such as influencing, and this will require additional means of monitoring and evaluation. This challenge is of course broader than evaluation of the SE Policy.

3.7 It was also difficult in constructing the baseline to get a clear sense of social exclusion programming in DFID – how much is being done and the financial (and human) resources being invested by DFID to support tackling of the issue. It was not feasible to undertake an analysis of financial resources as part of this exercise but this will likely be a requirement for the stocktake.

3.8 In the development of the Evaluation Framework, we tried to develop *indicators that can be used across countries and departments* to build a picture of the extent to which the Implementation Plan had been adopted across DFID. We tried to ensure that they took into account that which is locally appropriate whilst at the same time is comparable across countries. For the collection of baseline data, this is challenging, even at Level 2 for a number of reasons.

3.9 Often the *approach to issues of exclusion* and/or the language used to discuss the issues are different, or the focus is on a narrow sub-set of issues that vary. A brief review of 28 DFID CAPS alone highlighted the variation in the manifestations of social exclusion and of the socially excluded groups that have been identified through CAP analyses across countries. Of the 28 CAPS reviewed, 25 considered gender, 2 considered caste, 2 considered race, 21 considered life-cycle (in some form), and 6 considered people living with a disability.

3.10 Going down to the *different levels of exclusion* can add an extra layer of complexity. In Ghana, for example, it was found that it would be very hard (and not necessarily helpful) to distinguish between the SE 'poor' and the non SE poor. So while a poor Muslim woman in Northern Ghana may

experience more discrimination and be more socially excluded than a poor Christian man in Southern Ghana, it may not be helpful to say that the first person experiences social exclusion while the second person does not. It is more an issue of *levels* of social exclusion. The poor Muslim women will face more exclusion than the men in Southern Ghana, but they will both face a hard time compared to the non-poor. Therefore, the poor/non-poor distinction may be more appropriate than a social exclusion/non social exclusion distinction. In this case, without doing an in depth study and having a good overview of the issues it can be difficult, and indeed misleading, to look at the extent to which, for example SE is being monitored in a programme.

3.11 This does however point to *the value of analysis to support decisions* on the relevance of social exclusion in a particular context. The Implementation Plan highlights in particular the need to consider ‘*the significance of exclusion in explaining trends in poverty, the impact of exclusion on hard-to-reach MDGs and exclusion as a factor in promoting conflict and insecurity*’. A document review of CAPs has been conducted for this baseline exercise, in September 2006.

3.12 In our *analysis of CAPs, RAPs and DDPs*, we attempted to make some form of judgement on the extent to which SE had been analysed in the plans and to identify the programmatic approach to SE (see Annex 8 for summary of findings of this rapid review). We attempted to break the analysis down into four categories: (i) SE specified in challenges (e.g. direct reference to social exclusion in its purest form); (ii) SE implicit in challenges (e.g. identification of potentially socially excluded groups based on a related form of analysis such as inequality or vulnerability); (iii) SE Selective (e.g. some specific issue(s) relating to SE identified, without explicit reference to exclusion – most commonly this was gender) and (iv) no SE disaggregation at all. This broad brush reflects the flexibility of the Policy Paper and the Implementation Plan in how you might analyse SE to include broader concepts such as vulnerability and pro-poor. In Asia for example four out of seven CAPs referred to vulnerability whilst one referred to pro-poor, whilst in the Africa region, eight out of 15 referred to vulnerability whilst four referred to pro-poor.

3.13 The *absence of an agreed approach to exclusion analysis* that allows countries to apply this in a context-specific way is positive because it is flexible, but it can make carrying out a broad cross-country analysis difficult as you risk not comparing like with like. It will also make a longitudinal study difficult as concepts and language change. It might be a risk that the baseline becomes no longer meaningful as these change overtime.

3.14 As indicated in the section above, where possible, when developing the framework we tried to *link into existing monitoring systems*. This proved surprisingly difficult as it is unclear what is and isn't currently being tracked systematically in the various parts of DFID, and we were unable to identify a global overview of this to feed into the development of these indicators. Although we did not directly examine the DFID internal systems such as Performance Reporting Information System for Management (PRISM), it appears from other analyses of PRISM, that they are not currently amenable to tracking social exclusion. The 2004 Stocktake of Gender (Watkins, 2004) found that the material available through PRISM was uneven in terms of what was included and the quality of what was included. Whilst the Age-Mapping Study found the PRISM system to be reasonably comprehensive, the information was not always up-to-date or complete. Nor did PRISM cover allocations of less than £100,000 or those funded through umbrella mechanisms (SDD, 2005).

3.15 From the evidence available to us, it seems that *many of the outputs are not being tracked systematically*. Table 3 provides some recommendations for who might provide a more comprehensive picture of the baseline and track relevant output indicators in the future. These suggestions will need to be discussed internally.

Table 3. Level 2 indicators and suggested responsibility for tracking

	Indicators	Data source	Frequency of collection	Suggested responsibility within DFID
2.1	Diversity targets for 2008 achieved ¹⁰ Diversity is addressed across the four stages of all training (identification, design, delivery and evaluation) Baseline and indicators to be derived from GEAP/GED	Annual Diversity reports LDS reports GEAP and GED reports	Annual Annual Annual	Diversity Adviser/HR LDS PD/GEAP
2.2	Greater number of DFID staff understand benefits of SE approaches The demand for, and number of staff attending training in diversity, equality increases Proportion of new policy products that address SE	Follow up interviews to SE Review Training reports Policy products	Stocktake/ Evaluation Annual Annual	Evaluation team LDS ERT
2.3	Baseline, light touch and evaluation are conducted Messages identified and disseminated	Final evaluation Products	Milestone Annual	Evaluation Team ERT
2.4	Proportion of PPA Agreed Outcomes focused on tackling SE issues increases Proportion of country CS partners with core mandate on SE Aspects of SE addressed by media organisations supported by DFID	PPA outcome agreements No obvious MoV Reports from supported media groups	Stocktake/ Evaluation Stocktake/ Evaluation Stocktake/ evaluation	ICSD/Evaluation team ICSD/Evaluation Team ICD Team
2.5	Tackling prejudice is a key strategic objective for all Conflict Pool Country Strategies/assessment. SE in framing joint donor common approaches & support programmes on conflict reduction	UK Conflict Prevention Pool Strategy Documents DAC Conflict Peace and Development Co-operation Work programme of the DAC FSG	Annual Stocktake/ evaluation	CHASE CHASE/Evaluation Team
2.6	Social Exclusion (and related concepts) on the agenda of partnerships with multilaterals	Sample of ISPs, CAPs, annual reviews on engagement	Annual	ERT
2.7	Evidence that Country Programmes are providing support to National institutions on improving national statistics and data on SE groups	CAPs, Country annual reviews, project and programme documents	Annual	ERT
2.8	SE explicit in Policy Dialogue with National & Development partners at different levels and in different channels	Country dependent	Stocktake/ evaluation	Evaluation team
2.9	DFID commissioned research on Exclusion	Studies on SE, research reports, research calls	Annual	ERT/CRD
2.10	Evidence of discussion and decision on how to implement SE policy within regional/country programmes <ul style="list-style-type: none"> Evidence of exclusion in the analyses informing CAP, RAP, Sector Programmes and JAS (could be specific SE analysis or in DoC, PPA, SCA etc.) SE indicators in CAPS & monitored through annual reviews 	CAPs, RAPs, Sector Programmes, JAS, DDPs and reports CAPs and annual reviews and country programme evaluations	Annual Annual	ERT/ CSG Country Programmes
2.11	Evidence of SE Analysis in Conflict Pool Country Strategies increased from 2 out of 4 to 4 out of 4	Conflict Prevention Strategies/assessments	Annual	CHASE
2.12	Strategies targeted at tackling SE more explicit in Fragile states policy/strategy than were in 2005 document	Fragile States Strategy, CAPs & Country annual reports, reports on DFID supported pilots on DAC principles	Stocktake/ evaluation	Evaluation team

¹⁰ HR has developed a Race Equity Action Plan and is currently developing a Disability Duty Action Plan. The indicators should be updated to fit with these.

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Sources of Information

3.16 It became clear from the Reference Grid that there was considerable *variation in available information on social exclusion*, and that many of the indicators that related to the Implementation Plan were not currently being tracked at all. The data collection was based on desk reviews and limited interviews with the five focus countries and some key departments within DFID. As outlined in the Table 3 above, we used three different data sources to develop the preliminary baseline: key informant interviews/personal communication, one-off or ad-hoc studies and existing monitoring systems. Each of these will be examined in more detail below.

Key informant interviews

3.17 Where existing monitoring systems are not tracking indicators linked to the Framework we have included baseline information provided by **key informants**. Whilst this yields interesting observations, it may be more difficult to revisit and systematically track. This is particularly so with a retrospective baseline where people may not remember whether activities took place before or after the cut-off date. The baseline for *Output 2.1: Human Resource policies and practices address social exclusion* issues is an example of where some information exists such as that on diversity, but in the main information such as training that relates to SE is not currently monitored by either LDS or the broader DFID corporate systems.

Ad-hoc studies

3.18 We also relied on **ad-hoc studies**. This included looking specifically at a social exclusion issue (such as the Gender Review, or the Disability Mapping) or looking at more qualitative information from studies and reports. Whilst these studies can be rich in information, they rarely focused specifically on social exclusion, so the information may be patchy.

3.19 Where the **information is more qualitative** (and was not originally designed around the indicators latterly developed), it may also be difficult to follow this up with a like for like comparison. As an example, *Output 2.2 improved capacity to analyse and address social exclusion issues amongst DFID staff* uses findings from the Social Exclusion Review (2005) to set a baseline for judging capacity. It can be methodologically challenging to unpick what 'social exclusion' actually means to the key informants, and what their competency levels are and therefore make a judgement on their capacity. Furthermore, in order to produce a like for like comparison, it would be better if the follow up for an evaluation or stocktake was with a different group in order to avoid picking up on the influence that the original questions have on the sample themselves.

3.20 That said, given resource constraints, there may be some indicators for which it would be **unreasonable to expect that they would be tracked on an ongoing basis**. The indicators for *Output 2.8 – learning & informed dialogue amongst National and Development partners about SE issues and challenges* is one such example. Tracking policy dialogue is important for assessing the extent to which a policy has been adopted by DFID staff, and having a system in place to do this is important. Currently to assess policy dialogue on an issue or a given context would require an audit but could be done from meeting minutes, back-to-office reports etc. DFID Pakistan is currently looking at a more systematic way to document this important but less tangible work.

3.21 One way *to institutionalise this* would be to identify a group who is specifically responsible for implementing and tracking policy dialogue on key issues such as social exclusion. Otherwise, it would be recommended that the evaluation or specific studies and audits could track the corresponding indicators.

Corporate monitoring

3.22 The **ideal scenario** for any evaluation framework is to link into existing corporate monitoring systems, which already hold accurate baseline data. We tried to do this as far as possible. One of the main factors that hindered this effort was that there seems to be no central point at which a summary of what is, and what is not currently being tracked is collated. This makes it difficult to tailor the indicators to hang onto the existing systems. We asked our key informants what was being tracked, and on the evidence presented, it seems as though very little information on SE is currently being tracked.

3.23 An example of **an indicator that could be routinely tracked** by the appropriate officers relates to *Indicator 2.1: Human Resource policies and practices address social exclusion issues*. LDS could monitor the extent to which, for example, gender has been mainstreamed across all training centrally provided (this will be more likely to happen once Gender Equality Action Plan (GEAP) and the requirement to report on the Gender Equity Data is in place) and the uptake of different types of training courses – specifically on disability, diversity and gender. This information could be fed back to ERT on an annual basis, which would not only feed into a stocktake exercise or evaluation, but also inform them on where they should be directing their efforts.

3.24 The **Gender Equality Duty (GED)** is likely to create greater demand to track gender equality performance. GED is a requirement for all Government Departments to show positive action towards gender equality. It will be introduced from April 2007 and DFID, along with all other departments and public service providers will be expected to set targets encompassing both internal/institutional dimensions such as human resource policies and external programming, and to report on progress annually.

3.25 Likewise, the **Race Equality Duty (RED)** is likely to have a direct influence on the way DFID works. A Race Equality Scheme has already been agreed with the Management Board which looks at the RED, and how it applies in the UK. A Race Equality Action Plan has also been drafted and will be linked to the SE Strategy. Amongst other things, they are planning to develop a DFID specific impact assessment tool and deliver impact assessment training to staff responsible for policy development and delivery in key functions (RES Action Plan).

3.26 The **Disability Duty Action Plan** is currently being developed. There is also dialogue with the ERT about this. It is hoped that undertaking the SE analysis will give the country offices a better understanding of the links between disability and poverty in their countries, and therefore will be an important mechanism in enabling DFID to implement the Disability Equity Duty (personal communication).

3.27 DFID's *decentralised structure* can make it difficult to collect baseline data. It is unclear, for example, who should most appropriately take responsibility for tracking indicator 2.4 which looks at the partnership with civil society organisations and NGOs. An obvious 'home' for this would be the ICSD. However, Country Programmes engage in country led partnerships that do not appear to be tracked by ICSD. Therefore to capture the real extent to which social exclusion is being considered, both Country Programmes and ICSD would need to engage in a process of tracking this.

3.28 It may be that *the ERT* could carry out regular monitoring to map what is or isn't being done in terms of the uptake of the policy. For example, *Output 2.9 – Research on SE within research areas* has an indicator around DFID commissioned research in exclusion. This information could be tracked by the ERT in order to produce a comprehensive mapping of the various studies.

