report

Department for International Development

DFID GLOBAL SOCIAL EXCLUSION STOCKTAKE REPORT

ANNEXES

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DEPARTMENT FOR INTERNATIONAL DEVELOPMENT

Evaluation Report EV707 Annexes

DFID GLOBAL SOCIAL EXCLUSION STOCKTAKE REPORT ANNEXES

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performance assessment resource centre

International Organisation Development

List of Annexes

Annex 1   Terms of Reference

Terms of Reference for the Social Exclusion Stocktake (as at 29 May 2009)

Summary

A1.1.   DFID seeks consultants to undertake a stock take of progress towards fulfilling its commitments set out in DFID's 2005 policy paper on <u>Reducing Poverty by Tackling Social Exclusion;</u> and the accompanying Implementation Plan[1]. The stock take will further inform DFID HQ Departments, regional divisions and country offices on specific responsibilities for taking this work forward; and will highlight work required (including policy dialogue) with national and international partners in order to address social exclusion. The stock take is in preparation for an evaluation of the policy in 2010/11, a framework for which has already been developed: The framework remains open to refinement in the light of any lessons learned during this consultancy.

Background

A1.2.   DFID defines Social Exclusion as: *'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 system or education and health services, as well as social institutions like the household[2].'*

A1.3.   DFID has recognised that poverty reduction policies and programmes often fail to reach socially excluded groups and that social exclusion makes it harder to achieve the Millennium Development Goals. A policy paper published in September 2005 – <u>Reducing Poverty by Tackling Social Exclusion</u> - sets out a series of challenges, and highlights ways that governments, civil society and donors can work to tackle social exclusion. The paper recommends ways in which DFID can increase its efforts.

A1.4.   The paper 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; and
- broadening and deepening engagement with civil society.

A1.5.   Following publication of the policy paper, DFID's Policy Research Department commissioned consultants to develop an evaluation framework and preliminary baseline, in anticipation of an evaluation of progress. This work was further

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[1] Both attached at Annex A
[2] Reducing Poverty by Tackling Social Exclusion; A DFID Policy Paper – September 2005

developed in 2006/07 in an Evaluation Department working paper[3] – Evaluating DFID's work to Tackle Social Exclusion: Baseline, Framework and Indicators. This further refined PrD's original conceptual framework for Social Exclusion, by:

- using the Implementation Plan to introduce levels of inputs, outputs, outcomes and impact; and,
- defining DFID departmental responsibilities and external (partner governments, other donors) actions required to foster change and improvement on social exclusion.

A1.6. The stocktake will examine what has been done to date on social exclusion; and what difference the policy has made to DFID activities. It will provide an opportunity for discussion of strategies for tackling social exclusion and relevant corporate systems. It will contribute to the final evaluation, by providing detail on a select sample of programmes, to ensure that systems have been put in place. The evaluation in 2010/11 will then explore the relevance of the policy, and its implementation, at the level of outcomes.

A1.7. A number of data challenges for measuring progress emerged through the 2006 work to develop a baseline and identify indicators. These will be revisited in the course of the stock take work; it will be important that each DFID Department is aware of its responsibilities before the independent Evaluation in 2010/11.

Purpose and Objectives

A1.8. The **purpose** of the Stocktake is:

- To assess progress to date on the Social Exclusion Policy in preparation for a full evaluation in 2010/11 (i.e. 5 years after policy issue);

A1.9. The **objectives** of the Stocktake are:

a) **Focus on accountability – To explore the progress made by DFID towards the commitments set out in the 2005 Policy Paper Reducing Poverty by Tackling Social Exclusion**

- Comment on the progress made against the public policy commitments as expressed in the Policy document
- Identify areas of activity where social exclusion is strongly considered, and highlight gaps and areas of omission
- Review emerging Policy papers (climate change, trade and growth) for consideration of Social Exclusion
- Comment on Social Exclusion activity within defined areas of DFID activity, and the extent to which this is consistent and coherent with Policy commitments

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[3] EvD Working Paper 22

b) **Focus on lesson learning – Generate lessons on how to make the implementation of the Social Exclusion Policy more effective**

- Document and comment on the policy implementation process to date (to include commentary on the Implementation Plan, Evaluation Framework and Recommendations Framework from WP 22)
- Generate evidence/lessons learned that could (if implemented) enhance Policy implementation and therefore successful delivery against the Policy commitments
- Identify lessons learned around how DFID can more effectively consider Social Exclusion within its work (including country offices), to support the work of ERT and any potential Policy refresh
- Comment upon whether corporate resources and support (human and financial) appear currently adequate to address Social Exclusion, and identify any priority areas where resources are likely to be needed in future.

Scope of work

A1.10. Building the evidence

Analyse a sample range of social exclusion interventions being undertaken by DFID. Use the sample to:

- Draw conclusions as to the current emphasis and extent of activity within DFID programmes and policy areas on Social Exclusion
- Assess the extent which this a) supports delivery against Policy commitments and b) is coherent and consistent with the principles and standards set out in the Policy
- Comment upon the corporate resources available for addressing social exclusion (using proxy indicators for human and financial, in terms of staff allocations, project / programme spend, and allocations within major programmes)
- Qualitatively outline the potential added value of addressing social exclusion within particular identified areas of activity such as programme design, policy debates etc

A1.11. Policy implications

Assess and outline the key incentives that have supported/encouraged DFID to engage with the social exclusion interventions. These may include

- Key champions inside or outside DFID
- National policy priorities (for the 2 case studies and tracker countries??)
- DFID policy priorities (growth, trade, climate change and conflict / fragile states)
- Corporate priorities (Senior Management interviews, Results frameworks, DC minutes / records)

A1.12. Future activity

- Outline how any current good examples from within DFID practice could/should influence either the Social Exclusion Policy or the implementation of the policy.
- Based on the above findings, outline a series of options for improving or refreshing the current Social Exclusion Policy

A1.13. Recommendations for future evaluation

Based on the above, make recommendations for any future evaluation (if appropriate) including methodology and scope.

The stocktake will involve development of an Inception Phase report, providing a detailed workplan and timeframe for the stocktake exercise. This should be presented to EvD and the Steering Group in a half day meeting, one month after contract award. Findings and recommendations will need to be discussed with the Steering Group, key interlocutors (such as BOND representative) and country programmes involved in the case study work.

The stock take will require familiarity with work contracted to date in order to avoid duplication, and ensure continuity.

Methodology:

A1.14. Detailed methodology will be developed during the Inception Phase, and may involve:

- Desk review, focused on corporate aspects of Implementation Plan; and key policy priorities
- Data collection of financial data
- Structured telephone interviews with country programmes, and departments
- Limited focused questionnaire to selected DFID staff in order to widen information gathering on consideration given to social exclusion
- Workshops/ meetings at key stages, with Steering Group and other key stakeholders
- Visits to two countries (India and Ethiopia) in order to gather baseline information

Outputs:

A1.15. The following outputs are expected:

- Inception report (one month after start of contract), including detailed workplan and timeframe (covering all outputs which will then be incorporated into the contract); **completed and delivered**
- Briefings to the Social Exclusion Steering Group (maximum of 4 anticipated); **completed and delivered**
- Country Case Study reports – two weeks after return to the UK (for each study); **completed and delivered**
- Draft Stock Take report and presentation by **May 2009** following completion of the data gathering phase; **completed and delivered**
- Draft Stocktake (following revisions with input from AG meetings) submitted **31 May 2009** to EVD;
- Final stocktake report two weeks following receipt of consolidated comments from DFID. Note: the report may go through at least 3 iterations before finalisation. **Must be completed by 30th June 2009;**
- Key summary document outlining the DFID commitments, key findings of the stocktake, lessons learned (best practice), and recommended actions for country programmes prior to the independent review process. No later than **15th July 2009**.

- Summary presented in PowerPoint document, for presentation at regional Heads of Office meetings. No later than the end of contract date of 31 July 2009.

A1.16. The indicative size of the final report is approximately 40 pages. Annexes to support the report should include, inter alia, questionnaire format and response, country case study reports, clarity on matrix etc. The report will have a broad audience, with different needs; the report will need to be structured appropriately, to ensure it is accessible and relevant to diverse interests.

A1.17. Team Composition, Contracting and Reporting Arrangements

The work should be conducted by a small team of up to 3 consultants (including the nominated Team Leader). In addition, one local consultant may be hired for each country case study. The Consultancy team should possess the following:

- Knowledge of information management systems (ideally prior experience of working with DFID systems)
- Experience of evaluations including questionnaire design;
- Expertise in Social Development issues and in particular issues of gender, social exclusion and vulnerability;
- Strong analytical, reasoning and writing skills.

A1.18. A consultancy company will be appointed on the basis of skills demonstrated in the team composition, approach to the ToR and costs.

A1.19. Contracting conditions. The study manager for technical issues will be Tim Robertson (t–robertson@dfid.gov.uk), all contracting issues (including amendments to deliverable dates and schedule of prices) will be dealt with by John Murray (j–murray@dfid.gov.uk). The contract will be milestone based and payments subject to an agreed Payment Schedule, linked to agreed outputs (as per paragraph 11) and the final stock take report must be delivered no later than **15 July 2009**. The successful consultancy is expected to undertake an internal QA process prior to submission to DFID.

A1.20. A monthly progress report update of 1/2 page(s) covering: progress to date, any contract relates issues, and confirmation that the contract is still on track to deliver on time will be required.

A1.21. Consultants will be responsible for making their own logistics and accommodation arrangements for the country case studies although introductions to relevant DFID office and, as appropriate, to partner government departments and organisations will be made.

A1.22. The start date for this work will be on contract signature and the concluding date no later than **29 July 2009.**

(Addendum as of May 29th 2009)

Further additional work required under this Contract:

Multilaterals and ISPs

<u>Phase One</u>

- Select four Multilaterals/ISP partners to which DFID makes the largest contribution
- DFID to provide necessary introductions
- Undertake preliminary assessment of the data available that is relevant to the Social Exclusion Stocktake
- Agree scope of work with EVD

<u>Phase Two</u>

- Undertake data collection and analysis
- Incorporate analysis into main report
- Assess implications for full evaluation

Additional Days

This work will add up to 15 working days to the overall Stocktake contract.

Annex 2   List of those consulted

1.   **DFID Advisory Group – Global Social Exclusion Stocktake**

2.   **CSO Advisory Group**

3.   **DFID Policy and corporate departments**

4.   **Country teams**

   - DFID Ethiopia
   - DFID Ghana
   - DFID India
   - DFID Malawi
   - DFID Pakistan
   - DFID Sierra Leone
   - DFID Vietnam

5.   **FCO**

6.   **Multilateral partners**

   - World Bank
   - AfDB
   - EC
   - UNDP
   - OECD–DAC

Annex 3   Multilateral Agency Assessment

World Bank	UNDP
• No aggregate narrative on social exclusion – However, the language of inclusion is very prevalent and explicit within policy, strategy and programming: • Inclusion, cohesion and accountability are 3 guiding operational principles for WB in its Social Development Strategy - 'Inclusive institutions / cohesive societies' • Employed in relation to analytical lenses (rather than as a driver of activity) • Language of discrimination very explicit within e.g. engagement in Latin America / within Indigenous People Policy • Terminology of 'inclusive growth' used very explicitly by e.g. Zoellick (but mostly in relation to gender) • Training courses on 'social exclusion' have been conducted	• No formal statement or position on social exclusion, but human rights approaches (HRA) underpins all current work. • Inclusion / exclusion is very explicit in strategy and programming work • Understandings (around discrimination) cohere with the DFID understanding of exclusion.
AfDB	**EC**
• Exclusion is not common in discourse in AfDB. More likely to utilise/conflate with 'vulnerability' and to identify vulnerable groups. • There is no policy on exclusion. Poverty Reduction mandate is to work with disadvantaged/vulnerable. Policy on Gender since 2001 • 'Discrimination/exclusion' seen as politically sensitive and not currently used with member countries. Exception is related to conflict where a growing number of countries are requesting support for e.g. youth employment prompted by awareness of link between exclusion and conflict. • Note that 'Governance' is now an essential part of the discourse – informant felt that DFID played a part in changing attitudes on this, and might do the same for 'exclusion'. • Only capacity building initiative related to exclusion was a 'Social Determinants of Health' conference run by DFID which was attended by the head of Division on Social Protection and Poverty Reduction (late 2008)	• There is a dichotomy between the nature and extent of discourse on exclusion within (i) EU and accession countries and (ii) as applied to developing countries; with exclusion featuring quite strongly in the former but very little in the latter • 2004 definition of exclusion as a process 'whereby certain individuals are pushed to the edge of society; prevented from participating due to poverty, discrimination, lack of basic competencies and learning opportunities. This distances them from job, income, education and training opportunities, and social and community networks and activities. Lacking access to power and decision making bodies, they feel unable to control decisions that affect their daily lives' (Joint Report on Social Exclusion – relates to Europe) • European Consensus on Development (2005) article 97 indicates that 'In the context of poverty eradication, the Community aims to prevent social exclusion and to combat discrimination against all groups. It will promote social dialogue and protection, in particular to address gender inequality, the rights of indigenous peoples and to protect children from human trafficking, armed conflict, the worst forms of child labour and discrimination and the condition of disabled people'. • EuropeAid's interpretation is mainly around social inclusion and of the needs of particular groups, rather than addressing systemic

WB	UNDP
• Social Development Department are the main vehicle - managed an operational portfolio of $7.2 billion in fiscal year 2008 (and 2/3 of their pillars of activity as above are exclusion-related) • The Participation and Civic Engagement Group of the Social Development Department promotes the participation of people and their organizations to influence institutions, policies and processes for equitable and sustainable development. • Community Driven Development also focus on exclusion issues though not explicit within their remit • Conflict prevention and reconstruction (a new team) could work on exclusion – but mostly focus on resilience to violence rather than prevention (exclusion not specified) • Training courses on social exclusion have been conducted.	• Bureau for Development consists of 6 groups: Energy and Environment, Democratic Governance, HIV/AIDS, Gender, Capacity Development and Poverty. • Exclusion explicit and cross-cutting for all of these, particularly Democratic Governance, HIV-AIDS, Poverty and Gender. • Poverty Group includes 3 clusters: Inclusive Globalization, MDG Support and Inclusive Development. All these 3 areas include an explicit focus on exclusion (weaker though in IG – mostly trade and development finance).
AfDB	**EC**
• Social Development Division with departments on Social Protection and Poverty Reduction (the latter created in 2008). However AfDB is no longer prioritising the social sectors. • Fragile States Unit created in July 2008 is very new but adheres to OECD-DAC Fragile States Principles (which includes non-discrimination); some countries are requesting exclusion-related studies e.g. CHAD on Pastoralists and Central African Republic on Gender. There has been no direct engagement between this Unit and DFID other than country-level partnerships • There are gender specialists in each operational department and gender specialists, dealing with policy, in the Sustainable Development Unit.	• EC structures for aid policy and implementation are fragmented. Of the six players in external relations the most relevant are: DG External Relations (Asia, LA & Close to Europe) – esp. Unit B1 on Human Rights & Democratisation; DG Development (ACP countries); DG Enlargement (accession countries); and EuropeAid (implementing the Commission's aid programme) esp. Unit E4 Governance, Security, Human Rights & Gender . • The Unit responsible for Human & Social Development in DG Dev (B3) is very small and stretched. It deals with a range of social issues (including health, education, social development, gender etc.). It has from 10-12 staff, many on secondment and with a high turnover. • The new EU European Instrument for Democracy and Human Rights (EIDHR) aims at mainstreaming human rights across EU work
WB	**UNDP**
• No DFID-WB ISP or RF • Now annual objectives and priorities. exclusion not explicit within these except gender (though could feature in activity under e.g. fragile states and conflict and in social sectors e.g. support to Education Fast Track Initiative) Note that DFID has never really tried to influence the WB on exclusion (Head of SD Division of WB also	• DFID/Denmark/UNDP ISP mostly focused on efficiency • Gender is present but not exclusion. • Surprising considering very explicit focus in UNDP strategy and programming docs

• discrimination
• The Lima Agenda has 'eradication of poverty, inequality and exclusion' as one of its policy priorities

formerly led DFID exclusion Policy development)	
AfDB	**EC**
● Joint Institutional Strategy of Germany, the Netherlands, Portugal and the UK with AfDB (2006-08) focused chiefly on increasing the Bank's effectiveness, and its contribution to governance and infrastructure in Africa. There is no reference to exclusion or to vulnerability or to any exclusion factor, not even gender inequality	● DFID July 2008 ISP 'Europe for Development: working with the European Union' commits to 3 core principles, one of which is 'a rights-based approach'; ● It also indicates that DFID will encourage the Commission to fulfil the Communities' poverty reduction objectives by 　● 'strengthening its work on social inclusion'; 　● its work on 'gender equality and women's rights;' 　● 'Ensure risks and benefits to human rights, children's rights and disabled people's rights are properly assessed and taken into account'.

WB	**UNDP**
● Main vehicle = Social Development Strategy – very explicit on inclusion and cohesion (though note mostly related to institutions) ● Also the Gender and Development Policy / Gender Action Plan (focused mostly on productive sectors) ● Social Safeguards Policy – focused mostly on indigenous / vulnerable groups and impacts on them rather than reasons for exclusion ● Indigenous People Policy **(OP/BP 4.10)**– plus social assessment with an IP component, an Indigenous People's Plan and planning framework	UNDP Strategic Plan 2008-2011 ● Exclusion headlined – para 5 p7 ● Very explicit within 3 main pillars: achieving the MDGs and poverty reduction, fostering democratic Governance, supporting crisis prevention and recovery ● Features as inclusive participation, inclusive growth, human rights based approaches, social cohesion, inclusiveness etc ● The Plan includes 'Inclusive and sustainable growth, as its connecting theme to place particular attention on those that are being left farthest behind in a world of expanding affluence but exploding inequality.' Global Programme 2009-2011 ● Derived from Strategic Plan – so very prevalent as above - inclusive growth, gender equality, inclusive globalization; and fostering inclusive participation.
AfDB	**EC**
● The Poverty Reduction Policy 2004 indicates that policy has shifted from a 'basic needs' approach to one that incorporates issues such as 'social exclusion, inequality and vulnerability to risk' (not further elaborated however beyond references to vulnerable groups e.g. orphans/children and displaced people) ● Commitment to knowledge generation, climate change and gender mainstreaming in all Bank's operations (Medium term strategy 2008) ● In area of gender equality – especially development of action plan and guidance. Gender Policy recognises 'forms of exclusion that women face' e.g.	● 2005 European Consensus on Development (see above) shows considerable coherence with DFID policy on exclusion – including recognition of discrimination and the multi-faceted nature of exclusion. ● 2004 EC definition of exclusion applied to European and accession states is also very similar to that of DFID ● DFID has supported analyses of social exclusion in Western Balkans and Moldova (May 2009) 'The Western Balkans: Economic Growth and Social Inclusion in the context of European Integration'. This looks at the growth, economic

from decision making; access to assets and resources ●☐ Addressing vulnerability in context of sustainable livelihoods – scope for using exclusion analysis to improve targeting in social protection/safety net programmes ●☐ Social/environmental safeguards and the Independent Review Mechanism which provides a channel for complaints (e.g. by excluded groups) about the Bank's activities to be handled independently of management ●☐ African Development Report 2008/09 focuses on conflict resolution, peace and reconstruction and the analysis does raise issues of systematic exclusion on ethnic grounds, systematic economic differences and poor social cohesion as both cause and effect of conflict ●☐ Early warning and monitoring system on conflict/fragility is being developed by Fragile States Unit	and social benefits of social inclusion and the harmful consequences of exclusion. ●☐ The DFID 2008 ISP commits to encouraging the EC in its work on social inclusion, on gender equality and on human rights, especially of children and people with disability. ●☐ The EU Sustainable Development Strategy (2006) deals in an integrated way with economic, environmental and social issues and lists 'social inclusion, demography and migration' amongst its seven key challenges. ●☐ The WeB Gender Mainstreaming study (2009) recommends that Member States share their expertise on GEWE with the EC at HQ and in Delegations (as well as national governments) and to develop a joint strategy and monitoring mechanism for gender mainstreaming ●☐ Gender Equality and Women Empowerment in Development Cooperation [SEC(2007) 332] and commitment in EC Agenda for Action on MDGs 2008 that 'As of 2009, all newly approved programmes and interventions will demonstrate a gender responsive approach and budget.'

WB	**UNDP**
●☐ Very explicit within Social Development Strategy RF – final outcome of 'Empowerment of poor and marginalized people through inclusive, cohesive, and accountable institutions.' Also intermediate outcomes and specific indicators for inclusion and cohesion ●☐ Currently no tracking system attached to projects. But currently trying to develop a tracking theme for social inclusion within WB systems. ●☐ In the process of conducting a 'Mid-cycle Implementation Progress Report' over the next 6 months around the Social Development Strategy. This will report on the Inclusive Societies pillar. Will also consider the Results Framework going forward, and whether inclusion is adequately integrated.	Explicit within RF for 2008-2011 strategy / also GP 2009-2011 RF ●☐ Across Goals 1–3 as above. ●☐ Features as reducing social, economic, gender inequalities, inclusive growth, strengthening participatory local development, inclusive governance; civil society engagement in national planning and policy processes, justice systems which consider the rights of poor and vulnerable people, strengthened capacities of national human rights associations, inclusive dialogue between actors including civil society; community cohesion (although less explicit here for conflict prevention than could be the case) ●☐ There is much data available within UNDP around exclusion due to the internal global reporting system, which is complex but comprehensive. Work has been done to assess the volume and scale of activity on gender; the same could potentially be done for social exclusion if wished, but this would be a time-consuming exercise.

AfDB	**EC**
●☐ AfDB Medium Term Strategy 2008-2012 refers to need to address 'pockets of exclusion' in mid-income countries; addresses gender but not other exclusion factors AfDB Corporate Key Performance Indicators include gender mainstreaming in operations; gender and age balance in staffing – but not other exclusion factors ●☐ Results Reporting for ADF-10 and Results	●☐ Unable to access any information in this area – DG Dev Informant unaware of any such framework where exclusion might be captured ●☐ DFID working with EC in Western Balkans countries promoted and achieved some success in identifying indicators in national documents such as the PRS (and found the DFID exclusion Policy Evaluation Framework useful in doing so

Measurement Framework for ADF-11 (Feb 2008) do not contain indicators on exclusion or vulnerability with exception of gender – it draws attention to need for further analysis to identify relevant indicators on gender, climate change and fragility due to paucity of national data sets	– WeB was one of the tracer 'countries' where the DFID office engaged in development of indicators and baseline in 2006)

WB	**UNDP**
• ☐ Does not really feature within PSIA guidance or in examples reviewed (may occur implicitly within e.g PPAs conducted – also stakeholder analysis e.g. contains reference to the identification of vulnerable groups, plus the need for political economy analysis) • ☐ Country Social Analyses – not explicit within preliminary assessment framework – but is arising explicitly within country studies conducted e.g.Nepal, Vietnam, Somalia • ☐ Social Safeguards – does not explicitly look at exclusion in the sense of discrimination but at adverse potential effects of WB development activity on mostly indigenous peoples	• ☐ Multiple sources of data available on social exclusion analysis exist, including: • ☐ Recent literature search (Jan 2009) conducted around social exclusion to support programming, includes range of analytical tools developed. • ☐ A handbook is being prepared on HRAs for local development • ☐ Also UNDAF guidelines on work with indigenous peoples.
AfDB	**EC**
• ☐ PSIA – though have been criticised for lack of rigour in PSIA in Infrastructure • ☐ Economic & Social Impact Assessment (ESIA) tools – though a random sample indicates a mainly environmental focus with low level attention to social dimensions and none to exclusion • ☐ Gender analysis is undertaken and gender country profiles are developed to feed into strategy. Gender guidelines/toolkit under development. Checklists are provided on e.g. gender in health; education, infrastructure • ☐ Fragile Situations Unit is developing an 'Early Warning and Monitoring' system to flag when countries are going 'off track' – issues of social stability, exclusion and democracy will feature due to their links with conflict	• ☐ A toolkit, guidance and training are provided on GE. Efforts are made to ensure that gender issues are properly incorporated into strategy papers and that EU staff have detailed guidelines on addressing gender equality in country and regional programming. • ☐ There are numerous documents and studies providing guidance on social exclusion in European countries and recent ones for accession countries, but not for developing regions • ☐ PROGRESS has enabled anti-discrimination training activities, which were continued through 2008.

WB	**UNDP**
• ☐ Huge amount of projects and programmes. Indigenous people particularly prevalent. The current portfolio contains 339 projects under supervision, with another 103 projects in the pipeline (see Issue Brief on Indigenous Peoples). • ☐ Community Driven Development - IDA lending for CDD has averaged annually almost 50 operations with US$1.3 billion per year from 2000-06, accounting for 17 percent of IDA's entire lending volume. For FY07, the CDD lending for IDA projects was $1.6 billion. • ☐ Even without a policy or strategy, a large amount of activity likely to be taking place. Would need to generate a sampling basis around e.g. specific	• ☐ Much work to date, though dispersed. Global Programme 2009-2011 • ☐ GP will – 'Serve as a platform for innovative policy approaches in addressing across the practices the issues of inclusive growth and social inclusion' (GP 2009) • ☐ Inclusive and sustainable development – new initiatives promoting pro-poor access to justice, new opportunities to strengthen inclusive participation and the responsiveness of governing institutions with improved channels of civic engagement, communication and information flows

	countries	• Within the United Nations system, UNDP will take the lead in defining and developing approaches to address the gender discrimination and human rights-related aspects of the HIV/AIDS epidemic Programming • Multiple areas of programming e.g. Regional Human Development Report on Social Inclusion for UNDP Bratislava which explicitly sets out goal of developing common analytical approaches to defining and measuring social exclusion

AfDB	**EC**
• Little thematic focus on exclusion or exclusion dimensions • Chiefly poverty reduction and social protection (including youth employment; microfinance; gender equality and women's empowerment; labour based public works; safety net programmes; social development funds and fragile states) • Annual publication on Gender, Poverty and Environmental Indicators for African Countries produced by the Research Dept provides information on progress towards MDGs, on gender, poverty and environment – little exclusion analysis, some vulnerability	• Within EU and accession countries the main exclusion issues are ethnicity (especially Roma); displacement; gender, age (especially youth) • The EU has taken action on Roma in four key areas: rights, policies, financial support and awareness-raising. • Access to labour markets for ethnic minorities and migrants • European Forum on the Rights of the Child • Indigenous people's rights

WB	**UNDP**
• Review of Social Development Strategy will be the main vehicle – forthcoming • The Bank's safeguards policies are currently being evaluated by IEG - forthcoming • PSIA / Country Policy and Institutional Assessment work in the WB is also being evaluated by IEG and reviewed by Social Development department – forthcoming • Individual project evaluations – vast database, would need a sampling mechanism to properly assess	• Multiple evaluations available – would need a sampling mechanism to fully assess

AfDB	**EC**
• About to undertake a gender evaluation • Rapid scan of random selection from website e.g. Ethiopia Agriculture and Rural Dev Sector 2008 did not yield information on exclusion/exclusion factors apart from a little on GEWE. Even vulnerability given scant attention. Cameroon Support to Social Sectors from 1996-2004 (2008) indicates Bank targeting of vulnerable social categories especially deprived areas such as the Far North and women with some effectiveness • Multiple evaluations available but unlikely to yield much related to social exclusion	• The Evaluation Unit is situated in the EuropeAid office. Very difficult to develop an overview due to a lack of informants • 2008 Evaluation report with a case study on application of EIDHR in Cambodia in work with marginalised indigenous communities in remote rural areas and in encouraging provincial government to improve services to disabled people's groups[4]. This was a small part of a much larger report that did not address social exclusion per exclusion • Also a 2008 evaluation of ACP support which

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[4] Evaluation for European Commission 'Evaluation of EC Aid Delivery through CSOs' (December 2008)

Note: Director of Operations Evaluation Department is former Head of Evaluation in DFID	commented on lack of substantive attention to gender equality and HIV&AIDS. A Scan for key exclusion factors yielded no information[5]

WB	**UNDP**
Nothing is tracked on exclusion – through tracking system for inclusion being developed currently. May be feasible using proxy measures / country activity.	May well be possible to track from internal management system if a clear definition provided. A similar exercise has just been done for gender. But would require considerable time and resources.
AfDB	**EC**
Expenditure on exclusion or particular exclusion issues is not tracked and would be very difficult to identify	● ☐ Expenditure on exclusion is not tracked

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[5] Evaluation for EC (2008) Evaluation of the Commission's support to the Region of Eastern and Southern Africa and the Indian Ocean

Annex 4   Methodology

The following sets out the sampling basis for the stocktake, methodologies employed, and the specific case of resource assessment, which proved methodologically problematic. A statement on the ethical standards employed is also included.

