coffey international development
SPECIALISTS IN DEVELOPING COMMUNITIES

Evaluation Manager PPA and GPAF: Evaluation Strategy

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ABBREVIATIONS AND ACRONYMS

CHASE	Conflict Humanitarian and Security Department
CSD	Civil Society Department
CSO	Civil Society Organisation
DFID	Department for International Development
EMT	Evaluation Manager Team
GPAF	Global Poverty Action Fund
IATI	International Aid Transparency Initiative
M&E	Monitoring and Evaluation
MDG	Millennium Development Goals
MOU	Memorandum of Understanding
NGO	Non-governmental Organisation
PPA	Programme Partnership Arrangements
TOR	Terms of Reference
QA	Quality Assurance

1   INTRODUCTION

DFID provides significant annual funding to civil society organisations (CSOs) in line with its overall strategy to alleviate poverty and promote peace, stability and good governance. The Programme Partnership Arrangements (PPA) and Global Poverty Action Fund (GPAF) are two of DFID‟s principal funding mechanisms and will provide **£480 million** to approximately **230 CSOs** between **2011 and 2015**.

The current economic climate and results-based agenda demand a rigorous assessment of the effectiveness of funds disbursed to ensure that they are managed to provide value for money. The purpose of this strategy is to provide a clear framework for assessing the performance both of individual grantees and the funding mechanisms overall.

1.1   Funding mechanisms

This Evaluation Strategy is focussed on two key funding mechanisms – the PPA and GPAF. These are described below and summarised in Table 1. Details of all of the organisations funded to date and their grants can be found in Annex 1. The policy objective of PPA and GPAF funding is to alleviate poverty by strengthening civil society and in doing so, contribute to the achievement of the Millennium Development Goals, and good governance.

1.1.1   Programme Partnership Arrangements (PPAs)

DFID has provided support to CSOs through the PPA since 2000 – the PPA as it currently exists will not be continued beyond the current funding period which will finish in 2014. The total budget for the PPA is £360 million and £60 million has been ring fenced for organisations working in the conflict and humanitarian sector (CHASE). Funding for PPA was finalised in April 2011: there are 28 organisations receiving general funding, and 16 organisations receiving CHASE funding. Four organisations[1] are receiving both general and CHASE funding. The funding is flexible and is not tied to a specific intervention or initiative. The anticipated outcomes of PPA funding are:

- Enhanced delivery of results which provide value for money;

- Enhanced generation and use of evidence to improve programming;

- Mainstreaming sector best policy and practice (e.g. gender, disability);

- DFID funding influences grantees targeting strategy and geographical focus.

1.1.2   Global Poverty Action Fund (GPAF)

The **Global Poverty Action Fund** (GPAF) is a demand-led fund supporting projects focused on poverty reduction and the pursuit of the MDGs through **tangible changes to poor people‟s lives** including through: **service delivery, empowerment and accountability** and **work on conflict, security and justice**. Although the GPAF‟s overall objectives are fixed, the funding mechanism itself is constantly evolving to respond to the market. Changes to the GPAF since the dissemination of the February 2012 Evaluation Strategy are captured below in footnotes and summarised in Annex 14.

The GPAF has two funding windows that each offer grants tailored to different types and sizes of organisations: **"Small" Grants**[2] for small UK-based CSOs (with an annual income of <£1,000,000[3])

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1 Christian Aid, Oxfam, Save the Children and Transparency International
2 "Small" grants were formerly referred to as "Innovation" grants

supporting poverty reduction at the community level, and **Impact Grants** for medium-sized UK-based CSOs (no fixed upper and lower annual income limit) working on poverty reduction programmes at larger scale in one or more poor countries. Locally registered CSOs in DFID "focus countries"[4] are also eligible for Impact Grants. All GPAF applicants to both Windows will be able to submit applications that either trial innovative approaches to poverty reduction or use tried and tested approaches to reduce poverty.

The overall funding available for the two windows is **£120 million** over three years, with 10% (£12 million) allocated to the "Small" Window[5] and 90% (£108 million) allocated to the Impact Window. "Small" Window projects are funded with grants up to £250,000, and the Impact Window funds projects with grants between £250,000 and £4 million. Impact Window funded projects have to provide a minimum of **25% matched funding**. The grant duration for both windows is up to **three years**. Please see Annex 14 for more specifications on the GPAF funding Windows and how the fund has evolved over the course of the current funding cycle.

Table 1: Overview of the funding mechanisms

	PPA		GPAF	
	General	**CHASE**	**Small Window**	**Impact Window**
Total allocation	£300m	£60m	£12m (10%)	£108m (90%)
No. grantees	28	16	Approx 60	Approx 120
Grantee profile	CSOs with a global reach and leaders in their field who can add value to DFID"s portfolio, support realisation of its objectives, achieve real results in terms of poverty reduction and provide good Value for Money (VfM)		Small CSOs with income of <£1,000,000 supporting poverty reduction at the community level[6]	Medium-sized CSOs (no fixed upper / lower income level) working on poverty reduction at large scale in at least 1 country
Grant sum	Various		Up to £250,000	£250,000-£4million
Grant mechanism	Flexible Strategic Support[7]		Project funding	Project funding – min. 25% match funding
Fund management	DFID – Civil Society Department Programme Managers	DFID – CHASE Policy Leads	GPAF Manager (external to DFID) reporting to DFID CSD [8]	

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3 The "Innovation" (aka "Small" grants) were formerly limited to UK-based CSOs with an annual income of <£500,000
4 The GPAF originally envisioned making grants available to CSOs in countries where DFID has country offices, not only DFID focus countries
5 The "Small" window was formerly referred to as the "Innovation" window
6 Formerly the grants were worth £500,000 with a focusing on poverty (not limited to the community level)
7 „Flexible Strategic Support" in this context broadly means that grantees are not restricted to only funding specific project-based activities
8 Formerly reporting to the GPAG Board to be made up of both DFID and non DFID representatives

	PPA		GPAF	
	General	**CHASE**	**Small Window**	**Impact Window**
Grant duration	3 years		Up to 3 years	
Funding rounds	One funding round in 2011		2 per year	1 per year
Criteria	See grantee profile above		Working on poverty reduction at the community level[9]	Working on poverty reduction at a large scale in at least 1 country, min. 25% fund matching

1.2 Evaluation of the PPA and GPAF funding mechanisms

It is critical that robust and independent evaluation is applied across the GPAF and PPA portfolios and that the results feed into broader policy- and decision-making frameworks. The evaluation will draw on evidence from grantees and independent evaluations, assessing performance at both the individual grantee level as well as the portfolio or fund level and will assess the extent to which each of the funds achieves its objectives and desired overall impact.

There are a number of stakeholders directly and indirectly involved with the evaluation of the funds. A simple organogram is displayed below:

Figure 1: Organogram

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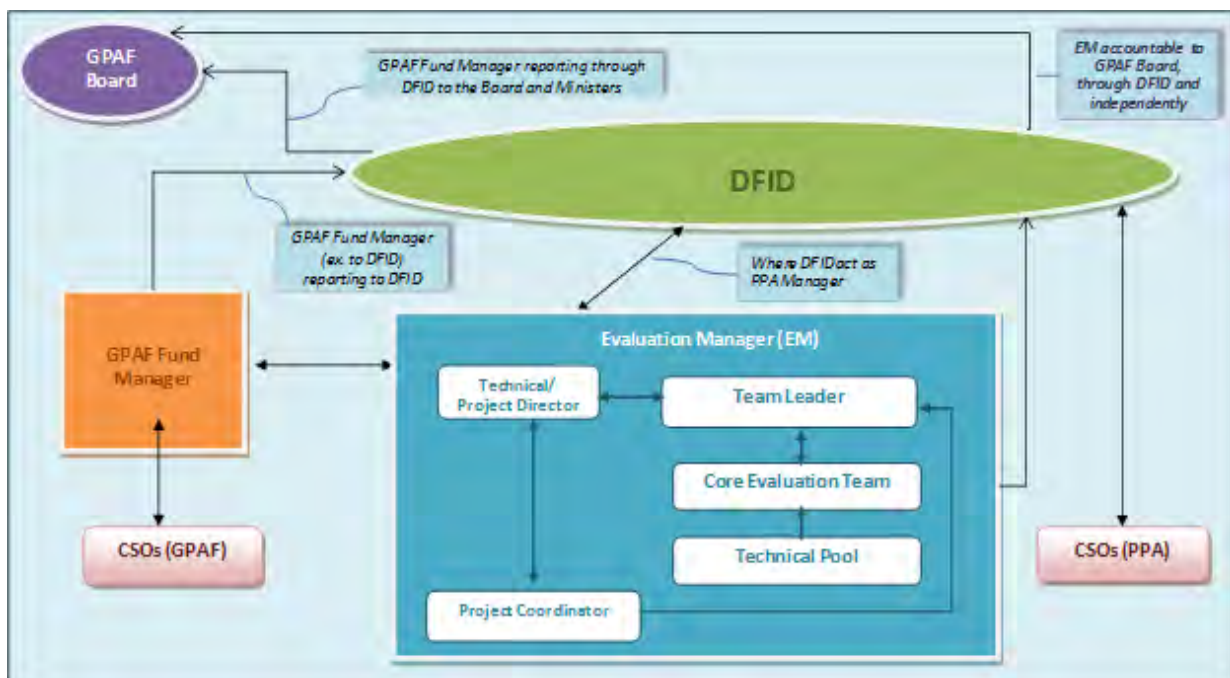
9 Formerly "Innovative approaches" to poverty reduction

PURPOSE OF THE EVALUATION STRATEGY

The purpose of the Evaluation Strategy is to establish a clear assessment framework for the PPA and GPAF, enabling stakeholders to learn, improve and plan for the future. The information needs vary according to each stakeholder, as does the way in which the information will be used. An overview of the key stakeholders and their priorities is provided below[10]:

Stakeholder	Key information requirement	How the information will be used
DFID	Insight into which organisations are providing the best value for money and what DFID funding adds to their capacity and the results they achieve Illustrations of how DFID funding is changing lives and reducing poverty	To justify aid expenditure to the public and in parliament To determine the most effective ways to fund aid in the future
Civil Society Department	Insight into which organisations are providing the best value for money and what DFID funding adds to their capacity and the results they achieve Assessment of whether their strategic rationale behind funding civil society is valid Understanding of the key strengths and weakness of funding modalities and fund management mechanisms, including an assessment of which funding model is the most effective for meeting DFID"s purposes Insight into the most effective organisations, intervention combinations and environmental prerequisites for achieving results Evidence around broader policy questions relating to empowerment, accountability and sustainability	To manage PPA grantees which may, in some cases, lead to a reallocation of their year 3 funding To refine the CSD strategy to better achieve its goals To shape and justify future funding decisions and future funding mechanisms NB: GPAF agencies are managed by the GPAF manager (see below)
CHASE	Insights into countries, sectors, current situations and lessons from the field Assessment of which organisations are performing effectively and the impact they are having	To ensure that CHASE"s policy recommendations are relevant to what is happening in the field and take into account the broader social and political context
DFID Policy Division	Insights into civil society work and policy implications for poverty alleviation	To contribute to broader evidence base for improved policy and programming
Civil Society Organisations	Assessment of their performance Lessons learned from other CSOs working in the field	To improve their programmes, performance and results
GPAF Manager	Assessment of which organisations are performing effectively and the impact they are having enabling the fund manager to support improvements in the	To manage the performance of grantees To ensure that the fund

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[10] It is understood that all stakeholders will be interested in all results of the evaluation, this table simply seeks to highlight their priority areas of interest.

Stakeholder	Key information requirement	How the information will be used
	delivery of projects Understanding of the key strengths and weakness of funding modalities and fund management mechanisms, including an assessment of which funding model is the most effective for meeting DFID‟s purposes Insight into the most effective organisations, intervention combinations and environmental prerequisites for achieving results	management mechanism is maximising performance of grantees To inform recommendations for future funding decisions
GPAF Board	Assessment of which organisations are performing effectively and the impact they are having enabling the fund manager to support improvements in the delivery of projects Understanding of the key strengths and weakness of funding modalities and fund management mechanisms, including an assessment of which funding model is the most effective for meeting DFID‟s purposes Insight into the most effective organisations, intervention combinations and environmental prerequisites for achieving results	Direct the implementation of GPAF funding to ensure that the fund is achieving its objectives.

2   APPROACH AND METHODOLOGY

The Evaluation Strategy of PPA and GPAF is based on DFID‟s strategic rationale for supporting civil society. This rationale is captured in two theories of change. The *Causal* Theory of Change addresses the question *why should DFID support civil society?* and the *Business Case* Theory of Change considers *how should civil society organisations be funded?* These theories of change were developed in consultation with DFID and a range of other stakeholders. An overview of these theories of change can be found in Annexes 2 and 3.

The Evaluation Strategy will assess the performance, additionality and value for money achieved by grantees and the funding mechanisms against their stated objectives and the theories of change.

An overview of the approach is provided in the main body of the text and the full methodology is provided in the annexes:

Principles of evaluation	Section 2.1
Assessing performance and effectiveness	Annex 5
Impact assessment and additionality	Annex 6
Testing the theories of change	Annex 4

2.1   Principles of the evaluation strategy

The design of the evaluation strategy has been informed by 4 key principles, namely:

- **Proportionality** - the Evaluation Strategy will be sensitive to the relationship between performance and the size and type of organisation, as well as the amount the organisation is receiving. The investment in evaluation activity should itself represent value for money and methodologies applied at the grantee level should be justified by the level of expenditure involved, and the extent to which the evaluation is able to produce useful and meaningful results.

- **Relevance** - the evaluation will examine the assumptions and concepts implicit in the theories of change that are of interest to DFID and the sector generally.

- **Context** - when assessing value for money the evaluation will take account of the purpose of each intervention and the difficulties of reaching target populations in order to make meaningful comparisons. It will also consider the difficulty of ascertaining intermediate and ultimate benefits over short to medium-term timescales.

- **Gender** – The Evaluation Strategy recognises the importance of taking a „gendered perspective‟ to understanding poverty and interventions designed to address it. All evaluation activities should be sensitive to gender and its bearing on design, implementation, performance of interventions and the results achieved by grantees. Where appropriate, further disaggregation of information should be considered.

2.2   Assessing performance and effectiveness

The performance assessment is comprised of two components:

- The grantee level assessment which assesses:

    a)   the extent to which grantee organisations are performing against their objectives[11];

    b)   the extent to which grantee organisations and achievements align with DFID"s theories of change (annex 2 and 3);

    c)   the additional benefits to organisational effectiveness and results that can be attributed to DFID"s funding; and

    d)   the value for money achieved by organisations in delivering DFID-funded activities.

- The fund level assessment which assesses:

    a)   the extent to which the PPA and GPAF funding mechanisms are achieving their objectives;

    b)   the extent to which the performance of the funds aligns with DFID"s theories of change (annex 2 and 3); and

    c)   the additionality and value for money of the funding mechanisms as a whole.

2.2.1   Performance assessment criteria

The performance assessment will be based on a standard set of criteria adapted from the OECD DAC standard[12]. „Impact" has been renamed „results" to avoid confusion with the overarching results chain. „Sustainability" has been integrated with the „effectiveness" and „results" criteria, recognising that sustainability refers to the continuity of results that typically have been achieved due to an effective approach to delivery. The key performance assessment criteria are defined as follows:

Relevance – doing the right things

Grantee level: do the grantees respond to the needs and priorities of their constituencies whilst striking a balance between achieving the greatest impact and reaching the poor and marginalised?

Fund level: do the fund portfolios contribute to delivering DFID"s strategic plan, especially in regard to poverty alleviation, the achievement of the Millennium Development Goals, and good governance?