3.29 In the baseline, we noted some of the studies identified in conjunction with EvD and PRD. However, this is only part of the picture, and it would be worth following up with a more specific exercise to establish exactly what has (and hasn't) been done between, for example, 1997-2005. Some thematic studies have been done eg on SE in Health and Education in Asia but it is unclear if such studies will be done elsewhere and where the oversight lies.

3.30 Heads of Profession for Social Development and Governance are charged with responsibility in the Implementation Plan for ensuring *that the Governance and Social Development Resource Centre* includes a focus on social exclusion. The resource centre website, supported by DFID, based at University of Birmingham but involving several organisations, has a site on SE with guided references. However, it is not clear how systematically this is promoted or accessed across DFID and its partners.

3.31 If it is considered important to track the *DFID supported research programmes and consortia* for example, on *the extent to which SE has been taken up*, DFID will need to consider either ensuring that it is included in the original contract or commissioning a specific study and/or awareness raising on SE. Most of the eleven research programmes (out of 16 contacted) who responded did not know about the SE Policy, and the incorporation of social exclusion was not a criterion or particular issue in agreeing the research. Being clear about who is responsible and accountable for informing research consortia and programmes about the SE policy will be crucial if it is to succeed. If DFID wants to see more emphasis on SE in research programmes this will have implications for the agreed research budgets.

3.32 Some research programmes currently include an aspect of SE. For example The Research Consortium on Educational Outcomes and Poverty (RECOUP)¹¹ is primarily concerned with understanding how the poor are using education; the extent of their exclusion/inclusion in the education system and the routes by which they exit poverty, or not. The research is exploring the relatedness of some of these variables such as girls with disability, living in poverty. A number of respondents highlighted the cost implications of disaggregating by excluded groups.

3.33 This section *reviewed experience in constructing the framework and baseline* at DFID accountable levels and raised a number of issues. These will be further revisited in Section 5 on challenges, after we look at the outcome levels of the Evaluation Framework.

¹¹ This research programme is undertaking fieldwork in Ghana, Kenya, India and Pakistan. It led by Professor Christopher Colclough.

4. LOOKING AHEAD TO OUTCOMES AND EVALUATION

4.1 This section focuses on possible future evaluation of outcomes with comment on *availability of outcome level data i.e. Levels 3-5 of the Framework*. It draws significantly on discussions with SDAs and statisticians working on the five focus countries, plus selected data related to these countries and some wider resource persons and published sources, including the draft report of DFID study on Human Rights and Social Exclusion Indicators (September 2006); DFID Gender Evaluation (2006); and an ethnic audit of 14 PRSPs published by ILO in 2005.

4.2 Indicators at Level 3 track progress in addressing social exclusion at national level in areas where DFID can directly contribute, but which is principally the result of country actions, including government and all of its development partners. Level 4 indicators track higher order national level outcomes, and Level 5 Impact indicators, relating to poverty reduction; MDGs and conflict reduction, are likely to be tracked globally (as well as nationally). Discussion here focuses primarily on national level data, through reference is also made to international data sets where possible. A summary table of the baseline situation on data availability for each Outcome Level indicator (Levels 3-5) is contained in Annex 8.

Level Three Outcomes and Indicators

4.3 Table 4 provides an overview of the outputs and indicators for Level Three.

Table 4. Level Three Outcomes and Indicators

Level 3	Output	Indicator
Outcome 3.1	PAF/CDF/UNDAF etc. address exclusion	Needs country specific indicators SE indicated in mutual accountability measures (eg PAF/UNDAF, CDF) Increased consensus amongst stakeholders on what the key exclusion issues are and on what needs to be done
Outcome 3.2	National development frameworks include strategies to address poverty reduction needs of identified SE groups	PRSP/NDP/SWAPs analyse and address SE priorities Evidence of Policies, Programmes and PSIA addressing initiatives
Outcome 3.3	Availability, analysis and use of disaggregated data on excluded groups to support evidence based decision making	Evidence of data associated with SE groups in specific countries census data (eg incl questions on ethnic self-identification, caste, ethnicity, tribe, gender, disability). Also disaggregation of poverty data.
Outcome 3.4	Monitoring of poverty trends/patterns and impacts on excluded groups	Evidence of Information available on numbers & types/locations of excluded groups National progress towards agreed indicators for SE & mapping of poverty trends among excluded groups and in relation to non-excluded groups
Outcome 3.5	Public investments include excluded groups	Provision for/expenditure on excluded groups in key service areas eg health, education, water Gender/equity budget analysis
Outcome 3.6	Increased empowerment of excluded groups and of the CSOs representing them	Collective action by excluded groups and coalitions between groups and organisations working with them

4.4 The first outcome and indicator (3.1) *relate to Joint Donor Accountability* Frameworks, which one would expect to be positively influenced by DFID activities and outputs from Levels 1 and 2. People consulted felt that this was a useful indicator, likely to become even more relevant in the context of aid harmonisation and PRBS. But the baseline (and current position) suggests that there is likely to be considerable country variation in which framework and thus which means of verification is most relevant. This decision will have to be decided by countries. For example, the Performance Assessment Framework (PAF) is not universal, and is generally associated with poverty reduction budget support (PRBS). It also proved impossible to get a clear oversight on PAFs from this short study, which suggests the need for better documentation and reporting in this area. This was further borne out by the DFID gender evaluation which found no evidence on the impact of DFID's work on gender equality in any of the PRBS documents reviewed for this study (Thematic Study on PRBS, Vol II).

4.5 *Some countries don't have any joint donor framework.* It was reported that some donors eg WB & EC have results frameworks with milestones and indicators that might possibly provide the nucleus of a joint framework in a more harmonised environment. For example, the WB Country Assistance Strategy for Pakistan 2003-2005 (as well as the current one) includes milestones and indicators related to Pillar 3 of the PRS on Improving Lives and Protecting the Vulnerable. In Sierra Leone, the EC will include implementation of The Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) and the national strategy on youth as benchmarks in their agreement with government. DFID's own partnership agreements and Memorandum of Understanding (MOU) (Level 2) where they have incorporated SE, could also provide a basis for building donor consensus on SE priorities.

4.6 There was no possibility for this study to capture information on the extent to which *SE is included in donor dialogue* and how much consensus there might be on SE, apart from anecdotal evidence. If this indicator is to be tracked it will require stepping up of documentation of such processes, specific studies to look into this, and/or inclusion in the stocktake.

4.7 Ideally, SE data should be collected by national monitoring and evaluation systems and studies. But in the absence of this happening, *data is being and may need to be collected by DFID*, and/or other donors. Nepal is a good example of joint analytical work on SE, between DFID and WB, which provides a body of information on SE and should make future evaluation there much more feasible. DFID in Western Balkans (WeB) has also undertaken an extensive SE Review (2006) which, along with providing data, may also influence other donors and national take-up of SE. This contribution from DFID specific outputs (Level 2) to broader partnership processes (Level 3) is what will be tracked at this level.

4.8 *Changes in country-led national development and poverty reduction frameworks* is another key Level 3 indicator (3.2 in the Evaluation Framework), with two indicators and several possible means of verification. The *PRS*, where it exists, is clearly a key national framework. Not all countries have a PRS but all have some national development plan or strategy. Poverty analysis however does not always include SE. The extent to which the PRS analyses SE issues is varied, with gender being the most commonly disaggregated element (though gender audits of PRS have shown improvements in second and third generation PRS, there are still significant gaps in addressing gender, particularly in PRS implementation) (Zuckerman & Garrett 2003; Van Diesen & Yates 2005). The ILO Ethnic Audit shows that there are significant differences between and within regions in terms of whether and how indigenous and tribal questions are addressed in PRS. While there is recognition that '*poverty is widespread and persistent among indigenous and tribal peoples or in those areas prevalently inhabited by them, the causes identified to explain this differ*'. The reasons given to justify interventions aimed at tackling ethnic inequalities also vary considerable and are not necessarily based on exclusion analysis (p40).

4.9 The DFID Human Rights & SE Indicators report (2006) shows that progress can be made with *incorporation of SE concerns in PRSPs*. In Bangladesh the 2005 PRSP includes women's rights, child rights, people with disabilities, ethnic minorities as well as other disadvantaged groups and MDG targets (p 22 of Vol II report). It is unrealistic to expect that all SE variables could be captured in national PRSPs, rather context-specific recognition of exclusion is needed. Even where exclusion analysis is done, many PRSPs don't have an implementation plan or budget so tracking the extent to which the analysis follows through to action is difficult.

4.10 Social Exclusion is *not seen as the most appropriate form of analysis* to support action in some countries. Social exclusion has political connotations and is also not universally understood. For example, focusing on vulnerability and Social Protection, rather than exclusion, is favoured at this point in time, in both Ghana and Pakistan. Both countries are working on National Social Protection (SP) Strategies. Therefore it is likely that, in some country contexts, such strategies might usefully be tracked as a means of verification to see the extent to which they incorporate exclusion factors.

4.11 We have included evidence of *SE in PSIA*, alongside policies and programmes more broadly, as an indicator for this national level attention to SE. With the exception of the Ghana Poverty & Social Impact Assessment (PSIA), which focused specifically on exclusion and vulnerability, SE (even gender) was not well incorporated in focus country examples identified. The WB, with DFID support, is developing methodologies related to unpacking poverty, and it could be illustrative to see the extent to which the evolving PSIA methodology will incorporate social exclusion.

4.12 *There is considerable variation on the availability of national level data on SE* (relates to Outcome and indicator 3.3). It was felt appropriate to include an indicator on the availability of country level data on SE, on the basis that improvement in this is necessary (though not guaranteed) to support further positive changes in addressing exclusion. Most censuses collect some data on gender, disability or other SE variables but these are not routinely analysed and reported. The predominant types of available data include socio-economic statistics, Household (HH) income and expenditure surveys, and other forms of survey analysis that capture perceptions and experiences of poverty and SE. Ideally, these are then cross-tabulated or disaggregated according to different categories of social identity, but this is not routinely happening. The Oxford Policy Management (OPM) study on quantifying SE in Pakistan showed that the census could offer much more information on exclusion, as could demographic and household surveys. There is scope for a more concerted effort to influence national surveys to include some core SE variables, as relevant to the context. Unfortunately however there is an issue about national capacity and this form of analysis is not routinely collected and/or analysed. In Albania, the Human Development Index was used to develop a social exclusion index, which could be a useful model to promote.

4.13 The work that DFID has started on *quantitative analysis of SE* is important and shows what can be done with existing data sets. However to have this type of information generated by national institutions and used by government requires a much longer process than supporting a one-off study and it may be some time before this kind of information influences national systems and capacities. It is understood that PRD will be doing further work on quantifying SE, so how this contributes to national data collection will be something to track over time.

4.14 *Participatory Poverty Assessments are good sources of qualitative data on SE* (and DFID has supported these in many instances). It will always be difficult to capture some small excluded groups in national data sets and this may require more localised information. There is also the issue of multiple layers of discrimination eg based on gender, ethnicity and disability. Specific analysis on these variables is required to unravel such layers. This also tends to require special studies, such as the DFID Scoping Study on Measuring Multiple Deprivation in Bangladesh (2005).

4.15 A further outcome and two indicators (3.4) relate to *monitoring of poverty trends and patterns and impacts on excluded groups*. It is important that the adoption of indicators and means of verification by DFID links in with PRS targets and indicators – and this can only be determined at country level. However at present the PRS monitoring indicators may not include SE – as is the case, for example, in Ghana. In some countries monitoring frameworks are just being developed. For example, in Pakistan a new framework is being developed for Poverty/PRS monitoring and in Nepal the National Poverty Monitoring Analysis System is at an early stage. The small sample of country poverty monitoring reports reviewed show that these presently don't track many, if any, exclusion indicators. There is no certainty that poverty analysis will incorporate exclusion dimensions. However if DFID's efforts (and that of others), such as the planned work on SE Quantification, provision of Technical Assistance and other support to national institutions and line ministries on SE (Level 2) are sufficient it should lead to more systematic analysis of poverty trends amongst excluded groups.

4.16 It would appear that there is currently little systematic analysis of *public investments for excluded groups* (Outcome Level 3.5) in the sample of focus countries taken. Two indicators are proposed here. The first requires collection of data from central and/or line ministries on expenditure in key service areas such as health, education, water etc. Analysis of Medium Term Expenditure Frameworks (MTEF), or of annual budget allocations and expenditure by any exclusion variable is not routinely happening in any focus country. Where gender or equity budgets have taken place (eg Pakistan); and where specific sector plans include commitments (eg the Education for All Programme in Pakistan commitments to equal access to educational resources for all excluded groups), there is some possibility of collecting data on this indicator. Appropriate budget analysis tools do exist but it will likely be some time before these are in common usage in all countries.

4.17 Public *expenditure tracking studies* (PETS) and service delivery qualitative surveys have been used, or are planned, in some focus countries but we did not identify any which had an exclusion dimension. In some countries in Western Balkans, the projectised nature of support to excluded groups makes it possible to track such project funds. However this rather defeats the purpose which is to see what share of overall public investment in important services is reaching the excluded, through all programmes and not only targeted ones.