Sampling

The stocktake involved selection of a range of exclusion interventions being undertaken by DFID at different levels. With the exception of the Programme Memorandum (PM) review described below, the selection process was influenced by the initial stocktake purpose and ToR – later revised due to the poor traction and take-up of the Policy and its associated implementation mechanisms:

1.   Two country studies were identified by EVD in consultation with country offices. These provided a regional spread and quite different contexts for pursuit of social exclusion. Studies involved document review; prior consultation with the relevant DFID offices and five working days by three consultants in-country to interview staff across DFID and selected partners in government, civil society and donor agencies. The focus was on understanding DFID's approach to working on exclusion and not to mapping exclusion in the countries studied. However, in the process, it was possible to develop an understanding of the main exclusion issues and the context for addressing exclusion in each country. Separate reports on the county case studies have been developed.

2.   Five tracker countries were selected to provide further information on DFID activity in-country. In the previous work to develop the baseline for implementation (Gaynor and Watson 2007) information on five tracer countries was collected. It was agreed to include a subset of these in the stocktake (Pakistan, Ghana, Sierra Leone) but not Nepal or West Balkans as it was clear from the earlier work that the prime motivator for DFID's work in these locations would not be attributable to the policy. Two additional countries - Malawi and Vietnam - were identified based on a combination of criteria, including geography, World Bank CPIA[6] rating for social exclusion/equity, income level and conflict / fragility.

3.   Emerging policy areas were identified by DFID EvD. These are climate change; growth; conflict and fragility; and trade. Policy products were screened and key informant interviews were conducted to assess DFID activity on exclusion in these areas. Later a sub-set of project/programme memoranda and logframes on these themes were identified for screening, using the screening tool provided below.

4.   Accountability and results frameworks were selected for screening, including divisional and departmental frameworks. This was augmented by screening of Development Committee Minutes up to 2008; Senior Management interviews; interviews with ERT and with Advisory Group members.

5.   Two Advisory Groups were set up by DFID to engage and provide access to senior management and selected civil society organisations. Four meetings were held with each grouping (separately).

6.   An assessment of CAPs/BPs and RAPs where available using a variation of the screening tool.

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[6] World Bank Country Policy and Institutional Assessment (CPIA)
http://siteresources.worldbank.org/IDA/Resources/2004CPIAweb1.pdf

7. Full coverage of PPA, a 30% sample of CSCFs and a sample of ISPs were screened using the screening tool described below to assess DFID's work with partners.

8. Research undertaken through CRD since 2005 was screened for attention to exclusion, also using the tool developed below. This considered a sample of the range of Research Programme Consortia and also focused on research in the priority policy themes. It examined the 2005-2007 research strategy (which was set prior to the exclusion Policy of 2005, but the development of which took place concurrently with the Policy development); and the 2008-2013 Research Strategy, for which a major consultation and development exercise took place during 2007. The extent to which social exclusion has actually featured within research streams during the 2005-8 period has been assessed by a survey of research outputs produced by DFID's funded Development Research Centres / Research Programme Consortia (RPCs) funding from 2005-2010. Additionally, two research centres which were funded from 2003-2009 have been assessed.

Methodologies employed

To ensure methodological robustness, and to enable triangulation of data, the study has employed a mixed method approach:

- Qualitative data: interview data and some documentary analysis, plus the richer data from country programmes, have been analysed using qualitative methodologies. This has provided deeper contextualisation to – and better triangulation for –the quantitative data generated, below.
- Given the diffuse nature of exclusion, a qualitative approach is especially appropriate for understanding e.g. the operating environment and socio-political contexts within which DFID country offices are engaging with exclusion issues. Similarly, it provides insights into the nature and scale of an exclusion-focused response, which the more quantitative analysis below has been unable to provide.
- Quantitative data: documentary analysis, including PM analysis (described below), CSCF and PPA data, has been analysed against the screening tool described below. The screening tool employs analytic categories based around aspects and components on social exclusion. It has enabled a systematic assessment of exclusion recognition within programmatic activity, and a broad-brush assessment of spend.
- This data is however subject to the strong methodological caveats around resources outlined below. While this sort of information is useful for generating a broad analysis of the extent of recognition of exclusion within a programme, it needs to be more fully contextualised with qualitative insights around e.g. the nature of the operating environment. We therefore consider the data from country case studies to be most robust in these assessments.

Resources

The ToRs required an assessment of DFID resource allocations to exclusion. These proved problematic to assess and are the area of greatest methodological concern within the stocktake. The following challenges were identified:

- There are no markers in operation in DFID for Social Exclusion, apart from Gender Equality. Applying such markers is even more complex for exclusion which is a diffuse concept with varied understandings.

- The use of a marker, and associated guidance on its application, has been trialled for Gender. This has revealed significant quality concerns. Indications to date are that:
    - The marker has not been applied consistently (even where mandatory);
    - There are concerns about the quality of gender marking. More detailed guidance is needed to improve the quality of marking.

Very large divergence was found in how the marker was being applied and it is being recommended that publication of results on gender be deferred until further work is carried out to check quality. The GEAP first progress report did not report on either human or financial resources. This underscores the risks of attempting any kind of financial estimate for exclusion which is an even more multifaceted area and for which there is no guidance or standard reporting in DFID.

Exclusion is a topic that cuts across all sectors. Work on social exclusion is not confined to targeted projects/programmes but can be integrated within a wide range of projects/programmes. It is manifest in myriad ways, affects varied actors differentially, and has a wide range of possible programmatic responses. Evidence from the study to date indicates a wide range of understandings around exclusion among DFID staff and advisers. This leads to unreliable estimates of resource allocations.

Without significant checking and follow-up, it is impossible to assess from e.g. PMs/logframes the depth and scale of addressing exclusion. Consequently the proportion of expenditure on exclusion cannot be assessed with any degree of reliability.

Even where there is a measure of DFID activity on exclusion, it is not necessarily appropriate to associate a monetary value with this. The exclusion specific dimension may be most effective through, for example, ensuring shared understanding of analysis, dissemination of evidence and through policy dialogue and influencing – not necessarily large proportionate spending. Even in 'hard' expenditure data, a relatively simple example presents complexities; if a school is designed with access for People Living With Disability, should the whole of the infrastructure costs be counted, or the costs of the specialist features only?

Varying interpretations come in to play when attempting to quantify the 'exclusion' components of programmes. Advisers commented for example that work on the inclusion of out-of-school children in particular regions of Ethiopia could be argued to either direct 100% of their resources towards exclusion (on the basis that some regions have a high proportion of children who are not able to access school), or only the proportion of money spent on addressing the more excluded groups within this, such as pastoralists.

Human resource allocations were found to be extremely difficult to robustly assess – it is almost impossible for advisers to isolate time spent on 'exclusion' from time spent on addressing e.g. poverty and equity issues. Would time spent addressing the new CSO legislation in Ethiopia – which has absorbed much DFID-E human resource over the last six months – be considered for example as addressing social exclusion?

Using SDA resources as a proxy indicator for work on exclusion proved unfeasible in practice. In Ethiopia, for example, a Livelihoods Advisor had, in the past, provided the main expertise and drive on exclusion. Other examples of leads on exclusion from different cadres (governance and programme management) also arose during the course of study. It was evident from the wider stocktake that the extent to which SDAs are promoting exclusion is determined by the individual's own commitment and expertise; the context within which

they work; the evidence-base they have access to; and the team within which they are engaged. In addition, much SDA work involves influencing others to address issues such as exclusion, rather than (merely) doing so themselves.

To be comprehensive therefore, SDA time spent in influencing on exclusion, and the consequent effects of this on programmes / colleagues, would have to be tracked. While in some country offices (Ethiopia for example) business plan frameworks show percentages of intended advisory time on different programmes, this is inadequately broken down for full analysis − nor is it verified by advisers' estimates in any given month. The Ethiopia country study showed that advisors had significantly different ways of assessing their time on exclusion in programmes.

Resource allocations − proxies used:

Given these challenges, it was agreed with EvD that the following proxy measures would be employed:

1 Human and Financial Resources to exclusion within the Equity and Rights Team 2005/6 − 2008/9

This proxy offers a reasonable measure of DFID corporate commitment to exclusion and the trend since the policy was introduced. Human and financial resources for the relevant financial years were assessed. The nature of ERT support to exclusion was also assessed, since it became clear that responses were not fully in line with Policy or conceptual understanding of exclusion but rather a team structure and lines of work that are based around specific groups. This is in response to UK-based and country demands.

2 Civil society engagement

CS activity is one area where resource allocation may be more robustly estimated. DFID's CSCF funds a number of projects with clear exclusion dimensions; given the small and defined scale of these activities, it is possible to identify those which feature or do not feature social exclusion (again applying the DFID definition, and using the Livelihoods and Social Inclusion screening tool above) and to extrapolate to spend accordingly.

DFID also has a number of PPAs with INGOS with clear results frameworks. The report contains the headline figures of those PPA agreements which feature social exclusion as a component or focus of their activity. However, it is not feasible to robustly break down allocations of spend within PPA agreements from the data available. To achieve this would require a sample of PPA partners themselves estimating the proportion of spend, with clear boundaries around understandings of social exclusion, what aspects of social exclusion are addressed, and by what mechanisms they are addressed. This would require resources well beyond those made available for this study.

3 Multilateral partnerships

For the reasons set out both within the main text of the report, and within Annex 3 above, it has not proven feasible to robustly assess multilateral partnership resource allocations to exclusion (with the aim of linking this back to DFID contributions to MLAs). The exercise within the text − an indicative scoping exercise rather than a robust resource allocation − represents the best that can be done at the current time. This has been agreed by DFID EvD.

Analysis of Project Memoranda and Logframes:

The review team surveyed a sample of 91 Programme Memorandum and associated logframes across the five policy areas, plus India and Ethiopia. This data was provided by DFID EvD. The sample contained data from 2005-2009 and considered programmes over £1million. PMs were purposively selected by EvD based purely on data availability. It was constructed as follows:

India country programme	24
Ethiopia country programme	12
Climate change	9
Growth	9
Trade	9
Conflict	15
Fragile States	13
Total	91

Methodological caveats

- *Aggregation.* Whilst aggregation around the number of programmes and expenditure can take place, we do not consider this robust due to the sample construction. The sample is for instance heavily weighted towards the India programme, where exclusion-focused work is more prevalent than in other contexts. We would advise for any future exercise a more balanced data sample, with equal weighting across policy areas and country programmes, and including more traditional sectors of DFID activity in human development, such as education and health.
- *Context specificity.* Because each national operating environment differs, it is as noted invalid to draw conclusions around the extent of consideration of exclusion within country programmes. Comparative analysis across nation contexts would therefore be inappropriate.
- *Programme design.* PM analysis cannot not take into account the relevance / appropriateness of an exclusion-focused response. Data should not therefore be interpreted as judging particular programmes in any way.
- *Scale of work on social exclusion.* Whilst from this analysis broad statements can be drawn around the recognition of exclusion within programme design, and extent of programme spend, it is not feasible to extrapolate from this analysis the percentage of the programme spend on exclusion-focused work. Total values are therefore extremely broad-brush.
- *Programme implementation.* This analysis is based solely on programme design at a given point in time. It does not provide a full reading of the scale and scope of activity around exclusion that is taking place in reality within a programme. Fully understanding this would require interviews with programme leads and contextualisation against e.g. Output to Purpose Reviews, evaluations etc. This has been feasible in the case of the two country studies, but was outwith the resource allocation for the remainder of the policy areas.

Screening tools

Screening tools for analysis were developed based on programmatic response to three elements of a Livelihoods and Social Inclusion framework developed in Nepal by DFID and the World

Bank. [7] This framework (set out in Annex 7 below) suggests that three types of activities need to happen in order for a country to effectively address social exclusion:

1. Access to livelihoods, assets and services.
2. Ability of the poor to exercise voice and influence decision-making.
3. Changing the 'rule of the game' or the way that both formal and informal institutions operate so that everyone has equal opportunities.

It therefore looked at whether the DFID programme attempts to:

1. Improve access to assets and services for excluded groups.
2. Increase the voice and influence of excluded groups.
3. Support changes in the rules of the game for socially excluded groups[8]

In order to assess the extent to which the programmes cohere with exclusion policy objectives, a descriptive policy marker was employed, based on the OECD-DAC Gender Equality Policy Marker[9], and the DFID gender marker[10]. This assesses the extent to which the programme adopts an exclusion approach as a:

- Principal objective – where one of the elements of the social exclusion (as per the Nepal Framework) approach can be identified in the design of the activity and which are an explicit objective of the programme.
- Significant objective – where one of the elements of the social exclusion approach (as per the Nepal Framework) may be important, but is not one of the principal reasons for undertaking the activity.
- Not targeted – where the programme was not found to have considered any of the three elements of the social exclusion approach (as per the Nepal Framework).

The screening tool also employed the following categories for analysis:
- The size of the programme (in terms of expenditure).
- The groups considered – Whether the PM considered or highlighted specific groups who may be classified as socially excluded[11] (gender, disability, ethnicity/caste, PLWA/PLWTB, geographical, religion, other).
- Analysis: whether a social exclusion analysis is present.
- Programming:
    - Whether the programme worked towards increasing the voice and influence of excluded groups.
    - Whether the programme worked towards changing the legislative rules that traditionally favour the elite.
    - Whether the programme worked towards improving access to assets and services for excluded groups.

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[7] Framework and diagram taken from draft DFID "How to Note on Country Level Assessment of Gender and Social Exclusion", Lynn Bennett, February 2007, and also found in Unequal Citizens Gender, Caste and Ethnic Exclusion in Nepal, WB and DFID, 2006.
[8] The Nepal Framework encompasses both informal and formal rules of the game. For this analysis, the team focused on formal rules of the game
[9] The DAC Gender Equality Policy Marker, Excerpt from Reporting Directives for the Creditor Reporting System, January 2008
[10] DFID Gender Manual
[11] Although given the varying understandings around exclusion within DFID, the inclusion of these groups within the PM may be because they were identified as vulnerable or very poor, rather than excluded.

- ☐ Whether the programme provided any support to M&E or statistical capacity building on social exclusion.
- ☐ Monitoring:
    - ☐ Whether disaggregated monitoring (or a commitments towards this) exists within the logframe.

Gender was held distinct within analysis, in order to avoid the risk of skewed or distorted findings.

Ethical standards

The stocktake has been conducted with full regard to the ethical standards of social science research (see for example http://www.socialresearchmethods.net/kb/ethics.php). Confidentiality and anonymity were guaranteed to informants, and no respondents are named or identified within the report. The principle of informed consent was secured by prefacing interviews will an explanatory email explain the purpose and relevance of the stocktake, enclosing the ToRs where relevant or stressing their availability on request. In the case of MLA partnerships, a note was prepared setting out the background, approach and rationale of the research. As a stocktake of Policy implementation, the research did not involve data gathering with primary beneficiaries.

Data gathered remains confidential to the researchers. Only in its analysed form (this report) has it been supplied to DFID.

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Annex 6   Livelihoods and Social Inclusion Framework

The following is the Livelihoods and Social Inclusion conceptual framework which has informed the analytical tools developed for this Stocktake. Its reference sources are provided below.

Social exclusion may be based on social characteristics, such as gender or age; identities, such as ethnicity or religion; or on situational characteristics such as migration and homelessness. Social exclusion is the product of unequal power relations, discrimination and stigma.

The framework below sets out three areas that can be used to assess the situation faced by women and men, and by excluded groups and to review the response of the government, DIFD and other donors, and civil society.
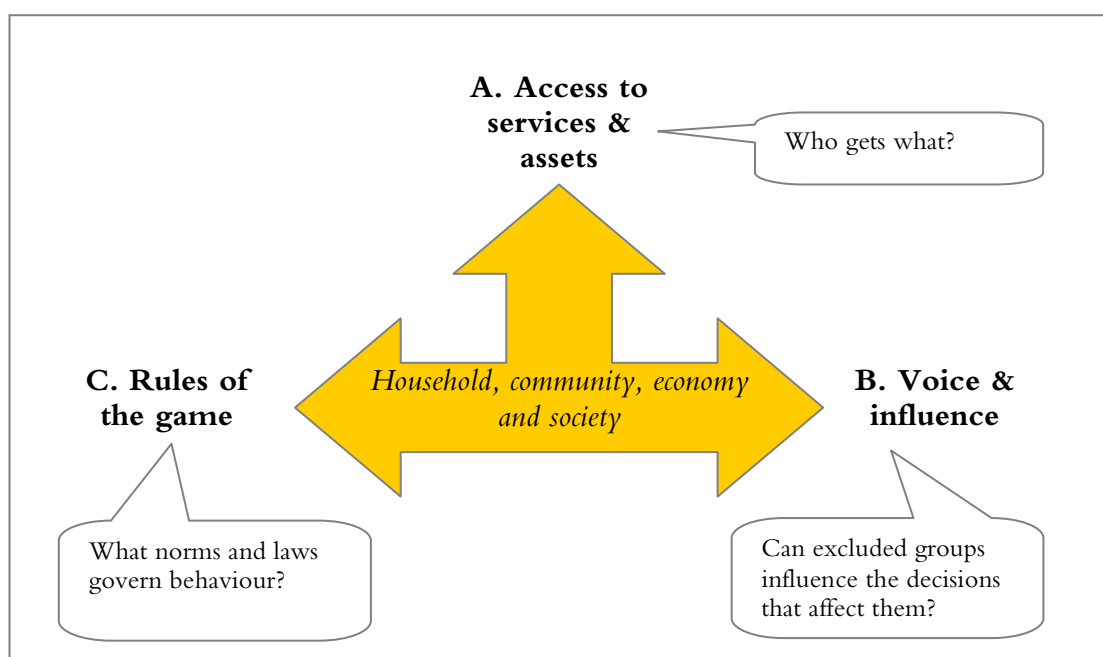
Access to services & assets. This looks at the barriers of access to services, assets and economic opportunities which prevent particular groups from moving out of poverty.   It identifies those dimensions of discrimination, such as unequal access to education, employment or land that may drive market imbalances and, in turn, reduce economic performance and growth. The assessment of these issues should be linked to the growth analysis of the CAP and any constraints to growth that have been identified.

Voice and influence. This assesses how political exclusion reinforces socio-economic disadvantage. It addresses the extent to which excluded groups organize, influence policy decisions and are able to hold governments, and other institutions that affect them, to account. It should be linked to the Country Governance Assessment (CGA) of the CAP. This section also looks at whether the risks of civil conflict are exacerbated where excluded groups have no chance of gaining influence in existing political systems. Assessment of these factors should be linked to the Strategic Conflict Assessment (SCA) where one is being undertaken.

Rules of the Game. This assesses the extent to which discrimination has been institutionalized in informal and formal rules. Informal rules include social norms and ideas about status and entitlements. Particular groups, such as widows, refugees and people with

disabilities, may be stigmatized, perceived to be undeserving of community or kinship support and, in some cases, subjected to abuse and violence.

When informal norms shape the behaviour of public officials and are reinforced by discriminatory regulations, exclusion becomes more systematic and can lock particular groups into chronic poverty. Discriminatory regulations and practices may exist in customary and religious legal systems as well as national policies and legislation and their implementation. Review of these issues should be informed by the Human Rights Assessment (HRA), where available.

Discriminatory legislation can also impact on the private sector and investment through, for example, regulations shaping labour markets and the operation of financial markets and services. Assessment of these issues should draw on the Doing Business Survey.

Disability in Zimbabwe. Zimbabwe was one of the first developing countries to enact disability rights legislation, there is representation in the Senate and disabled people secured the right to a number of benefits from the state. However these benefits are now virtually worthless because of hyperinflation. The monthly disability allowance is no longer enough to cover the cost of a loaf of bread. State support for assistive devices and school fees has almost collapsed. Zimbabwe's economic crisis is disproportionately affecting disabled people as they are more likely to need the failing government services, are compelled to use public transport despite its spiraling costs and find it more difficult to cope with the now extensive power cuts and water shortages. Disabled people were also particularly affected by Operation Murambatsvina – when some 700,000 people lost their homes and livelihoods. As in all societies, disabled Zimbabweans face stigma and discrimination but as the crisis in the country worsens, there is evidence that communities are becoming less tolerant towards those who they perceive as a burden, who are not able to contribute to the household economy.

Scale of exclusion. Analysis across these three areas can be used to assess the parameters and dynamics of exclusion experienced by different groups. While the identity of the most excluded groups is context specific, dimensions of exclusion often associated with entrenched disadvantage include:

- Gender, disability and health related status such as being a person living with HIV or AIDS.
- Overlapping forms of exclusion, such as being a low-caste widow or orphan, or an internally displaced person from a minority ethnic group.
- Excluded groups that are also geographically separated or isolated.

Source: DFID Nepal, cited in DFID Ethiopia (2008) Social Inclusion and Gender Annex to the Protection of Basic Services II Programme, prepared by Social Development Direct, London

Annex 7   DFID Ethiopia Social Exclusion Case Study Report

Executive Summary

This report sets out the findings of the Ethiopia Social Exclusion case study conducted on behalf of DFID Ethiopia (DFID-E). It was commissioned by DFID-E as a result of growing recognition of the need to review and potentially develop its activity on social exclusion. Objectives were as follows:

- **Country analysis and programming:** To explore, along with the country team, the current challenges and priorities related to social exclusion in Ethiopia, along with issues of prioritisation, and to support the team in exploring how comprehensively and effectively their programme addresses these issues and challenges.
- **Learning:** To highlight, from DFID-E experience, some of the main opportunities and challenges faced in addressing social exclusion within country programming, and within policy dialogue with government and other development partners.

The report sets out progress to date against the public policy commitments as expressed in DFID's Social Exclusion Policy of 2005. It reviews DFID-E activity in a number of areas against these commitments, and makes recommendations for future improvements.

Progress is summarised as follows, using a light-touch judgement based on cumulative position on indicators for each Policy Commitment; where *very good = evidence of considerable progress, good = evidence of some progress, fair = evidence of minor progress and room for improvement = little or no progress identifiable.*

Country strategy and planning	Room for improvement
Analysis/research	Good / fair
Programming	Fair
Partnership and policy dialogue	Good / fair
Accountability frameworks	Fair
Resources	Room for improvement

Key findings include:

- DFID-E programming and policy dialogue already works hard to support *capability* to deliver for exclusion. However, work on addressing exclusion within *accountability and responsiveness* would benefit from added momentum.
- A growing volume of analysis is indicating social exclusion as an ***increasingly significant issue*** within the development discourse of Ethiopia, underscored by political economy concerns, ethnically-related conflict propensity, and a risk of constrained space for CSO activity.
- DFID-E's generalised poverty and equity approach has to date delivered good gains in terms of access to services thus far. However, ***risks are being created*** in failing to adequately address exclusion issues at the current stage of Ethiopia's development.
- Within programming, approaches to addressing social exclusion at office level appear to date to have been ***opportunistic rather than comprehensive***. This in the main is a result of the aid and political economy context of Ethiopia, and is changing within DFID operational clusters, but entry points for a more strategic approach across the office now exist.

- ***If inclusive growth is to be successfully created, and equitable progress towards the MDGs be made, it is increasingly urgent that DFID-E adopt a more strategic, comprehensive and consistent approach to exclusion across its programming.***
- The main challenges for DFID-E going forward will be to **build on the analytical knowledge created to date,** to identify relevant **entry points** for donor partners and GoE influencing around the evidence base, to take a more **consistent** view of exclusion issues across planning and programming, and to more comprehensively embed exclusion into **accountability and reporting frameworks.**
- Key entry points going forward include:
  - **strengthening the evidence base** on which programming decisions are made – and thereby opening up scope for dialogue and consensus with partners, and
  - focusing on **two specific areas of exclusion** which pose potential risks, for different reasons, to DFID-E if they continue unaddressed:
    - **gender**, in which DFID-E is currently at risk of default on its wider corporate commitments.
    - **regional and pastoralist issues**, where the evidence base is so poor that poverty impacts of programming are at best unclear and at worst being mistargeted and where conflict is a concern.
- Supporting partners to address other exclusion factors such as disability.

Priority specific actions may include:

1 Build the evidence base	DFID-E / Joint: meta-analysis of the poverty and exclusion studies already conducted – to generate a common understanding and build a shared discourse.
	DFID-E: Aid Effectiveness and Corporate Compliance Hub – exclusion and gender mainstreamed across activity
	DFID-E: New country planning process and Results Framework – clear indicators on gender / social exclusion
	DFID-E: ToRs / briefs for annual reviews / OPRs can include a requirement to consider disaggregation by region and gender.
	Joint: More pro-active role on Monitoring and Evaluation Technical Working Group to generate a shared understanding of exclusion and its socio-political dimensions
	Joint: A proactive role in mainstreaming gender and exclusion within forthcoming statistical capacity-building opportunities
	Joint: support for Civil Society e.g. PANE to undertake comprehensive exclusion or specific disability analysis to feed into next PRS
2a) Gender	DFID-E: Gender launch with a Gender Champion– use DFID's Think Women campaign and materials (London's Equity and Rights Team)
	Joint: Upcoming programme design processes plus Accountability strategy
	Joint: Support to e.g. monitoring and evaluation of the gender National Action Plan
	Joint: Gender (and exclusion) audit of Protection of Basic Services II programme linked to forthcoming studies
2b) Regional issues (including pastoralism)	DFID-E: Somali Peace and Development Assessment / any Strategic Conflict Assessment must look at exclusion issues – reference the DFID Preventing Violent Conflict strategy document
	Joint: Build on e.g. the findings from the PBS II socioeconomic analysis to meta-analyse regional data on access and barriers to accessing resources, taking discussion forward with donor partners and GoE
	DFID-E / joint: A study considering the impact of the political economy for the DFID-E country programme's equitable delivery of services
	Joint: Productive Safety Nets Programme pastoralist pilot – summary of learning / good practice, combined with learning from Pastoralist Communication Initiative programme, as a basis to inform design processes

'Social exclusion is often a cause of poverty, conflict and insecurity. If we are to tackle it effectively, we need to recognise where it is a problem, understand it better and, where appropriate, find different ways of working with partner governments, the international community and civil society organisations to overcome it.'