Effectiveness – doing the right things, in the right way

Grantee level: how effective are grantees in terms of: adding value; learning to improve programmes; their organisational effectiveness and benefit to the sector as a whole; their capacity to innovate and channel this into benefits for the sector; their partnership approach; and their ability to assess and understand how their interventions change lives and reduce poverty?

Fund level: how effective are each of the funding mechanisms in achieving their objective in adding value to grantees and influencing the sector as a whole? [13]

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[11] This is reflected in grantees" initial applications and their logframes. For PPA holders this is also reflected in the business cases prepared by DFID to justify funding.

[12] http://www.oecd.org/document/22/0,2340,en_2649_34435_2086550_1_1_1_1,00.html

[13] The assessment will look at the strengths and weaknesses of the PPA and GPAF funding mechanisms, but will not seek to compare them.

Efficiency - doing the right thing, in the right way, at the <u>right cost</u>

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

Fund level: to what extent is each of the funding mechanisms delivering funding efficiency gains as a result of benefits associated with the funding modality?

Results - doing the right thing, in the right way, at the right cost, <u>to achieve results that would not otherwise have been achieved</u>

Grantee level: are grantees achieving what they set out to achieve (as described in the logframe) and is this changing lives and strengthening civil society?

Fund level: what is being achieved at fund level that would not otherwise have been achieved?

While these criteria are standard across the funding portfolios, the criteria are weighted different for each funding strand.[14] The weighting reflects the diverse foci and priorities of the different strands.

2.2.2   Grantee level performance assessment

Grantees will be assessed against their objectives and against the theories of change. For PPA agencies this refers to the organisation‟s performance in areas directly or indirectly related to PPA funding and for the GPAF agencies this relates to the performance of the project that has been funded. In addition to assessing the performance of grantees, the Evaluation Manager will assess the **additionality** of DFID funding – in other words the benefits that DFID funding has enabled grantees to deliver that they would not have been delivered without this funding.

Based on the performance assessment of individual grantees, the evaluation will rate the grantees as high, medium and poorly performing and this will be summarised across each funding portfolio. The performance assessment process and an overview of how this information will be used is summarised in Annex 5.

2.2.3   Performance-based allocation of year 3 funding of PPA

It is intended that performance assessments of individual PPA holders will inform future funding decisions. The timing of the independent progress reviews, mid-term assessments and meta-evaluation by the Evaluation Manager ensures that as much evidence as possible informs PPA DFID‟s funding allocations in year 3 of the programme. It is essential that DFID is able to produce the most comprehensive and rigorous evidence possible to make evidence-based and value-based judgements concerning the most appropriate channels for disbursing its civil society funding to achieve its policy objectives. To this end, the funding allocation process will be determined by consideration of evidence of past performance of grantees and an assessment of the extent to which grantees are able to deliver DFID‟s current and future policy and programming priorities. The assessment criteria defined in this evaluation strategy represent the criteria that will be used to inform funding allocation decisions.

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[14] This includes PPA General, PPA CHASE, GPAF Impact and GPAF Innovation.

2.2.4 Fund level performance assessment

The fund level assessment will comprise both bottom-up and top-down analyses as illustrated in the figure 2 below. The bottom-up assessment will analyse reports including grantees" annual reviews, independent progress reviews and the Evaluation Manager-led primary research. The top-down assessment will assess the extent to which DFID benefits from the funds and the ways in which these benefits are realised. At a macro level, the funds contribute to DFID"s higher level objectives, namely poverty alleviation, the achievement of the Millennium Development Goals, and good governance.

Figure 2: Framework for the fund level assessment
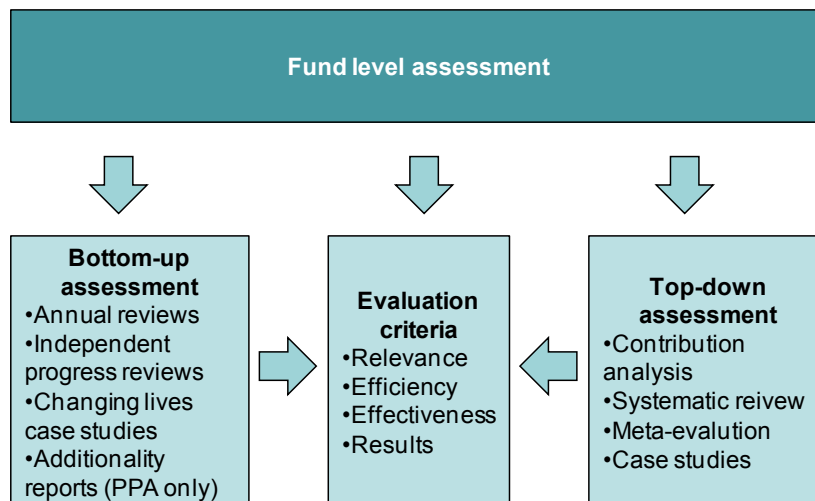
2.3 Impact assessment and additionality

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

The section concludes by providing guidance on contribution analysis, which adopts a theory of change approach to evaluation. This approach is informed by a wide range of evidence sources and perspectives brought together to produce a „plausible" assessment of the „contribution" of grantees to higher level outcomes and impacts. This Evaluation Strategy is first and foremost concerned with ensuring that grantees are able to produce the most robust evidence possible by rigorously using evaluation approaches and research tools that best suit the variety of ways in which DFID funding has been used across both the PPA and GPAF portfolios.

Impact assessment is defined here as the „net" impact that an organisation or project intervention has in terms of the *additional benefits realised that are directly attributable* to the activities delivered by the organisation or project intervention. The *additionality* of the funding is of key importance for DFID if DFID is to understand the net impact of its funding. Additionality is defined as *"an impact arising from*

an intervention is additional if it would not have occurred in the absence of the intervention".[15] In light of DFID"s requirements to understand the additionality of its funding, the essential question that grantees need to answer is: *What is being achieved that **would not** have been achieved without DFID funding?*

The typical approach to determining the impact of an intervention is to compare what happened (i.e. factually) to what would have happened in the absence of the intervention (counter the fact), otherwise called the counterfactual. However, the underlying problem with this approach is that it is impossible to observe what would have happened to the beneficiaries if they had not been affected by the intervention. Therefore impact evaluation requires a rigorous approach to establishing the counterfactual as accurately as possible. The most robust way to do this is to compare the outcomes achieved by those who benefited from an intervention with the outcomes achieved by a group of people who are similar in every way to the beneficiaries, except that they were not subject to the project intervention being evaluated i.e. by using a comparison or control group. This approach to the assessment of impact and additionality typically involves experimental or quasi-experimental approaches and methodologies.

Depending on the level of expenditure and "evaluability"[16] of the type of investment or intervention, the expectation is that the additionality and impacts of DFID"s funding should be quantitatively assessed as far as possible. This does not preclude qualitative methodologies, which are required to ensure that any evaluation of impact is firmly grounded in the context of a grantee"s activities. Crucially, a mixed-method approach provides a qualitative explanation of "why" and "how" the programme is affecting the type and scale of change assessed through quantitative research.

2.3.1 Acknowledging the impact attribution problem

The higher level objective of PPA and GPAF funding is to alleviate poverty by strengthening civil society and in doing so, contribute to the achievement of the Millennium Development Goals, and good governance. These goals are at the highest level and DFID"s investment through PPA and GPAF to achieving them is relatively insignificant in the context of the global corpus of interventions aimed at alleviating poverty. Moreover there are a large number of very important external factors which will influence the results achieved. For these reasons, experimental or quasi-experimental approaches to credibly assessing impacts may be difficult to achieve. Under these conditions it is necessary to consider alternative methods for assessing the funds" "contribution" to change that do not solely rely on quantifying "attributable" change. [17]

2.3.2 Contribution analysis

Whatever the evaluation methodology employed, it is essential that a rigorous assessment of a grantee"s additionality is undertaken. At the very least this should result in a "plausible" account of the difference that DFID"s funding has made to the effectiveness and performance of grantees. Contribution analysis is an approach that can help grantees overcome the attribution problem by systematically constructing an evidence-based and plausible assessment of changes that would not have happened without the support of DFID"s funding.

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[15] HMT Green Book
[16] *Evaluability* is defined in this context as the extent to which grantees" activities can be measured to produce reliable evidence-based judgements of performance, impact and value for money.
[17] Please see the Key Evaluation Terms document and the NONIE paper on impact evaluation for more guidance

Contribution analysis[18] involves assessing the „contribution" that the funding is making or has made through an evidence-based approach to verifying the plausibility of theories of change that underpin the ways grantees have used DFID funding to:

- indirectly „enhance" the delivery of results (in the logframe) in the majority of cases for PPA grantees; or

- directly delivery results (in the logframe) in the majority of cases for GPAF grantees.

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

Contribution analysis involves the following 6 steps[19] that typically a grantee would follow:

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

- Establish and agree with stakeholders a „plausible" theory of change that accurately reflects the ways in which DFID funding has been used to deliver or enhance the delivery of planned results. Specifically focus on the cause and effect relationships at each stage in the impact logic of the theory of change. For those grantees using DFID funding in ways that do not directly relate to results in their logframes, the Three 'circles of influence' (Montague et al., 2002) are useful in this respect[20]:

    > **direct control** – where DFID funding has fairly direct control of the results, typically at the output level;

    > **direct influence** – where DFID funding has a direct influence on the expected results, such as the reactions and behaviours of its target groups through direct contact, typically intermediate outcomes; and

    > **indirect influence** – where DFID funding can exert significantly less influence on the expected results due to its lack of direct contact with those involved and/or the significant influence of other factors.

- Grantees should identify and articulate the assumptions and external influencing factors that could affect the causal linkages in the impact logic.

- In the case of GPAF grantees where the link between DFID funding, outputs and outcomes is relatively direct, these linkages may be expressed in the logframe. In the case of PPA grantees where DFID funding has been used in an unrestricted /indirect way, these linkages and a theory of change will need to be developed that specifically focuses on how DFID funding has been used to enhance the delivery of results. This will result in a theory of change or impact logic that is presented differently than in grantee"s logframe.

Step 2: Set out the attribution problem to be addressed

- Grantees should determine the specific cause and effect questions that each grantee needs to assess through the evaluation process; assess the nature and extent of the attribution problem by asking:

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[18] Mayne, J., (2008) „ILAC Brief 16 – Contribution analysis – an approach to exploring cause and effect", ILAC
[19] Mayne, J., (2008) „ILAC Brief 16 – Contribution analysis – an approach to exploring cause and effect", ILAC
[20] Ibid

> ➢ What do we know about the nature and extent of the contribution expected?

> ➢ What would show that DFID funding has made an important contribution?

> ➢ What would show that DFID funding has „made a difference'?

> ➢ What would indicate that DFID funding has had the effects envisaged in the theory of change underpinning the way in which the grant has been used?

> ➢ How difficult is it to evidence these effects and why?

Step 3: Gather existing evidence on the theory of change

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

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

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

Step 5: Gather additional evidence

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

Step 6: Revise and strengthen the contribution narrative

- This is a continuous process of testing and revising the theory of change that underpins the central argument that DFID"s funding is making a difference. In this way contribution analysis has a formative effect, in that it enables grantees to quickly understand whether or not DFID funding is being used in an optimal way to deliver the changes envisaged at the outset.

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

as possible, including evaluation designs and activities that entail predominantly qualitative research methodologies.

While responsibility for assessing the additionality of DFID funding rests with grantees, the independent evaluators who will undertake the independent progress reviews (IPRs)[21] will be involved with the impact assessment. Where feasible, they should be involved as early as possible by grantees so that they can provide technical support to design the assessment or carry out the steps described above.

VfM Questions	Assessment approach	Assessment mechanism	Further information	Reporting mechanisms
To what extant are individual grantees providing value for money?	Measurement Approach	• Cost effectiveness analysis • Cost benefit analysis	s2.5.2, Annex 12	Annual review process and Independent Progress Reports
	Management Approach	Review of management systems and processes relating to: • Procurement • Planning • Financial systems • M&E and learning systems • Leverage • Delivery processes Organisational review of: • Type and scale of costs • Influencing factors • Efficiency gains		
To what extent are the GPAF and PPA funding mechanisms providing value for money?	Synthesis of grantee-level VfM evidence	• Systematic review • Meta-evaluation	s2.5.3, Annex 5	Annual value for money report
	Aggregate assessment of costs and additionality	• Secondary data analysis		

2.4   Testing the theories of change

The theories of change describing *why* and *how* DFID should fund civil society are based on assumptions and hypotheses relating to the relationships between organisations, funding, interventions, civil society, the poor and poverty alleviation. [22] These assumptions were explored during a series of Theory of Change Workshops held with DFID and the GPAF Board. The Evaluation will:

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[21] See section 3.2 for further details on IPRs
22 For more guidance on Theory of Change, please see the paper by Comic Relief in the library of documents

- Assess to what extent individual organisations and their achievements align with the theories of change.

- Assess to what extent the PPA and GPAF align with the theories of change; and

- Test a number of the hypotheses in the theories of change which were identified as key interest areas by Stakeholders during the theory of change workshops. The hypotheses to be tested are expressed as evaluation questions and described further in Section 4 and Annex 4.

2.5   Value for Money Assessment Strategy

The approach to the assessment of value for money is intended to provide organisations using DFID funding with a flexible strategy that enables grantees to produce robust and credible evidence of value for money. The Evaluation Manager Team has engaged with the **Bond Effectiveness Programme** in developing this approach. In particular the approach has been designed to complement the background paper (2012) produced by Bond called „**Value for money: what it means for UK NGOs"**. The Evaluation Manager Team will continue to liaise and engage with the *Bond Effectiveness Programme* throughout the course of the evaluation to ensure that grantees are able to benefit from access to a range of complementary technical M&E support and resources.[23]

Value for money assessments will be made at both the grantee and fund level. This section will provide an overview of the Evaluation Manager"s approach for assessing value for money, and helpful guidance to grantees on how to measure and report on value for money. Annex 12.2 contains a plain English glossary of evaluation and value for money terms to assist stakeholders to understand and better engage with value for money.

2.5.1   General approach to value for money assessment

Given the range of different types of interventions within the PPA and GPAF it is essential that, as far as possible, the *distinctive „value"* delivered by each grantee organisation is clearly defined and evidenced in ways that capture both qualitative and quantitative benefits. Accordingly the assessment of the value for money from GPAF and PPA funding requires a range of potential tools and techniques[24] to enable an appropriate but explicit assessment of the extent to which the value of the benefits achieved justify the costs incurred.

The value for money arising from PPA and GPAF funding is largely determined by the extent to which efficiency gains are achieved and evidenced throughout the lifetime of the grant.

„3E"s approach: our approach to assessing the cost-effectiveness and value for money of individual grantees and the fund is framed by a „3E"s approach[25] that considers the key components of value for money as economy, efficiency and effectiveness.