4.18 The demand side in terms of pressure for change through empowerment, voice and accountability is another important area to track, hence an outcome and indicator related to *increased empowerment of excluded groups and of the CSOs representing them* is at 3.6 on the framework. Civil society organisations, networks of NGOs, academic institutions, interest groups, the media etc. can provide valuable information on exclusion at the national level, but also at the local level, which is often missed in national level reporting. Local level measurement and analysis of SE is essential to understand the interplay of factors which can impact on how exclusion is experienced. Additionally excluded groups may be very small and vary with province, such as in Pakistan and thus not be captured in national studies. Civil society often contributes significantly to Participatory Poverty Assessments (PPAs), Voices of the Poor studies, Gender Assessments etc. and there may be micro-studies produced by NGOs as well as media features which could yield information on the empowerment of excluded groups. For example, Albania reports an increasingly active disability movement which engaged in development of the national strategy on People with Disability.

4.19 While reliance should be on country level data, DFID may wish to track selected indicators from this level. Table 5 provides possible indicators, with suggested frequency and possible responsibility within DFID, for further internal discussion. These are challenging and it will be difficult to put a mechanism in place to track them. The indicator for 3.3 may not always be appropriate. Some countries

(e.g. Rwanda) have removed questions on ethnicity and religion from their censuses. However, in countries where there is no barrier to this, regional and country statistics advisers should try to ensure that such questions are included in censuses. Available international data related to the indicator for 3.6 seems to focus particularly on the violation of rights end of the spectrum rather than on evidence of collective action. One promising international initiative is the Metagora pilot project focusing on methods, tools and frameworks for measuring democracy, human rights and governance (OECD-DAC, 2005 and www.metagora.org). Under this project, based on a North/South network, a routine official statistics tool using a household survey on governance and democratic participation is under development, and is designed to enable monitoring and assessment to be carried out by national statistics offices. In addition, for an indicator such as this (3.6) it may be necessary to utilise event-based data (e.g. media analysis) and expert judgement to provide the necessary information (see Landman, DFID 2006 for further discussion on this).

Table 5. Level 3 Selected Indicators which DFID may wish to track

Level 3	Indicator	Frequency of Collection	Suggested responsibility within DFID
Outcome 3.1	SE indicated in mutual accountability measures (eg PAF/UNDAF, CDF)	Annual	ERT
Outcome 3.2	PRS/NDP/SWAPs analyse and address SE priorities	Annual update	ERT
Outcome 3.3	Evidence of data associated with SE groups in specific countries census data	Stocktake/ Evaluation	Evaluation Team
Outcome 3.4	Evidence of Information available on numbers & types/locations of excluded groups National progress towards agreed indicators for SE & mapping of poverty trends among excluded groups and in relation to non-excluded groups	Stocktake/ Evaluation Stocktake/ Evaluation	Evaluation team Evaluation team
Outcome 3.5	Provision for/expenditure on excluded groups in key service areas eg health, education, water Gender/equity budget analysis	Stocktake/ Evaluation	Evaluation team
Outcome 3.6	Collective action by excluded groups and coalitions between groups and organisations working with them	Stocktake/ Evaluation	Evaluation Team

Level Four Outcomes and Indicators

Table 6. Level Four Outcomes and Indicators

Level 4	Outcome	Indicator
Outcome 4.1	Equitable public investment & service	Extent of Exclusion from health, education, water etc by the Excluded Groups as measured by access and differences in

Level Four Outcomes and Indicators

Table 66. Level Four Outcomes and Indicators

Level 4	Outcome	Indicator
Outcome 4.1	Equitable public investment & service provision	Extent of Exclusion from health, education, water etc by the Excluded Groups as measured by access and differences in access from the population Comprehensiveness of social security/social protection system for excluded groups as measured by coverage and attention in existing strategies and schemes
Outcome 4.2	Improved SE policies, regulations and practices	Comprehensive and effectiveness of anti-discrimination legislation and extent to which these are enforced as measured by national laws, international agreements, legislation and enforcement of anti-discrimination
Outcome 4.3	Previously excluded groups now included	Extent to which excluded groups are represented in parliament, civil service, local government etc compared with the population and/or in terms of designated representatives (such as for youth, elderly etc.) Rates of economic participation of excluded groups based on labour force participation, pay parity etc. Degree of civic involvement eg Voter turnout, confidence of social groups in public institutions by group Human capital trends among excluded groups including health and education status, compared with the population Poverty trends amongst SE groups, including income poverty

4.20 The *next level of outcome and indicator* relies on very similar means of verification to those found at level three but one would expect to find the national level changes in attention to SE bringing benefits to socially excluded groups. At this level the priorities to track relate to

- o Equitable access to public services for SE Groups;
- o equitable access to public services for SE Groups
- o Improved policies, regulations and practices regarding exclusion;
- o improved policies, regulations and practices regarding exclusion
- o Increased inclusion in political, economic and social spheres.
- o increased inclusion in political, economic and social spheres

4.21 For the first outcome, two indicators are proposed, the first of which relates to *access to public services*. One would expect that national MDG monitoring reports would have the necessary data to track indicator one, but this does not appear to be the case. For example, studies such as the DFID study on SE in Health and Education in Asia (2005) show that excluded groups do not have equal access to education and health, due to a combination of community-level and institution based processes, including costs, physical access, and survival rates (education). But the link between excluded groups and attainment of MDGs is not currently being brought out in national MDG reports. The OPM study on Quantification of SE in Pakistan (OPM, 2004 p.7) was able to give information on gender, minority status, kinship, location and rural/urban for nine MDG indicators but this information is not analysed in the national MDG report (Pakistan MDG Report 2005). As is the case for Level 3 outcomes the situation on gender is somewhat better. The case for Level 3 outcomes, the situation on gender is somewhat better.

4.22 The second indicator for this outcome could be tracked through reviews of coverage under *national social protection strategies* or particular schemes such as a new national health insurance scheme in Ghana. It would appear that there is some country level data to look at the two indicators for this output. But it will require a specific effort/exercise to collate from different sources, to disaggregate and to analyse the data beyond what is currently readily available.

4.23 For the second outcome at this level, the proposed indicator is *comprehensiveness and effectiveness of anti-discrimination legislation and the extent to which these are enforced*. Some countries will have conducted reviews of national laws and international agreements, and the ILO for example can provide information on commitments made/ratified for all member countries. However, as is illustrated by Nepal, ratification is just one step in the process and for CEDAW alone will require change to about 85 laws and 137 legal provisions, which has not yet been done, despite ratification. It should therefore be feasible to construct a common indicator across countries as far as anti-discrimination commitments and agreements, but building a picture of enforcement and practice will require country specific tailoring. The DFID Study on HR and SE Indicators (2006) provides some guidance on this, and also endorses the need for a common indicator around legislation and enforcement of anti-discrimination.

4.24 The final outcome for Level 4 has a range of indicators (5) *tracking different dimensions of exclusion*. Based on the focus countries studied, it appears likely that there will be some data on these indicators but disaggregated data on each are not routinely kept, and in some cases are unlikely to be developed, necessitating specific studies. Some countries have introduced quotas for parliamentary representation of women, youth, people with disability etc. which are likely to be tracked, but this will not provide a full picture. Commissioned studies provide further data. For example, in Pakistan, Pakistan Institute of Legislative Development and Transparency (PILDAT), an independent research and training institute is proposing to do a study on participation in the elections that will have some exclusion dimensions. The Ghana Social Exclusion Analysis (GSEA) in Nepal and SE Review in Western Balkans also bring together relevant baseline information but there is likely to be need for further specific studies to monitor and evaluate progress. While labour force studies are conducted in a number of countries, and sometimes disaggregate by gender, they do not focus on excluded groups. In Pakistan such information is collected by age, sex, literacy, education and nature of activities but not analysed or reported by SE group. It does however offer trends in share of women in wage employment. Women's labour force participation and wage parity with men for most countries can be tracked in the Gender Development Index of United National Development Programme (UNDP). Additional micro-studies and national data can be used to provide further information, but it is likely to require dedicated effort.

Level Five Impacts and Indicators

Table 7.7. Level Five Impacts and Indicators

Level 5	Impact	Indicator
Impact 5.1	Poverty reduction amongst SE groups	Socially excluded group as a proportion of poor people living in HH with incomes less than \$1 per day
Impact 5.2	Achievements of MDGs	Gross primary school enrolment rate for excluded groups as a percentage of the gross primary school enrolment for other aggregated poor group – Similar for Health, Water & Sanitation
Impact 5.3	Reduced Conflict	Link in with PSA Target: improved effectiveness of UK and international support fro conflict prevention through addressing long-term structural causes of conflict..... Eg Balkans: By end 2007-08 Western Balkan states at peace within and between themselves and continuing on the path to closer integration with the EU and NATO

4.25 Level five indicators are based largely on the MDGs and therefore will depend on the adequacy of national and *international MDG reports*. Countries pay varying attention to MDGs, and it is not regarded as a particular priority in Western Balkans for example. Some country MDG reports, such as Pakistan highlight the absence of impact assessment. Presumably this situation will improve as the MDG target date of 2015 approaches. The United Nations Educational, Scientific and Cultural Organisation (UNESCO) annual monitoring report on Education For All Goals does contain some information on exclusion. The 2007 report has a review of 45 countries national Education for All (EFA) reports in relation to addressing exclusion. The World Bank Country Performance and Institutional Assessment (CPIA) – now IDA Resource Allocation Index (IRIA) – includes a number of indicators of exclusion and equity (one of four categories of indicator). The relevant exclusion indicators are Gender Equality; Equity of Public Resource Use; Building Human Resource; Social Protection and Labour and Policies and Institutions for Environmental Sustainability. These will be used by DFID in Country Governance Analyses – though optional – and could be used in evaluation.

4.26 This section reviewed outcomes, indicators and suggested means of verification for Levels 3-5 of the Framework, largely based on looking at five focus countries. Ideally, an evaluation at this level should be able to rely on national and international data sets to track indicators. But such data are not currently universally available and what there is varies between countries and particular exclusion variable. An overview of the challenges identified at different levels will be looked at in the next section.

5. CHALLENGES: TECHNICAL AND INSTITUTIONAL

5.1 This section brings together the broader issues around the Social Exclusion Policy evaluation framework. It outlines some general *observations* that were made during the process and some *challenges* relating to collecting and analysing data on social exclusion. It also outlines some of the institutional challenges that DFID faces as it looks ahead to evaluating the SE Policy, and other policies, and provides some recommendations for dealing with these. Some of these are specific to the SE policy, whilst others can be applied more generally to the evaluation of other DFID policies.

Overarching Issues for the SE Policy

5.2 Developing its outreach and raises the question of how realistic it is – and to what extent we can expect institutional colleagues to comprehensively adopt SE in their work. There does not seem to be a specific dissemination plan for the SE Policy or the Implementation Plan, which raises questions about the extent to which it will be incorporated into DFID’s ongoing work both centrally and across the globe. Furthermore, although the Implementation Plan reflected commitments by different divisions and departments, some of these commitments were either not known about or not owned by the relevant departments.

5.3 Any evaluation will consider the extent to which it can attribute changes to the efforts that have been made and some of *the contribution/attribution issues* have been highlighted in earlier sections. Looking at what drives the uptake of a policy is interesting and the case of the Western Balkans highlights the difficulty of attributing it to DFID’s efforts, or to broader national policy trends. EU Accession is a high priority for the WeB countries, and part of the condition of this is to write a Joint Memorandum of Social Exclusion which is essentially a Social Exclusion Plan that all EU members states are required to have. This has driven some countries such as Albania, Serbia and Bosnia to talking about a Social Inclusion Plan as their National Development Plan rather than PRSPs.

5.4 The urgency of National Governments to develop these plans coincided with the publication of the DFID Social Exclusion Policy which gave the WeB team a good, timely, entry point. The team have been in a position to draw from the policy to inform their national policy dialogue, but this has essentially been facilitated by *the current policy environment*. If the environment had been different it is almost certain that the extent of the uptake of the policy in both the DFID programme and the National governments would have been different.

Overarching Issues for DFID Policies in General

5.5 Sometimes *developing indicators* as an activity in itself can help to drive an implementation strategy forward, as it can raise awareness about what is expected. Several of the Focus Country contacts commented that they had gained something from the process of contributing to the SE framework and baseline. The WeB team have adapted some of the indicators to their own Regional Action Plan (RAP) monitoring framework. Others indicated that they found the issues highlighted had helped to raise possibilities for follow-up in relation to data on SE.

5.6 This implies that the activity of developing an evaluation framework and baseline can influence the outcome of the activity being evaluated in a positive way. It can *encourage lesson learning*, understanding of concepts, clarify what staff are going to be held accountable for and encourage the mainstreaming of, for example, SE indicators in current systems. The value of this should not be lost, and in fact should be considered a key factor, in future similar exercises.

Data Constraints within DFID Relating to SE

5.7 Some of the constraints for gathering information on social exclusion within DFID have been drawn out above. There is *no one-stop-shop*. One-off studies are very useful for these exercises, but tend to be unsystematic, key informant interviews are also useful for gathering baseline information, but a lot of assumptions are made around the SE concept and may be misleading unless interviews are carried out in a systematic way. By far the most reliable source of data for the baseline should be the use of existing monitoring systems. However as we have found few of these track SE data.

5.8 The Public Service Agreement (PSA) Technical Note 2005-2008 and the Technical Note to Conflict Prevention Target outline both indicators and means of verification that DFID will be assessed against. Some of these indicators relate to level 5 of our Evaluation Framework. However there is no disaggregation of socially excluded groups and they are at such a high level that they would not be useful for tracking or evaluating the indicators to which DFID is accountable. Attributing the achievement of the indicators at this level, without sufficient information at levels 4, 3 and 2 in the monitoring framework is too much of a leap to contribute to the SE Implementation Plan.