Gareth Thomas, DFID Social Exclusion Policy, 2005.

DFID Ethiopia Social Exclusion Case Study Report

A7.1.   Introduction

This report sets out the findings of the Ethiopia Social Exclusion case study conducted on behalf of DFID Ethiopia (DFID-E). It was commissioned by DFID-E as a result of growing recognition of the need to review and potentially develop its activity on social exclusion.

The case study explores the extent to which DFID's global Social Exclusion Policy of 2005 has been implemented within the Ethiopia country programme, and assesses how fully and effectively the DFID-E programme addresses the relevant issues and challenges around social exclusion in Ethiopia. It has been linked by DFID's Evaluation Department into the concurrent wider global Social Exclusion Policy Stocktake (2008-9).

The audience for this report is primarily DFID-E and DFID's Evaluation Department. Other audiences may include DFID's Equity and Rights Team, the two Advisory Groups for the global Stocktake, and the International Advisory Group for Development Impact (IACDI). DFID-E may also wish to use the report in dialogue with in-country partners.

A7.2.   Objectives

The main objectives of this case study, as set out in the Terms of Reference were as follows:

- **Country analysis and programming:** To explore, along with the country team, the current challenges and priorities related to social exclusion in Ethiopia, along with issues of prioritisation, and to support the team in exploring how comprehensively and effectively their programme addresses these issues and challenges.
- **Learning:** To highlight, from DFID-E experience, some of the main opportunities and challenges faced in addressing social exclusion within country programming, and within policy dialogue with government and other development partners.

The team were tasked to conduct the case study in the light of a projected full evaluation of the Social Exclusion Policy in 2010, with a view to potentially influencing the relevant methodology, approach and proposed data sources.

A7.3.   Methodology

Three consultants (two international and one local) conducted the stocktake in late January 2009, over a very limited period of five days in-country. Research was conducted through interview and documentary study. Key components of the methodology comprised:

- Interviews with key DFID staff and partners (GoE, civil society and donor), identified by DFID-E (in consultation with the consultants) as:
  - having a particular interest / engagement in social exclusion activity.

- representing excluded groups (civil society).
- (in the case of GoE stakeholders) working on the major programmes / within the major Ministries or Departments which are likely to have an exclusion focus.
- A review of programme documentation, including country planning documentation, the eleven main current DFID-E programmes, results frameworks, etc.
- A review of contextual information, including relevant studies and research reports.
- Interviews with contacts with recent experience in Ethiopia on similar issues.

The list of documents and informants can be found at Appendix 2.

A7.4. Frame of reference

Social exclusion is a contested term. Experience from the global Social Exclusion Stocktake, and from this DFID-E study, indicates that, for many, social exclusion is understood interchangeably with concepts of equity, poverty and / or vulnerability.

Vulnerability has been defined as *susceptibility to a decline in a) the wellbeing of individuals, households and communities in the face of a changing environment, and b) their resilience and capacity to respond to risk.*[12] A vulnerability analysis is often reflected in programming as a social protection response.

The DFID definition of social exclusion is as follows:

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 system or education and health services, as well as social institutions like the household'.[13]

Social exclusion results therefore from unequal power relations, discrimination and stigma. *Social inclusion* is the process of overcoming the barriers which normally exclude certain groups, to enable their equitable access to assets and resources.[14] This process may require state intervention to support those who are most disenfranchised or disadvantaged.

A *social exclusion analysis* aims to understand the nature of the drivers that render some groups poorer than others, which drive them deeper into poverty or which hinder their movement out of poverty.[15] In Ethiopia, these drivers are inextricably linked with other forms of exclusion. Many have their historical roots in the geopolitics of the Ethiopian nation-state – a grouping of diverse ethnic and cultural groups, with around 85 languages and 200 dialects spoken – and the political response to this diversity of ethnic federalism.

- *Political exclusion* is widely recognised as having a long legacy in Ethiopia: 'Fundamental socio-political dynamics and norms in Ethiopia....favour not inclusion, accountability and the enhancement of social cohesion and equity, but the perpetuation of hierarchy, competition, and authoritarianism...'.[16]

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[12] Chambers (1989) Moser, (1998), Kabeer (2002).
[13] DFID Social Exlusion Policy (2005)
[14] PBS II Social Inclusion and Gender Annex (prepared by Social Development Direct) (2008)
[15] Ibid.
[16] Vaughan (2004) p50

- *Geographical isolation*, combined with long term poverty, has left many sections of the population with little confidence (or sense of relevance) in government or the state – '[disadvantaged groups] can be defined as subjects who abide by the rules of patronage rather than citizens who exercise their rights to entitlements...' .[17]
- *Justice systems* are widely perceived to perpetuate the broader exclusionary patterns of society,[18] with customary systems prevailing especially in the periphery.
- A *still-weak civil society* has only limited voice and an increasingly constrained space for manoeuvre.[19]
- A weak *poverty assessment base*[20] does not facilitate responsive and differentiated targeting for diverse groups.

This short study does not attempt to consider the extent to which DFID-E programming addresses exclusion in all its forms in Ethiopia, but does consider the ways in which social exclusion can create, reinforce or perpetuate other forms of exclusion. Specifically, drawing on evidence generated by both this study and the global Stocktake, it indicates ways in which the addressing of social exclusion can help support *a) conflict analysis b) the generating of inclusive growth and c) equitable progress towards the MDGs*.

A7.5.   Social exclusion as a development issue in Ethiopia

Ethiopia has overwhelming levels of poverty. Roughly 39 per cent of the population currently live below the national poverty line.[21] On present trends the country is unlikely to meet its MDGs by 2015.[22] The vast majority of people face major difficulties in accessing basic services and assets and benefiting from the opportunities that growth provides. Poverty is so entrenched and so widespread that inequity levels (at least in terms of income poverty) are extremely low, although there are sharp rural / urban divides. The relatively even distribution of rural poverty in Ethiopia is evident in a Gini coefficient of 0.26.[23]

The links between chronic poverty, 'adverse incorporation' and social exclusion are well established by research.[24] Ethiopia's development landscape of widespread and extreme chronic poverty 'masks patterns of social exclusion that cast some social groups as facing more extreme and concentrated poverty.'[25] The barriers between these groups and assets and services are higher, making their journey out of poverty more difficult and less certain. Some examples of the inequities in Ethiopia that such exclusion creates are highlighted below.

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[17] Hobley et al (2004)
[18] Democratic Institutions Programme PM (2007); CGA (2008)
[19] Civil Society Support Programme PM (2007), CGA (2008)
[20] Hobley et al (2004)
[21] Source: DFID-E (2009)
[22] UN MDG Progress Report for Ethiopia (2008); see also EMIS data. Primary education is one area where Ethiopia is more on-track, but emerging regions such as Afar and Somali pose significant barriers.
[23] IFAD (2008) Ethiopia country strategic opportunities programme
[24] Hickey, S and Du Toit, A (2007)
[25] DFID-E Draft Country Business Plan 2008/9-2010/11.

Education	Literacy rate for males are 50%, compared with only 27% for females (Welfare Monitoring Survey, 2004).	Primary school gross enrolment rates (GER) in urban areas are double rates in rural areas (Welfare Monitoring Survey 2004). GER are 117% for grades 1–4 nationally: 49% in Somali and 39% in Afar (Welfare Monitoring Survey 2004; EMIS)	Only 10% of the poorest women (those in the lowest wealth quintile) are literate, compared with 63% in the highest wealth quintile. (PASDEP APR, 2007).
	56% of boys are enrolled in primary school, compared with 44% of girls (Teacher Development Program: Mid Term Review, 2006; see also EMIS data).	Almost all urban residents can access a primary school within 5km, but around 30% of those in rural areas have to travel 5–10km or more (Welfare Monitoring Survey 2004).	88% of the poorest women have not attended school, compared with around 33% of the richest women (Demographic and Health Survey 2005).
	In secondary schools, female teachers only constitute 8.5% of the total teaching population (Teacher Development Program: Mid Term Review, 2006).	The lowest literacy rates, highest school dropout rates and furthest distance to schools occur in Somali, SNNPR and Benshangul–Gumuz (Welfare Monitoring Survey 2004).	
	Only 5% of pastoral women are literate (DFID-E notice board 2009)		
Health	The HIV prevalence rate for females is 2.6% and 1.7% for men (PASDEP APR, 2007).	Somali, with a population in excess of 4 million, had only 6 hospitals in 2004, in contrast with 15 hospitals in Tigray (population just over 4 million) (HSDP III)	Women in the lowest wealth quintile are five times less likely to receive antenatal care from a health professional than women in the highest quintile (Demographic and Health Survey 2005).
	The overall female mortality rate is 8% higher than that for males (Democratic and Health Survey, 2005).	HIV prevalence is lower in rural (0.9%) than urban areas (7.7%) (UNAIDS 2008).	Women in the lowest wealth quintile have twice as many children as those in the highest wealth quintile (Demographic and Health Survey 2005).
		In Somali region, a male pastoralist lives, on average, 17 years less than other men (PBS II Social Inclusion and Gender Annex 2008)	
Water and sanitation		Access to safe drinking water is 1km away for 83% of urban residents, but only 45% of those in rural areas, 29% in Somali and 21% in Harari (WASH 2006/7 / Demographic and Health Survey 2005)	

A DFID-E commissioned Social Inclusion and Gender Equality Annex for the Protection of Basic Services II programme found the following:

- The main drivers of social exclusion – both a cause and effect of poverty - in Ethiopia were indicated as gender, place of residence, a pastoralist way of life and disability. Additional drivers include: HIV and AIDS, leprosy, life cycle stage and ethnicity and religion.
- Disabled people remain relatively invisible in policy and data are generally not available about their number and status.[26]
- Despite major gains, there remain stark inequalities in access to basic services based on gender and place of residence, with the poorest sections of the population being less able to access e.g. health and education.
- A lack of resources at local level, and low levels of disaggregated socio-economic and demographic data,[27] limit the ability of local governments to promote / address social inclusion.
- State control of social and political space appears increasingly at risk of constraining opportunities for the expression of voice and influence by all citizens.

These findings have both informed, and been validated by, the research conducted for this study.

A7.6.   DFID engagement in Ethiopia

On the basis of strong commitment to pro-poor policies,[28] robust Public Financial Management (PFM) systems and fiscal risks which are considered to be low, DFID-E programming is currently heavily aligned to government systems around three objectives and consequent pillars of activity:

1. Support the development of a capable, accountable and responsive state (the Governance programme, including public sector capacity building and reform and the protection of basic services);
2. Increase human development, including the poor and excluded groups (the human development programme, including health and education); and
3. Enable sustainable growth, by reducing vulnerability and creating opportunities for the poor to become more productive (the Growth programme, including livelihoods, humanitarian and productivity programmes).

Two main programmes represented 70% of projected expenditure in 2008/9: the Protection of Basic Services Programme (PBS) II (£61 million, 47%) and the Productive Safety Nets Programme (PSNP) (£30 million, 23%). As with all the DFID-E programmes considered here, these are joint donor initiatives. A forthcoming joint Civil Society Support Programme (CSSP), to be redesigned in 2009 in the light of new laws around organised civil society activity, is estimated at £1m / year. Despite constraints around a business plan which currently

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[26] Though data on e.g. access to education for Children with Special Needs ((CWSN) is available from...EMIS link

[27] Such as around Gender Based Violence, disability and HIV affected age <15 and >50

[28] For example, the PBS I Project Memorandum (Nov 2007) indicates that GoE poverty-related expenditure had risen to 63% in FY 2006/07.

requires annual sign–off, investment is growing, and is projected to stand at £175 million by 2010/11.[29]

The context of the aid architecture in Ethiopia implies a heavy focus on harmonisation and the DAC principles for aid effectiveness. Donor engagement both laterally and with GoE is heavily determined by these principles. Engagement on issues such as social exclusion is strongly shaped by a) the lack of a common discourse around exclusion, b) the opportunities – and limitations - presented by such harmonised structures and processes and c) political economy concerns. All these factors are discussed below.

While its strong state structure and pro–poor budgeting means that it does not fully cohere with DFID's definition of a fragile state (i.e. one where the government cannot or will not deliver core functions to the majority of its people, including the poor[30]), based on the risk of escalating conflict[31] Ethiopia is classed as a fragile state context for programme planning purposes. However, ongoing localised conflicts and a potential risk of more widespread ethnically-based unrest mean that conflict analyses, initially in the Somali region and then countrywide, are becoming a strategic priority for 2009.

A7.7. Analytical framework

Applying the DFID definition of exclusion, above, and in common with the PBS II Social Inclusion and Gender Annex, this study has followed the Livelihoods and Social Inclusion conceptual model employed e.g. by DFID-Nepal in its former Country Assistance Plan.[32] This model has three components:

- **Access to assets and services** – i.e. the barriers of access to services, assets and economic opportunities, faced by excluded groups.
- **Voice and influence** – i.e. the extent to which political exclusion reinforces socio-economic disadvantage, and the capability of excluded groups to organise and influence.
- **Rules of the game** i.e. the extent to which discrimination is institutionalized in informal and formal rules e.g. through legislation, regulation, etc.

This conceptual model has supported the development of the analytical framework for this study, through e.g. indicator development and providing the basis for analysis on which programme memoranda (PMs) have been analysed. The framework itself focuses on corporate *implementation* of the Social Exclusion Policy; that is, DFID-E inputs rather than effectiveness or results.

The framework maps DFID-E activity against the public policy commitments made in the Social Exclusion Policy. It was developed to support analysis of the India social exclusion case study, and was further tested and refined during Ethiopia fieldwork. It is not intended to generate a summative assessment, but rather provides an analytical tool for identifying DFID-E *direction of travel* on social exclusion. It is structured in layers; setting out *interim results* areas for each area of DFID-E input and providing *indicators* against which progress within these individual results areas can be mapped. Each interim results area also leads to an *intended*

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[29] Source: Draft Country Business Plan 2008/9-2010/11 commitments
[30] DFID (2005) Why we need to work more effectively in fragile states, DFID, UK, p. 7.
[31] Country Governance Analysis (2008)
[32] DFID-Nepal CAP (2005)

change, to which DFID-E's contribution can then be assessed. A link to the relevant commitment in the Social Exclusion Policy is also provided.

Analytical Framework

Analysis / research	Better data & Statistics on SE groups by National Institutions Research commissioned on SE	Country Programmes providing support to National and State institutions on improving national statistics and data on Socially Excluded groups DFID commissioned research on Exclusion	1 more exclusion analysis in DFID country programmes 5 strengthening collection and analysis of statistics 8 commissioning research & exchanging best practice
Intended change: Availability, analysis and use of disaggregated data on excluded groups to support evidence based decision making			
Country strategy and planning	Country level strategies e.g. Country Business Plan (CBP) analyse & identify SE priorities	Evidence of discussion and decision-making on how to implement SE policy within country programmes Evidence of exclusion in the analyses informing the CBP SE indicators in the CBP monitored through annual reviews	1 more exclusion analysis in DFID country programmes
Intended change: Country strategies and plans reflect an emphasis on social exclusion / a more inclusive approach			
Programme design	Sector and geographical programmes analyse & identify SE	Evidence of exclusion in the analyses informing Sector / geographical Programmes Exclusion issues explicitly identified and addressed in sector / geographical programmes	1 more exclusion analysis in DFID country programmes 5 strengthening collection and analysis of statistics 8 commissioning research and exchanging best practice 'As appropriate, DFID can support the integration of inclusive principles into mainstream government policy' (p17); 'help governments to change the way they formulate and monitor budgets to ensure resources for excluded groups' (p18).
Intended change: DFIDE programmes reflect an emphasis on social exclusion. National investments increasingly include excluded groups			

[33] Adapted from indicators in Evaluation Framework (DFID Evaluation Dept Working Paper 22)

[34] P. 21 Reducing Poverty by Tackling Social Exclusion, A DFID Policy Paper (2005)

Partnerships and Policy dialogue	Learning & informed dialogue amongst National and Development partners about SE issues and challenges Partnerships & harmonised approaches on Social Exclusion with relevant donors Civil Society (CS) partnerships promoting inclusion and tackling SE	SE explicit in Policy Dialogue with National & Development partners at different levels and in different channels SE (and related concepts) on the agenda of donor partners Evidence of work with Country CS partners with core mandate on SE	6 Working with international partners 9 Working with civil society 'As appropriate DFID can support the integration of inclusive principles into mainstream government policy' (p17); 'help governments to change the way they formulate and monitor budgets to ensure resources for excluded groups' (p18).
Intended changes:: National development frameworks include strategies to address poverty reduction needs of identified SE groups: Joint Donor Accountability Frameworks address social exclusion: National investments increasingly include excluded groups			
Accountability frameworks	SE within accountability / monitoring frameworks	Country level accountability / monitoring frameworks contain SE indicators	10 Reporting on progress
Intended change: Greater monitoring of poverty trends / patterns and impacts on excluded groups			
Resources	More diverse workforce within DFID / Human Resource policies & practices address social exclusion issues Gender Equality Action Plan implemented Improved capacity to analyse & address Social Exclusion amongst DFID staff Staff available to work on issues relating to SE	Diversity baseline established Diversity and gender is addressed within training GEAP targets met	7 increasing inclusiveness of its own human resources
Intended change:: Increased social exclusion awareness and capacity across the office, greater diversity of resources.			

The report is structured around each of these cluster areas. A light touch assessment against the analytical framework has been conducted, based on analysis of the data available, with judgement being made against a scale of *very good (evidence of considerable progress) good (evidence of some progress) fair (evidence of minor progress) or room for improvement (little or no progress identifiable).*

A7.8.   Limitations and constraints

As a limited interim case study, rather than a full evaluation, this study is focused on DFID-E activities and not on effectiveness or results. It is indicative rather than comprehensive – it does not, for example, address individual factors of exclusion in Ethiopia, or the effects of exclusion on specific groups.

For such an interim Stocktake, the two relevant DAC criteria[35] for evaluating development assistance – Efficiency and Relevance - are addressed as follows:

- **Efficiency** – the adequacy, timeliness and appropriateness of DFID resources (human and financial) used to tackle exclusion.
- **Relevance** – the extent to which DFID activities are grounded in context-based understanding of exclusion and in line with international commitments; and how appropriate are they for excluded groups and for tackling exclusion.

A7.9.   Findings

A7.9.1. Country planning

At the level of *country strategy and planning processes.* DFID-E recognise that social exclusion has to date not featured significantly in DFIE-E country strategic planning processes, but *awareness, commitment and opportunities to address this in the current draft CBP exist.*

Country strategy and planning	Country level strategies e.g. CBP analyse & identify social exclusion priorities	Evidence of discussion and decision-making on how to implement Social Exclusion policy within country programmes Evidence of exclusion in the analyses informing the CAP	<u>Room for improvement</u> – no GSEA, clear corporate architecture or systematic country-level analytical process
Intended change: Country strategies and plans reflect an emphasis on social exclusion / a more inclusive approach *Progress: more progress required – next CBP offers an opportunity and holds promise of attention*			

The main country planning frameworks with potential for social exclusion to be addressed are: the draft Country Business Plan (2008/9 – 2010/2011) and the Country Governance Analysis. We also consider here the draft Country Programme Evaluation of 2009.

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[35] Impact, effectiveness and sustainability are issues for any final evaluation to consider. See http://www.oecd.org/document/22/0,2340,en_2649_34435_2086550_1_1_1_1,00.html

Country Business Plan (CBP)

The CBP response to gender and social exclusion is as follows:

- As yet *no separate Gender or Social Exclusion Analysis* – but in recognition of this, a commitment to 'pay attention to gender equality and social exclusion' through continued mainstreaming of gender across new programmes and participation in the Gender Technical Working Group (TWG) of the Development Assistance Group (DAG).
- a commitment to a *gender audit* in Year 2 of the CBP (in order to inform the decision on whether or not to develop a Gender Equality Action Plan).
- *no Gender Equality Action Plan yet* (despite the Africa Divisional Performance Framework target 5ii) on Country Programme Gender Equality Action Plan.
- *limited explicit discussion* within the draft CBP of exclusion or discrimination, (though a reference to it in relation to patterns of income/consumption inequality in rural areas).
- *no explicit commentary on* the Government approach to e.g. gender (a focus on women's empowerment and inclusion is one of the eight PASDEP pillars, but much of the gender emphasis within Government sector policy documentation is on access to services[36].

Country Governance Analysis (CGA)

The CGA (2008) notes the IRAI finding that Ethiopia is ahead of the average of IDA borrowers in 4 out of 5 policies for social inclusion/equity, with the exception of gender equality.[37]

- The document includes a *commitment to address gender equality and social exclusion* to support state capability, monitoring progress on through the three gender-related areas of the World Bank's Country Policy and Institutional Assessment.[38] However, there is no sophisticated analysis around social exclusion issues to support this.
- There is discussion around ethnic federalism and its alliance to conflict propensity (p13), with *political exclusion* identified as a major potential driver. However, there is very limited discussion on the role of exclusion in access to services or justice, voice or accountability, or on the issues / development challenges facing excluded groups such as women or pastoralists.

The CGA cites the 'greatest threat to Ethiopia's development' as being the risk of escalating conflict derailing the PASDEP.[39] Exclusion issues are central to analysing and addressing conflict propensity, as DFID documentation indicates.[40]

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[36] E.g. Health Sector Development Plan III, where gender focuses entirely on women's reproductive role

[37] DFID-E CGA – gender scored only 3 on the IRAI index in 2006

[38] equal access to human capital development opportunities; equal access to productive and economic resources; equal status and protection under the law)

[39] CGA 2008 p16

[40] Reducing Violent Conflict DFID (2005)□

Country Programme Evaluation (CPE)

The draft CPE (version January 2009) identifies significant weaknesses in DFID-E's addressing of gender inequalities in particular, and recommends that DFID-E 'Develop an office-wide strategy for ensuring the mainstreaming of cross-cutting issues across the portfolio. In particular, gender and social exclusion should be addressed in a more systematic way.'[41]

This report will indicate some areas of progress here; the commissioning of this study does indicate recognition of the issue and the need to address it.

Conclusions

- As yet, there is *little systematic attention* to planning for and addressing exclusion at country level. An absence of attention to *gender* is of particular concern given the scale of gender inequality in Ethiopia and DFID corporate position on gender equality and women's empowerment.
- *Ongoing debates around regional intensification* within country planning validate an increased focus on exclusion issues – to strengthen the poverty evidence base, to analyse equitable access to resources, and to assess the role of exclusion within conflict propensity.
- Heavily government-aligned programmes present a range of risks. Fiduciary risks in Ethiopia are considered to be low[42] but the CPE and the CGA *highlight political (reputational) risk and political economy risks* to DFID-E. Exclusion is central to both of these, and addressing it within country planning helps with both mitigation and accountability.

Forthcoming opportunities

- A *response to the CPE recommendation* around gender and social exclusion is a priority – discussion about ways to approach this should inform the development of a more strategic approach to gender and exclusion within country planning.
- A country - level *Gender Equality Action Plan* is a target of the Africa DPF.
- Any forthcoming country-level *Strategic Conflict Assessment* (building on a projected Peace and Development Assessment for Somali region), if undertaken, should explore the role of exclusion within conflict propensity.
- The *draft status of the CBP* offers room to integrate social exclusion thinking and analysis much more effectively within the next version with particular emphasis on generating a common discourse and shared understandings amongst development partners.

A7.9.2. Analysis / research

Accra Agenda for Action Managing for Development Results commitments include:

- Developing countries improve information systems, including disaggregating data by sex, region and socioeconomic status.
- Donors align their M&E with country information systems, and help build those systems.

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[41] CPE 2008 p78
[42] CPE 2008 p19

DFID-E is placing an increasing emphasis on analysis and research around exclusion. This appears to be arising in response to its increasing prevalence within the development discourse.

Input	Interim results – leading to change	Indicator	Status / Evidence of Progress
Analysis / research	Better data & Statistics on SE groups by National Institutions	Country Programmes providing support to National institutions on improving national statistics and data on Socially Excluded groups	<u>Fair</u> – some good examples of support to statistical capacity building, but not systematic or strategic. Key entry points for a joint approach to this, which also respond to Accra Agenda for Action commitments e.g. M&E TWG are not yet prioritised.
	Research commissioned on SE	DFID commissioned research on Exclusion	<u>Good</u> – studies increasingly being commissioned as a result of exclusion within discourse. DFID-E taking lead role.
Intended Change: Availability, analysis and use of disaggregated data on excluded groups to support evidence based decision making			
Improving considerably, but more work can be done around gender and regional level data			

Ethiopia is characterised by information systems which are determined and developed in response to political drivers, which are not consistently well orchestrated to capture different levels of disaggregation, and which are in need of capacity-building.[43] At the time of writing, the most recent Census (supported in part by DFID-E funding of £7.5m) had only recently emerged from Government. Yet a robust evidence base allows for the challenging of political and ideological barriers to exclusion.

Such concerns around the ideological aspects of data availability and reliability affect DFID-E programming in three ways;

- the size and scale of particular groups is unclear (a good example being people living with disability, where Government Central Statistical Agency figures are 2.5 million and the WHO count is 6 million).
- the lack of reliably disaggregated data – such as that around the take-up and use of rural health services for example – masks the actual condition and status of groups such as women or pastoralists.
- regional disparities (which are in many cases linked to ethnicity) are particularly politically sensitive and unclear.

Statistical capacity within the DFID-E office is fairly constrained. Support is provided from London, with the allocation of 0.25% of a Statistics Adviser's time. However, activity on *supporting statistical capacity-building* in Ethiopia is taking place in a number of areas:
- Support to the most recent Census (£7.5m).

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[43] Data emerging e.g. from the Welfare Monitoring Unit, which is tasked with reporting against MDG indicators, is acknowledged to be of limited robustness. See Draft CPE (2009), CGA etc.

- Inputs from the DFID-E London-based statistics adviser (on behalf of the World Bank office in Ethiopia, who do not have statistical capability) to the National Strategy for the Development of Statistics (see below).
- Component 4 of PBS II, which includes 12 social accountability pilots, and Sub-Program D, which includes a number of sectoral M&E system support activities plus support to the Central Statistical Agency.
- Support via the DAG to a UNDP managed fund which supports the Annual Performance Review of PASDEP.
- Membership of the TWG on M&E.
- Support to Health M&E through the 4th Component of the Pooled MDG Fund.
- Support to Education MIS through Sub-component 5.2 of GEQIP.
- Core funding support to national bodies e.g. the Forum for Social Studies through the DAG.

This good volume of support is however occurring mainly in response to the needs of individual programmes, rather than as part of a more comprehensive and strategic approach. Engagement with the TWG on M&E, which has until recently suffered from weak capacity, has not been focused or continuous. A new Result and Corporate Effectiveness Hub has been established in recognition of this fact, to provide a more strategic approach.