Figure 3 below sets out the key components of value for money that represents an impact chain (or logic chain) linking the allocation of financial resources to outcomes. The diagram below relates the

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[23] For more guidance on Value for Money, please see the papers by BOND and DFID in the library of documents
[24] Palenburg, M. (2011): Tools and methods for evaluating the efficiency of development interventions. Evaluating Working Papers. Bonn: Bundesministerium fur wirtschaftliche zusammenarbeit und entwicklung
[25] ODPM (2004) „Assessing the Impacts of Spatial Interventions – Regeneration, Renewal and Regional Development – The 3Rs Guidance"
DFID (2011) „DFID"s Approach to Value for Money (VfM)"

impact chain to the overall value for money i.e. the total outcomes achieved for the total costs incurred, broken down into the following components[26]:

- **Economy** – the cost of the inputs; are the necessary inputs (e.g. human resource costs, travel costs, accommodation costs, IT costs etc.) being secured at the minimum necessary cost? In other words, are you *doing things at the right price;*

- **Efficiency** – the ratio of inputs to outputs; are outputs being produced efficiently? In other words, are you *doing the right things at the right price*; and

- **Effectiveness** – the link between outputs and outcomes; to what extent do the outputs translate into the anticipated outcomes? In other words, are you *doing the right things at the right price, in the right ways.*

Figure 3: Value creation throughout the project lifecycle
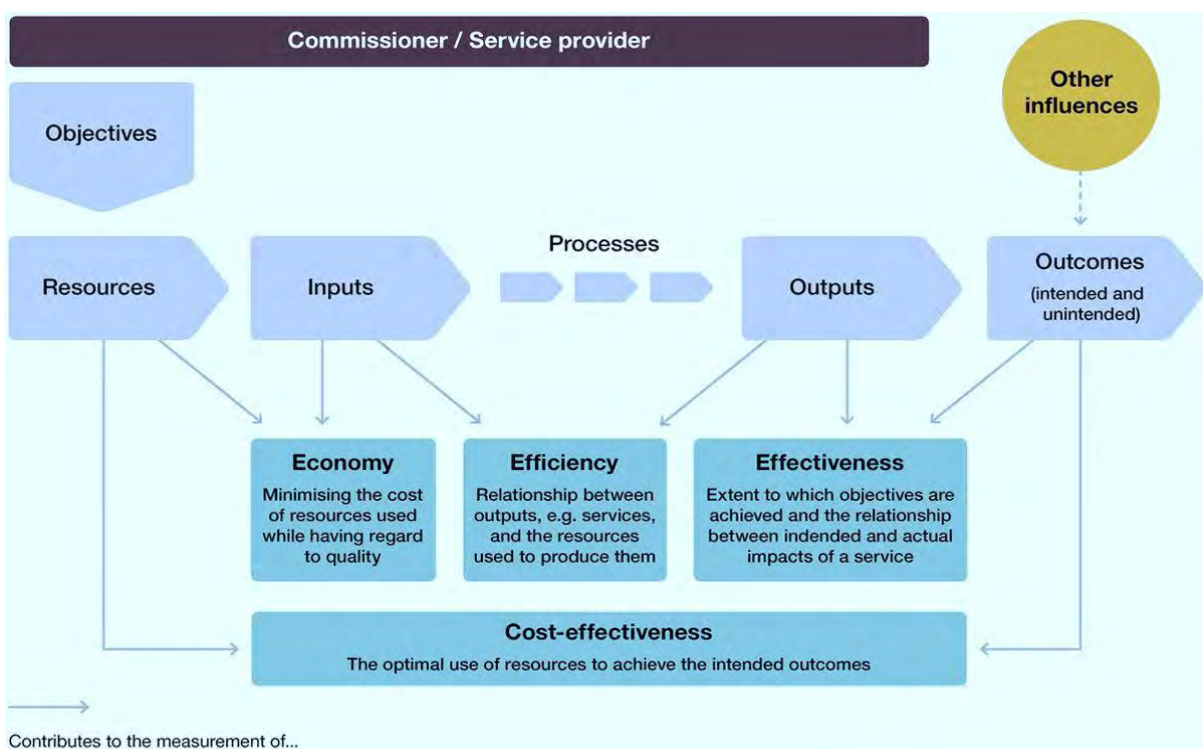
Source: adapted from ODPM (2004), Assessing the Impacts of Spatial Interventions

The value for money assessment approach set out in this strategy is consistent with the *HMT Green Book and Magenta Book* and closely adheres to the latest guidance on value for money, in particular:

- DFID"s Approach to Value for Money (VfM), July 2011, DFID

- ICAI"s Approach to Effectiveness and Value for Money, November 2011, ICAI

- BOND"s Value For Money Approach and What It Means for UK NGOs, January 2012, BOND[27]

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[26] Ibid
[27] Please see all of theseValue for Money materials in the library of documents (annex 11) for more guidance.

2.5.2   Value for money assessment at the grantee level

There are two main approaches through which grantees can assess and report on value for money in line with the „3E"s approach described above:

- **A measurement approach** which focuses on cost optimization through measurement and comparative assessment to determine: whether grantees have achieved the quantity and quality of the inputs, outputs and outcomes required at the „least" cost; and a comparative assessment of all lifetime benefits and costs to provide a social and economic return on DFID"s investment; and

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

Detailed description of both approaches and how they might be applied is provided in Annex 12.

2.5.3   Value for money assessment at the fund level

The analysis and findings gathered at the grantee level will be collated and analysed as part of the systematic review /meta-evaluation process. This part of the assessment considers how well DFID has allocated and managed the use of the resources at its disposal to deliver sustainable impacts for those who are poor and disadvantaged.

The meta-evaluation should be able to provide a value for money assessment that articulates and demonstrates the efficiency of the different funding modalities. The efficiency assessment of different funding modalities is measured by fund performance assessment criteria measuring additional and attributable synergetic, catalytic and leadership effects. A systematic review of the realisation of these effects at the grantee level will be complemented by analysis of the high level fund management and administration costs associated with the disbursement of funding. Appendix 5.4 provides a summary of the key criteria that will be used for assessment of the value for money derived at the fund level.

2.5.4   Reporting on value for money

Grantees are required to report on value for money as part of the annual review process. An assessment of organisations" value for money will also be made through the independent progress reviews.

The Evaluation Manager will produce a standalone *Value for Money Report* in Year 2 of PPA funding and annually thereafter.

Purpose: the purpose of this report is to present a value for money assessment that enables DFID to draw conclusions on which types of interventions or combination of interventions represent „best" value for money. The Annual Value for Money Report will present DFID with usable data and analysis concerning the relationship between costs and benefits and linkages to the performance of different types of civil society interventions such as service delivery, advocacy, capacity building etc.

Formative[28] **assessment of value for money:** the annual value for money report effectively represents a formative assessment of the value for money delivered by grantees because of the interim nature of the annual assessments at different lifecycle stages in the implementation of PPA

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[28] *Formative assessment* is primarily concerned with improving programmes in real-time by assessing whether or not the process of delivering activities is affecting the desired changes or *likely* to affect the desired changes in the short-term

and GPAF funded activities (refer to Figure 3 above). At the early stages of implementation the assessment of value for money should focus on how efficiently and effectively the „resources" available have been used to provide the „inputs" that grantees require to deliver the proposed planned activities. Depending on the stage of implementation, the value for money will also consider the extent to which the inputs provided are efficiently and effectively delivering the required „outputs".

Summative[29] assessment of value for money: a summative assessment of value for money will be provided by the Evaluation Manager as part of the final evaluations of the PPA and GPAF. This assessment focuses on the impacts and value for money derived from the longer-term effects of grantees.

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[29] *Summative assessment* examines the effects or outcomes of the intervention by describing what happens subsequent to delivery of the activities; assessing whether the activities can be said to have caused the desired outcomes; determining the overall impact of the causal factors beyond the immediate outputs and the relative costs associated with the intervention under evaluation

3   SOURCES OF EVIDENCE

In order to answer the evaluation questions, data will be drawn from a variety of sources and triangulated. The table below provides and overview of the evaluation questions and which sources of data will be used to inform them. This is followed by a brief description of how the sources of evidence will be gathered. Enquiries into how organisations and their interventions relate to the „most poor and marginalised" recognise that women and girls are disproportionately affected by poverty and often make up a significant part of these groups.

Evaluation Question	APR	Changing Lives Case Study	IPR	DFID Learning Case Study	Theory of change case study	Additionality Report	Meta logframe	Verification case study
Testing the Causal Theory of Change								
What are the necessary pre-requisites for interventions to be effective (i.e. external environment, DFID involvement, supporting interventions, gender mainstreaming, strength of partnerships and/or coalitions)?	x	x	x	x	x		x	x
What might be effective combinations of interventions to achieve results in different areas?	x	x	x		x		x	x
To what extent are civil society organisations and their partners unique in their local knowledge, legitimacy with and trust from the communities they work with (especially the poorest and most marginalized) and their ability to deliver in areas where Government or donors cannot?	x	x	x	x	x		x	x

Evaluation Question	APR	Changing Lives Case Study	IPR	DFID Learning Case Study	Theory of change case study	Addition ality Report	Meta logframe	Verification case study
How are CSOs encouraging citizens to do things for themselves?	x	x	x		x		x	x
To what extent do CSOs reach the most poor and marginalised?	x		x				x	x
Does empowerment lead to more accountable government?	x		x				x	x
The "sustainability hypothesis": Direct service delivery is localised and unsustainable, whereas civil society holding government to account leads to broader and more sustainable results	x	x	x	x			x	x
To what extent does funding civil society organisations add value to what DFID could do independently or through other actors? What type of actors/interventions work to support DFID policy and programmes?	x	x		x	x			x
Testing the Business Case Theory of Change								
What effect does the funding model/mechanism have on the performance and behaviour of grantees (especially in the areas of learning and innovation)? How can this be leveraged to maximise value for money?	x			x				x

Evaluation Question	APR	Changing Lives Case Study	IPR	DFID Learning Case Study	Theory of change case study	Additionality Report	Meta logframe	Verification case study
What is the distinctive value of different types of organisations in delivering the critical success criteria outlined in the Business Case Theory of Change?	x	x	x				x	x
Performance Assessment								
Which organisations provide the best value for money?	x		x					x
What is the most effective funding mechanism?[30]	x		x	x			x	x
How many people are being reached through the GPAF and PPA and how are their lives changed?	x	x	x					x
To what extent does DFID funding achieve additionality?	x		x			x		x
To what extent are organisations achieving and documenting results and using evidence to improve performance?	x		x	x				x

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[30] This question is not designed to be a comparison between GPAF and PPA as grant mechanisms, but rather an appraisal of the strengths and weaknesses of funding mechanisms in achieving the overarching objectives of the Civil Society Department

Evaluation Question	APR	Changing Lives Case Study	IPR	DFID Learning Case Study	Theory of change case study	Additionality Report	Meta logframe	Verification case study
To what extent are interventions sustainable?	x	x	x					x
Are the grantees generating, sharing and using learning? To what extent is DFID taking up the learning?	x		x	x				x

3.1 Annual Review Process (ARP)

The annual review process (ARP) for PPA grantees will be led by DFID and requires grantees to report against their logframe and provide a more general report which provides narrative around the outcomes achieved, challenges faced, lessons learned and other relevant areas. DFID will assess the reports submitted and provide feedback to PPA holders. The first ARP for PPA grantees will take place one year into the funding period, with subsequent ARPs at yearly stages. (Please also refer to the timeline presented in section 6)

In addition, the Evaluation Manager will undertake a light-touch assessment of a selection of annual reports submitted through the ARP by PPA grantees. This will be incorporated into the feedback provided by DFID to the PPA grantees.

The annual review process for GPAF grantees will be led by the GPAF Fund Manager. The Evaluation Manager will provide support to the GPAF Manager and review a selection of grantees annual reports.

Annex 7 provides an overview of the process, indicating the roles and responsibilities of the key stakeholders and the expected timeframes.

Grantees" annual reports will be a key part of the impact assessment (both at grantee and fund level) and will also feed into other components of the evaluation.

3.2 Independent Progress Reviews (IPR)

Independent Progress Reviews (IPR) are independent evaluations that are commissioned by grantees to assess the performance of organisations and the impact of DFID funding.

- **PPA grantees** are expected to commission and manage Independent Progress Reviews at the mid-term evaluation stage (18 months into funding) and final evaluation stage (36 months into funding).

- **GPAF grantees** are not required to commission an IPR at the mid-term stage but are required to commission an IPR during the final stages of their project.

The IPR will:

- Report on grantees performance against the performance assessment criteria (see annex 5);

- Verify grantees" assessment of the additionality of DFID funding (see annex 7); and

- Verify grantees" reporting within regards to changing lives (see annex 9).

The Evaluation Manager has prepared draft terms of reference for the IPR and these are included in Annex 8 along with a detailed overview of the IPR process, outlining the key roles and responsibilities. As noted in section 2.3, the IPR will be a key part of grantees" impact assessment. In order to ensure the quality of assessment, it is advised that the evaluator be commissioned as early as possible to design the impact assessment and allow organisations sufficient time for consultation and to collect relevant data and information throughout the lifetime of the grant.

3.2.1 Proportionality in relation to the IPRs

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

While the IPR commissioned by organisations must respond to all elements of the TOR, the cost and scope of the IPR should be proportionate to the amount of funding received by grantees. General

guidance is that **evaluation costs should represent 3-5% of the total funding allocation.** It will be for each organisation to determine exactly how much it is reasonable for them to spend on their IPR.

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

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

3.3   Case Studies

There will be a number of case studies conducted as part of the evaluation, led by both the Evaluation Manager and the grantees:

a)   verification case studies (led by the Evaluation Manager);

b)   theory of change case studies (led by the Evaluation Manager);

c)   DFID learning case study (led by the Evaluation Manager);

d)   additionality report (led by PPA grantees); and

e)   changing lives case studies (led by PPA and GPAF grantees).

The case studies *led by the evaluation manager* will not require „substantive work" from grantees. Research and reporting will be undertaken by the Evaluation Manager. Grantees may be asked to participate in interviews, make existing documents available and facilitate the research process but the burden on grantees will be kept to a minimum as far as possible.

Details of the case studies are summarised in table 4 below, and detailed in the sections below. Further guidance on the case studies, including the selection process, is contained in annexes 5, 6 and 9.

Table 4: Guidance on case studies

Detail	Verification Case Study	Theory of change case studies	DFID Learning case study	Additionality report	Changing lives case study
Purpose	To verify the reports of grantees	Test the hypotheses and assumptions made in the theories of change	Determine to what extent DFID is taking up and applying learning generated	Evidence the additionality effects of DFID funding	To understand how and to what extent grantees impact on the lives of the poor and marginalised
Responsibility	Evaluation Manager	Evaluation Manager	Evaluation Manager	PPA Grantees	Grantees
Timeframe	Verification visits will be conducted throughout 2012 and 2013	Evaluation visits will be conducted throughout 2012 and 2013	June 2013	Grantees will submit an additionality report as part of the annual review process in April each year	Grantees will submit changing lives case study as part of the annual review process in April each year
Number of case studies to be conducted	30	14	1	All PPA grantees[31]	All PPA & GPAF grantees
Reference in strategy	Annex 5, appendix 5.3	Annex 4	Annex 5, appendix 5.5	Annex 6	Annex 9

3.3.1 Verification Case Studies

As part of the assessment of grantee performance, the evaluation manager will carry out approximately 30 evaluation visits to GPAF and PPA grantees in order to verify the results reported in the annual reviews and independent progress reviews.

The selection of grantees will be based on:

* sector

* profile

* geography

* funding

* approach

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[31] GPAF Grantees will be required to report on additionality as part of the annual review process and are encouraged to read Annex 6 for an understanding of how additionality and attribution have been contextualised in the Evaluation Strategy

In order to verify grantee reporting, the Evaluation Manager will use a combination desk research, face-to-face and telephone interviews and project country visits, relying on both primary and secondary data. Further details about the verification case studies are provided in Annex 5, appendix 5.3.

3.3.2 Theory of Change Case Studies

There are a number of assumptions and hypotheses in the causal and business case theory of change (see annexes 2 and 3) relating to the contribution of civil society to poverty alleviation and DFID‟s funding policy respectively. The Evaluation Manager will test these hypotheses and assumptions through a combination of systematic reviews and case studies (for a more detailed approach see Annex 4).

The Evaluation Manager will undertake approximately 14 case studies across the GPAF and PPA portfolio. The case studies will be selected according to:

- geography

- funding

- funding per capita

- fragility

- transparency and accountability

The case studies will involve desk research, face-to-face and telephone interviews and country visits and will be undertaken throughout 2012 and 2013. Further information on the „theory of change‟ case studies can be found in Annex 4.

3.3.3 DFID Learning Case Study

One of the key performance assessment criteria at fund level is the extent to which DFID learns from grantees and grant funding in order to improve their programming and ensure value for money for taxpayers. There will be a case study which will specifically assess how learning from the GPAF and PPA is accumulated and used, and what are determinants of this process.