5.9 One of the challenges of monitoring and evaluating a concept such as Social Exclusion is that it is *a broadly defined and variably understood concept*. This is made even more challenging as although the Policy provides a definition of SE, it is deliberately not defined too narrowly. This can make it difficult to track its uptake and draw together data on Social Exclusion. Adding to this, as has also been highlighted in the sections above, SE needs to be contextualised which implies that who SE groups are, why they are excluded and the impact of exclusion will vary across countries, and even within many countries. This makes a blanket approach to M&E difficult and inappropriate to implement, as is illustrated by European Union experience with measuring social exclusion (see Box 3). These indicators developed for EU Member States could not readily be applied to developing countries since they are based on concepts such as housing and fixed address which don't necessarily apply outside developed economies.

5.10 From the evidence presented, we found that *DFID is not systematically tracking social exclusion*. If the SE Policy implementation is a priority to the organisation, this is something that the organisation should look at and decide who will be responsible for ensuring that it happens.

Data Constraints within DFID Relating to DFID Policies in General

Box 3 The EU experience with measuring social exclusion

The European Union encompasses many different countries with different paradigms and modes of thinking on social exclusion, whereby exclusion is attributed to different causes. Thus it requires considerable work to develop a common understanding of social inclusion, while respecting country contexts and values. Indicators continue to be refined to measure social exclusion across Member States. Presently there are 11 primary indicators, three secondary indicators and 11 context indicators used to describe the various dimensions of poverty and social exclusion.

Member States are expected to use at least the primary indicators in their national strategy reports in order to emphasise that across the EU social inclusion and exclusion are relative concepts that encompass income, access to essential durables, education, health care, adequate housing and distance from the labour market. The classification of indicators into commonly agreed EU indicators; commonly agreed national indicators and context information is designed to warn users of the specific purpose and limitations of each indicator in the list. Some of these indicators are still under formulation and pose considerable challenge to develop.

Source: EC Portfolio of Overarching Indicators and Streamlined Social Inclusion, Pensions and Health Portfolios, Brussels, 7 June 2006

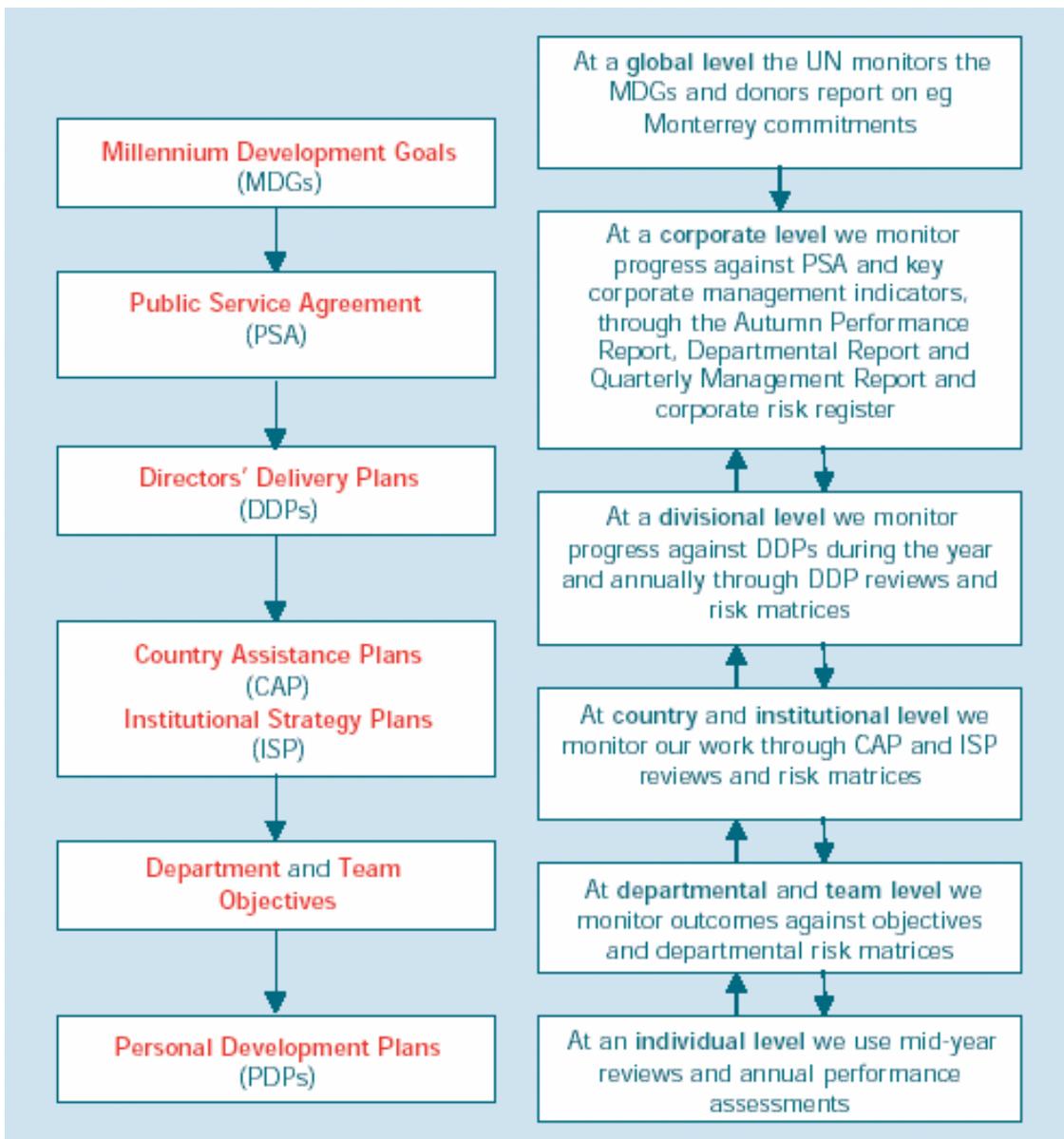
5.11 We found it very *difficult to hook into existing data systems* within DFID for several reasons. There does not seem to be a coherent overview of what is, and what is not being currently monitored and by whom either for corporate systems or country offices. There is no central point that can pin point and collate this information, nor a one-stop-shop for summarising the indicators being tracked within the organisation. To have had an overview of this would have made it much easier to hook the indicators in the framework onto existing systems and to collect baseline data. We did not look at PRISM as it was felt that it was unlikely to yield useful information on SE.

5.12 Figure 3 illustrates the existing cascade of **corporate goals and performance monitoring tools** within DFID. It is clear that linking into these would be one important way to develop a coherent system for tracking the implementation of policies. Another way might be to hook into the spending target monitoring. However, the extent to which this could be played out in reality is less clear, and the ability of these tools for measuring performance to pick up on the implementation of specific policies, such as that on social exclusion, is doubtful. Furthermore, the information may be collected, but there seems to be no systematic way of ensuring that it feeds into the broader picture.

5.13 Before September 2005 there were few *CAP monitoring frameworks* in place. However, this is changing, and countries are increasingly looking at developing coherent frameworks as outlined in the CAP Guidance, that distinguish between the contribution to outcomes, quality of programme portfolios and the delivery of outcomes for which they will be accountable. This reflects a results based approach and is outlined in the CAP Guidance. The ERT should try and engage in this process, but at the same time recognise and accept that there is no requirement to monitor specifics, beyond the policy requirement to analyse the evidence of exclusion on poverty reduction to feed into planning, so where there are no SE champions, or the country programme does not see it as a priority it is unlikely that it will be included the framework. Where this is the case, the ERT should look for other ways to ensure that SE is being monitored at the country level. In the case of the SE policy implementation, this could be done by a process of awareness raising and capacity building to highlight the importance of working with SE groups and tracking outcomes relating to them and how this will contribute to development effectiveness.

Data constraints at the national level

Data constraints at the national level



5.14 As outlined in Section 4 above, social exclusion data at the national level *varies greatly between countries*. This may be for a number of reasons. Sometimes it is a reflection of generally poor national data collection, perhaps affected by conflict. It may be that governments have not considered it important to disaggregate the poor, or that it is politically sensitive to highlight the plight of for example an ethnic or religious group. This is improving, and it is clear that the development of national PRSPs is a step in the right direction. However, from our research, there is a long way to go. Census and National Surveys vary in what they include and analyse on SE. Furthermore, where data is available it is not necessarily taken up and sufficiently analysed to make the lessons on SE groups useful to policy makers. The OPM Quantitative Pakistan Study has shown that even existing census and survey data can yield more if analysed appropriately.

5.15 *National poverty monitoring and MDG reporting* likewise do not offer much by way of exclusion data. Audits of PRS have been conducted for some SE variables, for example gender, ethnicity and disability, which provide information for a cross section of countries and some cross country comparisons. But a comprehensive SE audit of all PRS does not exist.

5.16 Taking this one step further, there does not seem to be a process by which national decision makers ensure that data systems are *used and adopted for informing policy*. To make this happen, would require a huge effort to influence national data collection, embed ownership and finally ensure that it is used. Creating awareness of the impact of understanding who the SE groups are and what their issues are on achieving either national poverty targets or global MDGs will encourage this to happen.

5.17 There may be considerable within-country *regional variation on who SE groups* are, and what their issues may be. This is particularly true for the larger countries. Typically surveys will not have sufficient coverage to allow for disaggregation of information on small samples. This implies the need in places for more local level data to be collected; for collection and analysis of sector and administrative data encompassing specific areas and issues and/or a more case study approach to identifying the groups and analysing their needs.

5.18 From our research, we found examples of where a considerable amount of energy has gone into carrying out studies and poverty analyses which included socially excluded groups. However, less time has been invested in on-going monitoring of poverty and social exclusion. This may be for several reasons. They are different processes to one another (although related), and they are often done by different bodies. Setting up *coherent national poverty monitoring systems* is difficult, and made more complicated when social exclusion issues are considered, due to the disaggregation this requires.

Data constraints at the international level

5.19 Our focus was primarily at DFID and national, rather than international level. We found little evidence that *MDG reports* have recognised the extent to which social exclusion will have an impact on the achievement of the MDGs (United Nations (UN) 2005). This is reflected in the lack of international disaggregated information at the MDG level. Gender is considered, but few other socially excluded groups are mentioned. This will have a direct impact on the extent to which national governments and donors will track social exclusion. If the MDG reports are not highlighting it as a high level issue, then it is unlikely that governments and individuals donors will. It will be interesting to observe the extent to which this will change as we edge closer to 2015, and as it becomes increasingly noticeable that without targeted analysis and strategies developing from that analysis then the achievement of some of the goals will be unlikely.

5.20 We found that there was little evidence of disaggregated information being picked up in the standard *international data sets* such as Human Development Reports. Gender was an exception to this, and is tracked more than the other types of social exclusion (ethnicity, regional origin, religion, caste, age, disability, health etc). Box 5 below highlights some of the *international and national data sets* that do pick up on factors that are part of or may lead to social exclusion. This is not a comprehensive overview, but an indication of what exists based on some sites familiar to the authors. It also draws on the 2006 DFID study on Human Rights and Social Exclusion Indicators (Part 2, especially Table 2.3, page 24).

Box 4 Some examples of national and international data sets

- 1 PSIA, PETS, QSDS, PPA and PPER are tools for exploring aspects of poverty and can help disaggregate different categories of the poor in relation to perceptions, impacts, access, service delivery and resource tracking but these are not necessarily disaggregated by socially excluded groups
- 2 CWIQs, LSMSs, DHSs etc collect sex, age and other details that should enable analysis by age, sex, possibly religion/ethnicity, vulnerable households - however, whether that analysis has been done is another question
- 3 Sources on per capita GDP and Gini index include www.worldbank.org also http://utip.gov.utexas.edu/papers/utip_22rv5.pdf on inequalities in household incomes and
- 4 International Household Survey Network (<http://www.internationalsurveynetwork.org/home/>)
- 5 The Core Welfare Indicator survey includes indicators on disability and gender (http://www.international-surveynetwork.org/surveys/index.php?request=SURVEY_VIEW&ihsn=288-2002-001)
- 6 Minorities data set (<http://www.cidcm.umd.edu/inscr/mar/>) This is a project run by the University of Maryland which tracks politically active ethnic groups on political, economic and cultural dimensions
- 7 GENDERSTATS is an electronic data base of statistics and indicators on gender covering all countries and regions, draws on national statistics, UN databases and WB conducted/funded studies www.devdata.worldbank.org
- 8 The OECD Development Centre has developed a database on Gender, institutions and development, presenting existing empirical evidence on the socio-economic status of women in different countries (www.oecd.org/dev/institutions/GIDdatabase)
- 9 Sources on education include National statistical offices, World Bank and UNESCO EFA Global Monitoring Report on progress towards Education for All: annual report on progress towards the six Education For All goals from Dakar, with special attention to equity and inclusion. The 2007 report analyses national EFA Plans from 45 countries in relation to attention to marginalised groups (Chapter 3)
- 10 Sources on healthcare include WHO (www.who.int/research/en/) and (www.who.int/health_mapping/tools/healthmapper/en/index.html); also the World Bank
- 11 Source on hunger, malnourishment and distribution of land is FAO (www.fao.org)

Institutional challenges

5.21 This section provides some insight into some of the institutional challenges that DFID currently faces that will contribute to the successful monitoring and evaluation of the implementation of the SE and other policies.

5.22 There is currently an implicit distinction between procedures that are incorporated in the Blue Book, and *procedures that are not in the Blue Book, and therefore by implication not mandatory* (although there may be a public commitment to which they are accountable). The Blue Book sets out the core information about how to do things in DFID. Its focus is on mandatory requirements and helps DFID staff know what they must do. Compliance will be tested through the DFID audit process, and Directors will provide an assurance each year to the Management Board that their Divisions are operating according to the rules set out in the Blue Book (www.dfid.gov.uk/news/files/blue-book.asp).