Civil society partners expressed serious concerns around development partners' perceived uncritical acceptance of 'rosy' government data, which their own insights on the ground contested. None could cite wide-ranging or statistically robust sources of evidence in contradiction, but the following examples reflect their concerns:

- A general sense from all those interviewed that donors are accepting and endorsing positive data around e.g. bumper harvests (e.g. a questioning of the 16% growth figure cited by government and donors for agriculture) – yet without apparent (or communicated) "nuancing" around access or inequity of opportunity, and without an apparent impetus to either generate or apply evidence which might challenge the picture.
- A PANE assessment of PASDEP data, which contested the positive picture of declines in poverty levels particularly as regards access to services.
- A national NGO who no longer employ government statistics on gender-based violence, since these are considered so far from reality. (Government statistics show rape figures to be declining but WHO figures of 2005 report that Ethiopia has 71% prevalence for sexual and physical violence. Only 4% reported their abuse to government agencies.[44]).

While the reluctance of e.g. the Welfare Monitoring Department to engage with donors was acknowledged, it was strongly felt that DFID-E has scope for more pro-active engagement, linked e.g. to its support for PBS II and its membership of the M&E TWG. Some timely and relevant entry points for this are identified below.

Increasing awareness of the importance of exclusion issues around the office has resulted in DFID-E – working in the context of largely multi-donor programmes and the DAC principles - either commissioning and / or actively championing the commissioning of, a number of *exclusion studies*. A brief meta-analysis of the dimensions of exclusion outlined

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[44] EWLA (2008) Millennium Magazine of EWLA January – December 2007

within these studies indicates gender*, regional differences and a pastoralist way of life* as the main exclusion drivers identified. The following table summarises the exclusion parameters identified, and the DFID role in their production:

Health	MDG Health Fund Social Inclusion Appraisal (2008)	Gender Pastoralism Disability HIV-AIDS Age	Led appraisal with MoH
GEQIP	Social Needs Assessment (2008) Focus on gender and various social groups but generally weak – does not address strategic gender needs for example[45] Projected Baseline study 2009	Gender, Pastoralists Children with special needs Regional Rural-urban Gender	DFID-E led on development of TORs and engagement with MoE Gender and Equity Department Work was funded by Italians
PBS II	Social Inclusion and Gender Annex (2008) Projected 'Socioeconomic study' on 5 core exclusion issues identified within the Annex above, in 3 regions (including Somali and Afar) Trajectories of Change study	Gender, place of residence, disability and a pastoralist way of life Also HIV- AIDS, leprosy, life cycle stage and ethnicity and religion as additional drivers. Regional issues identified Woreda and kebele-level study (also going down to households) around accountability / access	DFID-E commissioned and funded on behalf of DPs
ERTTP	1996 study on rural time use Social appraisal (2004) Assessment of the Pilot Project Draft Assessment Report for ERA & DFID (2008)	Gender Pastoralism – HIV&AIDS	DFID a lead donor in pilot with ERA
PSNP	Studies on targeting (2006); on trends in PSNP transfers (2006), on gender (2008) and others forthcoming on children and HIV-AIDS. Also pastoralist pilot in 4 areas.	Gender HIV-AIDS Children Disability Age The labour-constrained (e.g. sick or mentally challenged people; pregnant women; lactating women orphaned teenagers)	DFID a lead partner and funder
WATSAN	Short social appraisal section A 2 week sector review recently conducted, but with no time to explore perceived 'social' or 'soft' areas	Gender and 'most marginalised' (women, children, elderly, PLWHA; PLWD)	DFID-funded secondee to Ministry

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[45] The distinction between 'practical' and 'strategic' gender needs is set out by e.g. Moser (1993)

Growth	3 studies: • □ Smallholder farmers • □ Small and micro businesses (forthcoming – evaluators did not have sight of TORs) • □ pastoralists (slow in coming forward due to political sensitivities).	Regional level data Pastoralists (forthcoming)	DFID-E commissioned to provide G0E with high quality and confidential analysis of growth trends in areas identified by Government
Govern-ance	• □ Work with the National Security Adviser on a study re: perceptions of justice • □ Forthcoming Peace and Development Assessment in Somali region • □ Forthcoming study (TORs seen) on voice and empowerment for pastoralists	Gender	DFID lead partner / commissioner
Other studies	• □ Support to Forum for Social Studies on Dynamics of Urban Poverty – a longitudinal quantitative study over 14 years • □ Young Lives studies	Age Ethnicity Gender Rural / urban	1. DFID-E commissioned and funded 2. DFID centrally funded

DFID-E has therefore taken a frequently *very pro-active role* in pushing for social exclusion analyses within joint GoE / donor programmes (e.g. the gender study of PSNP / the Health MDG fund, PBS II), which can challenge political and ideological barriers around exclusion. But the office would benefit from a more *systematic approach* to identifying or prioritising exclusion issues across the programme (studies appear to be being commissioned without always being referenced to each other – the PBS II and Health fund studies were for example linked, but the three Growth studies commissioned do not appear to have referenced the PBS II analysis).

There are *varying understandings* across the office of what constitutes social exclusion – it was understood mostly as a social issue by the Human Development Group, as a political inclusion issue by the Governance group and as a livelihoods / asset-related issue by the Growth cluster. However, there was *broad consensus* on the kinds of groups affected by exclusion issues, probably informed by the analytical studies conducted; advisers generally considered women, pastoralists and regional variations to be the key priority areas.

Different programmes employ *different methodologies* for assessing e.g. participation. PBS II for example relies on financial transparency and accountability perceptions, while PSNP uses local perceptions at woreda and committee level. The former approach is favoured by donor partners, while the latter is preferred by government. The Social Accountability Technical Working Group, of which DFID-E is a member, is trying to resolve these differences.

Conclusions

- Support to statistical capacity-building has been of relatively high volume, but unsystematic, due in large part to the limited amount of technical resources available. A number of opportunities – below – are now arising to support the generation of a more robust evidence base.

- An *increasing amount of investigation* is taking place around exclusion, in response to increased recognition of its prevalence as a development issue within DFID-E programming.
- While individual studies reviewed are of high quality, a more *systematic approach* to their commissioning within joint donor programmes, will support the development of shared understandings.

Forthcoming opportunities:

Access to information (or the lack of this) is a key feature of the political economy. Exploring and revealing dimensions of exclusion provides a platform for discourse both with GoE and development partners. Generating a shared understanding going forward will be critical, to provide a robust local evidence base which will allow the identification of agreed common entry points for action.

There are a number of timely and relevant opportunities arising within the next 12 months to further support statistical capacity building and to build the evidence base for exclusion.

- Ethiopia's *National Strategy for the Development of Statistics* – a new international facility to support countries in developing a statistics development plan which provides for more harmonised donor approaches (Ethiopia's Plan was finalised in December 2008). World-Bank managed; DFID-E has been engaged through its London-based statistics adviser.
- The potential *Statistics for Results Facility*, a pooled fund for which Ethiopia has been nominated as a potential pilot study (selection to be announced in April 2009).
- A more pro-active and sustained engagement with the **TWG** on **M&E**, which to date has lacked technical capacity, but which is now gaining momentum. This group should be a priority for DFID-E if it is to more effectively address equity and exclusion issues.
- Within DFID-E, the new *Results focus* under the Aid Effectiveness and Compliance Hub. Results work to date seems to have provided a useful link between London-based statistics adviser and DFID-E programmes, and momentum on this should not be lost.
- *Sectoral opportunities* arising e.g. ongoing through GEQIP, MDG Health Fund and WASH review and programming processes which will present opportunities to start generating a common discourse / understanding with development partners / GoE.
- A forthcoming *Joint Governance Assessment (JGA)*, the WB Concept Note for which includes a Country Social and Political Analysis (CPIA).[46]
- A forthcoming *Peace and Development Assessment* for Somali region, the ToRs for which do not explicitly identify exclusion – yet this will be paramount to consider, given the role of ethnicity / political exclusion issues in conflict propensity.
- Some *key design processes* imminent - PSNP Phase II, PSCAP, a projected donor accountability strategy and CSSP should all integrate exclusion analyses. In several of these cases this can be done by using data from studies already available.
- The projected *'Trajectories of Change'* and *'Socioeconomic Analysis'* under PBS II will provide a useful entry point for generating shared understandings with development partners and GoE, and for policy influencing.

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[46] Building on work by Pankhurst (2008)

A7.9.3. Programming

World Bank (2008): *Ethiopia is currently experiencing significant transformation, economically, socially and politically…For [donor] support to be effective, the design and development of programmes needs to be firmly anchored in deeper understanding of the social context and the changing socio-political dynamics in the differentiated regions of Ethiopia….*[47]

This study has found that the growing body of analysis is increasingly translating into programmatic recognition of exclusion issues. DFID-E has in many areas taken a strong lead in pressing for exclusion issues to be addressed within multi-partner programmes. However, with large programmes such as PSNP and PBS now entering new phases, there is an *opportunity to take a more nuanced approach to design.* [48]

Programme design	Sector and geographical programmes analyse & identify SE	Exclusion issues explicitly identified and addressed in sector/ geographical programmes	<u>Fair</u> – issues of exclusion often recognised within programme design, but often only in passing. Few systematic or focused approaches to addressing exclusion. Promising work in PBS II, the MDG Health Fund and PSNP.
Intended change: DFID E programmes reflect an emphasis on social exclusion. National investments increasingly include excluded groups			
Progress: growing recognition within designs but still patchy and dispersed across the programme			

The Country Programme Evaluation (2008) found that:

- Two-thirds of all programmes reviewed addressed gender to some extent.
- 39% addressed social exclusion.
- 39% considered HIV/AIDS.

As required under the Term of Reference for the Global Social Exclusion Stocktake, we analysed 11[49] relevant Project Memoranda (PM) and Project Appraisal Documents (PADs) for references to exclusion. We found widely varied levels of extent and depth of activity on exclusion, ranging from in-depth analyses and programmatic responses (CSSP, Health MDG Pooled Fund) to passing mentions (WSSH)). Gender in particular was often mentioned in the social appraisal, but with very little apparent programmatic response.

With these caveats in mind, findings around references to social exclusion or related concepts (applying the DFID Social Exclusion Policy definition, above) within documentation were as follows:

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[47] World Bank (2008) Project Concept Note: Joint Governance Assessment and Measurement (J–GAM) initiative
[48] DFID-E is expecting to upscale its work on climate change in the coming months, with an adviser expected in post in March. However, due to the limited documentation available, and since analysis of the effects of climate change (which is not in itself a discriminatory process) is more suited to a vulnerability lens (which disaggregates among groups), we do not discuss climate change in depth here.
[49] PM / PADs analysed were as follows: GEQIP, PBS II, CSSP, NGO Partnership Fund, PSCAP, DGPP, DIP, Health MDG Pooled Fund, PSNP, WSSH, ERTTP

Explicit mention of exclusion	6	5	11
Gender	11	0	11
Pastoralism	8	3	11
Geographical location (ethnicity)	9	2	11
Age	3	8	11
Disability	4	7	11
HIV status	5	6	11
Religion	2	9	11

Gender, pastoralism and ***location*** (which in the Ethiopian context of ethnic federalism often correlates with ethnicity) were therefore the primary drivers of exclusion identified; a finding which accords with the Social Inclusion and Gender Annex for PBS II cited at the start of this study. Disability is scarcely reflected, perhaps as a reflection of the very weak information base. Ethnicity is also scarcely reflected, but is likely in many cases to be conflated with pastoralism.

There has been a notable uptake of entry points within programming to identify and respond to gender and social exclusion issues within the past year. The following table tries to briefly summarise the extent to which the main exclusion parameters are programmatically addressed within some current DFID-E programmes:

DIP	Gender Geography (Human rights)	A focus on access to justice and increasing voice and accountability. Support for Human Rights Commission. Social appraisal recognises the main drivers of exclusion
PBS II	Gender Geography Recognition of pastoralism	Much effort placed on developing SIA study for PBS II – being taken forward in further studies. Unclear as yet how this will result in targeting changes. Social Accountability – pilots in 12 woreda under Component 4 will help build knowledge of exclusion impacts. Diverse views within DFID-E and within partners on whether PBS I and II have delivered / are delivering for excluded groups due to lack of clear information base at e.g. regional level
PNSP	Gender, Pastoralism Geography The labour-constrained e.g. PLWD, PLWHA, orphans, elderly, pregnant or lactating women.	Analytical work gradually informing programming. Baselining work to date indicates that targeting is generally considered to be equitable, and should identify gender / regional disparities. Targeting mechanism at community level takes account of limited/no labour or other supports. But indications of significant regional disparities and no clear strategy yet in place for addressing e.g. ensuring needs of pastoralists. 2006 study on Trends concludes that there is a high level of exclusion error i.e. 71% of non-beneficiaries in study reported food shortages but were not in PSNP due to insufficient resources – thus necessitating local-level prioritisation. One category not faring well appears to be members of polygamous families

GEQIP	Gender, Pastoralism Geography Disability (children with special needs)	ESDP III policy framework focuses on exclusion issues. Response to exclusion issues through e.g. sub-component 4.1 (gender budgeting) and 4.2 (participatory school planning); and the monitoring and evaluation sub-component. Not really a strategic approach to gender e.g. female leadership within policy and planning. But a reference to gender budgeting within planning. Gender issues are mainstreamed e.g. selection process for teachers Focus on geographical exclusion via ABE, with school grants reaching the excluded using NGO experience. Citing experience from e.g. the Afar Pastoralist Development Association which has demonstrated strong gender gains. Disaggregated data in results framework and in EMIS, plus likely social assessments as part of implementation.
Health MDG Pooled Fund	Gender Pastoralism Rural / urban PLWHA Disability	Strong policy framework in HSDP III which looks at women, pastoralists, rural etc Health–MDG Pooled fund is implementing main findings from Social Inclusion assessment in terms of gender, monitoring and reporting Mid-term review of Health Sector Development Programme identified room for improvement in mainstreaming gender, and noted that the new Health Management Information System that is now being rolled out will disaggregate data on all indicators by sex. Implementation will involve a health equity study
WATSAN	Within PM appraisal – Geography HIV-AIDS Gender	Dimensions of exclusion recognised in PM appraisal but no strategies for addressing them in programme documentation Recent review of WATSAN sector – 'no time to look at soft issues'
PCI	Pastoralists Gender	Now finished, but 2007 Performance Review of the Democracy, Growth and Peace for Pastoralists run by PCI scored a "1", in recognition that Ethiopian pastoralists are becoming better informed, better organised and better connected, and that the communication between government representatives and pastoralist leaders has strengthened. Pastoralists are also including a wider variety of previously marginalised individuals in their internal debates.
ERTTP	Gender Geography	Only gender responded to in recent assessment report. Some positive gains– a recent assessment found that women's employment in labour in construction varied from 25 to 50% depending on regions. Study did not report on women's participation in planning and decision making despite this being a programme indicator. Good progress in 6 regions, but no progress and seemingly no corrective action in 2 regions – a missed opportunity for learning about design appropriate to needs of pastoralist areas. HIV-AIDS – not reported upon despite this being present within the TORs and a major issue within the roads sector in Ethiopia.
PSCAP	Gender PLWHA	Reference to strategy and action plan for gender sensitized community participation Aide Memoire notes that mainstreaming and reporting on cross cutting issues (seen as gender and HIV-AIDS) remains a challenge, with reporting on progress still fragmented.
Civil Society Partnership Fund	Gender Disability Age PLWHA Location Religion	Multi-donor programme which provides a potential route to work with excluded groups via CSOs. Due to new Civil Society law, now undergoing redesign.

Programme	Main exclusion parameters	Programmatic recognition / action
NGO Partnership fund	As above	Was due to be replaced by CSSP above. Now, extended by a year with an added Adaptation Facility to support CSOs in preparation for the new legislation.

Positive example of *improved targeting* within programming include:

- the Pooled MDG Health Fund, with its increased focus on gender, rural-urban disparities and improving the evidence base around equity and inclusion.
- GEQIP which includes a focus on improving the quality of education for girls, pastoralists, those living in rural areas, and children with special needs.
- the social accountability pilots under PBS II, which are a strong example of good practice within a major budget-support style commitment to service delivery at local level.

However, the information base on which programmes are built and justified is, due to the very weak information systems available, necessarily broad-brush. This leads to complexities around targeting, as the following example (PSNP) shows:

PSNP

(from World Bank Project Document of November 2008 to justify supplementary funding for 2009 of $25m plus the import and distribution of fertiliser of $250):

The price of the consumption bundle that the poor consume is estimated to have risen by 78% in urban areas and 85% in rural areas during the last two years. While the overall income of farmers has risen faster than the increase in the general price level (this is based on the fact that the producer price index has grown faster than the consumer price index), given that nearly 50% of rural households are net food buyers, the net impact of inflation is likely to modestly reduce welfare in rural areas and to do so markedly in urban areas. (p10)

There is no suggestion in the document that this 'rural average' may (and almost certainly does) mask great hardship for the very poor within different regions – or that many of the poor are unlikely to have seen any increase in income at all.

PSNP remains a complex area in terms of targeting, and is still being heavily researched. Findings from a second forthcoming impact assessment indicate that targeting *for beneficiaries* is generally considered to be equitable. This study should identify gender and regional disparities. However, for *non-beneficiaries*, exclusion issues are more complex. A 2006 study found that, due to insufficient resources, about 65% of non-PSNP beneficiaries felt that their exclusion from the programme was unfair, and that exclusion errors were considered high, with 71% of non-beneficiaries reporting food shortages but unable to access PSNP.[50] These findings were confirmed by a later study in 2008.[51]

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[50] Devereux et al (2006)
[51] Devereux et al (2008)

Missed opportunities: There have been some missed opportunities in programming whose targeting would be improved by an exclusion focus.

- A roads pilot, ***ERTTP***, in 8 regions, which did not consider appropriate design for pastoralist areas (despite stated intentions to include these) and has thus failed to progress in 2 regions; HIV-AIDS issues were identified at design, but no progress against these has been reported.[52]
- A recent sector ***review of the water and sanitation sector***, despite DFID funding a secondee within the Ministry, had 'no time to look at soft issues' – despite gender being so central to developing effective responses to water and sanitation needs. [53]
- The Terms of Reference for the forthcoming ***Peace and Development Assessment in Somali region*** do not explicitly mention exclusion – yet concerns around the local political exclusion of ethnic groups for example will be central to these concerns.
- The projected 'socioeconomic analysis' of the ***PBS II*** programme does not feature exclusion as an overall objective. While the use of the term was a tactical choice to obtain GoE engagement, the initiative does present the opportunity to start generating a discourse around exclusion issues with GoE and partners.

Approaches to addressing exclusion within programme design also vary, as follows:

Working directly with excluded groups	3	8	11
Exclusion targeting strategy	7	4	11
Working with service delivery	6	5	11
Strategy for voice and accountability (empowerment)	4	7	11
Tackling structural elements of exclusion	4	7	11
Working with policy / legislation for excluded groups	4	7	11

The ***limited voice and influence*** of all citizens in Ethiopia, but particularly excluded groups, in service planning and delivery has been widely observed.[54] While PBS II has sought, as stated, to introduce such models of social accountability, there remains a risk of increasingly constrained space for dialogue with GoE around the more systemic issues which create and perpetuate exclusion. This is particularly the case around ethnicity issues, with their close linkage to political sensitivities and conflict. Language of equity, disadvantage and access to services being provided by the State, rather than exclusion and discrimination, appears to have stronger currency currently with GoE. This is reflected e.g. in the need to rename a series of forthcoming qualitative exclusion analyses for PBS II as a 'socioeconomic study'. It also, for DFID purposes, indicates the tension between a centrally-developed Social Exclusion Policy and the realities of entry-points for dialogue, and the nature of this dialogue, in the highly politicised context of country partnership.

The political economy: Linked to the issue of voice, above, the intersections between exclusion and poverty cannot be separated from the political economy, the shape and form of which is determined partly by the historical processes of state formation.[55] Ethiopia's relatively

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[52] ITT TI-UP (August 2008) Ethiopia Rural Travel and Transport Initiative (ERTTP) Assessment of the Pilot Project Draft Assessment Report for ERA & DFID
[53] key informant interview
[54] See for example Vaughan (2004), Hobley et al (2004) and Bevan and Pankhurst (2008)
[55] Hickey, S and Du Toit, A (2007)

young democracy and the tensions and challenges that ethnic federalism present are reflected, for example, in GoE's exercising of power through the party system and its strongly interventionist model of growth. To set about addressing poverty and exclusion in this context means 'shifting the frame from policy to politics and from specific anti-poverty interventions to longer-term development strategies...and supporting shifts from clientelism to citizenship.'[56]

The CPE notes that, while many multi-donor programmes have undertaken efforts to support those in greatest need, *less has been done* to regularly assess the impacts of the political economy on specific programmes, and their consequent implications for excluded groups.[57] This review supports this finding, with its consequent risks of the main benefits of growth and services being accessed by only some sections of the population due to political and ideological barriers.

Political economy concerns are challenging to address in the Ethiopia context of policy dialogue. However, PBS II presents a potential entry point:

PBS II and the political economy

Several mechanisms in place to ensure equity:

- 'SAFE' principles of Sustainability, Accountability, Fiduciary standards and Effectiveness
- social accountability pilots of Component 4 (but only in 12 woredas)
- Support to M&E
- Also Pilot Local Investment Grants to woreda to support participatory planning

However,

- A very obscure picture of the state of access to resources at regional and woreda level
- Concerns that the actual take-up and use of these resources are inequitable, with marginalised groups being least able to access the services and opportunities provided
- Anecdotal evidence of inequitable distribution, influenced by political economy concerns
- Concerns from e.g. UNICEF that, in some regions, PBS II resources are currently being used to finance regular government expenditure such as salaries in newly formed woredas.

Need to...

- take a proactive approach to generating information - requiring disaggregation against expenditure and then using the evidence to influence
- learn from and scale up social accountability pilots
- conduct and disseminate qualitative studies to explore *barriers* to accessing resources – who and why (Social Inclusion Annexe provides concrete suggestions)
- work with e.g. CSOs to develop exclusion awareness in service planners at regional and woreda level
- ensure a full M&E strategy for the projected LIGs to ensure that learning around local level service delivery planning, and how exclusion features within this, is captured and disseminated.

Growth: the Growth and Livelihoods cluster of DFID-E is primarily concerned with PSNP, reflecting a) the dominance of the economy by agriculture, which contributes almost half of GDP and which is indicative of the very high levels of population vulnerability and b) GoE emphasises on the commercialisation of agriculture as one of two main foci of its growth strategy. DFID-E support to growth happens across the programme in a number of ways:

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[56] Ibid.p17
[57] CPE (2008) p78

- through sector support to human development in education and health;
- through the PBS II programme;
- through policy dialogue on economic planning;
- through the commissioning on behalf of GoE of high-quality analytical studies;
- via the emphasis within PSNP on graduation (an area that is coming under increasing scrutiny due to concerns around the barriers to graduation).

The Growth Annex to the CBP does not refer to exclusion, or perhaps more significantly to inclusive growth – perhaps based on the premise of broad-based poverty and relatively low levels of inequity. Going forward, however, there is a commitment to 'create a more vibrant and diverse discourse on growth and social policy in Ethiopia at both Federal and regional levels.' The CGA also notes the need to address the political economy of growth.[58] These *intersections between social policy, the political economy and growth* are encouraging, and provide a useful entry point for engaging in thinking and dialogue around *inclusive growth*.

Gender: In programming terms, DFID-E is undertaking a number of actions to address gender concerns:

- a member of the DAG sub-group on gender.
- a previous contribution to the DAG pooled fund for the formulation of the National Action Plan on Gender Equality, and a gender budgeting pilot by MoFED.
- support to CSOs who work on gender under the NGO Partnership Fund, such as the Ethiopian Women Lawyers Association.
- a pro-active stance on securing agreement for the gender contextual analysis for PSNP, and funding the study from the relevant Trust Fund, to which DFID contributes.
- programmes such as GEQIP, PBS II, and the Health MDG Pooled Fund all contain strategies for gender targeting.

Good progress is noted on gender mainstreaming within new programmes emerging, such as the MDG Pooled Health Fund and the projected CSSP. However, some significant gaps do remain:

- The current design of **PBS II** would benefit from a gender audit, perhaps conducted jointly with partners and linked to the forthcoming Socioeconomic Analysis and Trajectories of Change studies (within which gender needs to be more effectively mainstreamed).
- **New design processes** (e.g. PSCAP, PSNP) would benefit from a more proactively gender-mainstreamed approach, to ensure that gender is not limited to access and inclusion (e.g. a greater effort on gender-focused policymaking).
- All programmes need to supply **gender-disaggregated data** where feasible (see below).

The CPE noted that gender for DFID-E remains *'a significant unmet challenge'*, with much work remaining to identify suitable 'entry points' to address gender across the portfolio.[59] The Social Exclusion Stocktake finds that progress has been made since this finding, but stronger momentum is needed.

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[58] CGA p14
[59] CPE (2008) p78

We note in addition that DFID corporately makes a number of public policy commitments to gender equality through for example its current Public Service Agreement (PSA) targets 2008-2011, its Departmental Strategic Objectives (DSOs) 2008/9-2010/11, the Gender Duty Scheme 2007-2010 and the Gender Equality Action Plan 2007-2010. Without a clearer and more focused approach to gender, DFID-E may find itself increasingly at risk of breaching corporate commitments to gender.

Conclusions

- To date, DFID-E has taken *a strong poverty and basic equity approach to programming*, based on alignment with poverty-focused government programmes and a focus on harmonisation. The strategy for addressing exclusion within programming appears to have been one of *incremental progress* through building consensus for change with partners by the use of studies which provide an evidence base for a shared analysis. Combined with an understanding of the Government's perspective, and building relationships of trust to gradually open up space, this is slowly delivering results within areas such as PSNP.

- Overall, however, approaches to social exclusion *at an office level* appear to be *opportunistic rather than comprehensive*[60]; there appears to be no clear consensus across the programme as to whether exclusion issues should be systematically addressed within programme design, and if so, what the priority groups are for a) conducting analytical work, b) developing appropriate programmatic responses around e.g. targeting and c) ensuring effective monitoring and reporting.

- Within Ethiopia, the *risks of inequitable development processes* being created are growing,[61] underscored by political economy concerns, ethnically-related conflict propensity, and potentially increasingly constrained space for CSO activity due to recent civil society legislation around exclusion issues (CSOs constitute a major potential constituency for addressing exclusion concerns). The growth process risks the *further marginalisation* of already-lagging groups.

- *Gender is a major gap*; a more coherent and consistent approach to programming needs to be both developed and acted upon, and a discourse of *inclusive growth* would benefit both DFID-E thinking and clarify messages with external (GoE and Development Partner) interlocutors.

Forthcoming opportunities:

While the approach to date of supporting Government to design and implement large-scale, broadly poverty-focused programmes has been effective in making access gains to date, the next phase of such programmes needs to be underpinned by a *more nuanced approach*, which takes account of exclusion issues. A number of opportunities are arising in the coming months for DFID-E:

- *Forthcoming design phases* for PSNP Phase II, PSCAP, a projected Accountability strategy, the Joint Governance Assessment and CSSP.