This case study will take place in June 2013 after the second round of annual reviews and will be led by the Evaluation Manager. Further details of the DFID Learning Case Study can be found in Annex 5, appendix 5.5.

3.3.4 Additionality Report

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

- how DFID funding helps organisations to deliver enhanced results (**additionality**); and

- to what extent DFID funding is responsible for the results achieved (**attribution**).

All Grantees will be required to report on additionality and attribution as part of the annual reporting process in April each year:

- **GPAF grantees** will report on additionality in the annual review template

- **PPA grantees** will be required to submit a separate additionality report.

Detailed guidance on additionality and reporting templates are provided in Annex 6.

PPA grantees will be required to provide a self-reported verified assessment of their additionality at the same time as the submission of the Annual Review Process. Annex 6 provides the methodology for the self-assessment of additionality at the grantee level.[32]

GPAF grantees are not required to submit a separate Additionality Report. Instead, GPAF grantees will be asked to demonstrate additionality as part of the Annual Review reporting requirements.

3.3.5 Changing Lives Case Studies

PPA and GPAF grantees are requested to complete Changing Lives Case Studies during the annual reporting processes in April of each year.

Understanding how grantees interact with beneficiary populations and gathering evidence on what factors influence success and failure is extremely important in testing the theories of change around why and how civil society should be funded. Through the changing lives case studies, grantees will be asked to report on best, typical and worst case scenarios and to provide qualitative evidence around how and why their interventions were or were not successful in changing lives. This evidence **will not** be used to judge grantee performance, but to better understand strengths and limitations of civil society interventions more generally.

3.4 Meta-logframe /database reporting

Three meta-logframes have been developed: one for the General PPA, one for the CHASE PPA and one for the GPAF. Each logframe draws together grantees" outcome indicators under common sectors (e.g. health, education) and domains of change (e.g. access, policy change, mobilisation). Information will be held on a database that will allow outcomes baselines, milestones, targets and achieved results to be presented and summarised under relevant sectors/domains, to help provide a better overall view of achievements (or failures) at portfolio level. The Evaluation Manager will design, maintain and implement the database. A formal report against the meta-logframes will take place at regular intervals, tied into key reporting stages such as the annual review process. The database is designed to be live so that it can be interrogated by DFID and the Evaluation Manager as required.

In addition, each grantee"s output statements and indicators have been mapped onto the same sectors and domains. This means that reports on the meta-logframe can also show outputs that contribute to those sectors/domains.

For the General PPA only, a set of common output indicators have been developed. This includes:

- Number of people / households / communities directly or indirectly supported or reached

- Number and type of resources produced

- Number of groups trained / provided with capacity support

- Number and type of policy influencing activities carried out

- Number and description of initiatives designed to support women and girls directly

Grantees" individual output indicators have been mapped onto these common indicators to allow for a greater degree of aggregation across common output areas. These areas are discussed more fully in the meta-logframe documents in Annex 10[33].

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[32] Please see the ERDF guide to additionality in the library of documents

4   DELIVERABLES

The evaluation findings will be presented through a number of key deliverables which are described in the table below, along with an overview of the timeframe and dissemination process.

The outputs of the evaluation will inform these key areas and be presented in the following format:

Deliverable	Content	Format	Timeframe	Dissemination process
Grantee support[34]	Guidance on how to develop a logframe and baselines Advice on appropriate evaluation methodologies. Advice on generating usable data on costs, benefits, success rates and lessons from civil society interventions Best practice principles and standards in evaluation	Various (incl. written & telephone advice; guidelines)	Ongoing	The GPAF manager will manage the dissemination process
Database	Evaluation Manager will design, maintain and implement a database that will allow outcomes baselines, milestones, targets and achieved results to be presented and summarised under relevant sectors/domains, to help provide a better overall picture of achievements (or failures) at portfolio level. The database is primarily designed to hold and interrogate information on the funded organisations rather than perform any calculated functions, beyond sorting information according to relevant criteria.	Oracle Database	Ongoing	The database is designed to be live so that it can be interrogated by DFID, grantees, or the Evaluation Manager as required
Thematic papers	5 short thematic final evaluation reports relating to the GPAF on a range of themes to be determined, but which may include: gender, a specific thematic focus on one or more MDGs, a regional report etc.	Report	Years 3 and 4	Evaluation Manager submit documents to DFID. DFID will determine dissemination process

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[34] This is primarily targeted to GPAF organisations

Deliverable	Content	Format	Timeframe	Dissemination process
Lessons learned workshops and workshop reports	Series of grantee workshops on lessons learned. Principal aim of the lessons learned workshops and workshop reports is to increase CSOs awareness of benefits of functioning M&E systems	Workshops, workshop reports	2 workshops in total, 1 in year 2 and the other in year 4	Evaluation Manager will organise and deliver workshops in collaboration with GPAF Fund Manager. Evaluation Manager will manage submission to DFID
Value for money report	Stand alone Value for Money report to provide DFID with usable data and analysis concerning the relationship between costs and benefits and the linkages with the performance of different types of civil society interventions	Report	Annually	Evaluation Manager will submit reports to DFID
6 monthly reports	A financial report on evaluation of the GPAF and PPA, including details of efficiency savings developed and implemented An overview of the competence and usefulness of all evaluations completed by grantees, listing key points of interest and any areas of concern An overview of the performance of the evaluation function of each GPAF grantee and PPA organisation against evaluation best practice, together with recommendations of how evaluation can be further strengthened in the civil society sector Recommendations for any changes to guidance or procedures on how grants are appraised and evaluation is managed in the GPAF or the PPAs	Report	6 monthly	Evaluation Manager submit reports to DFID

Deliverable	Content	Format	Timeframe	Dissemination process
PPA Mid-term evaluation report	The mid-term evaluation report will provide a preliminary assessment on the effectiveness of the funding model, as well as some evidence around the underlying assumptions in the theory of change. The mid-term evaluation will draw on grantees own reporting as well as the independent evaluations commissioned by each organisation	Report	November 2012[35]	Evaluation Manager will submit reports to DFID
GPAF Mid-term evaluation report	The mid-term evaluation report will provide a preliminary assessment on the effectiveness of the funding model, together with a formative assessment of the underlying assumptions of the theory of change that underpins the rationale for the fund.The mid-term evaluation will draw on the evidence submitted by grantees as part of their own performance reporting.	Report	May 2013	Evaluation Manager will submit reports to DFID
Final evaluation reports	The final evaluation report will provide conclusive evidence around the effectiveness of the funding models and the assumptions underlying the theories of change, drawing on evidence from grantees, independent evaluations and The Evaluation Manager"s own research and assessment	Report	April 2014[36]	Evaluation Manager will submit reports to DFID

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[36] The dates for a final evaluation of the GPAF are currently being finalised.

5 TIMEFRAMES

Timeframes for PPA Holders	
End of May 2012	PPA Partners submit first Annual Review report
End of June 2012	Annual Review reports assessed by DFID and feedback provided to PPA holders
15 Oct 2012	Independent Progress Reviews (commissioned by PPA holders) submitted to DFID CSD
Mid November 2012	The Evaluation Manager report to DFID on Independent Progress Reviews. All PPA holders „scored" by traffic light system Mid-term evaluation of PPA funding mechanism
End of Nov 2012	Evaluation Manager submits mid-term evaluation findings to DFID
Early 2013	PPA holders informed of funding levels for final year of PPA
June 2013	PPA Partners submitted second Annual Review report
End of Aug 2013	Annual Review reports assessed by DFID and feedback provided to PPA holders
June 2014	PPA Partners submit third Annual Review report
36 months after funding agreement	Independent Progress Reviews (commissioned by PPA holders) submitted to DFID CSD
November 2014	Final evaluation of PPA funding mechanism

Timeframes for GPAF Holders	
NB: The Evaluation Manager contract will expire in January 2015, before the completion of many GPAF grants. This means that the evidence base for the mid-term and final evaluation will be limited to some degree. This will not, however, influence the reporting timelines for grantees.	
End of May 2012	First Annual Review stage for **Innovation Grants**. GPAF grantees submit a "light-touch" Annual Review report only in view of the relatively short amount of time that projects will have had to deliver results
End of May 2012	First Annual Review stage for **Impact Grants**. GPAF grantees submit a "light-touch" Annual Review report only in view of the relatively short amount of time that projects will have had to deliver results
End of June 2012	Annual Review reports assessed by GPAF Fund Manager (in collaboration with the Evaluation Manager) and feedback provided to GPAF grantees
April 2013	Second Annual Review stage
End of June 2013	Annual Review reports assessed by GPAF Fund Manager (in collaboration with the Evaluation Manager) and feedback provided to GPAF grantees
July 2013	Mid-term evaluation of GPAF funding mechanism
April 2014	Third Annual Review reporting stage
Immediately prior to the end of funding	Independent Progress Reviews (commissioned by GPAF holders) submitted to DFID CSD
November 2014[37]	Final evaluation of GPAF funding mechanism

5.1   Roles and responsibilities for evaluation

The roles and responsibilities of the various stakeholders are described in the table below:

Stakeholder	Roles
Evaluation Manager	• Ensure the evaluability of both GPAF and PPA grant agreements • Support partners to develop best practice evaluation functions[38] • Develop and implement overall evaluation strategies and implementation plans for each fund • NB: The Evaluation Manager is required to maintain a degree of independence from grantees throughout the remaining stages of the evaluation programme. The Evaluation Manager will provide general guidance in the form of best practice notes and guidelines, but will not be able to directly support individual grantees.
Civil Society Organisations	• Provide robust evidence addressing the evaluation criteria • Provide verifiable insights into how and the extent to which DFID funding enables them to do things that might not otherwise be able to do • Support independent evaluators and quality assure their independent progress reviews • Actively communicate and share learning with other CSOs to ensure a harmonised approach and strengthen the sector as a whole
Civil Society Department	• Manage the annual review process for grantees • Provide The Evaluation Manager with the information necessary to conduct the evaluation – including insights into the strategic rationale behind the funding • Participate in case studies
CHASE Department	• Provide The Evaluation Manager with the information necessary to conduct the evaluation – including insights into the strategic rationale behind the funding Participate in case studies
GPAF Board	• Provide The Evaluation Manager with the information necessary to conduct the evaluation – including insights into the strategic rationale behind the funding
GPAF Fund Manager	• Support the Evaluation Manager in the dissemination of the Evaluation Strategy and work with the Evaluation Manager to ensure that grantees understand the Strategy and how it relates to them • Act as the facilitator through which The Evaluation Manager can support grantees develop and improve their evaluation systems and methodologies • Work closely with The Evaluation Manager to ensure the evaluability of both GPAF and PPA grant agreements • Manage the annual review process for grantees • Provide The Evaluation Manager with detailed information on the grantees and how their performance has been managed • Provide The Evaluation Manager with detailed information on the grantee selection process and insights into how this relates to the overall objective of the GPAF

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[38] Largely related to GPAF agencies

6   EVALUATION PROCESS

6.1   Consultation strategy

The Evaluation Manager has engaged in an intensive consultation process over the course of developing the Strategy to ensure that it reflects DFID‟s priorities and will be practical and effective in its implementation. A wide range of stakeholders have commented and contributed to the report, including DFID departments (Civil Society, CHASE etc) and Civil Society Organisations.

6.2   Dissemination strategy

The purpose of the Evaluation is to enable stakeholders to learn, improve and plan for the future. In line with this, the dissemination strategy formalises how and to whom information and results from the PPA and GPAF will be disseminated. Dissemination of the Evaluation and findings will be in compliance with the International Aid Transparency Initiative (IATI)[39].

As described in section 2, there are a number of key stakeholders in the evaluation of the PPA and GPAF. There are also a number of other parties who are not directly involved with the PPA or GPAF, but who are interested in the evaluation and its findings. The stakeholders can be categorised into three groups according to the way in which they will interact with the evaluation and its findings:

- **Act**: Stakeholders who will change their practice as a result of the evaluation process and findings

- **Understand**: Stakeholders who wish to understand the project as it relates to work they are doing without directly affecting it

- **Aware**: Stakeholders who would like to be aware of the evaluation and its findings, but do not require detailed information about the evaluation process.

These stakeholder groups are reflected in the diagram below:

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[39] For further details see http://www.aidtransparency.net/
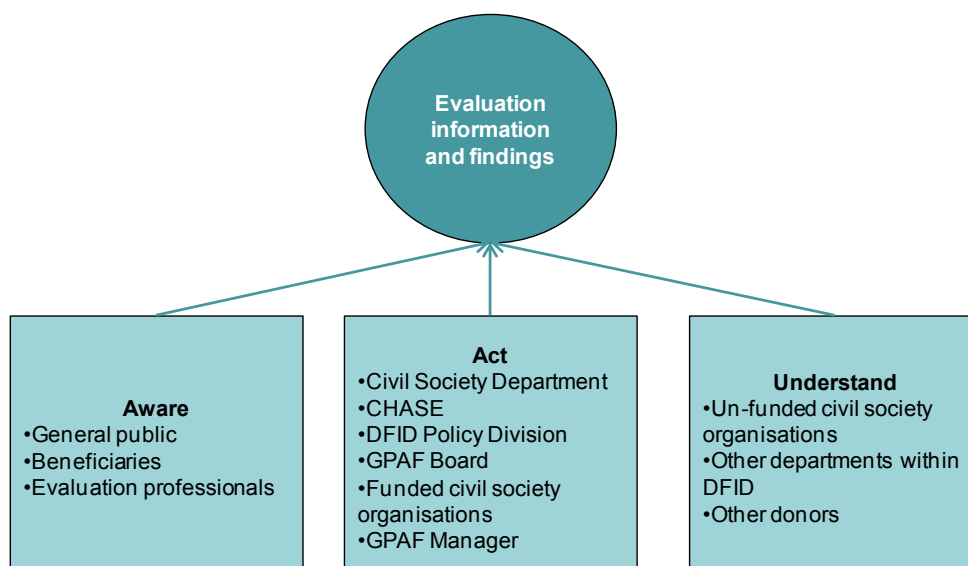
In considering the dissemination of the Evaluation and findings, it is important to take into account all of the groups listed above. DFID and grantees will be largely responsible for publishing information related to the evaluation for the sake of transparency. In disseminating the evaluation findings, existing networks and communication channels, such as PPA learning groups or NGO membership organisations should be used as much as possible. This will help to ensure that all stakeholders have easy access to the information and can use it to improve the policy and programming.

The key deliverables (see section 4), their audience and the mode of delivery is detailed below.

Deliverable	Audience	Timeframe	Dissemination process
Database	DFID	Ongoing	DFID staff will have access to the database
Thematic papers	All stakeholders	Years 3 and 4	DFID will publish the Value for Money Report
Lessons learned workshops and workshop reports	DFID, funded grantees	2 workshops in total, 1 in year 2 and the other in year 4	DFID will determine who attends the workshops. Workshop reports will be produced by the Evaluation Manager and disseminated by DFID
Value for money report	All stakeholders	Annually	DFID will publish the Value for Money Report
6 monthly reports	DFID	6 monthly	DFID will publish the 6 monthly reports
Mid-term evaluation report	All stakeholders	November 2012	DFID will publish the mid-term evaluation reports
Final evaluation reports	All stakeholders	January 2014	DFID will publish the final evaluation report

It will be the responsibility of grantees to publish their annual performance reviews in line with the IATI guidelines. Detailed guidance on the dissemination of grantees" Independent Progress Reviews is provided in Annex 7. Essentially, grantees are required to publish their IPRs, but **only once the Evaluation Manager has conducted a quality assurance assessment of the IPRs and provided comments on the independent report.** Comments will be provided in an Evaluation Manager Report that should be published with each of IPR.