5.23 There is high level of commitment to the Social Exclusion Policy and a need to monitor the policy from Senior Management was indicated. However, the Implementation Plan includes a commitment for DFID Country Offices to take account of SE at the next round of CAPs. However, as a *decentralised organisation*, the Country Programmes have the right to determine what they *deliver* in relation to the SE Policy and the *extent* to which Country Programmes should incorporate SE into their programming is unclear. This would be in line with their own country priorities and the extent to which social exclusion affects country progress towards the MDGs and country goals. This raises the question of what they should be monitored against.

5.24 As a decentralised organisation, it can also be a challenge to ensure that information is disseminated out to and between countries, and back to the centre. This will make implementing and monitoring a policy challenging, and staff both in Policy Research Division and in the Country Offices will need to be clear what they are obliged and not obliged to do. The framework and recommendations in this paper should facilitate this task – or at least support discussion leading to greater clarity and uptake.

5.25 Different sections within DFID will have responsibility for, and are accountable for implementing the policy as per the Implementation Plan. As mentioned above, it is clearly stated in the Plan that ‘all country offices will conduct social exclusion analysis between now and their next CAP’. It is clearly the responsibility of the country offices and Regional Divisions to ensure that this happens. FCPD, through CAP Quality Assurance processes, should track whether or not this is happening. It is less clear, however, who is responsible for tracking the uptake of Implementation Plans.

5.26 Systematic monitoring by those with core responsibility for particular areas would lessen reliance on ad hoc studies (such as the disability mapping and age mapping). It will be important to define clearly at the outset who is responsible for monitoring information relating to the evaluation framework and get agreement from the appropriate divisions and officers. This may mean that some of the indicators are slightly altered to suit the different contexts or to fit in with their own ongoing monitoring system, but the quality of information gathered and the consistency of its collection will far outweigh the need to have a flexible framework.

5.27 There are also some indicators that the ERT would be best placed to track because these indicators do not currently have an obvious home. *Output 2.3. (Lessons on progress fed back to corporate systems and programming)* is one such example, as it is unlikely that this would be picked up elsewhere. One way to do this might be to track, for example, reports to the Management Board that relate to SE issues on an ongoing basis and write a short summary of these at the end of each year.

5.28 We were looking at indicators from the perspective of baseline development. However, improving the way SE is incorporated in DFID programming should feed directly into the programme or performance management. Encouraging different departments to monitor the uptake of a SE analysis and sharing this information with the ERT could directly contribute to an increased effort, support and input from SDAs, and therefore positively influence the uptake of the policy. Ideally this would be done through clear statements of intent in the Directors Divisional Plans.

5.29 Where the evaluation framework is examining outputs that result from a partnership, it can be challenging to ensure that the information is being monitored regularly. For example, *Output 2.5 – Common and supportive approaches within the UK Conflict Pools and multi-lateral/donor initiatives on Conflict Resolution that consider SE* includes an indicator relating to the Global Conflict Prevention Pool (a partnership between the Foreign and Commonwealth Office (FCO), DFID and Ministry of Defence).

Unless there is a clear process for ensuring that Social Exclusion is embedded in the partnership document/statement then it will be both difficult to track as well as difficult to ensure that it happens. Similarly, the Information and Civil Society Department should play a role in tracking the extent to which SE is being considered by their civil society and NGO partners.

5.30 That said, it is important to be realistic about what will be stated in a partnership document. The ISPs, for example, (see Output 2.6) are increasingly focusing on institutional issues and link in with the partners' own monitoring frameworks, so potentially are less likely to track indicators relating to social exclusion. This raises the question once again, of who will track the extent to which social exclusion is on the agenda of partnerships. If partners do not track social exclusion, there will be need to rely on specific studies to assess this.

6. RECOMMENDATIONS

6.1 The focus of these recommendations is on ensuring that there is adequate data for a stocktake of policy implementation in 2007-2008 and, in particular, that SE is incorporated in DFID plans and accountability frameworks. We have allocated the responsibility for each recommendation to specific departments on the understanding that the ERT will provide guidance and support to them where it is required.

6.2 The recommendations do *not* address more fundamental issues related to the implementation of existing commitments in the policy implementation plan. However, it is recognised that this is a prerequisite for ensuring that appropriate data is available both within DFID and at country and international level.

- FCPD should revisit the existing corporate tracking systems to consider how to track programming on social exclusion using existing corporate systems such as PIMS and / or ARIES (FCPD)
- provide an overview on which policy issues are, or are not, currently being tracked across the organisation, and how. This could be linked to an audit of monitoring and evaluation in DFID (EVD, FCPD)
- PGG to clarify when policies have clear public commitments and therefore for which DFID are accountable and those which are provided as a 'guidance' (PGG)

Dissemination and Embedding of SE Policy within DFID

6.3 Regional Directors should use the baseline information and the DDP process to determine regional priorities for work on SE in the DDPs.

6.4 Develop and carry out a plan to disseminate the policy and to inform DFID departments of the implementation plan and commitments. FCPD, through CSG should ensure that the position of social exclusion analysis is clarified in the CAP Guidance, and therefore in the Blue Book.

6.5 The ERT should use the dissemination of the Policy and Implementation Plan as an opportunity to agree appropriate indicators for tracking SE work in different parts of the organisation and to inform staff of the baseline status in their areas and of the forthcoming stocktake and evaluation.

6.6 The Business Transformation Unit, FCPD should ensure SE is incorporated in the DFID Corporate Plan. This is currently being drafted, and is due to be finalised in July 2007.

6.7 Ensure that SE is incorporated in the DFID Results Action Plan which will set out the results agenda for different parts of DFID, in particular, at country, agency and international level. The cross-Divisional Results Working Group should be responsible for this, and in particular the PD and EvD members represented on this.

6.8 Regional Directors to ensure that SE is embedded in DFID CAP Monitoring and share good practice examples on efforts to tackle social exclusion. An example of good practice comes from Nepal where they have done an extensive Gender and Social Exclusion Analysis and have also added to this a

Livelihoods and Social Inclusion Monitoring system. This enables them to track progress on these issues, and they have mainstreamed and trained all staff in the office on these issues ensuring that it is embedded in all programme work in country.

6.9 Where a social exclusion analysis has been carried out, Country offices should share these with national partners (under other cover if necessary). This can be a sensitive issue in some contexts and, ideally, will be addressed by bringing in national partners from the outset. However even where this is not feasible or has not happened, it is important to find entry points to share this information and to have it taken up in the appropriate policy and statistical domains.

Improving Understanding of Social Exclusion

6.10 The ERT and Country-led Approaches Results Team (CLEAR) to engage with internal work on international data sources to ensure that exclusion is incorporated. We have highlighted some of the difficulties with a lack of international data above. It is therefore recommended that they should engage significantly with the work that is going on related to a **Portal for Development Indicators** which proposes to further develop DevInfo into a one-stop tool for a range of data relevant to the MDGs and PRS monitoring¹². This currently has 250 indicators from a variety of databases and has some sub-national indicators. This work provides an opportunity to raise awareness and explore the possibility of including some indicators that would help with monitoring and evaluation of social exclusion. Planned work by PRD on quantification of SE could feed into this process very well, if the timing is right.

6.11 ERT should continue to provide support and guidance to country offices to help them apply country specific working definitions of social exclusion. One way they might do this is through including guidance on definitions, monitoring and tracking SE in guidance notes being produced. As highlighted above the definition of social exclusion has been deliberately left broad in the policy paper. This implies that country offices and departments within DFID may require additional support to understand just how they can embed the policy in their work and, if appropriate, how they can track their progress. Investing time in **capacity building and dissemination** this early on in the policy's lifecycle will both improve the chances of its uptake being monitored, and of data being available for the stocktake. It would also act as a form of capacity building on SE.

6.12 The ERT to strengthen linkages with related work that is being carried out on indicator development within DFID. This may include papers such as that on Human Rights and Social Exclusion Indicators by T Landman, as well as work that looks at indicators on for example, gender and social protection. These may all have an overlap with social exclusion and therefore need to hook into the thinking around indicators that has already taken place, and adjust other indicators where warranted.

Recommendations for the SE Evaluation

6.13 It is not recommended that the comprehensive framework is distributed to staff, but that the ERT manages a process of consultation on individual indicators with appropriate officers and sections and, where possible, are embeds these in already existing systems.

¹² DevInfo is a system initiated by UNICEF which DFID proposes to use and to strengthen to bring together existing data from different sources into a single portal. This work will be carried out under an arrangement with UNICEF and is being managed by PD\DEG\CLEAR in DFID.

6.14 It will be important that ERT define clearly at the outset *who* is responsible for monitoring information relating to the evaluation framework and gets agreement from the appropriate divisions and officers. This may imply that some of the indicators are slightly altered to suit the different contexts or to fit in with their own ongoing monitoring system, but the quality of information gathered and the consistency of its collection will far outweigh the need to have a flexible framework.

6.15 Responsibility for generating a baseline and for monitoring performance in implementing the policy rests with DFID ERT. The Evaluation Department can raise awareness and signal well ahead what is planned and what will be required for the 2007-08 stocktake (and potentially for future impact assessment). This exercise has shown that there is a problem with data for constructing an adequate baseline and that exclusion is not being systematically tracked within DFID, at country level or at international level. Over and above this the stocktake itself can influence scheduled country programme evaluations, and even annual CAP reviews, and other evaluations, as appropriate, to generate data on exclusion by providing methodological guidance on how this might be done. Collaboration with Policy Department will continue to be needed.

6.16 Early consideration should be given to the evaluation approach by Evaluation Department. While outlining an evaluation plan is beyond the scope of this Working Paper, there are a number of issues that we raise for the Evaluation Department to consider:

- Developing a collective picture of policy implementation in a decentralised organisation that works in many different country contexts will be challenging. Consideration should be given to exploring specific examples of translating the policy into practice. In the context of scaling up to meet MDGs, the evaluation might look, for example, at DFID programmatic/sectoral support to education and health; whether and how exclusion was addressed and DFID interventions to bring this about. The sooner this was decided the earlier the plan for such an evaluation strand could be developed, including engagement of different parts of the organisation and establishment of a baseline.
- A more focused effort in some areas may be warranted. For example, measuring DFID's performance on social exclusion in relation to its work with multilateral organisations will be difficult as will locating social exclusion in ISP performance measures/targets. Rather than attempt this across the range of institutions and ISPs, it may be justified to identify selected institutions that DFID is particularly keen to influence. In this work, for example, we confined our ISP screening to the World Bank and the European Commission.
- Because of the complex nature and context specificity of social exclusion it will be challenging to evaluate SE systematically across a range of countries and it will certainly be difficult to arrive at a common set of cross-country exclusion variables to be tracked. When building up to an Evaluation of the SE policy, there are two broad choices: a comparative case study evaluation approach that allows for common SE themes but country contextualisation, which would counteract some of the data problems that are highlighted above; or a systematic cross-country comparative approach. The latter would require considerably greater effort, which from what we have found, may be unrealistic due to diverse possible meanings for exclusion, different priority manifestations and availability of comparative data sources. We would therefore recommend a case study approach that would allow perhaps for some common element(s) but also country specificity. A synthesis report could then focus on the overall picture. Some exploratory case study work could be done during the light touch evaluation which would inform a more comprehensive evaluation.

6.17 Investigating the extent and effect of policy dialogue on SE will require particular attention as there are no routine ways of collecting this currently. This could be looked at in the stocktake and/or be the focus of a special study.

6.18 The Evaluation Department should ensure that an analysis is undertaken of financial resources allocated to work on social exclusion as part of the stocktake exercise.

General recommendations for monitoring and evaluation of policy implementation plans

6.19 FCPD should revisit the corporate tracking systems to consider how to track programming on social exclusion using existing corporate systems such as PIMS and / or ARIES.

6.20 EvD/FCPD should provide an overview of what is and is not being tracked across the organisation. Having a central point that can give up to date information on what is being tracked by DFID, and by whom, would really add value to future evaluations and processes such as developing evaluation frameworks. This would reduce the dependency on consultants contacting the 'right' person or on individual staff members' institutional memories. The overview should look at which of DFID's policy commitments are being monitored / tracked, as well as more general issues about the type of monitoring / evaluation being undertaken. PGG should clarify when policies have clear public commitments and therefore for which DFID is accountable, and those which are provided as 'guidance'. Where DFID has made public commitments' it may be helpful in future to state clearly which aspects should be put into the Blue Book. They may require different types of implementation plan, different processes for monitoring and evaluation, and different levels of expectation of what DFID colleagues can track and monitor. The overview should look at which of DFID's policy commitments are being monitored / tracked as well as more general issues about the type of monitoring / evaluation being undertaken.

6.21 Call policies that are not mandatory 'guidance' rather than policy – (Responsibility Policy and Research Division/Development Committee (DC) Secretariat). When looking ahead to evaluating other policies, it might be helpful to distinguish between 'guidance policies' and 'mandatory policies' where DFID has made public commitments, and to state clearly which bits should go into the Blue Book. They may require different types of implementation plan, different processes for monitoring and evaluation, and different levels of expectation on what DFID colleagues can track and monitor.