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[60] Though we note the more strategic approaches of e.g. the Human Development cluster, which benefits from an SDA lead
[61] See for example CGA, Bevan and Pankhurst (2007,2008)

- The forthcoming 'Socio-economic' and Trajectories of Change studies under **PBS II**.
- The *programme review cycles* for GEQIP, PBS II and the MDG Pooled Fund Health.
- *Policy opportunities* into which DFID as a major development partner can engage:
  - the forthcoming GoE growth strategy (which is likely to look at a) roads (social and geographical inclusion) b) electricity and communications (social and geographical inclusion), c) the resettlement aspects of food security (political and social inclusion).
  - the forthcoming food security policy which will consider safety nets, resettlement, and targeting issues.
- The PASDEP Review of 2010, where e.g. PANE could be supported to undertake a comprehensive exclusion analysis.
- A new emphasis on **climate change**, to be taken forward by an adviser arriving in April, who may be able to adopt an approach of considering the differentiated impacts of climate change , and to advocate for targeting and mitigation measures within and between households / different social groups.
- Debates around a *regional focus*, the analyses for which should highlight key dimensions of exclusion.

In addition to these opportunities, we would advise:

- A more focused approach to *gender* within programming, to ensure that gender is effectively mainstreamed and reported upon within programme designs.
- A stronger discourse of *inclusive growth*.

A7.9.4. Monitoring and reporting

DFID-E is responding to the increasing emphases on reporting on development results, as well as making the case for aid, in a range of ways. To date, however, reporting frameworks have *not addressed exclusion systematically*; a number of forthcoming opportunities will enable them to do so:

Accountability frameworks	SE within accountability / monitoring frameworks	Country level accountability / monitoring frameworks contain SE indicators	*Fair – some indicators within CRF, opportunities to embed exclusion more systematically* *Room for improvement – 4/ 11 logframes reviewed contained disaggregated monitoring or a commitment to disaggregation*
Intended change: Greater monitoring of poverty trends/patterns and impacts on excluded groups *Needs more attention to ensure a systematic approach to reporting within country and programme level frameworks*			

Regional frameworks

The DFID Africa Divisional Performance Framework contains the following exclusion–related indicators:

Ratio of girls to boys in primary, secondary and tertiary education	Being recorded through PBS II, GEQIP, and government EMIS
Increased access by women and girls to economic opportunities, public services and decision-making i) All new Country Plan and Joint Assistance Strategy performance monitoring tables contain some sex disaggregated targets, and there is an increase in sex disaggregated targets in new Performance Assessment Frameworks or similar government documents; ii) Country Programme Gender Equality Action Plans (or equivalent) are implemented in country offices and ensure that there are innovative and transformative actions that bring about real change for women, and support implementation of the African Women's Protocol.	9 gender / exclusion-disaggregated targets within CPF (see below) (8 more potential if data allow) No GEAP and no evidence yet of 'innovative and transformative actions' for gender

At divisional reporting level, therefore, gender remains a serious gap.

Country–level frameworks

The Country Results Framework at the time of writing was being updated to include DFID Standard Indicators. However, a requirement to recently report against the Africa Division Gender Equality Action Plan had also raised gender as an issue within the country Results Framework.

Within the version of the Results Framework provided (24 February 2009), the following applies:

Gender / exclusion indicators within CRF	Indicators which could be further disaggregated to reflect gender / exclusion (if datasets allow)
• IRAI 'Gender Equality' score • HIV prevalence amongst 15-24 year old pregnant women • girls' and boys' primary net enrolment • first cycle gross enrolment rate in Somali and Afar regions • access to potable water (urban and rural) • % of female PSNP beneficiaries graduating from PSNP • % of wage labour days for women in PSNP woredas.	Disaggregate by e.g. gender / region in the first instance: • access **and use** of primary healthcare facilities • second cycle primary completion rate • gross enrolment in grades 9 – 10 • beneficiaries with improved access to water and sanitation facilities • people receive life saving services each year • PSNP beneficiaries increase household assets • PSNP beneficiaries able to protect existing assets • PSNP beneficiaries' annual crop production

Should datasets allow, therefore, there is scope for an increased focus on exclusion within the reporting framework. A stronger focus on gender in particular would support reporting towards corporate gender targets such as the Africa Division Gender Equality Action Plan. It would also help meet the commitment within the draft CBP to tracking programme

performance on gender equality outcomes through use of the World Bank Country Policy and Institutional Assessment.[62]

The Standing Brief for the country office contains ***no gender disaggregation at all***, or any mention of pastoralism, rural-urban disparities or disability (though there is reference to HIV infection rates).

Programme-level frameworks

There is a relatively high volume of M&E activity at programme level, with most systems operating as multi-donor reporting vehicles. Perhaps as a consequence of such joint activity, systems for individual programmes are ***widely varied***, with some disaggregation, albeit limited evidence (as yet) of translating analytical results into reporting frameworks:

Disaggregated monitoring by 1 or more social exclusion dimensions in logframe	4	6	1	11
Commitment to disaggregated monitoring in e.g. PM	4	7	0	11

Examples of strong M&E systems include:

PSNP, whose impact monitoring system is considered to meet the global 'gold standard' through use of e.g. the counterfactual, government ownership etc[63] – although a Joint Review mission in 2008 noted that capacity for implementation remains low, and that the current system is not geared to monitoring cross-cutting issues of concern, such as those related to gender and HIV/AIDS.[64]

PBS II, where the SAFE principles progress assessment matrix contains a Cross-Cutting Theme (E1) on 'progress towards achieving greater access, quality, and inclusiveness, for PBS sectors at sub-national levels'.

Examples of **missed opportunities** include:

- ERTTP, where there is little disaggregation in the reporting system by income, social or vulnerable group (apart from gender).
- WSSH, where there is no commitment to disaggregation (or to support capacity-building for disaggregation) in either the PM or the logframe (although strengthening the M&E system within the water sector is a focus of PBS II).

Conclusion

DFID-E can support efforts to impact on the sorts of political and ideological barriers which currently obscure or distract from underlying patterns of exclusion by ensuring a ***consistent and coherent approach to identifying and reporting upon gender and exclusion issues within its***

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[62] namely equal access to human capital development opportunities; equal access to productive and economic resources; equal status and protection under the law for both men and women
[63] See for example http://www.gsdrc.org/go/topic-guides/monitoring-and-evaluation/impact-evaluation
[64] Aide Memoire, Mid-term review mission, October 6-31 2008

programming. This is particularly the case within joint government and donor review processes, upon which DFID-E is increasingly reliant, and where it is increasingly important to identify on what – and on whom – the money is spent.

In addition, there can be a more structured approach to *disseminating learning generated around exclusion impacts*, through e.g. the TWGs / DAG, through joint donor-government interventions (which constitute the majority of DFID-E programmes) and via other policy dialogue fora.

Opportunities

- The redrafting of the **CRF** presents a good opportunity to integrate indicators and disaggregation around exclusion, particularly if these were underscored by a comprehensive gender and social exclusion analysis.
- The new **Results Champion** within the projected Aid Effectiveness and Corporate Compliance Hub will be in a strong position to lobby for a more mainstreamed approach to reporting on exclusion issues with Development Partners beyond DFID-E.
- The **Monitoring and Evaluation TWG** of the DAG constitutes a major entry point for refining poverty analysis in Ethiopia and is a priority for DFID-E engagement.
- Recommendations from studies around indicators for the Results Framework for e.g. **PBS II** will present opportunities for integrating gender and exclusion issues more systematically.
- The intention (and requirement) of the office to contribute more actively to the **DFID Africa framework** on gender equality.

A7.9.5. Partnerships and policy dialogue

The harmonised nature of aid in Ethiopia means close working relationships with Development Partners and GoE, at policy dialogue, sector level and programme level. This study has found that, in a context where exclusion issues are politically sensitive, DFID-E is perceived as *a strong pro-poor and equity champion*, but lacking consistent messages and resources to address exclusion in a sustained manner.

Both the PBS II Annex and this study found that *most GoE policy frameworks* reviewed do recognise disparities in access, based on gender, place of residence and a pastoralist way of life, with gender being the most prominent area of focus, particularly within the education and health sectors. The policy rationale for DFID-E engagement is therefore in place.

Input	Interim results – leading to change	Indicator	Progress
Partnerships and Policy dialogue	Learning & informed dialogue amongst National and Development partners about SE issues and challenges	Social exclusion explicit in Policy Dialogue with National & Development partners at different levels and in different channels	<u>Fair</u> – DFID-E perceived as pro-poor champion but dialogue constrained by political sensitivities
	Partnerships & harmonised approaches on Social Exclusion with relevant donor and multilateral partners	Social exclusion (and related concepts) on the agenda of global, regional & country partnerships with WB/UN/EC/other donors	<u>Fair</u> – open discussion in donor circles but DFID perceived as pro-poor and equity rather than exclusion focused
	CS partnerships promoting inclusion and tackling SE	Evidence of work with Country CS partners with core mandate on SE	<u>Good</u> – strong evidence of a recently deepened engagement.

Intended changes: National development frameworks include strategies to address poverty reduction needs of identified SE groups: Joint Donor Accountability Frameworks address social exclusion: National investments increasingly include excluded groups

GoE policy frameworks reflect equity-based approaches but exclusion is a politicised concept. DFID-E adopting an incremental approach with government but could do more to build links between government and civil society around exclusion

Government partners

All those government partners interviewed felt that DFID **was proactive in raising poverty and equity issues** – often framed as access – and that they took a strong lead in influencing other development partners. The commissioning of analytical studies has clearly been a major influence here, with e.g. initial resistance from government to the gender impact study within PSNP now gradually opening up discourse around impacts.

Exclusion in the context of Ethiopia is however as noted a highly politicised issue (the report from a 2005 Participatory Poverty Assessment for example was never published due to political sensitivities.)[65] There is therefore some sensitivity within government partners towards the **terminology of exclusion**; as noted, the discourse around poverty, equity and access currently appears to offer more scope for influencing than that around exclusion and discrimination. As the India case study for the global Social Exclusion Stocktake found, this factor reflects an inherent tension between the global Social Exclusion Policy and its playing out within a country programme, where different language and approaches may be more appropriate within policy dialogue. DFID-E's strategy of commissioning analytical studies and monitoring reports – and taking a very proactive approach to joint dissemination – appears to be delivering good results in the areas indicated.

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[65] Email correspondence 18.2.09

Development Partners

Development partners[66] similarly viewed DFID-E as:

- a *pro-poor champion*, especially as regards promoting equity issues in large joint donor programmes, with strength both in influencing others around technical issues and creating a joined up approach.
- to have *some strong advocates* around gender and exclusion issues.
- but that exclusion was *not an institutional imperative*, shared by all, and that messages were not consistent.

There was a strong sense of a need for *a more focused and joined up approach* by Development Partners to social exclusion and gender equality in particular, aligning for example around the gender National Action Plan. As a lead partner in Ethiopia, it was felt that DFID could be engaging more proactively with this agenda, to lead a more sustained and focused commitment, and that more dedicated technical resources should be available to the office for the purpose.

DFID-E is currently a member of over 22 Technical Working and associated groups of the DAG. Because of this, effort and intensity of engagement is in some areas necessarily dilute. For the purposes of building the poverty evidence base, and with the apparent lack of attention to gender and exclusion in programming, we would suggest that the M&E and Gender sub-groups are priorities for engagement.

Civil Society Partners

Most interviews with both international and local civil society partners focused on impending CSO legislation, which many believe will seriously constrain the advocacy and lobbying capabilities of civil society partners.[67] DFID-E has been widely perceived as a *pro-active and effective partner* in joining up the development community to lobby for its withdrawal or amendment. No CSO, international or local, has membership of the DAG – a key forum in which exclusion could be addressed – since GoE do not appear to consider civil society a key partner for consultation.

CSO partners made the following observations:

- There has been a strong and recent (coinciding with a change in Head of Office) *sense of a greater openness* to CSO engagement, which has been welcomed by civil society partners.
- There is a *good sense of partnership working*, with all those interviewed having been consulted during the country business planning / programme design processes.
- The main entry points for engagement were the Social Development Adviser and, for some organisations,[68] the Governance team.

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[66] DPs interviewed are listed in Annex 2. It was not possible to interview the World Bank, despite repeated and continued efforts to meet with different members of staff.

[67] For example, under the Charities and Societies Proclamation, civil society organisations in receipt of more than 10% of their funding from foreign sources will not be able to engage in work on human rights including, it would appear, those of women, children and the disabled or in the areas of justice or conflict resolution.

[68] E.g. NEWA and EWLA

- The **1-year adaptation facility of the NGO Partnership Fund** to enable CSOs to prepare for the forthcoming CS legislation has been widely welcomed as flexible and responsive.
- The CSSP is rightly perceived as the main future opportunity to ensure that civil society's role - at regional as well as federal level - in addressing exclusion issues is more proactively supported.

Concerns expressed included the following:

- Some examples of perceived **inadequate or shallow consultation** - the Ethiopian Federation of Persons with Disability cited GEQIP; the Federation considered that the invitation to comment came too late for their full and effective engagement.[69]
- a universally expressed concern that DFID-E programming – as distinct from dialogue – is **overly government-aligned**, and this is constraining both DFID-E understanding of exclusion issues, and its ability to contextualise or question government messages.
- The **boundaries between DFID-E and FCO engagement** with civil society appear blurred, with some joint working and clearly some overlap between activities.
- While the projected CSSP will enable a more harmonised approach to civil society engagement, and reduce transaction costs for donor partners, there is a **risk of reduced access** to DFID's technical resources which are so highly valued.

Conclusions

- With political sensitivities around raising exclusion issues in dialogue, it will be important moving forward that DFID-E uses its **networks and relationships amongst civil society partners** effectively to address the issues. CSSP will provide a good vehicle for this.
- **A more coherent picture, based on a robust evidence base**, around exclusion will support the influencing process in a context or harmonisation.
- DFID-E can use civil society networks to both **'reality check'** government information and data, to gain regional and woreda **ground-level insights** into how exclusion issues are playing out, and to benefit from learning on promising practice and research. CS partners will need support to develop this sort of analytical capacity.
- **PBS II** is a potentially strong vehicle for building links between civil society and government at regional and woreda level through an expanded social accountability module.
- Examples of joint civil society–GoE activity within e.g. **PSNP** provide a vehicle for shared learning.

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[69] Though DFID felt that, while commentary opportunities had been provided, the Federation had been unable to articulate specific desired changes within the document.

A7.9.6. Resources

Input	Interim results – leading to change	Indicator	Progress
Resources	More diverse workforce within DFID / Human Resource policies & practices address social exclusion issues Gender Equality Action Plan adopted & targets met Gender and Social Exclusion Assessment plan adopted & targets met	Diversity baseline established Diversity and gender is addressed within training GEAP implementation / monitoring GSEA implementation/monitoring	*Room for improvement* – *no diversity training as yet, no GSEA and no GEAP*
Intended change: increased social exclusion awareness and capacity across the office, greater diversity of resources			
Progress: potential for improvement with recent staff appointments, but the development of a GSEA / GEAP needs to be addressed urgently.			

Diversity

DFID-E has established a diversity baseline along parameters of gender, spread across grades and bands, and age. There is an active policy of localisation in place, plus an affirmative action approach to gender. The requirement for age to be stated has been removed from the agency employed to place and manage advertisements; and UK standards have been used where possible to ensure disabled access to facilities. DFID UK's Policy on HIV-AIDS in the workplace is employed, and there is a good religious mix (although this is acknowledged to be more by happenstance than policy). We note however that the officers responsible for staff management were not aware of DFID's responsibilities under gender and disability duties.

Diversity and gender training has not yet been held within DFID-E, although a session on Ethiopian culture has been held during In-week, as well as session on DFID values. There is no gender champion currently within the office.

Human resources

Within the office, to date the main resource for addressing gender and social exclusion issues appears to have rested with the Social Development Adviser, directly who estimates that 50% of his time over the past 6 months has been spent addressing the new CSO legislation which, while not exclusion focused, has considerable potential to alter the enabling environment for addressing gender inequality and other exclusion issues. This has left resources for directly addressing exclusion issues **seriously constrained**.

The recent arrival of new members of staff with social exclusion experience and knowledge, however – fortuitously located across the three clusters – constitutes a **critical mass of expertise.** This should enable social exclusion thinking to be more effectively embedded across programmatic activity, particularly within new design and ongoing review processes over the next year.

Conclusions / recommendations

- Diversity issues within DFID-E *appear relatively well addressed*, with diversity training the only notable lack.
- Given the corporate commitment to Gender Equality in particular, the absence of a Gender Champion is a notable gap.

Future opportunities

- This nomination of a **Gender Champion** will support a pro-active approach.
- The **critical mass of advisory expertise** now present within DFID-E offers an opportunity to gather momentum on exclusion.
- There will be future **resource implications for** the programme if it is to successfully address exclusion issues (see 'Moving forwards' below).

A7.10. Policy Attribution

As part of its Terms of Reference, this study was asked to **relate activity on social exclusion within the Ethiopia programme to global Social Exclusion Policy commitments**. The analytical framework employed has been the main mechanism for doing so, but we also ask whether clear lines of attribution can be drawn between Policy and country activity.

It is clear from this study that **a growing body of analysis** is revealing exclusion as an increasingly significant feature of the development landscape in Ethiopia. To date, activity has been constrained by a weak information base and a necessarily broad-brush approach to programming. The latter has delivered strong gains to date, but the challenge now is to refine the evidence base, and to translate this into more systematic and sophisticated approaches to targeting, monitoring and reporting.

DFID-E staff interviewed cited a range of reasons for the importance of addressing exclusion issues within the Ethiopia context; the correlation of exclusion with poverty and conflict; the lack of knowledge around programme impact in some areas; political economy concerns; regional diversities; and GoE emphasis on equity approaches for particular groups. **The Social Exclusion Policy was not, on any occasion, cited by staff as a driver for activity**, or even mentioned in passing.

On the evidence of this study, we are **unable to draw any lines of attribution** between the Social Exclusion Policy and the (as yet limited) activity taking place within DFID-E on exclusion. The analytical work being commissioned and conducted is taking place **in response to context and to the changing development discourse within Ethiopia**, rather than being attributable to a centrally issued Policy document.

Policy challenges: However, notwithstanding a lack of attribution, we consider that **much DFID-E programmatic activity is consistent** with the challenges identified by the Policy on social exclusion for the international development community:

Work to create legal, regulatory and policy frameworks that promote social inclusion	Good	GEQIP, Health MDG fund, PCI,
Ensuring that socially excluded groups benefit from public expenditure as much as other groups	Good	PBS II to some extent, GEQIP, Health MDG fund, PSNP
Improving economic opportunities and access to services for excluded groups	Good	PBS II, PSNP, PCI
Promoting political participation in society and capacity to organise	Fair	DIP, PSCAP
Increasing accountability to protect human rights	Fair	PBS II, DIP
Tackling prejudice and changing behaviour	Fair	GEQIP

In terms of the **DAC principles of efficiency and relevance**, we find as follows:

Efficiency	Resource data is insufficiently robust to comment, but potentially very efficient through strong joint working externally and across pillars internally
Relevance	Activity is coherent and consistent with the principles and standards of the Social Exclusion Policy – so relevant – but the issue is around a comprehensive and office-wide approach, and volume and scale. There have been missed opportunities, but momentum is growing.

A7.11. Moving forwards

Moving forwards, therefore, social exclusion concerns are likely to become increasingly important within the Ethiopia context. A generalised poverty and basic equity approach has to date delivered good gains in terms of access to services; however risks are being created in failing to address exclusion issues at the current stage of Ethiopia's development. *If inclusive growth is to be successfully created, and equitable progress towards the MDGs be made, it is increasingly urgent that DFID-E adopt a more strategic, comprehensive and consistent approach to exclusion across its programming.*

Work has begun at an analytical level in key programmes such as PBS II, GEQIP and PSNP. However, the main challenges for DFID-E going forward will be to *build on this analytical knowledge*, to identify relevant *entry points* for GoE influencing around the evidence base, to take a more *consistent* view of exclusion issues across planning and programming, and to more comprehensively embed exclusion *into accountability and reporting frameworks*.

To break cycles of social exclusion, to improve poverty targeting and to reduce the barriers that some groups face in accessing services and resources, programme strategies must be joined-up, based on robust evidence and analytical work, and designed around multiple entry points. Successful addressing of exclusion issues does not take place through 'either' working through e.g. PBS II machinery 'or' via support to civil society organisations; rather, it happens most effectively by working concurrently to support State *capability* to address exclusion, to improve the *accountability* of State actions towards its more excluded citizens, and to improve State *responsiveness* in delivering services, assets and the benefits of growth to the more excluded and marginalised sections of its population.

DFID-E programming and policy dialogue already works hard to support capability to deliver for exclusion. However, work on addressing exclusion within accountability and

responsiveness would benefit from added momentum. The key entry points for achieving this are in three main areas:

- **strengthening the evidence base** on which programming decisions are made – and thereby opening up scope for dialogue and consensus on more sophisticated targeting, as has happened for example within PSNP.
- focusing on **two specific areas of exclusion** which pose potential risks, for different reasons, to DFID-E if they continue unaddressed:
  - **gender**, in which DFID-E is currently at risk of default on its wider corporate commitments;
  - **regional and pastoralist issues**, where the evidence base is so poor that poverty impacts of programming are at best unclear and at worst being mis-targeted and where conflict is a concern.
- Supporting partners to address other exclusion factors such as disability.

Following suggestions for these three main areas for action – the 'must do's' – we then list some areas where DFID-E programming and dialogue would benefit should resources permit or opportunities arise.

Priority areas

1 Build the evidence base	DFID-E / Joint: Meta-analysis of the poverty and exclusion studies already conducted – to generate a common understanding and build a shared discourse. Could be conducted via e.g. the M&E TWG or the DAG.
	DFID-E: Aid Effectiveness and Corporate Compliance Hub – exclusion and gender mainstreamed across activity
	DFID-E: New country planning process and Results Framework – clear indicators on gender / social exclusion
	DFID-E: ToRs / briefs for annual reviews / OPRs must include a requirement to consider disaggregation by region and gender. Upcoming review processes include GEQIP, PBS II, Health MDG Pooled Fund
	Joint: More pro-active role on M&E TWG to generate a shared understanding of exclusion and its socio-political dimensions
	Joint: A proactive role in mainstreaming gender and exclusion within forthcoming statistical capacity- building opportunities e.g. Statistics for Results / National Strategy for the Development of Statistics
	Joint: support for Civil Society e.g. PANE to undertake comprehensive exclusion or specific disability analysis to feed into next PRS
2a) Gender	DFID-E: Gender launch with a Gender Champion– use DFID's Think Women campaign and materials (London's Equity and Rights Team)
	Joint: Upcoming design processes - JGA, CSSP, PSNP Ph II, PSCAP, Accountability strategy
	Joint: Support to e.g. monitoring and evaluation of the gender National Action Plan
	Joint: Gender (and exclusion) audit of PBS II linked to forthcoming studies
2b) Regional issues (including pastoralism)	DFID-E: Somali Peace and Development Assessment / SCA must look at exclusion issues – reference the DFID Preventing Violent Conflict strategy document
	Joint: Build on e.g. the findings from the PBS II socioeconomic analysis to meta- analyse regional data on access and barriers to accessing resources, taking discussion forward within e.g. the DAG
	DFID-E / joint: A study considering the impact of the political economy for the DFID-E country programme's equitable delivery of services
	Joint: PSNP pastoralist pilot – summary of learning / good practice, combined with learning from PCI programme, as a basis to inform design processes

Additional actions:

Disability	Joint: Work initially with Govt and DPs via the M&E TWG and MOLSA to build consensus on the evidence base. Where possible advocate for disability indicator in PAF/PASDEP monitoring or in selected sectors e.g. in education. PANE could undertake a comprehensive exclusion analysis as part of the PASDEP review, including disability
HIV-AIDS	DFID-E: Strategic decision not to engage programmatically due to scarce resources / significant USAID activity, but important to consider as a disaggregation factor in e.g. review processes.
Life cycle	Joint: Age, particularly the elderly and orphans and vulnerable children, need to be considered for disaggregation, to identify exclusion

Implications for resources

As with all DFID country offices, DFID-E is operating in a context of increasing pressure on resources. However, we note that going forward, a more comprehensive and systematic addressing of exclusion issues is likely to require increased resources in two main areas:

- Social Development technical capacity, specifically gender expertise, where the single adviser based in-country is currently unable to adequately stretch across the programme, and where, with the transition from a generalised basic equity approach into more nuanced models of targeting, technical expertise on poverty-focused approaches will be central.

Statistics support, where 25% of London-based advisory time is manifestly inadequate, given the severe lack of robust and detailed information systems within the Ethiopian context, and the scarce capacity within the Development Partners.