6.3   Identifying and mitigating evaluation risks

The Evaluation Manager, DFID and the GPAF Fund Manager recognise that the breadth of the evaluation combined with the diversity of grantees and the expected level of evidence raises a number of practical challenges. Please refer to Annex 13 to view the Evaluation Manager"s risk assessment matrix which identifies a number of these potential challenges that PPA and GPAF grantees may face over the course of the evaluation process and how the Evaluation Strategy /Evaluation Manager Team will try to control and mitigate them. This annex is not exhaustive, but it does provide stakeholders with helpful points to quickly identify and plan for possible risks.

7   UTILITY

The performance assessment of individual grantees and of the PPA and GPAF funding mechanisms as a whole should be used to drive programming improvements at both levels. Findings and recommendations on the funding mechanisms will be made during the mid-term evaluation and it is intended that these help inform ongoing fund management. Both grantees and fund managers should be able to demonstrate that they have acted upon the evaluation recommendations and addressed the issues identified through the assessment process. After each reporting period, grantees should work closely with their fund manager[40] to develop action plans which set out how they plan to address the findings of the evaluation.

Subsequent reviews and final evaluations will include an assessment of the extent to which these action plans have been implemented. The final evaluation will provide comments on the development and evolution of the funding mechanisms throughout the evaluation period.

The use of evidence for PPA agencies is depicted in figure 4 below.

Figure 4: Example of the review-action planning process throughout the life of the PPA grant
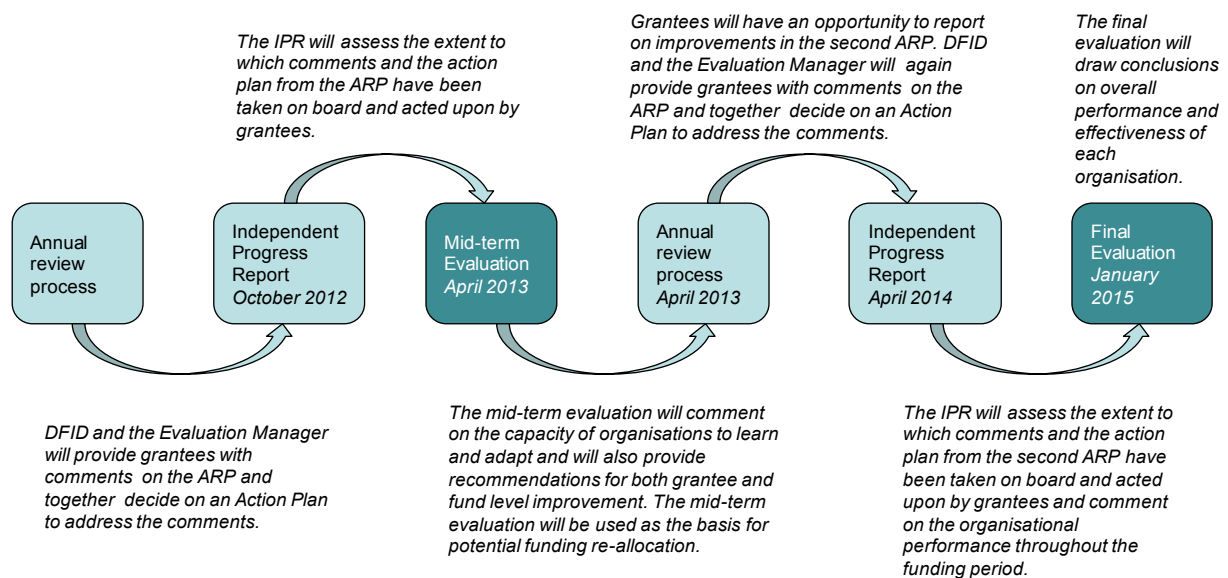
For GPAF grantees, the annual review process will be the main formative assessment mechanism as organisations will only conduct an Independent Progress Report at the end of the funding period. The Evaluation Manager"s mid-term evaluation in June 2013 will occur at a different stage of project implementation for grantees depending on when they received their funding and where they are in the implementation cycle. Based on the comments provided by the GPAF Manager,[41] grantees will work with the GPAF Manager to develop an action plan to address key lessons learnt to improve performance. Subsequent ARPs will assess the extent to which the action plans have been implemented and provide further recommendations. The mid-term evaluation will also comment on the extent to which grantees are taking steps to continuously improve their performance as a result of the review /evaluation process.

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[40] For the General PPA, each organisation will work closely with a relationship manager, and for the CHASE PPA, a policy advisor. For GPAF, grantees will work with the GPAF manager.
[41] Comments will also come indirectly from the Evaluation Manager

Annex 1

Overview of funding

NB: Funding for GPAF Impact Grants is provisional only

GPAF
Database of GPAF/PPA funded organisations for ES
Source: DFID documentation, project proposals & logframes

Org Name	Ref	Lifetime DFID funding (£)	Per year funding (over 3 years)	Match funding / funding from other sources (£) - *GPAF only*	Total project cost (£) - *GPAF only*	% of DFID funding of total project cost - *GPAF only*	Turnover (£)	% funding of turnover apportioned over 3 years - *PPA only*	Primary sector of project - *GPAF only*	Secondary sector of project - *GPAF only*	Tertiary sector of project - *GPAF only*	Geographic focus - *GPAF only*	Primary intervention type	Secondary intervention type	Organisational profile
PPA GENERAL															
ActionAid	327	12,357,016	4,119,005				66,754,333	6.2							Multi - sectoral orgs.
ADD International	375	3,401,475	1,133,825				4,123,000	27.5							Niche - sectoral specialist
Article 19	159	1,628,062	542,687				2,170,749	25.0							Niche - sectoral specialist
CAFOD	264	12,532,929	4,177,643				48,214,000	8.7							Multi - sectoral orgs.
Care International UK	334	9,699,805	3,233,268				34,056,000	9.5							Multi - sectoral orgs.
Christian Aid General	351	17,987,601	5,995,867				92,900,000	6.5							Multi - sectoral orgs.
Ethical Trading Initative (ETI)	220	1,205,309	401,770				1,339,233	30.0							Niche - sectoral specialist
Farm Africa	336	9,234,809	3,078,270				6,594,667	46.7							Multi - sectoral orgs.
Gender links	158	1,874,602	624,867				2,082,891	30.0							Niche - sectoral specialist
GAIN	360	9,449,390	3,149,797				21,549,072	14.6							Niche - sectoral specialist
HelpAge International	117	8,010,806	2,670,269				18,900,000	14.1							Multi - sectoral orgs.
International HIV/AIDS Alliance	225	11,674,868	3,891,623				34,048,860	11.4							Niche - HIV/AIDS specialist
Islamic Relief	305	3,000,000	1,000,000				48,596,533	2.1							Multi - sectoral orgs.
Malaria Consortium	156	8,010,806	2,670,269				14,510,548	18.4							Niche - sectoral specialist
Marie Stopes International	356	13,059,157	4,353,052				98,016,333	4.4							Niche - sectoral specialist
OXFAM General	326	28,834,101	9,611,367				308,600,000	3.1							Multi - sectoral orgs.
Plan UK	113	12,303,165	4,101,055				40,089,000	10.2							Multi - sectoral orgs.
Practical action	315	8,673,182	2,891,061				22,014,000	13.1							Multi - sectoral orgs.
Progressio	390	6,075,044	2,025,015				5,368,314	37.7							Multi - sectoral orgs.
Restless Development	144	8,266,317	2,755,439				4,000,000	68.9							Multi - sectoral orgs.
Save the Children GENERAL	304	23,324,277	7,774,759				199,127,000	3.9							Multi - sectoral orgs.
Sightsavers	361	11,216,035	3,738,678				91,543,000	4.1							Niche - sectoral specialist
Transparency International GENERAL	105	8,010,807	2,670,269				9,984,355	26.7							Orgs. working at level of intl. systems
VSO	N/A	78,000,000	26,000,000				54,675,000	47.6							Multi - sectoral orgs.
Water Aid	352	12,604,921	4,201,640				43,218,000	9.7							Niche - sectoral specialist
Womankind Worldwide	140	1,681,150	560,383				2,490,590	22.5							Niche - sectoral specialist
World Vision UK	283	11,813,296	3,937,765				59,967,000	6.6							Multi - sectoral orgs.
WWF UK	229	9,271,067	3,090,356				49,104,000	6.3							Multi - sectoral orgs.
IPPF	N/A	25,800,000	8,600,000				78,307,155	11.0							Niche - sectoral specialist
Fairtrade Labelling Organsiation	N/A	12,000,000	3,000,000				10,138,360	29.6							Niche - sectoral specialist
PPA CHASE															
Asia Foundation	402	7,335,090	2,445,030				74,695,733	3.3							Multi - sectoral orgs.
Avocats Sans Frontiers	186	4,351,354	1,450,451				3,626,128	40.0							Niche - sectoral specialist
British Red Cross	203	4,913,866	1,637,955				182,051,000	0.9							Multi - sectoral orgs.
CDA Inc	83	1,368,460	456,153				1,140,383	40.0							Niche - sectoral specialist
Christian Aid CHASE	351	3,780,180	1,260,060				92,900,000	1.4							Multi - sectoral orgs.
Conciliation Resources	345	3,007,738	1,002,579				2,506,448	40.0							Niche - sectoral specialist
Development Initiatives	382	1,167,979	389,326				973,316	40.0							Niche - sectoral specialist
International Alert	230	5,217,480	1,739,160				16,190,556	10.7							Multi - sectoral orgs.
MAPAction	232	453,473	151,158				377,894	40.0							Niche - technical specialist
Norwegian Refugee Council	416	7,629,436	2,543,145				81,204,415	3.1							Niche - sectoral specialist
OXFAM CHASE	326	4,679,004	1,559,668				3,086,000,000	0.1							Multi - sectoral orgs.
Penal Reform International	310	3,244,132	1,081,377				2,703,443	40.0							Niche - sectoral specialist
People in Aid	350	620,396	206,799				516,992	40.0							Niche - technical specialist
Saferworld	301	5,217,480	1,739,160				4,328,137	40.2							Niche - sectoral specialist
Save the Children CHASE	305	4,901,706	1,633,902				199,127,000	0.8							Multi - sectoral orgs.
Transparency International CHASE	105	2,112,225	704,075				9,984,355	7.1							Orgs. working at level of intl. systems
GPAF INN															
African initiatives	INN-01-0019	145,525		27,451	172,976	84	163,729		Education	Empowerment - women/girls	Empowerment - other marginal	Tanzania	Supporting people to do	Advocacy - local gov	Multi - sectoral orgs.
Trust for Africa's Orphans	INN-01-0086	249,417		0	249,417	100	434,536		Livelihoods & Markets	Empowerment - women/girls	N/A	Uganda	Supporting people to do	N/A	Multi - sectoral orgs.
PONT	INN-1-0060	146,700		32,600	179,300	82	131,337		Health - HIV/AIDS	Health - general	N/A	Uganda	Supporting people to do	N/A	Niche - locational specialist
India Development Group (UK)	INN-01-0070	64,299		24,033	88,332	75	89,693		Livelihoods & Markets	N/A	N/A	India	Supporting people to do	N/A	Multi - sectoral orgs.

Organisation	Grant ID	Amount 1		Amount 2	Amount 3	%	Amount 4		Sector 1	Sector 2	Sector 3	Location	Intervention type 1	Intervention type 2	Organisational profile
HealthProm	INN-01-0080	177,444		31,612	209,056	85	230,468		Care and protecion	N/A	N/A	Tajikistan	Supporting people to do	Partnership - national go	Multi - sectoral orgs.
ICA:UK	INN-01-0094	61,525		12,176	73,701	84	184,011		Education	Empowerment - women/girls	N/A	Togo	Supporting people to do	Partnership - regional go	Multi - sectoral orgs.

PLEASE NOTE THAT GPAF IMPACT FUNDING IS PROVISIONAL as all grants have not yet been signed.   GPAF IMP