7. DOCUMENTS CONSULTED

7.1 This includes documents consulted when developing the Evaluation Framework and Preliminary Baseline, as well as for the Working Paper

BCDP (2005) *Improving DFID's Engagement with Disability*

Beall, Jo, and Laure Helene Piron. (2005) *DFID Social Exclusion Review*

Bennett, L. (2005) *Unequal Citizens: Gender, Caste, and Ethnic Exclusion in Nepal* World Bank

C Berry et al. (2004) *Participation of Social Services in Difficult Environments*

Carraro, L, Weinzierl, S & Hunt, S, A. (2005) *Quantitative Assessment of Social Exclusion in Pakistan*

Chambers, J. (2005) *How can Donors Tackle Exclusion in Cambodia*

Curran, Zara & David Booth (2005) *Aid Instruments and Exclusion, Developing the empirical evidence for DFID's strategy on exclusion*

DFID (2005) *Country Assistance Plan Guidance*

DFID (2000) *Disability, Poverty and Development*

DFID (2000) *Realising Human Rights for Poor People*

DFID (2001) *ISP EC – Working in Partnership with the European Community*

DFID (2001) *UK Government's Balkans Conflict Prevention Fund, Strategy on Safety Security and Access to Justice, 2001*

DFID (2006) *The Blue Book*, (www.dfid.gov.uk/news/files/blue-book.asp)

DFID (2002) *Break the Cycle of Child Poverty*

DFID (December 2002) *How Effective is DFID? An Independent Review of DFID's Organisational and Development Effectiveness*, DFID Evaluation Report EV640, lead author Michael Flint

DFID (2003) *Gender and Armed Conflict*

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- DFID, *EMAD DDP 2005-2008*
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ANNEX 1: TERMS OF REFERENCE

EVALUATION WORKING PAPER:

DFID'S POLICY PAPER ON SOCIAL EXCLUSION.

1. The Evaluation Department of the Department for International Development (EVD) wishes to secure the services of a consultant to prepare an evaluation working paper.

2. Background

2.1 In September 2005 DFID published the Policy Paper "Reducing Poverty by tackling social exclusion". The paper sets out the rationale for addressing discrimination as a means to enhance poverty reduction efforts, and recommends ways in which DFID can step up its efforts in this area. It commits DFID to stepping up efforts in:

- exclusion analysis
- promoting exchanges of best practice
- working across Whitehall and with partners around the world on social exclusion and conflict
- strengthening collection and analysis of statistics
- strengthening capability of others to make development work better for excluded groups
- increasing inclusiveness of our own human resources
- commissioning research
- broadening and deepening engagement with civil society

2. Until recently, there has been insufficient focus on the implementation of the number of policies developed each year in DFID. A reputational risk has been identified that published policies will be implemented inconsistently, or not at all. The Development Committee therefore introduced a requirement for all DFID policy papers to be accompanied by an implementation plan. The social exclusion policy was the first to include an Implementation Plan. It also includes a commitment to evaluating progress against the policy in 2007-08. In preparation for this, Policy Division engaged consultants to develop an evaluation framework and preliminary baseline during 2006, with baseline information collected up to September 2005. This piece of work builds on the earlier framework development.

3. It is further anticipated that the need may arise in the future to evaluate the outcomes of DFID's work in this area, although no specific commitment has yet been made towards this. In this context, it is necessary for the evaluation framework to allow for a) evaluation of progress against the commitments made in the Policy Paper; and b) evaluation of the outcomes of work on social exclusion. DFID also needs to be aware of the existence of monitoring data in connection with both process and outcome indicators in a range of operational contexts, and to consider actions necessary to meet likely data gaps.

4. In parallel with the work on social exclusion monitoring and evaluation, Policy Division is undertaking a review of implementation plans to assess how effective they are in providing a basis for monitoring and evaluation, and to identify what needs to be in an implementation plan, what is an appropriate framework, and what processes should be followed in tracking an implementation plan. This

is expected to lead to new guidance for drafters of new policy. This work is expected to take place during September 2006. A further related piece of work is the development of a Performance Framework for Policy Division.

Purpose

To provide a short overview of the technical and institutional issues in evaluating implementation of DFID's social exclusion policy paper, and to recommend measures to address these issues either in advance of, or during, an evaluation of progress in 2007-2008.

Objectives

- a) to provide a narrative summary of the evaluation framework developed, together with a technical annex on indicators and means of verification;
- b) to compile baseline information on the indicators developed and produce a summary of the baseline for Levels 1 & 2 of the evaluation framework;
- c) to highlight gaps in available information and potential sources of data in respect of these for between five and eight suggested focus countries for Levels 3-5 of the evaluation framework¹³;
- d) to make specific recommendations for interim measures to address data limitations, identifying who should be responsible for this in each case

Issues to be covered

Objective a): narrative summary of the evaluation framework and technical annex on indicators and means of verification.

This should cover the overall evaluation framework developed and explain the links between levels of the framework, including discussion of accountability and attribution issues at each level. It should explain the links between the framework and the commitments in the Policy Paper and Implementation Plan. The technical annex should build on the existing indicators and means of verification but should include comments on the adequacy of existing data systems and methodologies for measuring indicators.

Objective b): to the extent that this has not been possible so far, baseline information that can be collected from DFID internal sources (departments, internal data sources, country offices) for Levels 1 & 2 (inputs and outputs) should be obtained and the baseline grid completed as far as possible as outlined in Table 1 below. A summary table and narrative of the main points should be included in the report. A suggested format for this is outlined at Table 2.

¹³ 'Levels 1-5' of the framework relate to the framework developed for Policy Division.

Table 1: Indicators for completion

Output / Indicator	Means of verification
More Diverse workforce in DFID	
Diversity is addressed across the four stages of all training	Information from LDS
Gender equality is addressed in DFID performance Management systems	Identify indicators in PSA; DDPs (2005);
Improved capacity to analyse and address SE	
The demand for and number of staff attending training in diversity and equality increases	LDS information
Proportion of new policy products that address SE	Review additional policy products on girls education and maternal health from 2005
Common and supportive approaches including SE in Conflict Pools; SE addressed by DAC Fragile States Group	
SE reflected in work programme and outputs of DAC Fragile States Group	Review workplan of DAC fragile states group
Partnerships and harmonised approaches on SE with WB/EC	
SE on agenda of global, regional and country partnerships	Review IS for WB and EC. Confirm with respective IS leads.
PD performance framework indicator: Good Progress towards establishing common approaches on SE and Social Protection with International Partners	Update on PD indicator
Learning & informed dialogue amongst National & Development partners about SE issues and challenges	
Number of Performance Assessment Frameworks mentioning SE or related concepts	Consider reviewing specific PAFs for focus countries (<i>specify approach in inception report</i>)
Research on SE within research areas	
Exclusion in work programmes of Development Research Centres & Research Consortia	Summarise SE in work programmes of relevant DRCs and Research Consortia through contact with DRC researchers
CAPs, RAPs, & DDPs analyse and identify SE priorities	
SE indicators in CAPs & monitoring through annual reviews	Review CAPs & RAPs
Types and scale of exclusion issues addressed in DFID country programmes	Additional data available from CAPs and RAPs
SE in conflict reduction strategies	
Evidence of SE Analysis in Conflict Pool Country Strategies increased	Review Conflict Pool Country Strategies
SE Analysis informing Fragile States strategies	
Efforts to build inclusive institutions in DFID's work in fragile states	Brief review of some programmes in fragile states (<i>to be specified in inception report</i>)

Table 2: Suggested outline summary information¹⁴
y information²

Output	Indicator	September 2005 level
More diverse workforce	Proportion of women in SCS from 27% to 37%	
CS partnerships promoting inclusion	Proportion of PPA Agreed outcomes focused on tackling SE increases	
Better data and statistics on SE groups by national institutions	Evidence that country programmes are providing support to national institutions	Africa – 4 countries Asia – 5 countries

Objective c): with reference to the evaluation framework levels and the indicators developed, gaps in existing information for the baseline should be highlighted. It is not anticipated that it will be possible to construct baselines for 2005 in all cases, but it is expected that data should be collected during the 2007 evaluation. Specifically, the working paper should include consideration of how to go down to levels 3-5, and should endeavour to do this to the extent possible on the basis of existing information for between five and eight "focus countries". Suggestions for focus countries and the criteria used in selection should be made in the inception report.

Objective d): this should cover specific interim measures that should be taken to ensure there is adequate data for evaluation in 2007. This could for example include work on DFID's internal systems, using other planned work in DFID (for example the country programme evaluations) or influencing civil society, international or national bodies to strengthen data collection or analysis systems. Identify any challenges for this and suggest how these might be addressed.

Outputs
A short inception paper including methodology for the work; sample report outline and sample format for annexes, suggestions for focus countries and criteria for selection, together with a schedule of time inputs
A working paper of publishable quality, up to 30 pages in length plus technical annexes as necessary

Timing
Up to 22 days consultancy time, commencing 28th July 2006
Inception report to be received in EVD by 15th August 2006
A working paper of publishable quality, up to 30 pages in length plus technical annexes as necessary
First draft to be received in EVD by 10th October 2006
EVD will circulate the draft and feed comments back to the consultants by 3rd November
Final report incorporating comments to be received by 10th November.

Timing
Up to 22 days consultancy time, commencing 28th July 2006
Consultation Report to be received in EVD by 15th August 2006
First draft to be received in EVD by 10th October 2006
EVD will circulate the draft and feed comments back to the consultants by 3rd November

Timing
Up to 22 days consultancy time, commencing 28th July 2006
Consultation Report to be received in EVD by 15th August 2006
First draft to be received in EVD by 10th October 2006
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EVD will circulate the draft and feed comments back to the consultants by 3rd November

The consultants will report to Jo Bosworth in Evaluation Department

Figures in this table are examples only
Management of the contract will be the responsibility of John Murray and Jane Gardner.

ANNEX 2: FRAMEWORK FOR SE ANALYSIS OF CAPS, RAPS, DDPS, CEPS, CONFLICT STRATEGIES AND SELECTED ISPS¹⁵

ANNEX 2: FRAMEWORK FOR SE ANALYSIS OF CAPS, RAPS, DDPS, CEPS, CONFLICT STRATEGIES AND SELECTED ISPS¹⁵

Document & Date	SE in Indicators	Evidence of SE Analysis				Socially Excluded Groups Identified									DFID Programmatic approach to SE					SE by sector and thematic area					
		No SE disaggregation	Selective – some issues	Implicit but SE not specified	SE specified in challenge	Gender	Caste	Ethnicity	Race	Life-cycle	Remote area	Migrant status	PLWD	Other	Direct with SE Groups	Legislation, Policies	Service delivery	Monitoring & Planning	Other	Health	Ed.	Other			
CAPS/CEPs/CSPs(28)																									
CAP Reviews (6)																									
RAPs (5)																									
DDPs (4)																									
ISPs (2)																									
Conflict Strategies/ Assessments (3)																									

¹⁵ Alice Kerr-Wilson (SDD) provided support on the analysis of CAPS

¹⁵ Alice Kerr-Wilson (SDD) provided support on the analysis of CAPS.

ANNEX 3: QUESTIONNAIRE FOR RESEARCH CENTRES

Research Programme/Consortia Questionnaire on Social Exclusion

Title of Programme

Start and end dates

Director or nominated contact person (email and phone)

1. Is social exclusion/inclusion a specific element of the research programme?

If YES, is there comprehensive coverage of a number of exclusion elements or selected coverage – please indicate which variable(s)?

[For example: Gender, Race, Ethnicity, Caste, Life-cycle/age, spatial/geographic, Migrant status, Disability, HIV/AIDS, other]

Are particular socially excluded groups (based on the variables above/other) identified?

If NO, it would be helpful if you could briefly indicate why this is so – lack of relevance, resource constraints etc.

2. Is there any related form of analysis (such as poverty, vulnerability, marginalisation) that identifies particular groups for attention in the programme?

If yes, please indicate which form of analysis is used and any groups identified.