Annex 1: List of interviewees

1. **Government of Ethiopia**

2. **International Development Partners**

   - DFID
   - CIDA
   - FCO
   - UNICEF

3. **Civil Society Partners**

   - Ethiopian Federation of Persons with Disabilities
   - PANE
   - NEWA
   - Help Age International, Country Program Director
   - Save the Children Fund UK
   - Save the Children Fund UK
   - Oxfam
   - Ethiopian Women Lawyers Association
   - Ethiopian Human Rights Council (EHRCO)

4. **Others**

   - University of Edinburgh, consultant
   - Former Head of Development, IrishAid Ethiopia

Annex 2: List of Documents surveyed

DFID corporate / regional

- Understanding vulnerability: opening political, social and economic space towards greater equality DFID London (2004)
- Reducing Poverty by tackling social exclusion: DFID Policy Paper, DFID: London (2005)
- Assets Voice Rules Framework, DFID: London undated,
- Africa Division Performance Framework: targets and risk analysis (2008)
- Gender Equality Action Plan: Africa Division Review of Progress (2008)
- Africa Division Results Driven Africa Gender Action Plan 2009-2011(Nov 2008)
- The Economics of Adaptation to Climate Change: Concept Note and Study Plan (DFID / World Bank 2008)

Government of Ethiopia

- Education Sector Development Program III 2005/06-2010/11, Ministry of Education
- Road Sector Development Program (RSDP) III 2007-2010
- Plan for Accelerated and Sustained Development to End Poverty (PASDEP)
- PASDEP Annual Progress Report 2006/7
- Health Sector Strategic Plan (HSDP III) 2005/6-2009/10
- Health Sector Development Plan Independent Mid-Term Review
- Ministry of Education Education sector development program III (ESDP-III)
- Population Dept, MOFED Population and Development Indicators 2006
- Ministry of Education Request for expressions of interest for baseline survey, GEQIP (2009)
- National Alternative Basic Education Strategy for Children Out of School (2006)
- Department of Gender and Equity, Ministry of Education Social Assessment of the Ethiopia General Education Quality Improvement Program (GEQIP) (2008)
- Ministry of Education, Ministry of Women's Affairs and Save the Children Denmark, Study on Violence Against Girls in Primary Schools and its Impacts on Girls Education in Ethiopia (2008)

DFID Ethiopia / development partners

Core DFID-E Documents

- Country Assistance Plan (CAP)
- Draft Business Plan 2008/09 to 2010/11
- CBP Annex 1 Impact & Performance Framework
- CBP Annex VI CGA summary
- Draft Growth Annex for Country Business Plan
- DFID Ethiopia Fact Sheet
- DFID Ethiopia Organogram
- DFID –E – 3 months of workplans to Dec 08
- Standing Brief

- Options paper on building CS capacity – Oct 08
- Ethiopia Country Governance Analysis (CGA)
- Quality Assurance comments on CGA
- Ethiopia Gender Issues paper
- World Bank Gender Disparities in Ethiopia presentation
- Country Programme Evaluation (2008)

Programmatic

Health MDG Fund

- Health MDG Fund – Concept Note / logframe
- Health Sector Development Programme HSDP III MTR June 08
- Health Sector Strategic Plan (HSDP III 05/6 to 09/10)
- Health MDG Fund Header sheet
- ToR Appraisal Health MDG Fund Gender and Inclusion
- Health Fund Social Inclusion analysis
- DFID-UNICEF Pooled Fund MOU

General Education Quality Improvement Programme (GEQIP)

- GEQIP Project Appraisal Document (PAD)
- GEQIP Design Social Assessment ToR
- GEQIP Social Assessment Report (31-05-8)
- TOR GEQIP Re-appraisal
- Education for the hard to reach in southern Ethiopia, communications piece
- Case study, ABE (2008)

Protection of Basic Services (PBS)

- PBS I and II PAD (Draft, Sept 2008)
- PBS I Joint Review and Implementation Support Mission
- PBS I PCR
- PBS II PAD Comments
- PBS II Grant Header Sheet
- PBS Phase II (TC) Header Sheet
- PBS II Social Inclusion and Gender Assessment ToR
- PBS II Social Inclusion and Gender Assessment Annex (Social Development Direct)
- Trajectories of Change study TORs
- Socioeconomic Analysis study TORs
- PBS II Results Framework
- PBS II DFID – WB MoU Promoting Social Accountability

Productive Safety Nets Programme (PSNP)

- PAD Dec 06
- PSNP Header Sheets 1-2-3 (2007)
- WB PSNP Integrated Safeguards Data Sheet (Nov 2008)

- PSNP Brief (8-07)
- Multi-year assistance programme Information (January 2008)
- PSNP Gender Study Final Draft May 08
- PSNP Annual Review (July 20008)
- PSNP logframe
- PSNP Mid Term Review Aide Memoire Oct 2008
- PSNP Project Appraisal Document Dec 06 for Phase II
- PSNP Logframe 10 March 2007
- PSNP Annual Review Project data (printed out 29/01/09)
- PSNP Mid-term review mission October 6–31 2008 Aide Memoire
- Appraisal Studies:
    a) Sharp K et al (August 2006) Targeting Ethiopia's Productive Safety Net Programme
    b) Devereux S et al (August 2006) Ethiopia's Productive Safety Net Programme: Trends in PSNP Transfers within targeted households

WASH

- Watsan Header sheet
- PM
- Joint Technical Review (2007)

ERTTP

- PM (ERTTP Access and Mobility Component (March 2004) Project Proposal DFID and Development Cooperation Ireland (now Irish Aid))
- ERTTP Header Sheet
- ERTT Annual Review (Dec 2008)
- ITT TI-UP (August 2008) Ethiopia Rural Travel and Transport Initiative (ERTTP) Assessment of the Pilot Project Draft Assessment Report for ERA & DFID
- Gender and Rural Travel Initiative study report (World Bank programme as part of Sub-Saharan Africa Transport Program) Undated but pre 2000 report

Governance

- Concept Note – Joint Governance Assessment (2008)
- TORs – Somali Conflict Assessment (2008)
- NGO Partnership Fund PM / logframe
- CSSP PM / logframe
- DIP PM / logframe
- PSCAP PM / logframe / Annual review
- DGPP PM / logframe
- Concept Note – A Study of the Political Economy of Pastoralist Voice in Ethiopia and its Implications for Donor Support to Pastoralist Regions (Jan 2009)

Other

- Chambers R. (1989). Editorial Introduction: Vulnerability, Coping, and Policy. IDS Bulletin, 20(2): 1-7.Davies S. (1996). Adaptable Livelihoods: Coping with Food Insecurity in the Malian Sahel. Macmillan Press, London
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- Hobley et al (2004) Scoping study, Understanding vulnerability: opening political, social and economic space towards greater equality in Ethiopia
- IFAD (2008) Ethiopia country strategic opportunities programme
- Kabeer, N (2002) Safety Nets and Opportunity Ladders: Addressing Vulnerability and Enhancing Productivity in South Asia. Livelihood Options Working Paper 159. ODI. London
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- Bevan, P. and Pankhurst, A (2007) Power Structures and Agency in Rural Ethiopia Development Lessons from Four Community Case Studies Paper Prepared for the Empowerment Team in the World Bank Poverty Reduction Group
- Bevan, P and Pankhust, A (May 2008) A Sociological Perspective on the Causes of Economic Poverty and Inequality in Ethiopia Paper presented at the Inter-Africa Group Symposium on Poverty Addis Ababa
- Shibeshi, A et al (2007) The Role and Contribution of Alternative Basic Education (ABE) in Attaining MDGs and EFA Goals in Ethiopia: Successes, Challenges and Prospects
- Vaughan, S (2003) Ethnicity and Power in Ethiopia PhD thesis, University of Edinburgh.

Annex 8   DFID India Social Exclusion Case Study Report

Executive Summary

This report sets out the findings of the DFID India case study for DFID's global Social Exclusion Policy Stocktake. It was conducted on behalf of DFID's Evaluation Department and DFID India.

The review team looked at DFID India funded health and education programmes as well as the Andhra Pradesh and Orissa state programmes. Climate change and growth policy areas were also considered. The analytical framework employed was based on the commitments as laid out in the Social Exclusion Policy document of 2005. Progress against it is summarised in the table below[70].

Analysis/research	Good
Country strategy and planning	Very good
Programme design	Good
Partnership and policy dialogue	Fair
Accountability frameworks	Good/fair
Resources	Good/Fair

Some of the key findings are as follows:

- A **high level of activity** is taking place around social exclusion within the DFID India programme. This has been facilitated by India's national policy context, and is supported by a strong corporate architecture, particularly DFID India's Gender and Social Exclusion Analysis (GSEA) annexe to the Country Business Plan.
- There is a good level of **analysis and research** on issues relating to social exclusion. DFID India is investing in partner capacity around monitoring and reporting; most logframes include a commitment to collecting disaggregated data; and there is evidence of some good practice around thematic studies that focus on issues relating to social exclusion. The push for **analysis and disaggregation** has led to a greater awareness of the experiences and challenges facing certain groups.
- **Country strategy and planning** demonstrates a high level of consideration of social exclusion. The Country Business Plan (2008-2015), the Gender and Social Exclusion Analysis (2008), the Country Governance Analysis and the Gender Equality Action Plan (2008-2012) are all examples of the strong corporate architecture that supports DFID India's work on social exclusion.
- There is some good practice at the **programme level** of consideration of social exclusion.   However, the scope and depth of this varied from working directly and targeting excluded groups to specific strategies for empowering socially excluded groups.   More work could be done on understanding the structural dimensions behind social exclusion.

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[70] See section 5 for the full analytical framework

[71] This is a light touch assessment based on a limited sample, and is included in order to give a snapshot of were the DFID India is against the different areas. See section 7 for an explanation of the scale.

- The **dimensions of exclusion** generally considered are gender, caste and tribal groups. Disability, religious groups such as Muslims and other minorities such as people living with TB or HIV/AIDS are reflected in some programmes, but are not generally considered in either analysis or programming decisions.
- Some **policy dialogue** around exclusion is taking place, particularly within Centrally Sponsored Schemes and at State level. However, as the programme upstreams to focus more on policy, it will be important to integrate a more defined understanding of exclusion systematically into the development discourse.
- **Monitoring and reporting frameworks** reflect some dimensions of exclusion well, particularly in the programmes. The DFID India Results Frameworks also include disaggregated indicators, although these tend to focus on women, scheduled tribes and scheduled castes. There is currently no mechanism to monitor policy dialogue on social exclusion issues.
- **Corporate Resources** for addressing exclusion are fairly strong in terms of staffing and funding studies. General awareness of specific groups such as scheduled castes, scheduled tribes and women is high. However, there are variations in understanding and conceptualisations of exclusion across the office.
- **Growth** represents a potential entry point for both addressing social exclusion concerns, which are a major development issue within this area, and for engaging around the issue in substantive policy dialogue.
- In line with the discourse emerging from London, DFID India's work on **climate change** does not contain specific references to exclusion, but rather focuses on vulnerability. This is considered an appropriate lens for understanding the effects of climate change.
- There is **limited direct attribution to the Social Exclusion Policy**. The key drivers are external policy frameworks plus responses to the development context within India.

The report contains a number of recommendations both for DFID India and for the process of the global Social Exclusion Stocktake. Some of the key recommendations include:

- Broadening out both analysis and disaggregation to groups beyond scheduled castes and scheduled tribes.
- Stepping up the focus on structures and processes that lead to exclusion, and articulating the implications of this for a policy dialogue strategy.
- Considering the emerging growth agenda as an entry point for engagement on social exclusion.
- Merging the Gender Equality Action Plan with the existing Gender and Social Exclusion Assessment to produce a single monitoring framework that is championed by a nominated individual and reported upon annually.
- The Social Development team of advisers conducting some internal capacity building within the office, in order to develop internal agreement on key concepts, to build wider understanding of DFID-I activity around social exclusion, and to develop clear and consistent messages for dissemination.

'No nation can aspire to greatness when large sections of its population are excluded from the benefits of national achievement and progress.' Cochin Declaration 2007.

'Inclusive growth demands inclusive governance.' President Pratibha Devi Singh Patil, 25.2.08 - in her maiden speech, marking the commencement of the 2008 Budget session.

A8.1.   Introduction

This report sets out the findings of the India Case Study for DFID's global Social Exclusion Policy Stocktake (2008-9). It was conducted by IOD-Parc on behalf of DFID in November 2008.

As one of two country case studies for this Stocktake, it explores the extent to which DFID's 2005 Social Exclusion Policy has been implemented within the India country programme, and assesses how the DFID India programme addresses the relevant issues and challenges around social exclusion.

The report is directed at both DFID's Evaluation Department, who have commissioned the wider Stocktake, and the DFID India country office, which supported this case study. Other audiences may include DFID's Equity and Rights Team, the two Advisory Groups[72] for the global Stocktake, and the International Advisory Group for Development Impact (IACDI).

A8.2.   Background

DFID set out its definition of social exclusion in its 2005 Policy, as follows:

'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 system or education and health services, as well as social institutions like the household'

The Policy document describes a series of challenges for DFID in confronting social exclusion and sets out a clear list of public commitments directed at addressing this agenda, as follows:

- analyse the impact of exclusion on poverty reduction in all our country programmes, in order to decide priorities for work by region, country and sector in our Country Assistance Plans and regional Directors' Delivery Plans;
- promote exchanges of best practice between national and regional organisations;
- work with other UK government departments and development partners around the world to include analysis of exclusion as a cause of conflict and insecurity in our approaches and responses to conflict prevention and reduction;
- identify opportunities to address social exclusion in fragile states;
- strengthen the collection and analysis of statistics on excluded groups;
- work with the World Bank and regional development banks, United Nations agencies, the European Community and other donors to make development work better for excluded groups;

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[72] There are two Advisory Groups. One comprised of representatives of DFID senior management and the other three UK based civil society organisations

- increase the inclusiveness of our own human resources practices and strengthen the diversity in our workforce;
- commission new research and ensure adequate attention is paid to exclusion, inequality and rights in all our research on HIV and AIDS, education and other relevant areas;
- broaden and deepen our engagement with civil society (such as Diaspora communities, disabled people's organisations, faith groups and minority ethnic groups) to strengthen the contribution it can make to tackling exclusion; and
- be accountable for implementation of the policy set out in this paper by evaluating progress in 2007-08.

This study assesses the extent to which activity within the DFID India country programme responds to these commitments.

A8.3. Purpose

The main objectives of the case study, as set out in the country Terms of Reference were as follows:

- **Country analysis and programming**: To explore, along with the country team, the current challenges and priorities related to social exclusion in India, along with issues of prioritisation, and to support the team in exploring how comprehensively and effectively their programme addresses the relevant issues and challenges.
- **Learning:** To highlight, from DFID-I experience, some of the main opportunities and challenges faced in addressing social exclusion within country programming, and within policy dialogue with government and other development partners.

Additionally, the team were tasked to conduct the case study in the light of a projected full evaluation of the Policy in 2010, with a view to potentially influencing the relevant methodology, approach and proposed data sources.

A8.4. Parameters of the study

This case study constitutes a short exploration into the current status of DFID-I's programmatic and corporate activity around exclusion. Operating within the parameters of the global Social Exclusion Stocktake, its emphasis is on policy implementation.

It does not, therefore, explore wider issues of social exclusion within the India development context; nor does it attempt to assess policy *effectiveness*, which is currently projected for a full evaluation in 2010. In addition, it does not attempt to act as a Stocktake of the commitments made in DFID India's own Gender and Social Exclusion Analysis, although it does review progress made to date against some of these.

A8.5. India: The context of social exclusion

'[The] vision of inclusiveness must go beyond the traditional objective of poverty alleviation to encompass equality of opportunity, as well as economic and social mobility….Empowerment of disadvantaged and hitherto marginalised groups is ..an essential part of any vision of inclusive growth.' Government of India (2007) 11th 5 year Plan

> **Overview of Social Exclusion in India[73]**
>
> - Child deaths could be cut by 20% if discrimination against girls ended
> - Scheduled Castes and Scheduled Tribes (SC/STs) are around a quarter of India's population, but they make up half of India's poorest families
> - 1 in 4 Muslim children have never attended or have dropped out of school
> - Between 2-8% of India's population is disabled (about 40-80 million people)
> - In some districts there are only 850 girls for each 1000 boys, due to (illegal) prenatal sex selection and less nurturing for girl babies and children

The prevalence and urgency of addressing social exclusion issues is widely recognised within India. Nationally, poverty rates are declining whilst economic growth progresses above the global average – yet many sections of the population, disadvantaged through often multiple dimensions of exclusion, remain excluded from the opportunities and benefits that growth provides.

The current Government's Eleventh Five Year Plan (2007–12), which provides the development framework within which DFID and other partners operate, takes as its foundation the concept of Inclusive Growth. For the first time in the history of India's national budgetary process, the concepts of social justice and equity are at the forefront of economic planning. Caste groups, gender, Muslims and other religious minorities, those with disabilities and other vulnerable groups are specifically addressed within a Plan chapter on Social Justice.[74] Bridging the gap between these groups and the rest of society is identified as a constitutional commitment.

Additional drivers such as the high-profile Sachar Report of 2006[75] – commissioned by the Government on the status of Muslims within India's society – the current Common Minimum Programme of the coalition government,[76] and progressive sector-specific central plans in for example health and education, have catalysed activity on social exclusion as the link between economic development and equity. The three key objectives of the national Sarva Shiksha Abhiyan (SSA) education programme, for example, in which DFID-I is a major investor, are access, equity and quality.[77] Development partners are capitalising on these opportunities: the UN's Development Assistance Framework (2008-2012) has as its strategic objective 'Promoting social, economic and political inclusion for the most disadvantaged, especially women and girls'.[78]

As a vast federation of 28 states and 7 union territories, social exclusion issues are naturally widely varied within India. With engagement in only 5 of these states, as well as with certain Centrally Sponsored Schemes, DFID-I has limited voice or leverage to engage at national level. Nonetheless, the current climate offers significant space to engage with social exclusion issues, both at a programmatic level and in terms of policy dialogue. The extent to which DFID-I does so is explored below.

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[73] India Social Exclusion and Gender Analysis, from the DFID India Country Plan 2008-2015
[74] Chapter 6, Social Justice, Eleventh Five Year Plan, Planning Commission, Government of India (2007)
[75] Social, Economic and Educational Status of the Muslim Community of India: A Report. Prime Minister's High Level Committee, Cabinet Secretariat, Government of India (November 2006)
[76] National Common Minimum Programme Government of India (2004)
[77] Sarva Shiksha Abhiyan Framework Revised Ministry of Human Resource Development Government of India September 2008
[78] UN Development Assistance Framework for India 2008-2012 (May 2007) UN India Country Team

A8.6.   Structure

The report considers the role of social exclusion within the DFID-I programme as follows: Section 7 outlines the methodology and approach; Section 8 considers the findings around analysis and research (8.1), country strategy and planning (8.2), programme design (8.3), partnership and policy dialogue (8.4), accountability frameworks (8.5), resources (8.6), and emerging areas (8.7); Section 9 considers attribution to the global Social Exclusion Policy; Section 10 contains conclusions (10.1), recommendations for DFID-I (10.2) and also initial implications for the global Stocktake, of which this case study forms one part (10.3).

A8.7.   Methodology / approach

Three consultants (two international and one local) conducted the case study from November 10-14 2008. Research took place in the following sample areas:

- Two States, one from the Maturing Partnerships and Results programme (Andhra Pradesh) and one from the Poorest States team (Orissa), which cover a range of sector interventions (health, rural livelihoods, governance, education, economic and industrial reform and civil society engagement).
- Two sectors, health and education (identified for their human development focus, their strategic importance as Centrally Sponsored Schemes, the scale of DFID-I investment and the prevalence of social exclusion issues within them).
- Two cross-cutting areas, growth and climate change – which have emerged as major foci for the global Stocktake.
- Partnerships with bilateral and multilateral agencies, civil society organisations and Government.
- Corporate systems including results frameworks, monitoring systems and human resources.

Research was conducted through interview and documentary study, and a review of 24 recent Programme Memorandum (PMs) and logframes[79], [80].

A light touch assessment against the analytical framework has been conducted, based on analysis of the data available, with judgement being made against a scale of *very good, good, fair, or room for improvement*.

Analytical framework

The original analytical framework for this study was based on the 2006 Evaluation Framework (outlined in Evaluation Department Working Paper 22), developed originally to monitor and report on Policy implementation. The Evaluation Framework was itself based upon the Social Exclusion Policy's Policy Implementation Plan (2005).

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[79] See Annex D for the list of documents that were reviewed to assess extent of consideration of SE group; whether SE analysis was carried out in the programme design; whether SE is a primary or secondary issue; the strategy of working with SE groups; support to statistical capacity building on SE; engagement with CS who represent SE groups; and disaggregated monitoring.   Note, we did not make a judgement of whether SE **should** be considered in the programme.

[80] Some of the Programmes reviewed did not include either a logframe or a programme memorandum, hence it was impossible to score all of them in the same way as the information was not always available.

However, due to emerging findings from the Global Stocktake up to December 2008, and following a review of its appropriateness in the light of the fieldwork conducted for this India case study, it was agreed with DFID's Evaluation Department that this did not constitute an appropriate lens for the country case studies. The following analytical framework was therefore developed *retrospectively* to the case study, and concurrently to the re-development of the new analytical framework for the global Stocktake. It remains focused however, as the Terms of the Reference for the global Stocktake indicate, around Policy *implementation*, rather than Policy effectiveness. The framework maps DFID-I *areas of activity* (analysis and research, strategy and planning, programming etc) against *interim results areas and indicators* linked to those Social Exclusion Policy commitments considered relevant to country activity.[81]

Under each particular interim results area is listed the 'intended change' that progress in the results area should generate. Commentary is made within each section of this report on the direction of travel towards these changes. The analytical framework is set out below: subsequent sections of the report are structured around the relevant sections.

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[81] Those not addressed within this analytical framework are: Commitment 3 - to work with other UK government departments and development partners around the world to include analysis of exclusion as a cause of conflict and insecurity in our approaches and responses to conflict prevention and reduction); Commitment 4 – to identify opportunities to address social exclusion in fragile states. In addition, Commitment 2 - to promote exchanges of best practice between national sund regional organisations has not been considered by this study (since data collection was complete by the time the new analytical framework was developed).

Analysis / research	Better data & Statistics on SE groups by National Institutions Research commissioned on SE	Country Programmes providing support to National and State institutions on improving national statistics and data on Socially Excluded groups DFID commissioned research on Exclusion	1 more exclusion analysis in DFID country programmes 5 strengthening collection and analysis of statistics 8 commissioning research & exchanging best practice
Intended change: Availability, analysis and use of disaggregated data on excluded groups to support evidence based decision making			
Country strategy and planning	Country level strategies e.g. Country Business Plan (CBP) analyse & identify SE priorities	Evidence of discussion and decision-making on how to implement SE policy within country programmes Evidence of exclusion in the analyses informing the CBP SE indicators in the CBP monitored through annual reviews	1 more exclusion analysis in DFID country programmes
Intended change: Country strategies and plans reflect an emphasis on social exclusion / a more inclusive approach			
Programme design	Sector and geographical programmes analyse & identify SE	Evidence of exclusion in the analyses informing Sector / geographical Programmes Exclusion issues explicitly identified and addressed in sector / geographical programmes	1 more exclusion analysis in DFID country programmes 5 strengthening collection and analysis of statistics 8 commissioning research and exchanging best practice 'As appropriate, DFID can support the integration of inclusive principles into mainstream government policy' (p17);' help governments to change the way they formulate and monitor budgets to ensure resources for excluded groups' (p18).
Intended change: DFID-I programmes reflect an emphasis on social exclusion. National investments increasingly include excluded groups			

[82] Adapted from indicators in Evaluation Framework (EvD WP 22), DFID-I GSEA and DFID RF
[83] P. 21 Reducing Poverty by Tackling Social Exclusion, A DFID Policy Paper (2005)

Partnerships and Policy dialogue	Learning & informed dialogue amongst National and Development partners about SE issues and challenges Partnerships & harmonised approaches on Social Exclusion with relevant donors Civil Society (CS) partnerships promoting inclusion and tackling SE	SE explicit in Policy Dialogue with National & Development partners at different levels and in different channels SE (and related concepts) on the agenda of donor partners Evidence of work with Country CS partners with core mandate on SE	6 Working with international partners 9 Working with civil society 'As appropriate DFID can support the integration of inclusive principles into mainstream government policy' (p17);' help governments to change the way they formulate and monitor budgets to ensure resources for excluded groups' (p18).

Intended changes:: National development frameworks include strategies to address poverty reduction needs of identified SE groups: Joint Donor Accountability Frameworks address social exclusion: National investments increasingly include excluded groups

Accountability frameworks	SE within accountability / monitoring frameworks	Country level accountability / monitoring frameworks contain SE indicators	10 Reporting on progress

Intended change: Greater monitoring of poverty trends/ patterns and impacts on excluded groups

Resources	More diverse workforce within DFID / Human Resource policies & practices address social exclusion issues Gender Equality Action Plan implemented Improved capacity to analyse & address Social Exclusion amongst DFID staff Staff available to work on issues relating to SE	Diversity baseline established Diversity and gender is addressed within training GEAP targets met	7 increasing inclusiveness of its own human resources

Intended change: Increased social exclusion awareness and capacity across the office, greater diversity of resources.

A8.8. Findings

…Empowerment of disadvantaged and hitherto marginalised groups is..an essential part of any vision of inclusive growth. India's democratic polity….provides opportunity for empowerment and participation of all groups, with reservations for SCs, STs, and women'
Government of India (2007) 11th 5 year Plan (Chapter 1 p4)

A8.8.1. Analysis and research

activity	Interim results – leading to change	Indicator	Status / Evidence of Progress
Analysis / research	Better data & Statistics on SE groups by National Institutions	Country Programmes providing support to National institutions on improving national statistics and data on Socially Excluded groups	Good – 12/22 PM reviewed included a commitment to provide support to statistical capacity building relating to social exclusion. examples include: • Orissa PHDMA • AP Health mission • Education SSA - DISE (MHRD), NCERT
	Research commissioned on SE	DFID commissioned research on Exclusion	Good – examples include: GSEA for CBP Forthcoming Orissa study on SE SSA Dalit research DFID-UNICEF Stocktake on social exclusion ICDS Social Assessment DFID commitment to GSEA as part of the NACP II Review[86] Room for Improvement – growth

Intended Change: Availability, analysis and use of disaggregated data on excluded groups to support evidence based decision making

Progress: Across the programme: there is an increasing emphasis on facilitating the availability of disaggregated data. However there are gaps emerging within e.g. the Growth agenda.

Improvements to statistical capacity / data collection and disaggregation: The DFID India programme has recently increased its investment in support for partner capacity around monitoring and reporting. This is now demonstrating results, with a firmer, and more detailed, evidence basis for decision-making now in place. Just over half – 12/22 – logframes and PMs reviewed - included a commitment to provide support to social exclusion statistical capacity building.

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[86] PM for NACP III, p. 16

Good practice examples of support to statistical capacity building:

- Support to the Orissa State Government's Poverty and Human Development Monitoring Agency (PHDMA) – directed at generating an evidence basis to inform the decisions of the Poverty Task Force.
- Support to Andhra Pradesh State and district level Health Management Information Systems – enabling disaggregation of health outcomes and service coverage.
- Education sector – data disaggregation has become a key area for influencing, plus support to the District Information System for Education (DISE) – to improve both data collection and disaggregation.

Commissioned research on exclusion / in research reports in key areas

Research: a growing number (six were identified during the course of research) of impact and thematic studies have been commissioned on social exclusion. These include Gender and Social Exclusion analysis for the Country Plan, research on the experience of the Dalit child in the classroom, and forthcoming research on the multiple dimensions of exclusion in Orissa. However, there is little evidence of research which seeks to identify and analyse exclusion issues in areas such as growth.

Conclusions

In well established areas of the DFID-I programme such as health and education, and in the Orissa state programme where exclusion issues (such as tribal concerns) are a major focus of the development context, there is a growing focus on supporting data analysis and research. In some cases, such as the Orissa PDHMA, this is making a demonstrable contribution to change, responding well to Policy commitments 1, 5 and 8 above. However, there remain gaps in newer areas of the programme, such as growth, which it will be important to address in future programming.

A8.8.2. Country strategy and planning

Country strategy and planning	Country level strategies e.g. CP analyse & identify SE priorities	Evidence of discussion and decision-making on how to implement SE policy within country programmes	Very good – 22/24 logframes and PMs reviewed included an analysis of some elements of SE
		Evidence of exclusion in the analyses informing the CAP	Very good – GSEA informing the CAP
			Room for improvement – Team business plans weaker
Intended change: Country strategies and plans reflect an emphasis on social exclusion / a more inclusive approach			
Progress: there is good analysis of social exclusion at both programme and country programme level			

DFID-I has a number of recent corporate frameworks which inform social exclusion activity. They are the Country Business Plan (2008-15), the Country Governance Analysis (2007) (CGA), the Gender and Social Exclusion Analysis (2008) (GSEA - an Annexe to the Country

Plan) and the Gender Equality Action Plan (2008-2012) (GEAP). To a large extent, these documents inter-relate.

Country Business Plan: The Business Plan is explicit in its mention of inequality, discrimination and exclusion. 'Internal inequalities are pronounced....Discrimination and social exclusion against women and girls, Scheduled Castes (SC), Scheduled Tribes (ST) and minority groups, including Muslims and disabled people structure much inequality.'[87] Two of the Plan's three main objectives – the provision of basic services and the promotion of inclusive growth – reflect exclusion concerns, articulated as 'equity'.

The **Gender and Social Exclusion Analysis (GSEA)** annexe to the Business Plan is the key document setting out DFID-I's understanding of exclusion issues and trends within the country context, and the corporate priorities for addressing it. The development of the GSEA is mandated by the Asia Division Development Plan. It provides a good example of where the corporate system has provided a framework for the analysis and addressing of social exclusion issues.