Organisation	Grant ID	Amount 1		Amount 2	Amount 3	%	Amount 4		Sector 1	Sector 2	Sector 3	Location	Intervention type 1	Intervention type 2	Organisational profile
Desmond Tutu HIV Foundation (DTHF)	IMP-01-PL-0027	961,557		444,842	1,406,399	68	3,402,353		Health - general	Health - HIV/AIDS	Empowerment - women/girls	Western Cape Province	Supporting people to do	Service delivery	Niche - sectoral specialist
Mercy Corps Scotland	IMP-01-PL-0075	310,122		1,239,644	1,549,766	20	22,897,250		Livelihoods & Markets	Empowerment - women/girls	None	Nepal	Supporting people to do	None	Multi - sectoral orgs.
Relief International – UK	IMP-01-PL-0107	658,005		231,924	889,929	74	4,795,592		Education	Empowerment - women/girls	Governance	Somalia	Service delivery	Supporting people to do	Multi - sectoral orgs.
Southern African Catholic Bishops Conferen	IMP-01-PL-0153	1,228,674		409,558	1,638,232	75	11,913,830		Health - HIV/AIDS	Health - general	None	South Africa	Service delivery	None	Niche - sectoral specialist
Heifer Project South Africa	IMP-01-PL-0168	457,296		172,348	629,644	73	588,394		Livelihoods & Markets	None	None	South Africa	Supporting people to do	None	Niche - sectoral specialist
Aga Khan Foundation UK	IMP-01-PL-0215	2,237,404		974,001	3,211,405	70	15,134,108		Health - general	None	None	India	Service delivery	Supporting people to do	Multi - sectoral orgs.
Mercy Corps Scotland	IMP-01-PL-0225	1,399,592		2,093,825	3,493,417	40	5,186,754		Infrastructure (incl. WATSAN)	Health - general	None	Democratic Republic of	Service delivery	Supporting people to do	Multi - sectoral orgs.
Sense International	IMP-01-PL-0268	478,934		205,257	684,191	70	1,419,960		Empowerment - other margina	Education	Health - general	India	Supporting people to do	None	Niche - sectoral specialist
Pastoralist Concern (PC)	IMP-01-PL-0279	377,909		127,054	506,963	75	660,377.00		Health - general	Health - HIV/AIDS	None	Ethiopia	Supporting people to do	Advocacy - national gov	Niche - sectoral specialist
Methodist Relief & Development Fund (MRD	IMP-01-PL-0305	463,184		225,172	688,356	67	2,966,163		Infrastructure (incl. WATSAN)	Health - general	Environment	Uganda	Service delivery	Supporting people to do	Multi - sectoral orgs.
Children in Crisis (CIC)	IMP-01-PL-0306	454,029		151,343	605,372	75	2,031,615		Education	Empowerment - women/girls	Livelihoods & Markets	Sierra Leone	Supporting people to do	None	Niche - sectoral specialist
BRAC International	IMP-01-PL-0333	1,826,693		608,859	2,435,552	75	46,693,787		Livelihoods & Markets	Health - general	None	Sierra Leone and Liberi	Supporting people to do	None	Multi - sectoral orgs.
SOS Sahel International UK	IMP-01-PL-0355	612,000		161,282	773,282	79	1,014,319		Livelihoods & Markets	Environment	None	Ethiopia	Service delivery	Partnership - local gov	Multi - sectoral orgs.
BRAC International	IMP-01-PL-0357	1,089,249		371,868	1,461,117	75	46,693,787		Livelihoods & Markets	Empowerment - women/girls	None	Tanzania	Supporting people to do	Advocacy - regional gov	Multi - sectoral orgs.
GOAL (UK)	IMP-01-PL-0376	1,043,338		400,000	1,443,338	72	2,602,300		Health - general	Livelihoods & Markets	Empowerment - women/girls	Zimbabwe	Supporting people to do	None	Multi - sectoral orgs.
Build Africa	IMP-01-PL-0386	344,454		114,818	459,272	75	2,362,452		Education	Empowerment - women/girls		Uganda	Supporting people to do	None	Multi - sectoral orgs.
Canon Collins Trust	IMP-01-PL-0396	412,877		137,930	550,807	75	998,606		Education	Health - HIV/AIDS	Health - general	Malawi	Supporting people to do	Advocacy - local gov	Niche - sectoral specialist
Mercy Corps Scotland	IMP-01-PL-0401	681,731		794,106	1,475,837	46	22,897,250		Infrastructure (incl. WATSAN)	Livelihoods & Markets	N/A	Central African Republic	Supporting people to do	N/A	
Association for Reproductive & Family Heal	IMP-01-PL-0407	1,125,000		520,125	1,645,125	68	1,470,902		Health - general	Empowerment - women/girls	Health - HIV/AIDS	Nigeria	Supporting people to do	Advocacy - local gov	Niche - sectoral specialist
World Wide Fund for Nature – Pakistan	IMP-01-PL-0410	1,480,000		500,000	1,980,000	75	Not provided		Livelihoods & Markets	Environment	N/A	Pakistan	Supporting people to do	Advocacy - national gov	Multi - sectoral orgs.
Opportunity International UK	IMP-01-PL-0415	787,692		810,455	1,598,147	49	5,022,890		Livelihoods & Markets	N/A	N/A	Mozambique	Supporting people to do	None	Niche - technical specialist
Send A Cow	IMP-01-PL-0480	578,724		78,417	657,141	88	3,188,648		Livelihoods & Markets	Empowerment - women/girls	N/A	Ethiopia	Supporting people to do	N/A	Niche - sectoral specialist
Basic Needs Foundation	IMP-01-PL-0491	683,521		243,491	927,012	74	2,238,105		Health - general	Livelihoods & Markets	N/A	Ghana	Supporting people to do	N/A	Niche - sectoral specialist
Micro Insurance Academy (MIA)	IMP-01-PL-0513	432,292		147,857	580,149	75	604.055		Livelihoods & Markets	Health - general	Health - HIV/AIDS	India	Supporting people to do	N/A	Niche - sectoral specialist
Traidcraft Exchange (TX)	IMP-01-PL-0541	720,485		240,162	960,647	75	3,570,000		Livelihoods & Markets	Empowerment - women/girls	N/A	Bangladesh	Supporting people to do	N/A	Niche - sectoral specialist
Samaritan's Purse UK	IMP-01-PL-0557	737,956		251,679	989,635	75	5,056,118		Health - general	Health - HIV/AIDS	Empowerment - women/girls	Uganda	Supporting people to do	Advocacy - national gov	Multi - sectoral orgs.
Centre for Indian Knowledge Systems (CIK	IMP-01-PL-0561	374,367		124,813	499,180	75	455.967		Livelihoods & Markets	N/A	N/A	India	Supporting people to do	N/A	Niche - sectoral specialist
Twin	IMP-01-PL-0562	421,738		142,180	563,918	75	1,000,000		Livelihoods & Markets	Health - general	None	Malawi	Supporting people to do	None	Niche - sectoral specialist
Survivors Fund (SURF)	IMP-01-PL-0586	920,071		905,901	1,825,972	50	682.371		Livelihoods & Markets	Empowerment	Health - HIV/AIDS	Rwanda	Supporting people to do	N/A	Niche - locational specialist
Oxfam India	IMP-01-PL-0608	1,628,484		542,811	2,171,295	75	9,199,766		Health - general	Care and protecion	Empowerment - women/girls	India	Supporting people to do	Advocacy - regional gov	Multi - sectoral orgs.
BRAC International	IMP-01-PL-0616	480,158		162,055	642,213	75	1,614,472		Education	Empowerment - women/girls	N/A	Pakistan	Supporting people to do	N/A	Multi - sectoral orgs.
Karuna Trust	IMP-01-PL-0617	250,000		9,691	259,691	96	253812		Education	Livelihoods & Markets	Health - general	India	Supporting people to do	Partnership - local gov	Niche - locational specialist
Adventist Development and Relief Agency (	IMP-01-PL-0629	381,203		113,484	494,687	77	2,653,608		Livelihoods & Markets	N/A	N/A	Burma/Myanmar	Supporting people to do	N/A	Multi - sectoral orgs.
Camfed International	IMP-01-PL-0630	3,134,403		1,755,204	4,889,607	64	10,782,227		Education	Empowerment - women/girls	Governance	GHANA	Supporting people to do	Advocacy - local gov	Niche - sectoral specialist
Tearfund UK	IMP-01-PL-0730	3,438,688		1,496,067	4,934,755	70	64,848,000		Health - HIV/AIDS	Infractructure (incl. WATSAN)	Care and protecion	Democratic Republi	Service delivery	Supporting people to do	Multi - sectoral orgs.
Development Aid from People to People (DA	IMP-01-PL-0738	755,789		239,695	995,484	76	4,349,823		Livelihoods & Markets	Environment	Empowerment - women/girls	Malawi	Supporting people to do	N/A	Niche - sectoral specialist
Water and Sanitation for the Urban Poor (W	IMP-01-PL-0750	654,025		310,009	964,034	68	41,059 GBP		Health - general	Livelihoods & Markets	Infrastructure (incl. WATSAN)	Kenya	Supporting people to do	Partnership - private secto	Niche - sectoral specialist
World Wide Fund for Nature – Pakistan	IMP-01-PL-0770	279,000		94,063	373,063	75	2,775,897		Livelihoods & Markets	N/A	N/A	Pakistan	Supporting people to do	Partnership - local gov	Multi - sectoral orgs.
Ethiopian Evangelical Church Mekane Yesu	IMP-01-PL-0771	275,077		92,047	367,124	75	9,500,000		Health - general	Health - HIV/AIDS	N/A	Ethiopia	Supporting people to do	Advocacy - local gov	Multi - sectoral orgs.

Sector	Organisational profile	Intervention type
Health - general	Niche - technical specialist	Service delivery
Health - HIV/AIDS	Niche - sectoral specialist	Supporting people to *do things for themselves*
Education	Niche - locational specialist	Advocacy - local gov
Infractructure (incl. WATSAN)	Multi - sectoral orgs.	Advocacy - regional gov
Livelihoods & Markets	Orgs. working at level of intl. systems	Advocacy - zonal gov
Governance		Advocacy - national gov
Environment		Advocacy - intl. gov
Care and protecion		Advocacy - private sector
Empowerment		Advocacy - intl. institutions
Empowerment - women/girls		Partnership - local gov
Empowerment - other marginalised groups		Partnership - regional gov
N/A		Partnership - zonal gov
		Partnership - national gov
		Partnership - intl. gov
		Partnerhip - private sector
		N/A

Annex 2

Causal Theory of Change

WHY SHOULD DFID SUPPORT CIVIL SOCIETY? CAUSAL THEORY OF CHANGE

Problem

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

In order to address these problems we need to:

Ensure that civil society is able to hold government to account and do things for themselves	Ensure that governments, private and international actors are transparent, accountable and responsive

BARRIERS

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

INTERVENTIONS

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

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

OUTCOMES

Active citizens. Effective, efficient and equitable service delivery. Increased economic opportunities. Enhanced survival and well-being for the poorest and most marginalized. People do things for themselves	Enabling environment. Peace and stability. Responsive accountable government and institutional frameworks. Rule of law. Partnerships between government and civil society

IMPACTS

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

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

Annex 3

Business Case Theory of Change

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

Problem

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

In order to address these problems we need to

Work with CSOs to deliver services and support development of active civil society	**Support building of responsive government and international frameworks**

PRINCIPLES

Needs Based   Work where the need is greatest, with a focus directly or indirectly on the most marginalized

Results   Work where there is the greatest chance of making a difference and improving lives (potentially in conflict with the first- risk analysis is necessary)

Synergy   Work where there is the greatest chance of synergy with DFID's objectives and support aid effectiveness (though there may also be cases, particularly humanitarian, of complementarity with and adding value to DFID's portfolio)

Add Value   Support CSOs which are transparent, able to deliver results and humanitarian support and have local knowledge and legitimacy with communities; support CSOs who might not otherwise be funded

Organisational Effectiveness   Range of instruments. Shape civil society through support to CSOs to innovate (willingness to take risks); increase capacity to deliver and measure results; increase capacity to assess and measure value for money; accountability and transparency.

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

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

FUNDING

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

GPAF	**PPA**
£120 million over 3 years	£360 million over 3 years
Project funding with accountability for results: large grants window for impact (90%) and small for innovation (10%); independent fund management and evaluation functions. Board oversight. Innovation window has higher risk profile	Performance-based strategic funding with transparency and accountability against performance framework for sector leaders who share DFID's priorities and values. Independent evaluation function. In-house learning function. Steering committee oversight for learning

OUTCOMES

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

Annex 4

Testing the theories of change: Case Studies

Appendix 4.1: DFID target countries characteristics

ANNEX 4: TESTING THE THEORIES OF CHANGE - CASE STUDIES

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

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

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

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

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

1 EVALUATION QUESTIONS

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

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

1.1 Questions related to the Causal Theory of Change

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

ANNEX 4: TESTING THE THEORIES OF CHANGE - CASE STUDIES

1.2 Questions related to the Business Case Theory of Change

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

2 SYSTEMATIC REVIEWS

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

1. Definition of clear answerable evaluation questions set out in this Evaluation Strategy;

2. Definition of the scope, focus and quality of analysis and evidence are clearly defined in the evaluation strategy;

3. Performance assessment criteria and evidence submission requirements are clearly defined in the Evaluation Strategy; and

4. Evidence and analysis submitted to the Evaluation Manager will be reviewed against the IPR Terms of Reference and the OECD-DAC evaluation standards.

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

3 CASE STUDIES TO TEST THE CAUSAL THEORY OF CHANGE

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

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

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[1] 2011 (HMT) Magenta Book
[2] Ibid

ANNEX 4: TESTING THE THEORIES OF CHANGE - CASE STUDIES

Figure 1 – Organisation of the case studies to test the causal theory of change
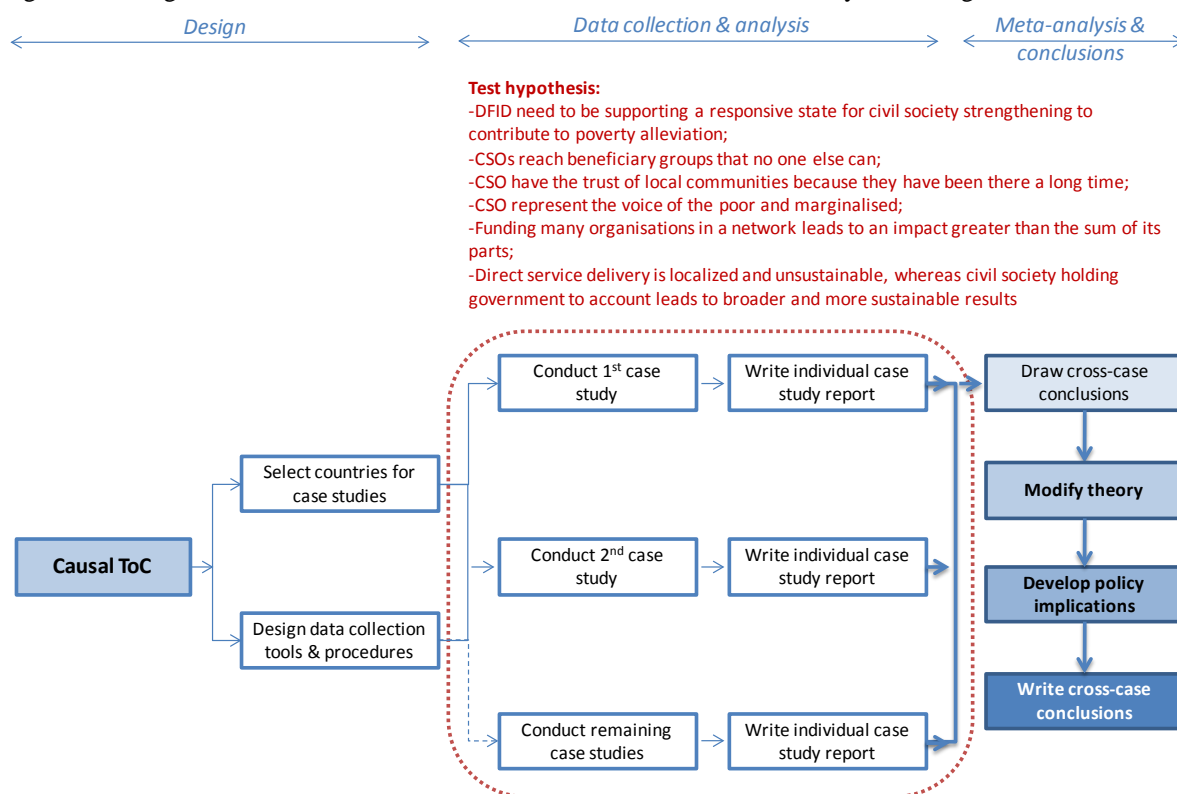
Source: Coffey based on Case Study Research, Design and Methods, Robert K. Yin, 2009

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

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

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

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[3] http://www.foreignpolicy.com/articles/2011/06/17/2011_failed_states_index_interactive_map_and_rankings
[4] The public sector management and institutions cluster includes property rights and rule-based governance, quality of budgetary and financial management, efficiency of revenue mobilization, quality of public administration, and transparency, accountability, and corruption in the public sector. See more: http://data.worldbank.org/indicator/IQ.CPA.PUBS.XQ/countries

ANNEX 4: TESTING THE THEORIES OF CHANGE - CASE STUDIES

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

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

- desk research of relevant documentation;

- face-to-face interviews with key DFID staff;

- country visits, including:

  o observation;

  o face-to-face interviews with key political stakeholders at local, regional, and national level;

  o face-to-face interviews / focus groups / surveys with local civil society organisations;

  o face-to-face interviews / focus groups / surveys with members of local communities.

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

Figure 2 – Value-for-money approach to field work feeding into two set of case studies
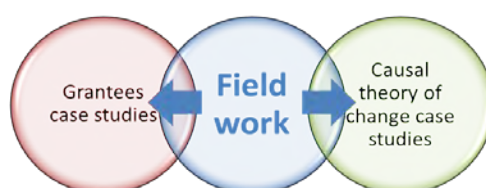
APPENDIX 4.1: DFID TARGET COUNTRY CHARACTERISTICS

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

Source: Coffey based on DFID Country Plan, 2011

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

Annex 5

Assessing performance and effectiveness

ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS

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

1   OVERVIEW

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

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

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

2   GRANTEE ASSESSMENT METHODOLOGY

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

a)   the extent to which grantee organisations are performing against their objectives[1];

b)   the extent to which grantee organisations and achievements align with DFID‟s theories of change (annex 2 and 3)

c)   the impact of DFID‟s funding in terms of the additional benefits realised because of funding and its attributable contribution to organisational effectiveness and the results set out in grantees‟ logframes. *Mechanisms for assessing the impact of DFID funding are described in Annex 6 and also covered by the Independent Progress Reports (see annex 8).*

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

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

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

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[1] This is reflected in grantees‟ initial applications and their logframes. For PPA holders this is also reflected in the business cases prepared by DFID to justify funding.

ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS

Grantees will be assessed according to the following criteria:

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

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

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

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

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

2.1   Individual criteria rating

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

ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS

An example of this is depicted below:

Grantee rating on effectiveness – High Performing

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

2.2 Overall performance rating

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

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

ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS

2.3   Assessment process

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

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

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

3   FUND LEVEL ASSESSMENT METHODOLOGY

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

a)   the extent to which the PPA and GPAF funding mechanisms are achieving their objectives;

b)   the extent to which the performance of the funds aligns with DFID"s theories of change (annex 2 and 3).

c)   the additionality of the funding mechanisms as a whole;

3.1   Purpose

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

- **Objectivity** i.e. the extent to which the evidence acknowledges potential bias in the findings and attempts to minimise its effect;

- **Validity** i.e. the extent to which the evidence is sufficiently representative of multiple perspectives and as such rigorously depicts a defensible assessment of the funds" performance; and

- **Reliable** i.e. the extent to which the evidence can be used to generalise about the performance of the funds as a whole.