3. Please provide a brief account (5-10 lines) of the social exclusion/inclusion issues in the research programme; the focus and sectors or thematic areas:

Issues/Focus: Rights; Empowerment of SE Groups; Legislation and Policies; Service Delivery; Poverty Monitoring; Other

Sectors/Themes: Health; Education; HIV/AIDS; Water& Sanitation; Sustainable Livelihoods; Other

4. What kind of data do you expect to produce on social exclusion?

5. Can you comment on availability of data on exclusion factors/groups and recommend any good data sets at national/regional/global levels? [Answers to this question will help determine the data challenges that future evaluation may face]

List of Consortia/Programmes contacted and those that responded ®

1. Climate Change Adaptation in Africa ®
2. Crop Post Harvest Programme
3. Natural Resources Systems Programme ®
4. Crisis States Programme
5. Centre for the Future State ®
6. Centre on Citizenship, Participation and Accountability
7. Centre for Research on Inequality, Ethnicity and Human Security ®
8. Chronic Poverty Research Centre ®
9. Women's Empowerment Pathways ®
10. Young Lives ®
11. Consortium for Research on Educational Access, Transition and Equity ®
12. Improving Quality of Education
13. Research Consortium on Educational Outcomes and Poverty ®
14. Improving Institutions for Pro-Poor Growth ®
15. Mental Health and Poverty Project ®
16. Sexual Health and Rights Programme

ANNEX 4: LIST OF PEOPLE CONSULTED

This list includes people consulted in the development of the Evaluation Framework and collection of baseline data

Adrian Leftwich, University of York
Alan Flisher, DFID Mental Health Programme
Alison Kennedy, Gender Equality Action Plan, PD, DFID
Andrea Cornwall, Women's Empowerment Pathways, IDS
Angela Bevan, Diversity Manager, DFID
Anna Morris, European Union Department, DFID
Charlie Edkins, Policy Division, DFID
Christopher Colclough, Research Consortium on Educational Outcomes and Poverty
Chris Pontin, Learning and Development Services, DFID
Cindy Berman, Social Development Adviser, Policy Division, DFID
Daniel Alberman, Governance Adviser, Equity and Rights Team, DFID
Dawn Lindsay, Group Management Officer, Governance and Social Development Group, DFID
Dolly Graham, Learning & Development Services, DFID
Dr. Sonya M. Sultan, Social Development Adviser, DFID Ghana
Eilidh Simpson, UK Civil Society, DFID
Fatima Denton, Climate Change Adaptation in Africa, IDRC
Frances Stewart, Centre for Research on Inequality, Ethnicity and Human Security, Queen Elizabeth House, Oxford
Gerard Howe, DFID
Graham Gass, Social Development Adviser, DFID Nigeria
Jane Hobson, DFID Sierra Leone
Jasmine Rajbhandaray, DFID Nepal
Jo Boyden, Young Lives Research Project
John Moye, World Bank Team Leader, DFID
Jim Green, Natural Resources Systems Programme
Julia Chambers, Policy Division, DFID
Kate Prudden, Young Lives Research Programme, Queen Elizabeth House, Oxford
Katja Jobes, Social Development Adviser, Policy Division, DFID
Keith Lewin (with Fran Hunt) Consortium on Research on Education Access, Transitions and Equity
Kim Bradford Smith, Senior Statistics Adviser, Africa Advisory Team, DFID
Liz Gascoigne, Social Development Adviser, MENAD, DFID
Lynne Henderson, Statistics Advisor, Policy Division, DFID
Marjolaine Côté, Climate Change adaptation in Africa Research and Capacity Development (CCAA) programme
Mike Battcock, Civil Society Policy Team, Information and Civil Society Department, DFID
Mick Moore, Centre for the Future State Research Programme, IDS
Miranda Munro, DFID, Brazil

Rebecca Calder, DFID Pakistan

Rebecca Trafford-Roberts, DFID Nepal

Sam Hickey, Chronic Poverty Research Centre Programme , University of Manchester

Sarah Hennell, Statistics/Poverty Monitoring Adviser, DFID Pakistan

Shelley, Peter, DFID Corporate Strategy Group

Sonya Sultan, Social Development Advisor, DFID Ghana

Steve Hogg, Adviser, Middle East & North Africa Dept

Sue Kinn, Central Research Department, DFID

Sushila Zeitlyn, Senior Social Development Adviser, DFID India

Teresa Durand, Social Development Adviser, Europe and Central Asia Department, DFID

ANNEX 5: CHECKLIST AND QUESTIONS SENT TO FOCUS COUNTRIES FOR OUTCOME AND IMPACT LEVEL INFORMATION

The outcomes, indicators and means of verification in the table below have been developed as part of a process to construct an evaluation framework for the Social Exclusion Policy. As another part of this process we have also completed an initial *quick and dirty* baseline for levels 1 and 2 (inputs and outputs). We now want to establish a baseline which will feed into a possible evaluation of outcomes of social exclusion ie levels 3, 4 and 5. The table below will be used to gain an overview on what information is, and what isn't available on outcome indicators in each of the 6 focus countries that have been identified.

The Means of Verification were devised at an international level and therefore may or may not be appropriate for your country.

We do not expect you to read each and every document and review them on our behalf, but what we would like is to get a view of what information is disaggregated and tracked by Social Exclusion in your country.

We would be very grateful if you could scan the table and indicate where the information is available, and where possible provide any comments relating to the indicators. We would then be grateful if you could direct us to 3 good sources that we can use to give us a good sense of the situation in your country.

Who are the socially excluded groups in country xx?

What are the main exclusion issues?

Please provide us with the three most relevant documents/data sources

ANNEX 6: EVALUATION FRAMEWORK WITH INDICATORS AND MEANS OF VERIFICATION

ANNEX 6: EVALUATION FRAMEWORK WITH INDICATORS AND MEANS OF VERIFICATION

	Output	Indicator	Means of Verification
Level 2: Corporate Systems			
Output 2.1	More diverse workforce within DFID	<p>Diversity Targets for 2008 achieved:</p> <ul style="list-style-type: none"> Proportion of women in the SCS from 27% (April 2005) to 37% (April 2008) Proportion of women in Pay Band 2 and above from 32% (April 2005) to 35% in April 2008) Proportion of BME staff in the SCS from 11% (April 2005) to 12% in (April 2008) Proportion of disabled staff in the SCS from 3% (April 2005) to 4% (April 2008) Proportion of BME staff in feeder grades from 8% (April 2005) to 10% (April 2008) Proportion of disabled staff in feeder grades from 1% (April 2005) to 3% (April 2008) <p>Diversity and gender is addressed across the four stages of all training (identification, design, delivery and evaluation)</p> <p>Baseline and indicators to be derived from GAP and GED</p>	<p>Annual Diversity Reports 2005 & 2008</p> <p>Training Unit (TDU) reports on identification, design, delivery and evaluation training courses</p> <p>Annual GAP/GED reports</p>
Output 2.2	Human Resource policies & practices address social exclusion issues Gender Implementation/Action Plan adopted & targets met Improved capacity to analyse & address Social Exclusion amongst DFID staff	<p>Greater number of DFID staff understand benefits of SE approaches (including around linking SE with Aid Modalities, PRSPs), and perceive the benefits of using a SE perspective as a complement to DFID's focus on poverty and inequality.</p> <p>The demand for, and number of staff attending training in diversity, equality increases</p> <p>Proportion of new policy products that address SE</p>	<p>SE Review, May 2005, Ch: How Social Exclusion is Understood in DFID (2.2)</p> <p>Follow up interviews with similar sample</p> <p>In country and UK Training Reports</p> <p>PRD Policy papers, RPU policy docs, SOS & PUSS speeches, briefings</p>
Output 2.3	Baseline, light-touch evaluation and Evaluation Lessons on progress fed back to corp. systems & programming	<p>Baseline, light touch and evaluation are conducted</p> <p>Messages on progress identified and disseminated to corporate services and programmes</p>	<p>Baseline report</p> <p>Light touch report</p> <p>Final evaluation reports & Key message products</p>
	Output	Indicator	Means of Verification

A6 - 7

Available data and information at the outcome and impact levels

Outcomes	Indicators	Means of verification (suggested)	Does this report exist? (Y/N)	Does it contain data about SE? (Y/N)	Please specify any other key docs relating to this indicator	Please provide initial comments relating to indicators and expected challenges related to data
Outcomes 3.1 – 3.6						
Outcomes 4.1 – 4.3						
Impact 5.1-5.3						

Output	Indicator	Means of Verification
Level 2: Partnership Indicators, Means of Verification and Preliminary Baseline Information		
Output 2.4	<p>CS partnerships promoting inclusion and tackling SE issues increases</p> <p>Proportion of country CS partners with core mandate on SE (or monitor 10 of the largest CSOs to see whether their strategies are becoming more SE focused)</p> <p>Aspects of SE addressed by media organisations supported by DFID</p>	<p>Analysis of Outcomes statements from PPA Documents – DFID Website</p> <p>No obvious MoV – but might be something for ICSD to report on (before evaluation)</p> <p>Agreements with and programme reports from supported medial groups</p>
Output 2.5	<p>Common and supportive approaches within the UK Conflict Pools and multi-lateral/donor initiatives on Conflict Resolution that considers SE</p> <p>SE addressed by DAC Fragile States Group & in piloting of Principles for Good Engagement in Fragile States</p>	<p>UK Conflict Prevention Pool Strategy Document (2004?)</p> <p>Follow up Document (date to be confirmed)</p> <p>DAC Conflict Peace and Development Co-operation Work Programme of the DAC-FSG& Surveys, case studies, seminars & reports on piloting of Principles of Good Engagement</p> <p>Reports on piloting principles from Nepal, Yemen and Somalia</p>
Output 2.6	<p>Partnerships & harmonised approaches on Social Exclusion with WB/EC/UN/other donors</p>	<p>SE in framing joint donor common approaches & support programmes on conflict reduction - DAC Conflict Peace and Development Co-operation disseminate a Policy Brief about Conflict and SE by 2008</p> <p>SE reflected in work programme and outputs of DAC Fragile States Group</p> <p>SE in DFID-supported piloting in Nepal, Yemen (with UNDP) and Somalia (with WB)</p> <p>Social Exclusion (and related concepts) on the agenda of global, regional & country partnerships with WB/UN/EC/other donors</p>
Output 2.7	<p>Better data & Statistics on SE groups by National Institutions</p>	<p>Annual reviews on level of engagement around SE of sample of country case studies</p> <p>ERT will track progress on this indicator – currently measures through self-assessment</p> <p>CAPs</p> <p>Country annual reviews</p> <p>Project and programme documents</p>

Output	Indicator	Means of Verification
Level 2: Learning Indicators, Means of Verification and Preliminary Baseline Information		
Output 2.8 Learning & informed dialogue amongst National and Development partners about SE issues and challenges	SE explicit in Policy Dialogue with National & Development partners at different levels and in different channels (PRBS, Paris Declaration, Joint Donors etc)	This will depend on which Tracker Countries (and possibly tracker sectors) are identified
Output 2.9 Research on SE & within research areas eg health, education, HIV/AIDS	DFID commissioned research on Exclusion Exclusion in research reports in key areas (eg Education, Health & HIV) Governance & Social Development Research Centre sharing of good practice on SE Exclusion in work programmes of Development Research Centres & Research Consortia	Number and range of studies specifically on SE and captured in other pieces of work. Existence of SE issues in research reports in key areas (eg Education, Health & HIV) Good practice on SE outputs from GSDRC Response to specific questions put to each DRC & Research Consortium
Level 2: Programming Indicators, Means of Verification and Preliminary Baseline Information		
Output 2.10 CAPS, RAPs & DDPs analyse & identify SE priorities	Evidence of discussion and decision on how to implement SE policy within regional/country programmes <ul style="list-style-type: none"> • Evidence of exclusion in the analyses informing CAP, RAP, Sector Programmes and JAS (could be specific SE analysis or in DoC, PPA, SCA etc.) • SE indicators in CAPS & monitored through annual reviews Types and scale of exclusion issues addressed in DFID country programmes Extent to which excluded groups and/or CSOs who work with them are included in the CAP consultation process	Analysis of a sample of: * CAP, RAPs, Sector Programmes, JAS, DDPs and reports CAP annual reviews
Output 2.11 SE in conflict reduction strategies	Evidence of SE Analysis in Conflict Prevention Strategies/Assessments increased from 2 to 4 Link in with: PSA Target 5: By 2007/008 improved effectiveness of UK and international support for conflict prevention, through addressing long-term structural causes of conflict..... (p. 24)	Conflict Prevention Strategies/Assessments Link in with PSA tracking

	Output	Indicator	Means of Verification
Output 2.12	SE Analysis informing Fragile States strategies	Strategies targeted at tackling Social Exclusion more explicit in Fragile states policy/strategy than were in 2005 document Efforts to build inclusive institutions in DFID's work in fragile states	2005 Fragile States Strategy CAPs & Country annual reports Reports on DFID-supported pilots on DAC principles (Nepal, Somalia & Yemen) SCAs
Level 3: Outcomes, Indicators, Means of Verification			
Outcome 3.1	Joint Donor Accountability Frameworks address social exclusion	SE in PAF/CDF/UNDAF/PRSC/PRGF (as appropriate by country) Increased donor consensus on key SE issues	Country specific Joint frameworks (eg. PAFs, CDF, UNDAF, PRSC, PRGF etc)
Outcome 3.2	National development frameworks include strategies to address poverty reduction needs of identified SE groups	PRSNIP/SWAPs analyse and address SE priorities Evidence of Policies, Programmes and PSIA addressing initiatives	Country specific (PRSNIPs/SWAPs etc) 2005 PRS Review (by the Bank and Fund), Bank & IMF Annual Progress Report on Poverty Reduction strategies (see PSA Indicator 3) DDR PSIA reports
Outcome 3.3	Availability, analysis and use of disaggregated data on excluded groups to support evidence based decision making	Evidence of data associated with SE groups in specific countries census data (eg incl questions on ethnic self-identification, caste, ethnicity, tribe, gender, disability). Also desegregation of poverty data.	Country specific: Surveys (eg DHS, Living Standards Measurement, National Sample Surveys), administrative registers, censuses and country Poverty Analyses Available or commissioned special studies to reflect excluded groups and evidence of SE variables in studies, surveys and in reports such as MDG reports
Outcome 3.4	Monitoring of poverty trends/patterns and impacts on excluded groups	Evidence of Information available on numbers & types/locations of excluded groups National progress towards agreed indicators for SE & mapping of poverty trends among excluded groups and in relation to non-excluded groups	Country Specific Indicator and data and UN Stats and specific sites eg WB Genderstats National poverty (and exclusion) indicators Poverty monitoring reports

Outcome 3.5	Public investments include excluded groups	Provision for/expenditure on excluded groups in key service areas eg health, education, water Gender/equity budget analysis	Country Specific Indicator eg MTEFs, MDG reports, Sector reviews, PRS monitoring, PETS, Gender and equity budget reports (where available)
Outcome 3.6	Increased empowerment of excluded groups and of the CSOs representing them	Collective action by excluded groups and coalitions between groups and organisations working with them	Reports on PRS & sector consultation processes and reviews Independent reports Media reports
Level 4: Outcomes			
Outcome 4.1	Equitable public investment & service provision	Extent of Exclusion from health, education, water etc by the Excluded Groups Comprehensiveness of social security/social protection system for excluded groups	Country Specific Data (depending on who SE groups are/what barriers are) egs. Evidence of SE national plans in place Analysis of: Education data; Health data; Water & Sanitation data; Education for All Monitoring MDG reports
Outcome 4.2	Improved SE policies, regulations and practices	Comprehensive and effectiveness of anti-discrimination legislation and extent to which these are enforced	Country Specific Data (depending on who SE groups are/what barriers are/data available eg Labour market data; land reform; minimum wages) Available or commissioned studies Independent reports
Outcome 4.3	Previously excluded groups now included	Extent to which excluded groups are represented in parliament, civil service, local government etc Rates of economic participation of excluded groups Degree of civic involvement eg Voter turnout, confidence of social groups in public institutions Human capital trends among excluded groups including health and education Poverty trends amongst SE groups	Country Specific Data (depending on who SE Groups are).