As with the Business Plan, the GSEA explicitly employs the terminology of discrimination. It also sets out a number of corporate commitments for tackling exclusion, framed around the priority of Inclusive Growth of the Eleventh Plan (although it does not comment on the corporate resources required). Although this study does not constitute a Stocktake against these commitments, its analytical framework has been mapped against them.

Country Governance Analysis: The CGA incorporates a specific section on Inequality, Discrimination and Gender Equality. This discusses, in specific detail, the issues of pervasive inequality in India. It is explicit about the role of discrimination within social exclusion, as per DFID's global definition above, and discusses exclusion in relation to gender, caste, religion (in detail), disability and other minorities. It highlights the link between exclusion and conflict, specifically in terms of religion.
The only parameter on which India's performance is ranked as 'poor' within the CGA is in the domain of inclusion, gender and equity. This potentially provides a strong corporate driver for activity around social exclusion.

The **Gender Equality Action Plan** (2008-2012) has been developed in response to wider DFID central and divisional drivers around gender (to be explored in more detail within the global Stocktake report). It is linked to the Country Performance Framework described below, and sets out DFID-I's proposed targets, areas of action and relevant corporate resources to address gender equality and women's empowerment over the next five years.

The GEAP contains good consideration of exclusion at outcome and activity level, including a focus on the routine collection of disaggregated data by gender / social group (A: Results), increases in gender and social inclusion impact through resources including policy dialogue (B: Resources) and building capacity / ensuring staff have the practical understanding / tools to operationalise commitments to gender and inclusion (C: Building for the Future).

The GEAP places responsibility for these various activities across the office. It makes a commitment to an annual Stocktake, which will form the basis for actions and targets to be revised and updated.

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[87] DFID India (2008) Country Business Plan p6 para 16,

Team business plans: The Business Plans of the three main DFID-I teams (National, Maturing Partnerships and Results and Poorest States) indicate dispersed references to social exclusion. The National team plan makes the strongest allusions, focusing on equity, including access to basic services. The Maturing Partnerships and Results team refers to helping States develop strategies to address poverty challenges and reach the excluded. The Poorest States team plan makes no explicit reference to exclusion (although it does refer to the inclusive growth policy priority) despite it being a major development issue within the three States in question.

While Team Plans are not aimed at in-depth discussion of development issues within their respective contexts, there does remain scope for increased reference to exclusion, given its pervasiveness as a development issue within the Indian context.

Attribution: While it is not possible to comment on the extent to which consideration of social exclusion would be taking place anyway within programmes **without** these frameworks, interview evidence indicates that they have, at least, informed thinking and awareness. It may be, however, that the greatest value of the GSEA in particular has been in the process of its development rather than the product of the document itself – which appears to have raised awareness and developed thinking. The chain of attribution from programmatic decision making to the results frameworks and associated analyses is as yet unclear.[88]

Conclusions

There is a very strong corporate architecture in place, driven in part by the new organisational focus on gender and by previous Social Development Advisor (SDA) champions in the DFID-I office. Combined, these frameworks provide a robust and comprehensive mechanism for pushing the social exclusion agenda forward. However, there are some smaller areas of weakness, notably in Team business plans, and effective monitoring will be required to ensure that exclusion issues are both fully reported upon and remain a priority.

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[88] This finding may also reflect insight into the role of the wider Social Exclusion policy. It will be explored within the global Stocktake report.

A8.8.3. Programme design

'*Geographical targeting is not sufficient to address systemic issues of social exclusion.*' DFID-I
GSEA para. 17

activity	Interim results – leading to change	Indicator	Status / Evidence of Progress
Programme design	Sector and geographical programmes analyse & identify SE	Evidence of exclusion in the analyses informing Sector / geographical Programmes Exclusion issues explicitly identified and addressed in sector / geographical programmes	*Very good - analysis – 21/24 logframes / PMS reviewed included exclusion analysis. Emphasis mostly on SC / ST/ girls* *Good programmatic response in terms of gender and ethnicity and caste* *Room for improvement - Weak programmatic response in terms of religion, disability and HIV status* *Room for improvement - Patchy programmatic response in terms of working directly with excluded groups, targeting, voice and accountability, structural elements of exclusion, working with legislation and policy reform (see table below). Orissa more consistent than AP.* *Room for improvement - Gaps remain around consideration of people excluded because of their religions, age or health identity* *Emphasis on groups rather than systemic issues*
Intended change: DFID-I programmes reflect an emphasis on social exclusion. National investments increasingly include excluded groups			
Progress: increasing emphasis but mainly due to national drivers and patchy across the programme.			

The following table displays findings from a survey of 24 DFID-I current or recent
Programme Memoranda and logframes. Social exclusion analysis and its identification as an
issue within programming– are clearly a high priority within the office:

SE analysis	21	3	24
Explicit mention of exclusion	21	3	24
Gender	22	2	24
Ethnicity / caste	20	4	24
Multiple components	8	16	24
Age	6	18	24
Disability	4	20	24
HIV status	3	21	24
religion	3	21	24

On individual dimensions of exclusion, gender and caste feature most prominently, with high
levels of identification within programme design. This is reflective of interview data, with the
majority of advisers and programme staff interviewed mentioning gender / caste issues as the
prominent dimensions of exclusion featuring in their work and policy dialogue. Religion and
HIV status are far less apparent both in programme analysis and design – a finding which also
concurs with interview findings.

Approaches to integrating analysis into programme design vary, as the following findings show:

Working directly with excluded groups	15	9
Exclusion targeting strategy	18	6
Strategy for voice and accountability (empowerment)	16	8

Enhanced targeting: As noted above, there is good evidence of more systematic disaggregation and analysis leading to improved targeting within health and education programmes in particular. Education programming is being actively shaped by the comprehensive data systems available: community-based monitoring has been supported in the National Rural Health Mission and DFID has advocated here for the active involvement of excluded communities.

Within Orissa, WORLP found that some groups – largely the disabled, widows and those who suffer from multiple dimensions of exclusion – lack the capacity to engage in Self Help Group microfinance initiatives. Special group finance initiatives were therefore developed to ensure that these very marginalised groups could access the opportunities provided. Similarly, in the joint review programme of RNTC and NACP III, there are discussions with ministries on issues of disaggregating data and their analysis. In the last Joint Review Mission of RNTC, a case was made for more gender and social group disaggregated analysis through small surveys.

Other groups: With the exception of areas such as education, there is little evidence as yet of a coherent focus on minorities such as Muslims, or on groups such as the disabled. While occasional examples are present (SSA / APUSP/ OCSPP) this is not systematic across the programme, and much more could be done in terms of analysis, monitoring and reporting, and programme design and implementation.

Innovation: There are some good examples of innovation in relation to social exclusion within programming. These include: the Reproductive and Child Health (RCH) II performance bonus on reaching access targets, plus projected gender Policy Guidelines: the use of triangulation within health research, and education's Dalit experience research. These could be successfully disseminated and shared.

Good practice examples of analysis informing programme design:

- Sarva Shiksha Abhiyan (SSA)
- National Rural Health Mission (NRHM)
- Orissa Tribal Empowerment Project (OTELP)
- Western Orissa Rural Livelihoods Programme (WORLP)
- Andhra Pradesh Rural Livelihoods Project (APRLP)
- Andhra Pradesh Urban Services for the Poor (APUSP)

Examples where a greater emphasis on disaggregation would benefit programming

- Results frameworks for the Revised National Tuberculosis Control Programme (RNTCP) and National Aids Control Programme (NACP) III
- Orissa Industrial Policy Resolution programme, – the recent Annual Review (2008) does not explicitly focus on exclusion, despite this being a major issue within the Resettlement and Rehabilitation policy.

Tackling discrimination: The GSEA notes that "in order to achieve the MDGs and reduce poverty we need to address its (discrimination) causes and break the process that reproduce disadvantage[89]".

Understanding the structural dimensions behind social exclusion will enable programmes to be designed appropriately for specific groups. There is evidence within the State-level programmes assessed that social exclusion analysis is slowly moving beyond social group disaggregation to explore issues of systemic disadvantage and discrimination:

- 12/24 PMs contained a focus on tackling the structural elements of exclusion.
- 15/24 PMs contained a focus on working on legislation / policy reform for excluded groups.

Going forward, further opportunities may exist within programming to start addressing more structural issues around exclusion. For example, education research has been commissioned around the experience of the Dalit child in the classroom, which is generating a discussion about the structural, cultural and societal issues which affect Dalit children's experience of education. This issue is further discussed in section 8.6

Good practice examples of where analysis addresses systemic issues of exclusion

- draft Reproductive and Child Health II Medium Term Review Social Exclusion and Gender Equality Analysis
- ICDS Social Assessment
- recently-commissioned education research on the experience of Dalit children in the classroom
- forthcoming Orissa study on the multiple dimensions of exclusion

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Conclusion

There are growing examples of a focus on exclusion within programme design and implementation. These respond well to Policy Commitment 1 (more exclusion analysis in DFID country programmes) and to commitments in the GSEA. However, the focus remains on the key groups of women / girls, castes and tribes. There is scope to broaden understandings of exclusion, to ensure a more systematic approach to integrating exclusion issues into programming, and to begin to address, within programmatic instruments, the structures and processes that create and perpetuate exclusion.

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[89] GSEA p. 1 & 2 from the Country Business Plan

A8.8.4. Partnership and Policy Dialogue

Input	Interim results – leading to change	Indicator	Progress
Partnerships and Policy dialogue	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	<u>Good</u> in some areas (Orissa, education) but need for more focused approach / understandings in other areas Discussion mostly around groups / programmes / projects rather than structural issues / policy
	Partnerships & harmonised approaches on Social Exclusion with relevant donor and multilateral partners	Social Exclusion (and related concepts) on the agenda of global, regional & country partnerships with WB/UN/EC/other donors	<u>Fair</u> – growing emphasis in dialogue (WB, AsDB, UNDAF, UNICEF). But need for closer engagement
	CS partnerships promoting inclusion and tackling SE	Evidence of work with Country CS partners with core mandate on SE	<u>Good</u> emphasis (IPAP) but lack of time / space for dialogue
Intended changes: National development frameworks include strategies to address poverty reduction needs of identified SE groups: Joint Donor Accountability Frameworks address social exclusion: National investments increasingly include excluded groups			
Progress: National frameworks are a main driver for social exclusion activity. Increasing emphasis within donor partnerships			

Beyond programming, DFID-I encounters opportunities to raise issues of social exclusion within both its partnerships and its policy dialogue processes.

Multilateral partners Most DFID-multilateral partnership programmes pre-date 2005. Social exclusion as a substantive area of focus within partnership agreements prior to this date is generally either muted or absent, although most agreements reviewed do highlight gender. Current arrangements reviewed however appear to place an increased focus on social exclusion / inclusive growth. There are also good examples of DFID adding value / supporting partners around the social exclusion agenda, as a range of Trust Fund partnership evaluations show:

Good practice examples of current Trust Fund PMs with explicit mention of social inclusion / inclusive growth:

- World Bank (2008-13)
- AsDB (2008-13)
- UNDAF (2008–2012)

Examples of Trust Fund evaluations commenting on DFID added value on exclusion issues:

- DFID - World Bank (2007) – increased analytical depth, expansion in scope of issues addressed, development of methodologies to target poorest / vulnerable groups
- DFID - AsDB (2004) - greater capacity for poverty focus within the Bank's activities, and the production of policy guidelines and checklists as safeguards DFID-UNICEF Annual Review (2007) – 'a clear and positive influence to reform UNICEF's role in addressing child poverty and social inclusion.'

However, all those multilateral partners interviewed expressed a wish for increased dialogue / intellectual engagement with DFID around exclusion issues. Some partners voiced the sense of all available space being consumed by the formal processes of development co-operation – and that interaction beyond these boundaries around exclusion would be welcomed. Other partners expressed a desire for closer working relationships in the field through sector specialists and state teams.

State / national interlocutors: DFID-I has significant **scope** and **potential** to address exclusion in policy dialogue due to significant investments / longstanding relationships. Mechanisms for dialogue however still tend to centre around sectors and projects – there is as yet no cross-office strategy. At State level, mechanisms for dialogue include Technical Assistance, benchmark matrices, sector support reviews, the annual Aid Talks and relevant Technical Advisory groups.

There is some evidence of policy influencing around exclusion both at State and National level. However, coverage is uneven and there are varying understandings / approaches around the concept.

Good practice examples of social exclusion being injected into policy dialogue

- Education - DFID's injecting of the 'inclusive school' concept into sector dialogue
- Support to the Orissa Poverty Task Force
- The raising of gender within the annual State-level Aid Talks in the Poorest States Team

Examples of dialogue being facilitated through facilitating CS–Government interaction:

- Orissa PTF – CS forums
- PACS II
- Mahila Samakhya
- NACP III
- SSA
- Orissa Health Sector Reform

Capacity-building around social exclusion is taking place in some areas with State partners:

Good practice examples of capacity building around social exclusion

- Orissa Health Sector Plan – up to £5 million of DFID financial assistance set aside to support work by other departments on health
- Andhra Pradesh Public Management Programme – has an explicit purpose of institutional reforms that will enable improved access and quality of services for the poor, especially ST, SC, women and minority groups (though the logframe does not disaggregate outcomes for different groups.)

In general the language of dialogue has predominantly been around that of 'vulnerable' or 'poorer' groups, with less reference to 'excluded groups' and little emphasis at all on exclusion structures and processes, or discrimination. In Orissa, for example, resistance has been met from the Government in addressing e.g. issues of caste. This reflects an inherent tension between the global Social Exclusion Policy and its playing out within a country programme: the language and concepts of the Policy, particularly around discrimination, are not generally perceived by DFID-I staff to be helpful within India policy dialogue – equity, access and accountability are terms more readily accepted and engaged with by Indian interlocutors.

This finding somewhat belies the assumptions implicit in the language of the GSEA, the CGA and the global Social Exclusion Policy. A useful exercise for DFID-I may be a) to collectively reflect on their understandings of exclusion within the India context, and specifically their position vis-à-vis discrimination, b) to develop a clear sense of where, within the realities and limitation of the India policy dialogue, DFID-I stands on e.g. discrimination, and where it can most usefully engage, and c) to clarify the key messages that DFID-I wishes to convey, via the entry points identified. One way of raising the issue has been found in Orissa through PDHMA support, where data disaggregation and the resulting implications for policy have facilitated a slightly more open discourse around the issue.

Civil Society Three INGOs were interviewed (see Annex C), all of whom have UK-based Programme Partnership Agreements with DFID, and all of whom work in partnership with DFID-I either through programming or as members of consultative groups[90]. One local Civil Society Organisation (CSO) was interviewed. All address exclusion as part of their portfolio.

DFID policy guidelines on gender have been well received and there is clearly a strong engagement with these. However, interviews with these partners indicated that there has not been similar engagement with, or take-up of, the Social Exclusion Policy. Helpage India already works with a niche group comprising the elderly and specifically elderly Dalit and tribal women and this work pre-dates DFID focus on social exclusion. Oxfam's policy against discrimination is now mainstreamed and social exclusion remains a high priority within all 4 thematic areas of their current country strategy. Within the projected IPAP programme, Oxfam propose to work on the theme of Violence against Women. Attribution to DFID's Social Exclusion Policy is however limited.

DFID approaches to social exclusion are considered relatively strong and the IPAP programme (below) is viewed as the main forum for progressing the agenda. IPAP's current lack of progression is seen being due to national Government sensitivities around international agencies becoming involved in perceived advocacy activities. One CSO informant noted that there has been strong engagement between DFID and CSOs led by excluded communities, but that this needs to be carried through and strengthened, with DFID taking the lead.

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[90] Credibility Alliance created to establish "norms of accountability" within the CS and was hosted by DFID

The International NGO Partnership Programme

The International NGO Partnership Programme (IPAP – a projected £20 million investment) has a very explicit social exclusion focus. It will build on partnerships between DFID and several INGOs, with each INGO focusing on a single aspect of exclusion. This programme is the most progressive of those reviewed in terms of social exclusion, and also that which reflects the closest coherence with the definition from the global Policy. However, it has remained 'in the pipeline' with GoI since 2006.

It is also of note that within the IPAP programme, there is no explicit focus on the elderly and the disabled.

Conclusion

There has been good engagement around exclusion with multilateral development partners in particular, although there is scope for enhanced dialogue both here and with government partners. With the latter, dialogue currently takes place mostly at programme and State level. It would be useful for DFID-I to both reflect on their understanding / discourse around social exclusion, and then to a) capitalise on current entry points and relationships, and b) identify new partners as the programme upstreams, to convey its key messages.

A8.8.5. Accountability frameworks

Accountability frameworks	SE within accountability / monitoring frameworks	Country level accountability / monitoring frameworks contain SE indicators	<u>Good</u> –Clearly integrated into country monitoring frameworks though more diffuse at higher levels. <u>Fair</u> – 12 / 21 logframes reviewed contained disaggregated monitoring; 16 / 24 PMs contained a commitment to disaggregated monitoring within the PM or logframe
Intended change: Greater monitoring of poverty trends/patterns and impacts on excluded groups *Evidence of progress towards improved monitoring, but also driven by national/state emphases*			

Exclusion analysis helps provide the evidence base on which programmes can be designed. Monitoring and reporting provides the evidence that analysis has been taken up and utilised to inform programming and policy dialogue, and that poverty impacts are being analysed through an exclusion lens. The GSEA contains a commitment to *continue to monitor and generate evidence disaggregated as far as possible by sex, caste, ethnicity and religion on the impact of DFID supported programmes.*

This section of the report considers the reporting frameworks employed by DFID-I and the accompanying monitoring systems, firstly in terms of the broader corporate results frameworks and secondly in terms of programme-level monitoring frameworks.

DFID-I Results frameworks: The South Asia Divisional Performance Framework (DPF) 2008-2011 provides the main instrument against which DFID-I must report. Social exclusion does not feature heavily within this.

Below the DPF there are currently two overlapping mechanisms. Firstly, the DFID-I Results Framework (RF) was developed internally to assess progress against the Business Plan. Reporting against it is not mandatory. Secondly, the Corporate Performance Framework (CPF) is a mandatory tool for country-level reporting up to the DPF. It was developed after the RF, resulting in attempts being made to 'read across' indicators from the RF to the CPF. Clarity around the roles of these respective frameworks was awaited at the time of writing.

The following table provides a summary of the extent to which social exclusion indicators are reflected within these frameworks:

	Disaggregation mostly by gender e.g. in education, access to economic opportunities etc A footnote states that "country targets will be disaggregated by socially excluded groups/gender whenever this is possible" – providing at least the mandate for disaggregation / reporting.
	Several exclusion-related targets including education (disaggregated by girls, SC, ST and Muslims), health and data (disaggregation by gender).
	Indicators include a symbol which refers back to the GSEA. Areas which include social exclusion indicators include education, governance reform and health. Areas which do not include specific social exclusion indicators are rural livelihoods (which focuses on the rural poor as one group within the RF) and economic services. At contribution level, all sectors address exclusion (framed as 'equity' within education and health expenditure) A cross-cutting target requires least 40% of DFID India targeted results to be gender and socially disaggregated, or to focus on achieving gender equality

Social exclusion therefore becomes more diffuse as reporting frameworks move upwards. Unsurprisingly, the India RF reflects exclusion most distinctly (having been developed in synergy with the GSEA and the Business Plan). We note, however, that 'socially disaggregated targets' within the RF refers primarily to groups of SC, ST and gender.

Programme monitoring frameworks: Individual programmes are systematically reported upon by both Government and partners, jointly in some cases. Programmes dating prior to 2005, when the DFID-I emphasis on exclusion issues was less pronounced, generally demonstrate less awareness of social exclusion within their monitoring frameworks. However, the recent emphasis on disaggregation has resulted in a greater focus on exclusion within monitoring and reporting frameworks (as noted above, 12 / 21 logframes reviewed contained disaggregated monitoring; 16 / 23 PMs contained a commitment to disaggregated monitoring within the PM or logframe).

Good practice examples of monitoring frameworks / reports which emphasise disaggregation:

- Sarva Shiksha Abhiyan (SSA) where frameworks disaggregate by caste, gender and children with special needs
- SSA Joint Review Mission (JRM) to other minority groups such as Muslims, children of the urban poor and migrants – although these are not yet reflected in the results framework
- Mahila Samakhya (does not contain disaggregation in the original logframe - but the results framework shows the OVIs disaggregated by social groups)
- Orissa Health Sector Support programme
- Orissa Inclusive Growth Programme
- RCH II.

Areas for improvement:

- Health - results frameworks for the Revised National TB Control Programme (RNTCP) and the National Aids Control Programme (NACP III).
- SME Support Project, part of the wider Inclusive Growth project

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Monitoring and reporting in Joint Review Missions is facilitated by the use of helpful frameworks and checklists, which capture several dimensions of exclusion. These identify specific questions to ask and highlight indicators of success. A strong example is the framework for assessing equity within Health Planning.

TORs for impact studies: The GSEA contains a commitment to *include assessment of impact on excluded groups within TORs for impact studies*. The Rural Livelihoods sector has shown a particular strength here: examples include impact studies from the Andhra Pradesh Rural Livelihoods Programme (APRLP), the Western Orissa Rural Livelihoods Project (WORLP) and the Orissa Tribal Empowerment Project (OTELP). There remain examples however where exclusion could, and should, feature more prominently within the relevant TORs, such as RNTCP II. The evaluation of DFID Support to AP considers disaggregated poor in the education ("disadvantaged groups) and rural livelihoods (women headed households) and health (tribal groups) programmes, and but does not disaggregate for the other programmes. The Poverty and Social Context section shows little appreciation of different groups of poor, and evaluation data is only disaggregated by gender[91]. It is unclear whether the consultants were given a steer to address exclusion issues within their ToRs.

Conclusion: Monitoring and reporting frameworks generally reflect an increased focus on social exclusion, both at corporate and programme level. However this is generally in terms of pre-defined groups, usually gender, SC and ST, and there is inconsistent application across the programme. There are some significant areas of weakness. As the programme moves towards moving more upstream, it could be worth considering monitoring and understanding what is and isn't being done in terms of policy dialogue on issues relating to social exclusion.

A8.8.6. Resources

Input	Interim results – leading to change	Indicator	Progress
Resources	More diverse workforce within DFID / Human Resource policies & practices address social exclusion issues Gender Equality Action Plan adopted & targets met Gender and Social Exclusion Assessment plan adopted & targets met	Diversity baseline established Diversity and gender is addressed within training GEAP implementation / monitoring GSEA implementation/monitoring	Room for improvement – baseline not yet established To be addressed January 09 Fair – Being implemented Room for improvement – no framework for monitoring this as yet

Intended change: increased social exclusion awareness and capacity across the office, greater diversity of resources

Progress: Concentrated in SD advisers – could benefit from being more widely mainstreamed across the office

Staffing: DFID-I has a number of mechanisms in place which help ensure that social exclusion is integrated across DFID programming. Each task team has a Social Development (SD) resource. Programme Memoranda, Joint Review Missions, Annual Reviews and Medium

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[91] Verulam Associates Ltd. Evaluation and lesson Learning – DFID Support to Andhra Pradesh, 2008

Term Reviews all go to the senior SD Adviser (SDA) for quality assurance. Checklists (see below) help to verify the mainstreaming of exclusion issues.

SDAs are, within DFID-I, very strongly perceived as the main owners and drivers of the exclusion agenda. In part, this has an historical dimension, with two Senior SDAs having acted as 'champions' of social exclusion. An extended gap in a SSDA resource has led to a dilution of this very proactive approach, although current SDAs do feel themselves to be 'pushing against an open door'.

Currently, a named member of staff acts as the Results Champion for gender. No such parallel role exists for social exclusion. It will be a useful next step for DFID-I to broaden out this remit to cover exclusion more widely.

Staff understanding: Advisers and programme staff interviewed, including those from the Governance cadre, displayed mixed understandings of both social exclusion as a development issue for India and of their role in addressing it. Most felt that social exclusion corresponded to groups - generally cited as 'women, SC and ST', with a few references to Muslims or the disabled. Little mention was made by most staff of the structural and process issues around exclusion – that is, the understandings of discrimination, barriers etc provided in the DFID definition of exclusion cited above, and reflected in the GSEA and the CGA.

The risk of considering groups in isolation, rather than exploring structures and processes of exclusion, is that the fundamental barriers which create discrimination and prevent inclusion go unaddressed. While there is a need to be realistic about what DFID can – and should – attempt to achieve in this area, a more systematic approach to analysis will enable, through dialogue, the generation of awareness and discussion to support local stakeholders in engaging with these issues themselves.

The SDA team could hold some internal discussion to ensure full coherence of understanding and messages around exclusion, and particularly how to communicate these across the office. The Governance cadre in particular may benefit from a more consistent understanding around social exclusion, since the structural issues around it so closely affect their remit.

Diversity: Within DFID-I, no diversity baseline been undertaken to follow up on the Diversity Review of 2004 – although the issue of whether and how to conduct this is currently under discussion. No training has yet been put in place around social inclusion, equity or related concepts, despite this being a commitment in the GEAP. However, 'social inclusion', with a focus on gender, is planned as part of an office-wide away day scheduled for January 2009.

Engagement with London: Little contact appears to be routinely taking place between the DFID-I office and the London-based Equity and Rights Team who are tasked with progressing the Social Exclusion workstream, including Policy implementation. In part this is due to time constraints on both sides: it is also symptomatic of a wider issue voiced by interviewees that engaging with London tends to be reactive, rather than pro-active, from the DFID-I perspective. Overall, there was little sense of clarity around the potential added value of increased engagement. Potential areas mentioned included 'introduction of up to date policy knowledge' and 'keeping in touch with 'central' (i.e. corporate) thinking', as well as learning about other country programme activity, such as work on diversity, social exclusion integration within programming etc.

Gender: the GEAP, together with wider corporate drivers emphasising gender, has clearly contributed to building gender capacity within the office. All levels of DFID-I staffing, from senior management downwards, emphasised the importance of gender in interviews on social exclusion. Although there were varying understandings and conceptualisations of what constitutes gender – some seeing it merely as the inclusion of female beneficiaries in projects and programmes – it is clearly currently high on the corporate agenda and is strongly reflected in both the corporate architecture and results frameworks (see below).[92]

Financial resources: with social exclusion so firmly embedded within DFID-I programming it has not been possible (nor in our view would it be useful) to extract specific information around social exclusion 'spend'. However, we note that specific studies around exclusion issues now require the submission of a business case to respective Programme Managers – there is no independent 'pot' of resource available for one-off investigations. While some saw this as a constraint, the reasons for this are to ensure consistency with broader programme objectives. There is no evidence to suggest that this is constraining learning. In fact, a number of recent studies have been commissioned around exclusion (see section 8.1).

Conclusion The social exclusion 'window' opened by previous SDAs remains in place and is supported by the corporate architecture. Other cadres and teams generally perceive that an adequate SDA resource exists for the raising of exclusion on the DFID-I agenda. Beyond the SDA cadre, there are varying understandings of exclusion issues and concepts, and around its role within the development discourse in India.

A8.8.7. Emerging areas – growth and climate change

There are two main emerging areas of policy which present potential entry points for DFID-I to both upstream in terms of policy dialogue and, concomitantly, address social exclusion issues within this process. They are: growth and climate change.