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

3.2   Approach

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

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[2] Spencer L., et al (2003) „Quality in Qualitative Evaluation: A framework for assessing research evidence", Cabinet Office

ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS

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

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

1. **A systematic review**[3] of the evidence submitted to the Evaluation Manager to ensure that the quality of the evidence is of a sufficient standard to be fit for assessing the overall performance of the funds; and

2. **A meta-evaluation** of the sources of quality assured evidence base in order to draw summary conclusions from their findings that provide answers to the key evaluation questions.

3.3   Systematic review

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

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

3.3.1   Definition of clear answerable evaluation questions

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

* Questions that test the causal theory of change;

* Questions that test the business case theory of change; and

* Questions framing the assessment of the funds" performance.

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

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

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

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[3] Systematic reviews are also a key methodological tool for testing the theories of change (see annex 4)
[4] 2011 (HMT) Magenta Book

ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS

The following table provides a framework for appraising the quality of evaluation evidence submitted to the Evaluation Manager.[5]

Appraisal focus	Key appraisal questions	Key quality indicators
FINDINGS	1. How credible are the findings?	Findings /conclusions are supported by data /study evidence
		Findings /conclusions „make sense" /have a coherent logic
		Findings /conclusions are resonant with other knowledge and experience
		Use of corroborating evidence to support or refine findings
	2. How well does the evaluation /evidence address its original aims and purpose?	Clear statement of study aims and objectives (where relevant)
		Findings clearly linked to the purposes of the study – and to the initiative or policy being studied
		Summary of conclusions directed towards aims of study
		Discussions of limitations of study in meeting aims
	3. Scope for drawing wider inference – how well is this explained?	Discussion of what can be generalised to wider beneficiary population
		Detailed description of the contexts in which the study was conducted to allow applicability to other settings /contextual generalities to be assessed
		Discussion of how hypotheses /theories of change may relate to wider theories of change at the policy level
		Discussion of limitations on drawing wider inference
DESIGN	4. How defensible is the research design?	Discussion of how overall evaluation /research strategy was designed to meet the aims of the study
		Discussion of the rationale of the study design
		Use of different features of design /data sources evident in findings presented
		Discussion of limitations of research design and their implications for the study evidence
DESIGN	5. How well was the data collection carried out?	Discussion of:
		• Who conducted data collection
		• Procedures /documents used for collection /reporting
		• Checks on origin /status
		Description of fieldwork methods and how these may have influenced data collected
ANALYSIS	6. How well has the approach to and	Description of form of original data

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[5] Table adapted from Spencer L., et al (2003) „Quality in Qualitative Evaluation: A framework for assessing research evidence", Cabinet Office

ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS

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

3.3.3 Performance assessment criteria and evidence submission requirements

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

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

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

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

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

ANNEX 5: ASSESSING PERFORMANCE AND EFFECTIVENESS

3.4   Meta-evaluation

The next phase of the assessment takes a *meta-evaluation*[6] approach to analysis, involving a synthesis of the evidence submitted using a range of both formal and informal approaches and analytical techniques to enable value-based judgements and conclusions to be drawn at the fund level. The overarching meta-evaluation approach enables systematic qualitative research that is sufficiently representative of the portfolio as a whole and capable of producing meaningful and useful findings.

3.5   Learning case study

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

The case study methodology is described in Annex 5.5.

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[6] Ibid

APPENDIX 5.1: GRANTEE LEVEL ASSESSMENT CRITERIA

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

APPENDIX 5.1: GRANTEE LEVEL ASSESSMENT CRITERIA

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

APPENDIX 5.1: GRANTEE LEVEL ASSESSMENT CRITERIA

Criteria	Sub-criteria	Definition
Efficiency	Cost - effectiveness	**What does cost-effectiveness mean?** *Cost-effectiveness* is a measure of *efficiency*, which DFID defines as: „A measure of how economically resources/inputs (funds, expertise, time etc.) are converted to results."[7] Measuring cost-effectiveness (and value for money) involves assessing whether or not the least amount of resources have been used in the more effective way possible to achieve the quantity and quality of results required in order to meet the original aim and objectives of the activity delivered. In other words, are you **doing the right things, in the right ways at the right price?** This does not mean that the cheapest activities or inputs represent the best value for money. If cheap inputs or activities result in the delivery of poor quality outputs and outcomes then the project is evidently not doing the right things to achieve the results required. **How do we demonstrate our cost-effectiveness?** In order to demonstrate that you are using your resources in the most cost-effective way you will need to demonstrate that: • *You are doing the right things in the right ways* – this means demonstrating that the scale and type of costs that you are incurring as a result of the activities and services you are delivering are necessary to enable you to achieve your outputs and outcomes. This part of the value for money assessment is closely linked to other parts of the performance assessment. This is about demonstrating that the activities you are delivering and the way you are delivering them are as relevant as possible to the needs and priorities of your target beneficiary groups. Arguably, the more relevant the activities and method of delivery, the more effective they will be in addressing the problems you have set out to resolve. This approach enables you to establish a defensible case that the type and amount of costs that you have incurred are justified by the specific demands of your delivery environment and the level of difficulty of the outcomes and results that you need to achieve.

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[7] DFID (2005) „Guidance on Evaluation and Review for DFID Staff", Evaluation Department
(http://webarchive.nationalarchives.gov.uk/+/http://www.dfid.gov.uk/aboutdfid/performance/files/guidance-evaluation.pdf)

APPENDIX 5.1: GRANTEE LEVEL ASSESSMENT CRITERIA

Criteria	Sub-criteria	Definition
		Example – a project designed to change community awareness of the benefits of primary education for girls in a remote, inaccessible and conflict-affected part of a country that in the longer-term should result in a change in attitudes and ultimately in behaviour in the form of an increase in primary school enrolment amongst girls from those communities. In this example, the delivery partner might justify the following costs as follows: ✓ High security costs due to need to duty of care responsibilities for programme staff in a conflict-affected area ✓ High transport costs due to inaccessible nature of target beneficiary area ✓ Moderate to high baseline research costs due to a lack of data concerning the key drivers and barriers to change experienced by the target communities and as a consequence the need to use expert researchers to gather evidence that is sufficient to inform the design of effective interventions • *Understand your 'cost drivers'* – cost drivers are defined as those factors that directly and indirectly change the cost of a unit of activity. For example, the cost of transporting project staff to a particular staff will increase the further the distance travelled. The cost of transporting these staff is indirectly affected by risk factors that affect the level of additional security required to mitigate those risks. In the above example, these cost drivers could be clearly identified, evidenced and reported and as form the basis of a robust case for incurring these types and levels of cost. The diagram below illustrates the interplay between performance requirements, cost drivers, the costs incurred and best value that you will need to demonstrate and evidence as part of your value for money assessment. **1. Performance driver** Nature and scale of a problem that needs to be overcome in order to achieve a specific output/outcome → **2. Key cost driver** Type of input and activity required to overcome a specific problem to the standard required to deliver the output/outcome → **3. Costs incurred** Appropriate costs incurred to ensure delivery of the volume and quality of output/outcome required → **4. Best value achieved** Efficient and effective delivery of output at an appropriate cost driven by an acute understanding of the link between what is required, why and the effect on performance

APPENDIX 5.1: GRANTEE LEVEL ASSESSMENT CRITERIA

Criteria	Sub-criteria	Definition
		• ***You are doing the right things in the right ways <u>at the right price</u>*** – fundamentally it is important that you are not only able to justify the costs that you are incurring but also to demonstrate that you are achieving the „right price" for the different types of resources you are using to deliver your activities. **How do we measure and evidence our cost-effectiveness?** The Evaluation Strategy sets out two broad approaches to assessing your value for money, which use: 1. A management approach; and 2. A measurement approach. **'Management approach' to evidencing that you are delivering cost-effective activities** – you will need to explain and evidence how you manage your resources in order to ensure that your performance requirements are the primary drivers of the activities that you deliver and as a consequence the costs that you incur. Typically this part of the assessment will broadly require you to demonstrate: ✓ **Procurement processes** – capacity to manage and minimise costs through effective procurement processes in order to achieve best price for key services and resources; ✓ **Performance management processes** – capacity to learn from past performance to ensure that factors likely to have a significant effect on costs are addressed through effective cost control and mitigation strategies; and ✓ **Cost management processes** – capacity to identify and categorise your key costs across your portfolio of activities and demonstrate an understanding of how different types of costs change in response to different contexts and different types of interventions. You will also need to demonstrate your capacity to manage costs to ensure that best price and best value is achieved throughout the delivery of activities. You should be able to demonstrate a range of cost management and cost reduction strategies, for example, through partnership working enabling you to lever in additional resources for your activities or enabling you to share resources in order to reduce overheads. Through the use of management processes such as those summarised above, you should be able to describe and ideally quantify the cost savings and efficiency gains that you have been able to achieve in the course of delivering best value for money.

APPENDIX 5.1: GRANTEE LEVEL ASSESSMENT CRITERIA

Criteria	Sub-criteria	Definition
		'Measurement approach' to evidencing that you are achieving cost-effective results – cost-effectiveness analysis is the most common method for measuring cost-effectiveness. This involves quantifying the average cost for a unit of activity, which is then presented as a „unit cost". Unit costs can be calculated for: • Inputs, e.g. cost per day for each workshop facilitator employed on the project; • Outputs, e.g. cost per community workshop conducted; or cost per workshop participant; and • Outcomes, e.g. cost per girl enrolling at school as a result of the project. The primary purpose of calculating unit costs is to enable you to compare them with „benchmarks". A unit cost benchmark represents a reference point or standard against which the cost-effectiveness of your activities and results can be assessed. It is important to note that benchmarks need to be sufficiently comparable to ensure that the analysis of cost-effectiveness is accurate and reliable. In other words, we need to ensure that we are comparing „apples with apples". A significant drawback in using cost-effectiveness analysis as a measurement method is that it is frequently difficult to find unit cost data of activities that are sufficiently similar in terms of their nature and context. However, many organisations should be able to establish their own internal unit cost benchmarks in order to compare differences in unit costs for activities and results delivered across different parts of their portfolios and programmes. **Bringing management and measurement approaches together** – these approaches and methods enable you to evidence and demonstrate different parts of the value for money assessment. It is important that you are able to explain „how" you achieve cost-effective delivery, but is also important that wherever possible you quantify these achievements. Using both approaches will enable you to credibly demonstrate your capacity to identify and track changes in costs and through unit costs, their relation to the activities and results that you have delivered.
Results	Performance against the logframe	The extent to which grantees have delivered on outputs and achieved the changes indicated in their Log Frames. In the first annual review this will largely assess outputs, while subsequent reviews will be able to increasingly assess outcomes. For GPAF organisations this assessment will be at project level; for PPA organisations, the assessment will be of the whole organisation or of the part of an organisation"s programme covered by the PPA. Note: grantees are required to demonstrate and evidence wherever possible the extent to which results are attributable to DFID funding.
	Improving lives	An assessment of the extent and the manner of changes in the lives of poor and marginalized people as a result of the changes achieved, and the extent to which these changes are likely to be sustained. It is recognised that PPA/GPAF agency reporting in this area is likely to be illustrative of changes, rather than comprehensive across the portfolio. See Annex 9. Note: grantees are required to demonstrate and evidence wherever possible the extent to which changes in people"s lives are attributable to DFID funding.

APPENDIX 5.1: GRANTEE LEVEL ASSESSMENT CRITERIA

Criteria	Sub-criteria	Definition
	Changes in civil society	The extent to which citizens are able to do things for themselves, for example community organisations to manage and deliver a particular service, and the extent to which civil society organisations are able to hold governments (such as the private sector and international bodies) to account. Note: grantees are expected to demonstrate and evidence wherever possible the extent to which changes in civil society are attributable to DFID funding.

APPENDIX 5.2: RATING SCALES ACCORDING TO EVALUATION CRITERIA

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

1   RELEVANCE

Sub-criteria	Poor performing organisation / project	Medium performing organisation / project	High performing organisation / project	Outstanding organisation / project
Relevance	• The organisation provides little or no evidence that their interventions consider the balance between maximising impact and meeting the needs of the most poor and marginalised • The organisation does not provide any evidence that they re-consider intervention design or targeting during the course of the intervention	• The organisation provides evidence that the decision making process around intervention planning and design **considers** whether the interventions strike a balance between maximising impact and addressing the needs of the most poor and marginalised • The organisation can show evidence of how they have tested the underlying rationale behind interventions. However, no evidence is provided to demonstrate that the results have any impact on intervention management	• The organisation provides evidence of a clearly articulated targeting strategy addressing the balance between maximising impact and addressing the needs of the most poor and marginalised • The organisation shows evidence of continuously re-evaluating their interventions, and making appropriate changes, to ensure that they respond to the needs of the target population	

APPENDIX 5.2: RATING SCALES ACCORDING TO EVALUATION CRITERIA

2   EFFECTIVENESS

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

APPENDIX 5.2: RATING SCALES ACCORDING TO EVALUATION CRITERIA

Sub-criteria		Poor performing organisation / project	Medium performing organisation / project	High performing organisation / project	Outstanding organisation / project
	To improve contextual knowledge	The organisation is unable to show how learning during the course of the intervention[s] has affected the design and targeting of its interventions	The organisation shows some impact of learning about the context and/or learning during the course of the intervention[s] on the design and targeting of its interventions	• The organisation demonstrates that the design and targeting of its interventions derive from systematic learning about the context • The organisation can show that learning during the course of the intervention[s] has resulted in significantly improved results	To count as outstanding, the use of learning will need to be not only demonstrable but significant
	To share with others	The organisation can show little or no improvement in its learning strategies, and is unable to provide evidence of how any of the learning generated through its interventions has been used or adopted	• The organisation provides examples of learning generated from its interventions which have been generalized from the intervention context for the benefit of the sector/industry more generally • The organisation describes a clear or improving strategy for communicating the learning	The organisation can show clear and verifiable examples of how learning generated from its interventions has significantly improved results and has been used by others in the sector/industry	

## APPENDIX 5.2: RATING SCALES ACCORDING TO EVALUATION CRITERIA

Sub-criteria		Poor performing organisation / project	Medium performing organisation / project	High performing organisation / project	Outstanding organisation / project
Innovation	Incremental innovation	• The organisation provides little evidence of the development and testing of existing knowledge to new contexts	• The organisation provides some evidence of the development and testing of existing knowledge to new contexts, and can show how this has been disseminated more widely	• The organisation provides evidence of the development and testing of existing knowledge to new contexts that has led to a demonstrable **and significant i**mprovement in their interventions or organisational capacity • The organisation provides evidence of the extent to which it has been taken up by others	• To count as outstanding, the use of learning will need to be not only demonstrable but significant
	Radical innovation	The organisation provides little evidence of the development and testing of new knowledge	The organisation provides some evidence of the development and testing of new knowledge, and can show how this has been disseminated more widely	• The organisation provides evidence of the development and testing of new knowledge that has led to a demonstrable improvement in their interventions or organisational capacity • The organisation provides evidence of the extent to which the new knowledge has been taken up by others	To count as outstanding, the use of learning will need to be not only demonstrable but significant
Partnership approach		The organisation can show little or no evidence of an explicit	The organisation has developed its partnership approach or can show it is	• The organisation provides evidence of a well developed or	