	Output	Indicator	Means of Verification
Level 5: Impact			
Impact 5.1	Poverty reduction amongst SE groups	Socially excluded group as a proportion of poor people living in HH with incomes less than \$1 per day	National household expenditure surveys broken down into SE groups (Global Economic Prospects – WB) Available and commissioned special studies
Impact 5.2	Achievements of MDGs	Gross primary school enrolment rate for excluded groups as a percentage of the gross primary school enrolment for other aggregated poor group – Similar for Health, Water & Sanitation	Education: World Development Indicators (World Bank) and UNESCO Institute of Statistics
Impact 5.3	Reduced Conflict	Link in with PSA Target: improved effectiveness of UK and international support for conflict prevention through addressing long-term structural causes of conflict..... Eg Balkans: By end 2007-08 Western Balkan states at peace within and between themselves and continuing on the path to closer integration with the EU and NATO	Assessment will be made on the basis of HMG reporting and dedicated desk officer knowledge and compared once a year to reports by international organisations such as UN, media and World Bank (see Technical note to the Conflict Prevention Target)

ANNEX 7: SUMMARY OF CAP/RAP/DDPS, ISPS AND CONFLICT STRATEGIES/ASSESSMENTS

	Asia Caps ¹⁶ (7)	Africa Caps ¹⁷ (15)	LAC Caps (3)	EMAD (3)	Total CAPS (28)	RAPS ¹⁸ (5)	DDPs ¹⁹ (4)	ISPs ²⁰ (2)	Conflict Strats/ Assmnts ²¹ (4)	Policy Papers ²² (2)
<i>Evidence of SE Analysis/consideration</i>										
SE specified in challenges	2	1	1	0	4	2	2		2	2
SE implicit but not specified	5	14	1	2	22	3	2			
• Pro-poor	1	4	1	0	6	1	1			
• Vulnerability	4	8	1	1	14	3	1	1	1	
Selective SE issues	0	0	1	0	1			1	1	
No SE disaggregated	0	0	0	0	0		1	1	1	
<i>SE Groups identified</i>										
Gender	7	14	2	2	25	5	3	1	1	2
Caste	2	0	0	0	2		1		1	1
Ethnicity	4	2	1	1	8	4	1		3	1
Race	0	1	1	0	2	1				
Life-cycle	5	13	2	1	21	5	3		1	1
Remote areas	3	6	1	1	11	1	1			
Migrant status	2	0	0	0	2					
PLWD	0	5	1	0	6	1				1
PLWA	2	8	0	0	10	1	2			
<i>DFID Programmatic Approach to SE</i>										
Direct with SE groups		7	2	1	10	1	2		2	2
Legislation		1	0	2	3	1	2	2	3	2
Service Delivery		6	1	2	9	2		1		2
Monitoring and Planning	3	5	1	2	8		1	1		2
<i>SE by sector/thematic area</i>										
Health	5		1	1	7		1	1		2
Aids	1	10			11	3	3	1		1
Education	5	1	1	1	8		2	1		2

¹⁶ Nepal, Pakistan, Bangladesh, Burma, Cambodia, India, Vietnam

¹⁷ Burundi, Ethiopia, Nigeria, Rwanda, Sierra Leone, Malawi, Angola, Sudan, Uganda, Zambia, Ghana, Kenya, Tanzania, DCR, Mozambique

¹⁸ Nepal, Pakistan, Bangladesh, Burma, Cambodia, India, Vietnam, Caribbean (2004-2007), Latin America (2004-2006/7), Central Asia South Caucasus & Moldova (2004-2007), Middle East & North Africa (2003-2006).

¹⁹ Burundi, Ethiopia, Nigeria, Rwanda, Sierra Leone, Malawi, Angola, Sudan, Uganda, Zambia, Ghana, Kenya, Tanzania, DCR, Mozambique, Africa, EMAD, International Division

²⁰ Caribbean (2004-2007), Latin America (2004-2006/7), Central Asia South Caucasus & Moldova (2004-2007), Middle East & North Africa (2003-2006).

²¹ Afghanistan, Indonesia & East Timor and WeB Strategies, Nepal Conflict Assessment

²² Girls Education: towards a better future for all, 2005, Reducing Maternal Deaths: Evidence & Action: A Strategy for DFID 2004.

²⁰ ISPs Girls Education: towards a better future for all, 2005, Reducing Maternal Deaths: Evidence & Action: A Strategy for DFID 2004

²¹ Afghanistan, Indonesia & East Timor and WeB Strategies, Nepal Conflict Assessment.

²² Girls Education: towards a better future for all, 2005, Reducing Maternal Deaths: Evidence & Action: A Strategy for DFID 2004.

ANNEX 8: ASSESSMENT OF BASELINE SITUATION FOR OUTCOME LEVEL INDICATORS

National Indicators	Comment
<p>3.1 Joint donor accountability frameworks</p> <p><i>3.1.1 SE in PAF/CDF/UNDAF/PRSC/PRGF (as appropriate by country)</i></p> <p><i>3.1.2 Increased donor consensus on key SE issues</i></p>	<ul style="list-style-type: none"> • This is not monitored systematically, requires country-level exercise, as no obvious DFID/other source of oversight • Considerable country variations on whether/which joint donor accountability framework exists • It is more difficult to capture information on SE in policy dialogue and influencing processes and less formalised donor consensus as these are not routinely documented, currently would require some form of audit
<p>3.2 National development frameworks</p> <p><i>3.2.1 PRS/NDP/SWAPs analyse & address SE priorities</i></p> <p><i>3.2.2 Evidence of Policies, Programmes & PSIA addressing SE initiatives</i></p>	<ul style="list-style-type: none"> • Not all countries have a PRS, but all have/are developing some national development plan or strategy. The extent to which the PRS analyse exclusion is varied, with gender being the most commonly disaggregated element • The ILO has done an Ethnic Audit of 14 PRS from different regions; there have been Gender audits of many PRSPs and some smaller studies on eg disability in PRSP (4 countries), and possibly others • UNESCO EFA Global Monitoring Report 07 reports on exclusion in National Plans of 45 countries • No systematic baseline data on this but some mapping studies, reviews etc. on exclusion or particular exclusion issues exist in some countries • SE is not seen as the most appropriate form of analysis to support action in some countries with, for example, some favouring a Social Protection approach • A few countries report having PSIA but, in general, SE (even gender) was not well incorporated
<p>3.3 Disaggregated data</p> <p><i>3.3.1 Evidence of data associated with SE groups in specific countries census data (eg incl questions on ethnic self-identification, caste, ethnicity, tribe, gender, disability)</i></p>	<ul style="list-style-type: none"> • No systematically available data but indications are that secondary analysis of existing census and survey data could yield further information on SE groups. • There is considerable variation on availability of data on SE between countries. • Most censuses collect some data on gender, disability or other SE variable but these are not routinely analysed and reported. • PPAs are good sources of qualitative data on SE (and DFID has supported these in many instances) • A DFID supported study on quantifying SE in Pakistan showed that census could offer much more information on exclusion, as could surveys. Broader work on quantifying SE is planned by DFID and would support this • It will be difficult to capture some small excluded groups in national data sets, may require more localised information. • There is also the issue of multiple layers of discrimination eg based on gender, ethnicity and disability. Specific analysis on these variables is required to unravel such layers.

National Indicators	Comment
<p>3.4 Poverty Monitoring</p> <p>3.4.1 Evidence of Information available on numbers & types/locations of excluded groups</p> <p>3.4.2 National progress towards agreed indicators for SE & mapping of poverty trends among excluded groups and in relation to non-excluded groups</p>	<ul style="list-style-type: none"> • Linking in with PRS monitoring frameworks and indicators is important, but current poverty analysis does not always incorporate exclusion and poverty monitoring reports do not routinely comment on excluded groups • In some countries monitoring frameworks are just being developed and there may be scope to influence them to incorporate indicators on exclusion and/or disaggregation of existing indicators • This form of analysis is not happening but studies such as the quantification study in Pakistan show that such comparisons can be made for excluded groups vs. the population on some parameters
<p>3.5 Public investments</p> <p>3.5.1 Provision for/expenditure on excluded groups in key service areas eg health, education, water</p> <p>Gender/equity budget analysis</p>	<ul style="list-style-type: none"> • Exclusion analysis of MTEF/annual budgets is not common • Although some countries have gender/equity budgets to track national financing, this is not general and does not extend to all SE groups • Sector specific budgets may yield more information but don't generally offer the necessary degree of disaggregation
<p>3.6 Empowerment & Inclusion</p> <p>3.6.1 Collective action by excluded groups and coalitions between groups and CSOs working with them</p>	<ul style="list-style-type: none"> • One-off studies eg PPA, Voice and Accountability, Gender Assessment, Drivers of Change and NGO study reports provide country level information on some SE variables for some countries • Requires a specific country-focused effort to develop a baseline for this
<p>4.1 Equitable public investment & service provision for SE Groups</p> <p>4.1.1 Extent of Exclusion from health, education, water etc by SE Groups</p> <p>4.1.2 Comprehensiveness of social security/social protection system for excluded groups</p>	<ul style="list-style-type: none"> • Sectors are not routinely undertaking exclusion analysis, despite the importance of this to achievement of MDGs • There is data to look at but requires specific effort/exercise to assemble a baseline and to monitor • Some regions and countries don't prioritise MDG reporting but there may be an alternative eg Social Exclusion Index in Balkans • Data on the effects of multiple-exclusion will only be available through second round analysis and/or special studies • The ILO promotes ratification of international standards on SP so there is data on this. Many countries have not ratified the relevant conventions such as No. 102 on social security (minimum standard), and there is not information by SE group • Development of National Social Protection Strategies, which a number of countries are currently doing, provides an opportunity to incorporate exclusion of groups
<p>4.2 Improved SE policies, regulations and practices</p> <p>4.2.1 Comprehensiveness & effectiveness of anti-discrimination legislation and extent to which these are enforced</p>	<ul style="list-style-type: none"> • Information on national laws and international agreements on this should be available from in country studies and ILO data • However enforcement and practice goes beyond ratification and information on this may need to be assembled from equality commission records, ad-hoc studies by rights-based groups, media reports etc.

National Indicators	Comment
<p>4.3 Previously excluded groups now included</p> <p>4.3.1 <i>Extent to which excluded groups are represented in parliament, civil service, local government etc.</i></p> <p>4.3.2 <i>Rates of economic participation of excluded groups</i></p> <p>4.3.3 <i>Degree of civic involvement eg Voter turnout, confidence of social groups in public institutions</i></p> <p>4.3.4 <i>Human capital trends among excluded groups incl. health and education</i></p> <p>4.3.5 <i>Poverty trends amongst SE groups</i></p>	<ul style="list-style-type: none"> • National GDI will have this for gender but other variables are not so uniformly or systematically monitored – countries who have quotas for political representation of groups such as PWD, Youth etc will have info more readily available • Not systematically monitored eg Labour market studies don't routinely collect information in this way; likely some data from pro-poor growth studies • For some countries there are PPAs or equivalent; special studies eg PILDAT study on participation in elections in Pakistan • Expect in MDG reports (see 4.1.1 above) but not routinely disaggregated by SE group • Despite how significant exclusion is for MDG1, routine country poverty reporting does not disaggregate trends by SE group – the situation is somewhat better for gender
International Indicators	
<p>5.1 Poverty reduction amongst SE groups</p> <p><i>Socially excluded group as a proportion of poor people living in HH with incomes less than \$1 per day</i></p>	<ul style="list-style-type: none"> • There is a dearth of analysis in global MDG reports on how specific SE groups are faring with respect to the goals – especially quantitative analysis • Official regular review sources are not comprehensive on SE issues; Additional special studies will be required until data catches up • Minimum standard may vary eg WeB it is \$2 per day
<p>5.2 Achievement of MDGs</p> <p><i>Gross primary school enrolment rate for excluded groups as a percentage of the gross primary school enrolment for other aggregated poor group - Similar for Health, Water & Sanitation</i></p>	<ul style="list-style-type: none"> • MDG national & international reports should provide this information – but level of disaggregation by SE variable insufficient • The EFA Global Monitoring Report is paying increasing attention to exclusion
<p>5.3 Reduced Conflict</p> <p><i>Link in with PSA Target: improved effectiveness of UK and international support fro conflict prevention through addressing long-term structural causes of conflict.....</i></p> <p><i>Eg Balkans: By end 2007-08 Western Balkan states at peace within and between themselves and continuing on the path to closer integration with the EU and NATO</i></p>	<ul style="list-style-type: none"> • Indicator not relevant for all countries

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