'Inclusive growth'

The Eleventh Plan's emphasis on Inclusive Growth provides a strong directive for work in growth. Although there is a long history of work in the field within DFID-I, the current programme is only gradually taking shape. There appear to be four distinct areas of activity, and within which social exclusion features to a greater or lesser degree. These are: firstly, the Inclusive Growth Project within the Poorest States team, which incorporates work on microfinance and rural livelihoods. Secondly, work within the National Team also addresses microfinance and incorporates work with UNCTAD on the Pro-Poor Globalisation Support Fund. Thirdly, DFID-I now has a Growth team in place, who are tasked to look at wider issues in relation to the Eleventh Plan such as economic policy reform. Finally, ongoing work is of course also taking place at State level to generate inclusive growth – the efforts in Orissa to create a climate for investment through the Industrial Policy Resolution Programme being a case in point.

From evidence surveyed, there is as yet no systematic or coherent analysis or integration of social exclusion within these areas of work. Engagement with social exclusion issues does appear in pockets but is fragmented. Within the National Team's work on microfinance, for example, social exclusion issues have clearly arisen, given that many of the SMEs supported are comprised of excluded groups such as women and dalits. Yet while the programme's social

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[92] This is an area that global Stocktake should explore in more detail – see section 10 below.

appraisal refers to placing a focus on 'disadvantaged sections of society', this is neither adequately specified nor reflected within reporting frameworks.

There is generally little evidence of disaggregation of data within the growth agenda – although it is understood that as part of the National team's work, a research project has recently been commissioned on women's inclusion in growth. Such studies could be broadened out to include other excluded groups, as per the GSEA.

The major question facing the Growth team at the moment is the challenge of sustaining inclusive growth whilst limiting poverty elasticity (i.e. ensuring that poverty reduction increases at the same rate as economic growth). This presents DFID-I with an opportunity to analyse the necessary conditions to ensure that groups who are marginalised or excluded do not miss out on the opportunities and benefits that growth provides.

The Growth agenda is enormously significant for DFID-I given the driver of the Eleventh Plan. DFID-I is directing an increasing level of resources at this area, and this is likely to rise. It will be critically important that social exclusion is integrated within programming – via analysis, monitoring and reporting and programme design and implementation - and within policy dialogue, in order to respond and capitalise upon the opportunities presented by the Plan. DFID-I should, when it is next reflecting on its activities across the Growth portfolio, consider whether it is adequately addressing exclusion issues in its programming and dialogue.

Climate Change

The location of a joint FCO-DFID team within DFID-I to work on the climate change agenda is reflective of shifts within DFID centrally, where policy work on climate change is also gaining momentum. However, the team have only been in place for four months at the time of writing. Their work takes place in three main areas: engaging with India on the international negotiations around climate change; supporting domestic policy development around the issue; and mainstreaming climate change across DFID. Work is guided by three main documents: the FCO Country Business Plan; the DFID India Results Framework; and a strategic paper on Cross-Whitehall Engagement on Climate Change in India.

DFID global policy on climate change is still evolving, and this will necessarily influence work within DFID-I. Within the drafts of central policy work seen to date, exclusion is not addressed explicitly: the area which most reflects some of its concepts is that of adaptation, which discusses vulnerability, resilience and targeted adaptation. This approach is reflected in the India documentation surveyed, which does not contain specific references to exclusion, but which employs the same sort of terminology as the discourse emerging from London.

It is considered that while the reasons for higher vulnerability levels and lower adaptive capacity frequently lie in the wider processes and structures which create and perpetuate exclusion, this may not be the most useful lens for analysing for example climate change policy. Exclusion and discrimination may well be an underlying factor in determining those most likely to be adversely affected by climate change, but for direct analysis of the effects of climate change (since this in itself is not a discriminatory process), a vulnerability analysis which disaggregates among groups – women, children and young people, the disabled and the elderly – may be more relevant. The available research supports this position.[93]

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[93] See for example Scott, Z (29/01/08) Gender and Social Development Research Centre Helpdesk Research Report: Climate Change and Social Exclusion.

A8.9.   Policy Attribution

Summary: *We find from this study that, while there is* **substantial and effective** *work taking place around social exclusion within the DFID India programme, this is being driven mainly by the factors outlined above. We conclude that there is, in this case study context,* **minimal attribution of activity to the Social Exclusion Policy.**

As per its Terms of Reference, this short review has explored some of the current challenges and priorities related to social exclusion in India, and considered how comprehensively and effectively the DFID-I programme addresses the relevant issues and challenges. It will now attempt to relate its findings to the global Social Exclusion Policy.

Given clear early evidence that considerable activity around social exclusion is taking place within the DFID India programme, the core question for the review team was: - Why social exclusion in India? What are the main drivers for this – and, particularly given the role of previous champions in developing and disseminating the Social Exclusion Policy, what lines of attribution can be drawn between the Policy and the country activity?

Section 5 has highlighted some of the main drivers for addressing exclusion within India. These include: the national frameworks; the correlations of exclusion with poverty and conflict; the vast scale of the issue within India; the CGA rating for Inequality, Discrimination and Gender Equality as 'poor'; the strong corporate drivers currently around gender; and the evidence emerging from a greater focus on analysis and disaggregation. All of these reasons were cited by staff interviewed as rationales for engaging with exclusion issues. The Policy was not, on any occasion, cited as a driver for activity.

This does not in itself mean an absence of attribution however: staff may have been influenced by the Policy directly or indirectly. If it has not acted as a driver of change for their work, they may use it as guidance, or as a benchmark to ensure that their professional activities are coherent and consistent with the principles and standards set out in the Policy. However, when explicitly asked about their awareness of the Policy, and knowledge of its contents, responses indicated extremely low awareness levels. One key member of staff who did have knowledge of the Policy, and who has worked closely with exclusion issues in different contexts, stated explicitly that the Policy 'did not empower' them in their work.

Only three (at times faint) lines of attribution emerged linking country activity on social exclusion to the Policy. Firstly, the fact that a GSEA has been conducted which corresponds in language, concepts and approach to the Policy may well have some linkage, albeit indirectly. The conducting of a GSEA is mandatory within the Asia Delivery Plan – but to what extent this requirement results directly from the Social Exclusion Policy is a matter for exploration within the wider Stocktake. Secondly, one member of staff cited the Policy as a 'mental marker' for his work – that is, for noting the fact that Social Exclusion is an important issue corporately, as well as in terms of the development discourse within which he operates – and this necessarily has implications for how he undertakes his work. Thirdly, two former SDAs in the DFID-I programme contributed significantly to the development and content of the SE Policy. This has left the DFID-I with a legacy of high awareness of some of the relevant issues.

A point to note however is that an interviewee who works closely with Dalit Communities noted that she has been showcasing the DFID Social Exclusion Policy, uses it to validate

claims that issues of exclusion require greater integration in development work, and that it has helped other organisations think along similar lines.

Policy challenges: Looking back at the challenges identified by the Policy on social exclusion, however, and the ways in which the international development community can address these, we consider that much programmatic DFID-I activity is consistent with a number of these, as follows:

Work to create legal, regulatory and policy frameworks that promote social inclusion	Good	SSA, NACP, PACS II
Ensuring that socially excluded groups benefit from public expenditure as much as other groups	Good	SSA, APUSP, Mahila Samakhya, PACS II
Improving economic opportunities and access to services for excluded groups	Good	SSA, OTELP, WORLP, APRLP, APUSP, NACP
Promoting political participation in society and capacity to organise	Fair/room for improvement	OCSPPR, PACS II, Mahila Samakhya
Increasing accountability to protect human rights	Fair/room for improvement	PACS II, OSCPPR
Tackling prejudice and changing behaviour	Room for improvement	NACP

Overall, however, we conclude from this case study that, **while there is substantial and effective work taking place around social exclusion within the DFID India programme**, this is being driven mainly by the factors outlined above. We conclude that there is, in this case study context, **minimal attribution to the Social Exclusion Policy.**

This has, as noted, implications for the wider Policy implementation process. This issue will be explored further in the global Stocktake.

A8.10. Key Lessons and Recommendations for DFID India

A8.10.1. Key lessons

In summary: this case study of DFID's India country programme for the global Social Exclusion Stocktake has found as follows:

- An *increasing level of activity* is taking place around social exclusion within the DFID-I programme. This has been facilitated by India's national policy context, and is supported by a strong corporate architecture, particularly DFID-I's Gender and Social Exclusion Analysis (GSEA) annexe to the Country Business Plan.
- *Corporate resources* for addressing exclusion are fairly strong, which has contributed to the integration of SE in programming. However, there are variations in understanding and conceptualisations of exclusion across the office.
- A strong push for *analysis and disaggregation* has led to a greater awareness of the experiences of, and challenges facing, certain groups. There are good examples of qualitative research that go beyond disaggregation to highlight the reasons that groups are experiencing development differently. However, while this has increased the

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[94] This assessment is a *broadbrush* assessment based on our brief analysis of the DFID Programme and is only intended to give a snapshot view of where they are

focus on these sectors of society, it also risks constraining emphasis on more structural elements of social exclusion, as reflected in the Social Exclusion Policy and the GSEA.

- The *dimensions of exclusion* generally considered are gender, caste and tribal groups. Disability, religious groups such as Muslims and other minorities such as people living with TB or HIV/AIDS, the elderly are reflected in some programmes, but are not generally considered in either analysis or programming decisions.

- *Monitoring and reporting* frameworks reflect some dimensions of exclusion well, although within the hierarchy of frameworks, this becomes more diffuse at higher levels. There is a risk that exclusion will become crowded out within upper level reporting.

- There is evidence of programmes increasingly incorporating exclusion concerns into their *design and targeting*, although this is patchy and inconsistent across sectors / State programmes. At times, the momentum gathered as a result of programmatic interventions may risk not being sustained.

- Some *policy dialogue* around exclusion is taking place, particularly within Centrally Sponsored Schemes and at State level. However, as the programme moves upstream towards an increased focus on policy, it will be important to integrate a more defined understanding of exclusion systematically into the development discourse.

- *Growth* represents a major potential entry point for both addressing social exclusion concerns, which are a major development issue within these areas, and also for engaging around the issue in substantive policy dialogue.

- Engagement with *development partners* around exclusion appears to have had good results with multilateral agencies, but less pronounced successes with INGOs due to a more distanced relationship. There is scope for greater dialogue and influencing here.

- There is *limited attribution to the Social Exclusion Policy*. The key drivers are external policy frameworks plus the knowledge of the development context within India.

A8.10.2. Recommendations

A number of recommendations have arisen from this study for DFID-I to further support and enhance its work on social exclusion. They are as follows:

Analysis and research

- While the focus on disaggregated data has been strong, there is a need to broaden out to both more groups (particular foci include Muslims and the disabled), and to multiple dimensions of exclusion (so that analysis can take place at e.g. the level of the Muslim girl or the tribal woman).

Country strategy and planning

- State team plans, on their next update, should include explicit reference to social exclusion as a development issue within their contexts. This is particularly the case for the Poorest States team.

Programme design

- Where there are examples of good practice of working with groups such as Muslims and the disabled and where multiple dimensions of exclusion are considered. Sharing these across programmes will help inform learning.

Partnerships and policy dialogue

- There is a need to focus on structures and processes, above groups. The PST, MSRT and National Teams should take a view on where, in what terms and to what extent, they consider it feasible and useful to engage in this dialogue with interlocutors, and what the key entry points should be. Identifying partner interlocutors such as UNICEF and the ILO to engage on behalf of DFID with government will be useful.
- Growth is a key entry point for policy dialogue, and also a major area in which social exclusion needs to be considered. Teams working on this topic should engage further with the SDA cadre on the issues, and new programmes coming forward need to be 'proofed' for social exclusion. The Orissa DPSP in particular needs to consider these issues.

Accountability frameworks

- There is a clear read-across between the commitments made in the GSEA and the outcomes and results of the GEAP. A review of both documents, resulting in the production of a Gender and Social Exclusion Action Plan, based on the GSEA and incorporating the results / outcomes of the GEAP would a) refocus activity on SE b) ensure that the commitments within the GSEA are monitored and reported upon c) ensure that gender is not distanced from the wider SE agenda and d) potentially strengthen the efforts and results for specific groups. An annual Stocktake of the resulting GSEAP would enable reporting against baselines, ongoing monitoring of progress and the identification of any emerging issues. The Gender Results Champion's remit could easily be expanded to take responsibility for the GSEAP work.

Internal resources

- Internal agreement within the SD team on key concepts / messages for dissemination across the office would be useful, including an initial consideration of what language and concepts are appropriate in policy dialogue. This could focus on how discussion can shift upwards from groups to structures and processes. Short internally-conducted training would lead from this, focused particularly on the Governance cadre, State teams and those working on growth and climate change.

A8.10.3. Implications for the global Stocktake

This country case study, combined with insights from data collection to date around the wider Stocktake, has also led to the following implications for the direction / emphasis of the global Stocktake. We include these here for the reference of Evaluation Department.

- Given the contrasts emerging between the take-up and application of the gender theme across DFID and that of social exclusion (which as noted has a full Policy implementation architecture associated with it) it will be useful within the global

Stocktake to draw some conclusions as to the reasons for these distinctions. A full comparison would be outwith the scope of the study, but lessons learned can, and should, be drawn out.

- The tool of the GSEA has proven a useful and relevant instrument for addressing social exclusion within the India context. The global Stocktake should provide commentary on whether and how such tools support Policy implementation within country offices.

- The Evaluation Framework has proven of limited value in assessing Policy implementation within the India context. The Stocktake should draw conclusions as to whether Policy evaluation frameworks should contain a country- focused component.

- The full Stocktake should provide commentary on the role of the Social Exclusion Policy as it is perceived by DFID staff. Potential areas are: policy as a driver of change; policy as guidance / position; policy as principles and standards.

- Linked to the findings above, the global Stocktake should place an emphasis on the policy process surrounding social exclusion, to identify any gaps or areas of weakness that have emerged. This may provide wider learning for the policy implementation process within DFID.

Annexe A: Review of DFID India Programme against the Policy Evaluation Framework

In 2006 an Evaluation Framework based on the Social Exclusion Policy commitments and Implementation plan was developed.[95] Some of the indicators in this framework were intended to be tracked at the country level; others at the DFID corporate level.

The consultants have carried out a brief assessment of DFID India's contribution to the framework, partly to test the framework itself and partly to see how DFID-I's efforts, and the drivers of the current national context of India, map across the Policy Implementation Plan and Evaluation Framework.

It should be noted, however, that DFID India has neither had sight of the Evaluation Framework nor has been using the Policy Implementation Plan to inform its activities. Furthermore, attributing some of the outputs at level 2 to the Policy and at level 3 to DFID-I is difficult. This is not a comprehensive assessment, as most of the indicators and MoVs in the original framework were developed with DFID corporate in mind.

This assessment is therefore not inserted to make a judgement of DFID-I's performance; rather it is included to support the broader Stocktake process, and to generate understanding of the relevance of the proposed tools for monitoring and evaluating the policy.

2.1 More diverse workforce within DFID	No information for DFID-I
HR policies and practices address SE	No information for DFID-I
Gender Action Plan adopted and targets set	Achieved
2.2 Improved capacity to analyse & address SE amongst DFID staff	Mixed – good understanding of benefits of tackling SE, however mixed understanding of SE definition
2.3 Baseline, light touch & Evaluation (of the policy) Lessons on progress fed back to corporate systems & programming	N/A Mixed – Some evidence that the disaggregated data and impact studies are feeding back into programming. Currently little sharing of experiences into DFID corporate and other countries
2.4 CS Partnership promoting inclusion and tackling SE	Mixed – Main vehicle, IPAP has not started. The INGOs that DFID interacts with, address SE, but not necessarily working with them on SE. Exclusion issues raised in OBCSPP and PACS II
2.5 common and supportive approaches within the UK Conflict Pool/DAC Fragile States Group	N/A
2.6 Partnerships & harmonised approaches to SE	UNDAF shares focus on disaggregated data. Examples of DFID supporting partners around the social exclusion agenda (eg WB and ADB)

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[95] See Evaluation Working Paper 22, Evaluating DFID's Policy on Tackling Social Exclusion – Baseline, Framework and Indicators, Gaynor and Watson 2007

2.7 Better data and statistics on SE groups by National Institutions	Yes and DFID-I continuing to invest in this through its programmes
2.8 Learning and informed dialogue amongst National and Development partners about SE issues and challenges	Mixed – Yes with government partners at programme and state level. SE considered in dialogue with some WB/UN. However, DPs would welcome more dialogue with DFID around SE, and DFID could reflect on understanding/discourse
2.9 Research on SE & within research areas	Yes – impact and thematic studies commissioned on SE and SEGA for CAP completed
2.10 CAPS, RAPS & DDPS analyse and identify SE priorities	Yes – CAP identifies SE as one of 3 priorities, plus SEGA
2.11 SE in conflict reduction strategies	No information
2.12 SE analysis informing Fragile state Strategies	Mixed – SE one of 3 key objectives in Orissa State Strategy, 2004–2008. Language in dialogue has little emphasis on SE structures and processes

3.1 SE indicated in mutual accountability measures	Yes – UNDAF
3.2 NDP analyse and address SE priorities	Yes – 11th 5 Year Plan
3.3 Use of evidence of information available on numbers and types of excluded groups National progress towards agreed indicators for SE & mapping of poverty trends among excluded groups and in relation to non-excluded groups	Yes for SC/ST and some for Muslims. Limited for other groups
3.4 Monitoring of poverty trends/patterns and impacts on excluded groups	Yes for some groups (particularly SC, ST and gender)
3.5 Public investments include excluded groups	Yes for some (health and education)
3.6 Increased empowerment of excluded groups and of the CSOs representing them	No information

Annexe B List of documents consulted

The majority of documents consulted are internal to DFID India.

- A framework for assessing equity within Health Planning (2008)
- Andhra Pradesh Rural Livelihoods Project (1999)
- Annual Review – Orissa Tribal Empowerment and Livelihoods Programme (November 2007)
- Annual Review – Western Orissa Rural Livelihoods Project (April 2008)
- Annual Review – Orissa Public Sector Reform Programme Phase II (March 2007)
- Annual Review – Orissa's Industrial Policy Resolution – 2001 Support Project (February 2008)
- Annual Review – Western Orissa Rural Livelihoods Project (April 2008)
- Annual Review – WB-DFID partnership for India (January 2008)
- Application for Diversity and Equality Award (2005)
- Briefing Notes on Social Exclusion (April and November 2008)
- Country Governance Analysis (2007)
- DFID India Country Plan (2008–2015) 'Three Indias', May 2008
- DFID India Country Plan (2008–2015): Social Exclusion and Gender Analysis
- DFID-I Diversity Review (2004)
- DFID-I Gender Equality Action Plan (2008-20012)
- DFID India – Getting all the children into school: Case Studies of the Impact of India's Sarva Shiksha Abhiyan 2003-2007 (2008)
- DFID India Learning and Development Strategy (2008)
- DFID India - Transforming Rural Livelihoods in India (2006)
- DFID India - How should DFID Work with Civil Society in India, Discussion Paper, May 2007
- DFID, 'Reducing Poverty by Tackling Social Exclusion: A DFID Policy Paper , September 2005
- DFID South Asia Division 2008-2011 Performance Framework: 2008-2009 Mid-Year Assessment, October 2008
- DFID's Strategy Towards Orissa (2008-14)
- DFID-UNICEF Strategic Partnership "Child Rights: Improving life, Expanding Opportunities", Programme Memorandum, December 2005
- Evaluation and Lesson Learning DFID Support to Andhra Pradesh, Programme and Partnership, 1997 to 2007 Final Report (April 2008)
- Government of India (2006) Social, Economic and Educational Status of the Muslim Community of India (Sachar Report)
- Gaynor, Cathy and Sadie Watson (2007) 'Evaluating DFID's Policy on Tackling Social Exclusion: Baseline, Framework and Indicators', Evaluation Working Paper, The PARC
- Government of India, MRHD (July 2008) 8th Joint Review Mission of Sarva Shiksha Abhiyan
- Government of Orissa (2004) Human Development Report
- Government of Orissa / DFID / UNDP (2006) Capacity Development to Operationalise Orissa
- Grawe, Roger(2007) Mid-Term Evaluation, DFID-WB Trust Fund for India, (TF 054784)

- Help Aged 'Fighting Isolation, Poverty, Neglect': HelpAge India, Annual Report 2007-2008
- HelpAge News (2008), Vol.7:2, July-September
- 'Needs Assessment Study Among Urban Elderly': A Rapid Assessment, May 2008, HelpAge India
- Impact Assessment (Evaluation) of Andhra Pradesh Urban Services for Poor (March 2008)
- Institute of Development Studies (2008) Research Summary: DFID India Climate Risk Screening: Securing Poverty Reduction in the Face of Climate Change
- India UNDAF (2008-2012), May 2007
- Joint Donor Review Mission of the Second National Tuberculosis Control Programme (May 2008)
- Resettlement and Rehabilitation Policy 2006
- Mahila Samakhya (Education for Women's Equality Programme) Project Memorandum, May 2007
- Maturing Partnership and Results (MPR) Team Plan 2008/2009 to 2010/11
- Ministry of Human Resource Development: Framework for Sarva Shiksha Abhiyan (2008)
- Ministry of Women and Child Development (2008) Social Assessment for Integrated Child
- Mission Report – India National Aids Control Program – Third Phase, Joint Implementation Review 2 (June 2008)
- Development Services Reform Project
- National Team Plan (2008)
- OPR – IPAP (2008)
- Orissa Watershed Development Mission / NR International (undated) Western Orissa Rural Livelihoods Project
- Partnership for Development – DFID's Country Plan in India: State Plan for Orissa 2004-2008
- PM - Andhra Pradesh Health Sector Reform Programme 2007/2008-2009/2010 (May 2006)
- PM – ADB Poverty Trust Fund (2001)
- PM – DFID – WB Partnership for India (2005-2008)
- PM – DFID-WB Trust Fund (2008)
- PM – DFID / Asian Development Bank Partnership for India 2008-13
- PM – India's Support for Public Sector Reform in Orissa (OPRSP) Extension Phase
- PM - India Andhra Pradesh Public Management and Service Delivery Improvement Programme (Phase 2) (January 2006)
- PM – IPAP (2005-2010)
- PM - National AIDS Control Programme Phase (NACPIII) (March 2007)
- PM – Orissa Civil Society and Poverty Programme (2002)
- PM - Orissa Health Sector Plan
- PM – PACS I (1999)
- PM – PACS II (2008)
- PM - Reproductive and Child Health II (RCHII) Programme (May 1995)
- PM – Small and Medium Enterprises Support Project India (June 2005)
- PM – Support to Orissa DPEP (2001)
- PM - Support for Orissa's Socio-Economic Development (2002-3)

- PM – Support for Implementation of the Government of Orissa's Industrial Policy Resolution (2001)
- PM – Support to Sarva Shiksha Abhiyan II (2008)
- Poorest States Team Plan (2008)
- Project Progress Report – Orissa Budgetary Aid (2003)
- RCH II MTR Gender and Social Exclusion Analysis DRAFT Report (Sept 2008)
- RCH II Sub Task Team Workplan (2008)
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- Social Assessment for ICDS Reform Project, Ministry of Women and Child Development, July 2008 CARE
- TARU, (May 2007) Assessing the Impact of APRLP on Poverty - Andhra Pradesh Rural Livelihoods Programme,
- Technical Support & Advisory services Plan 2006-2009 – Andhra Pradesh Public Management and
- Three Indias: DFID Country Business Plan 2008–15
- Update on the impact of rural livelihoods programmes on MDGs (internal minute)
- UN: United Nations Development Assistance Framework 2008-2012
- Western Orissa Rural Livelihoods Project (2008) Jeebika
- Western Orissa Rural Livelihoods Project / NR International (2007) Whispering Voices

Annex C

Documents reviewed to assess extent of evidence to SE/gender, disability, ethnicity, caste, tribe, age, disability, health status, religion consideration; whether SE analysis was carried out in the Programme design, whether SE is a primary or secondary issue, the strategy of working with SE groups, support to statistical capacity building on SE, engagement with CS who represent SE groups and disaggregated monitoring.

Andhra Pradesh Health Sector Reform Programme	2007–2010	PM & Logframe
Support to Government of Orissa for Orissa Health Sector Plan	2007–2012	PM
Support to Government of India for Reproductive and Child Health II (RCH2) Programme	2005–2010	PM & results framework
Orissa Health Sector Reform	2007–2011	PM
National Aids Control Programme (NACP) III	2007	PM & Logframe
Giripragathi Reaching Tribal People Project – Andhra Pradesh	2005–2008	PM & Logframe
International Labour Organisation The Andhra Pradesh Stat–Based Project for the Elimination of Child Labour Phase II	2004–2007	PM & Logframe
Andhra Pradesh Rural Livelihoods Project (APRLP)	1999–2007	PM & Logframe
Andhra Pradesh Urban Services of the Poor (APUSP)	2000–2008	Logframe
Andhra Pradesh Public Management and Service Delivery Improvement Programme	2006–2009	PM
SSA II Final Results Framework	2008–2011	Results Framework
Mahila Samakhya Final PMS	2007–2012	PM & Logframe
Orissa Tribal Empowerment Project (OTELP)	2005–2010	IFAD appraisal
Western Orissa Rural Livelihoods Programme (WORL)	2000–2010	PM & logframe
Orissa Civil Society Programme (OCSPPR)	2002–2004	PM & logframe
Orissa Industrial Policy Resolution Programme Annual Review	2003–2007	PM & logframe
DFID – World Bank Partnership for India Phase III Trust Fund	2008–2013	PM
DFID– Asian Development Bank Partnership for India	2008–2013	PM
DFID Support to WHO for TA to Drug Procurement for the GoI's Revised National Tuberculosis Control Programme – Phase 2 (RNTCP II)	2005–2010	PM & results framework
PACS II	2008–2012	PM & logframe
INGO Partnership Agreement (IPAP)	2005–2010	PM
Capacity Building for Poverty Reduction	2004–2007	PM
DFID UNICEF Strategic Partnership – Child Rights, Improving life, expanding opportunities	2006–2010	PM

DFID STATEMENT OF PURPOSE

DFID, the Department for International Development: leading the British Government's fight against world poverty. One in six people in the world today, around 1 billion people, live in poverty on less than one dollar a day. In an increasingly interdependent world, many problems – like conflict, crime, pollution and diseases such as HIV and AIDS – are caused or made worse by poverty.

DFID supports long-term programmes to help tackle the underlying causes of poverty. DFID also responds to emergencies, both natural and man-made.

DFID's work forms part of a global promise to:

• halve the number of people living in extreme poverty and hunger

• ensure that all children receive primary education

• promote sexual equality and give women a stronger voice

• reduce child death rates

• improve the health of mothers

• combat HIV and AIDS, malaria and other diseases

• make sure the environment is protected

• build a global partnership for those working in development.

Together, these form the United Nations' eight 'Millennium Development Goals', with a 2015 deadline. Each of these Goals has its own, measurable, targets.

DFID works in partnership with governments, civil society, the private sector and others. It also works with multilateral institutions, including the World Bank, United Nations agencies and the European Commission.

DFID works directly in over 150 countries worldwide, with a budget of some £5.3 billion in 2006/07. Its headquarters are in London and East Kilbride, near Glasgow.

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