Sub-criteria		Poor performing organisation / project	Medium performing organisation / project	High performing organisation / project	Outstanding organisation / project
		partnership approach	following an existing partnership approach to high standards. The organisation is able to show how its partnership approach improves sustainability and/or enables mutual accountability between partners	substantially improved partnership approach with verifiable benefits for results and sustainability • The organisation provides evidence of mutual accountability within the partnership	
M&E and impact assessment		The organisation is unable to demonstrate that it has an effective M&E of impact assessment system or framework that enables it to capture, analyse, use and share information on changes (outcome and impact) or lessons learned	The organisation is able to provide evidence of improvements to its M&E or impact assessment systems, which have enabled it to improve the capture, analysis, use and sharing of information on changes or lessons learned	• The organisation provides evidence of an M&E / impact assessment framework which ensures that results (in terms of changes in people"s lives and civil society more broadly) and learning are captured, shared and taken up by the organisation and the sector more broadly • The organisation provides evidence of impact assessments which have generated learning that has had an impact on the organisation and the sector more broadly	

APPENDIX 5.2: RATING SCALES ACCORDING TO EVALUATION CRITERIA

3   EFFICIENCY

Sub-criteria	Poor performing organisation / project	Medium performing organisation / project	High performing organisation / project	Outstanding organisation / project
Cost effectiveness	• The organisation demonstrates little or no understanding of its costs and cost drivers i.e. the main factors that influence costs and how they link to performance • The organisation is unable to demonstrate that it takes account of its understanding of its costs and is able to make any efficiencies as a result • The organisation is unable to provide any evidence concerning its cost effectiveness that is appropriate to the type and focus of the funding received; or the evidence available suggests that the organisation is very inefficient	• The organisation is able to demonstrate a comprehensive and granular understanding of its costs and cost drivers • The organisation is able to demonstrate good understanding of its costs and able to make efficiencies as a result • The organisation is able to provide comprehensive and robust quantitative and qualitative evidence of its cost effectiveness	• The organisation is able to demonstrate an excellent understanding of its costs and cost drivers and as such is able to provide cost driver analysis clearly explaining the relationship between costs and performance • The organisation is able to demonstrate an excellent understanding of its costs and achievement of excellent value for money • The organisation is able to demonstrate innovation or best practice in the production of quantitative and qualitative evidence of its cost effectiveness	

APPENDIX 5.2: RATING SCALES ACCORDING TO EVALUATION CRITERIA

4   RESULTS

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

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

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

APPENDIX 5.3: GRANTEE VERIFICATION CASE STUDIES

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

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

1   number of local people reached by CSOs (and how their lives changed in result);

2   the extent to which CSOs help to empower local communities;

3   the extent to which they bring about the policy change;

4   the extent to which grantees generate, share, and use learning to inform their actions.
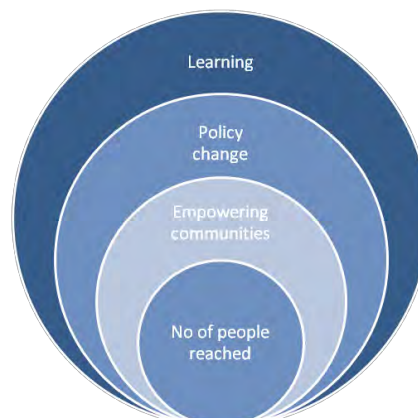
The evaluation literature identifies four classical designs which allow each case study to analyse contextual conditions in relation to the "case".[8] Given the predefined focus of the case studies (i.e. grantees), the most appropriate approach is the multiple case design (see the figure below). This design allows each case study to analyse contextual conditions in relation to the "case". This will vary slightly depending on type of organisation, source of funding, area of activity, etc.

Figure 1 – Basic types of designs for case studies
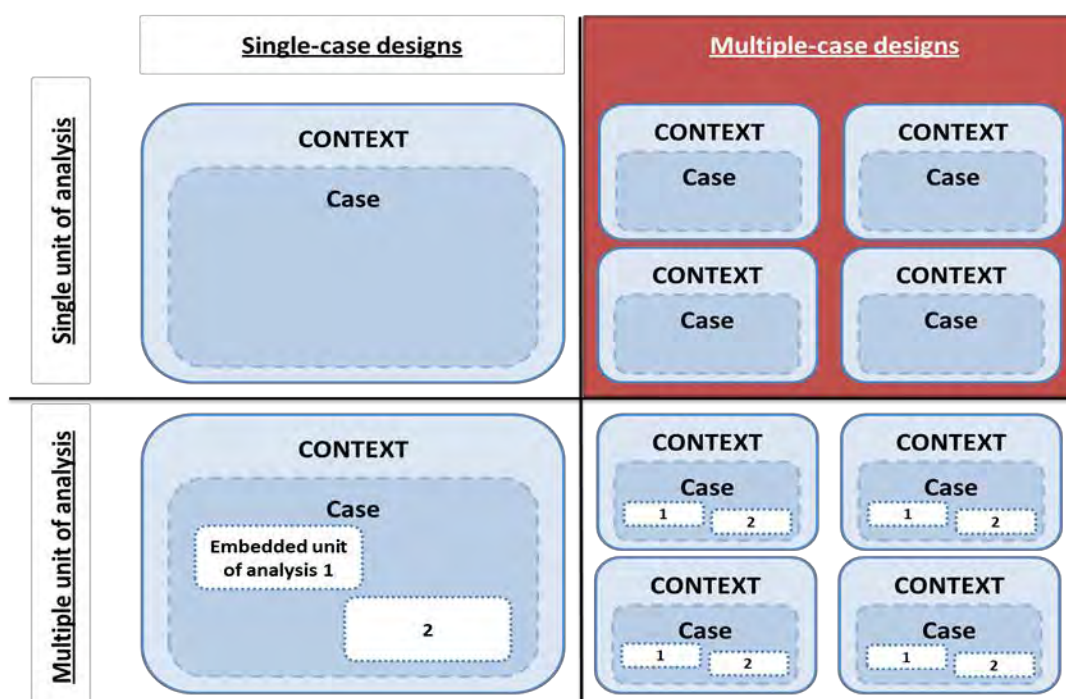
Source: Case Study Research, Design and Methods, Robert K. Yin, 2009

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[8] See more in Case Study Research, Design and Methods, Robert K. Yin, 2009

APPENDIX 5.3: GRANTEE VERIFICATION CASE STUDIES

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

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

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

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

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

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

4.1   Figure 2 – Elements of a single case study
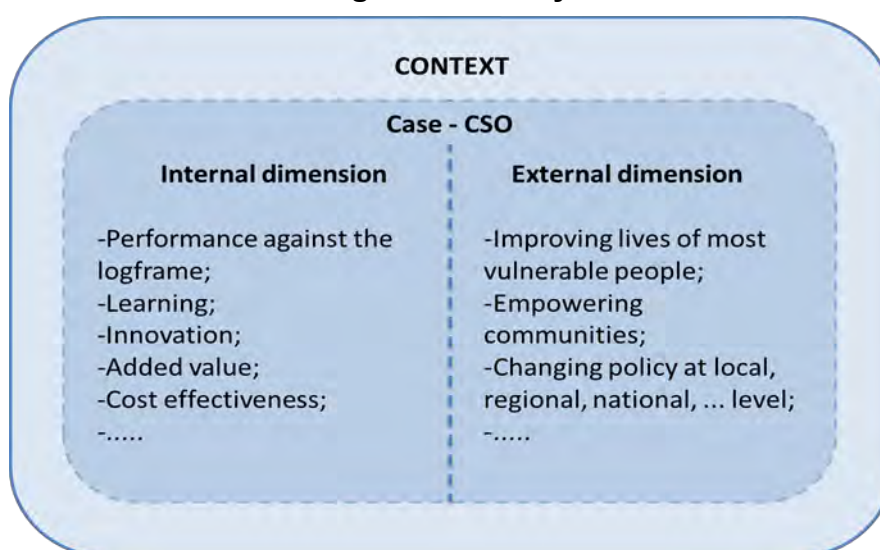
APPENDIX 5.3: GRANTEE VERIFICATION CASE STUDIES

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

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

APPENDIX 5.4: FUND LEVEL ASSESSMENT CRITERIA

Criteria	Description	Definition
Relevance	The extent to which individual organisations or the combination of organisations funded are in line with DFID's strategic plan	The extent to which the portfolio contributes to delivering DFID's strategic plan, especially in regard to poverty alleviation, the achievement of the Millennium Development Goals, and good governance. Contribution to DFID's higher level goals will be reported on individually by grantees through their annual review process, the independent progress reviews and grantee-led case studies reporting on lives changed. These methods are described in Annexes 7, 8.
Effectiveness	Learning and innovation	The extent to which learning and innovation generated from the portfolio demonstrably improves the performance of grantees and of the sector, including DFID. This will include: • The extent to which lessons from grantees own learning is applied and results in improved programming • The extent to which lessons are transferred to others in the sector and incorporated into improved policy and practice • The extent to which DFID takes up and uses lessons from the portfolio to improve fund design and funding decisions and provide an evidence base that supports policy and programming • The extent to which the Learning Partnership arrangements and its four thematic sub-groups meet their own success criteria.
	Performance	The extent to which the funds achieve their objectives: PPA • Enhanced delivery of results which provide value for money; • Enhanced generation and use of evidence to improve programming • Mainstreaming sector best policy and practice (e.g. gender, disability, tools) • DFID funding has multiplier effect on grantees overall targeting and geography GPAF • Enhanced delivery of results which change lives and provide value for money • Enhanced generation and use of evidence to improve programming

APPENDIX 5.4: FUND LEVEL ASSESSMENT CRITERIA

Efficiency	Allocative efficiency of civil society funding modalities	In this context, allocative efficiency is defined as the extent to which each of the funding modalities is able to cost effectively deliver DFID"s overarching policy objectives associated with strengthening civil society as means towards poverty eradication. A specific focus on the cost effectiveness of the ways in which DFID has allocated and disbursed its funding requires assessment of the following effects: • Synergetic effects – the extent to which the funding modality has led to synergetic benefits and as such achieved either within portfolios, between portfolios and/or with other DFID-funded programmes; • Catalytic effects – the extent to which the funding modality has resulted in changes in attitudes and behaviours amongst other organisations and stakeholders in the sector either through influencing or coordination type activities; and • Leadership effects – the extent to which the funding modality has resulted in mainstreaming of policy and practice and as such led to greater sustainability of the benefits realised across the portfolio; From an efficiency perspective the hypothesis to be tested is that the specific characteristics associated with each of the funding mechanisms enables the above effects to materialise, which indirectly increases the benefits realised above and beyond the direct benefits achieved from the funding. Whilst it would be difficult to produce value and aggregate these effects at the portfolio level the meta-evaluation will seek to collate and synthesise evidence gathered at the grantee level in order to identify generalizable effects associated with each type of modality. High level resource and financial costs associated with the management and administration of each type of funding mechanism will be analysed in order to draw value-based conclusions on their relative efficiency given the effects specifically associated with the modality of funding.
Results	Additionality of DFID funding	Grantees will each report on the additionality of DFID funding using a standard template in Annex 6 that provides the self-assessment criteria and sub-criteria covering the relevance, efficiency, effectiveness and results achieved as a result of DFID funding.

APPENDIX 5.5: CASE STUDIES ON DFID LEARNING

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

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

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

- Conflict, Humanitarian Aid, and Security;

- Empowerment and Accountability;

- Growth and Wealth Creation;

- Empower Women and Girls.
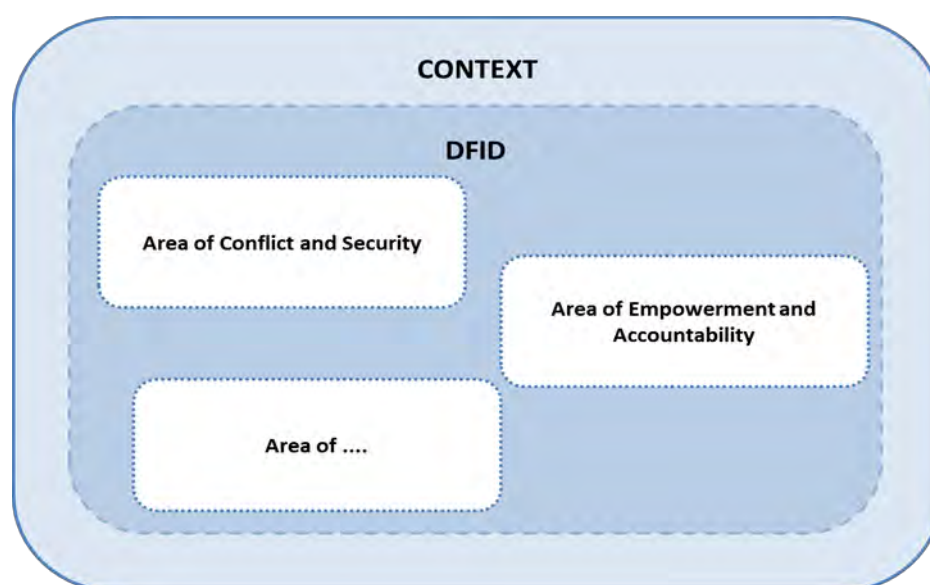
The table below outlines the general approach to evaluating DFID‟s learning based on a modified Kirkpatrick's training evaluation model - the four levels of learning evaluation.[9] In brief it consists of measuring:

- <u>attitudes</u> towards CSOs – to establish overall context in which the learning can occur;

- <u>learning</u> – to verify if the learning occurs at individual level;

- <u>behaviour</u> – to check if the learning is used at work and/or shared with others internally;

- <u>results</u> – to test if, how, and why the learning is used by organisation at policy level (externally).

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[9] http://www.kirkpatrickpartners.com/

APPENDIX 5.5: CASE STUDIES ON DFID LEARNING

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

OVERALL CONTEXT (brace spanning level 1)

SPECIFIC TO GIVEN POLICY AREA (brace spanning levels 2-4)

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

Annex 6

Impact assessment and additionality

Appendix 6.1: Additionality Report Template

ANNEX 6: IMPACT ASSESSMENT AND ADDITIONALITY

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

1   ASSESSMENT OF ADDITIONALITY AND ATTRIBUTION: THE CONCEPT

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

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

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

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

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

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

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

Figure 1: How the delivery of inputs changes lives

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

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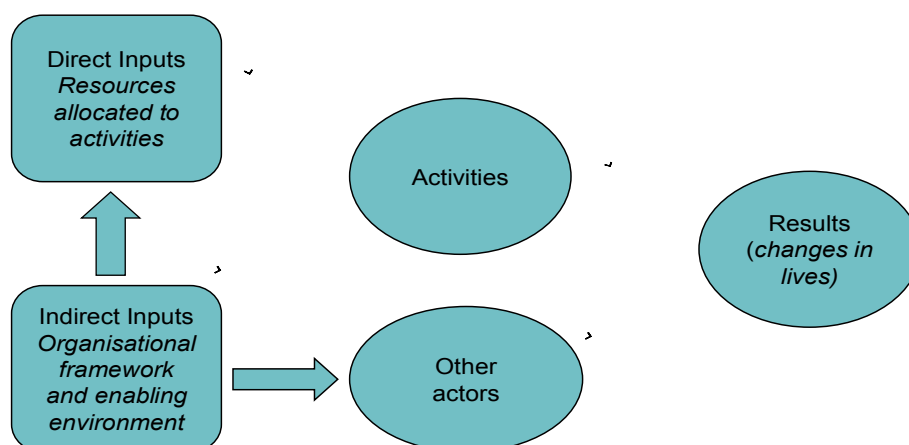
[1] There are obviously external factors that affect the achievement of results, but given that grantees have little or no control over these factors, and that they are not related to funding, they will not be considered in this section.

ANNEX 6: IMPACT ASSESSMENT AND ADDITIONALITY

In order to understand the additionality effects of DFID funding, grantees will be expected to demonstrate ho w D FID f unding c ontributes t o d irect and / or indirect i nputs, a nd i mportantly, h ow these inputs affect the results depicted in organisations' logframes. Figure 2 demonstrates how DFID funding might improve t he w ay or ganisations' ac hieve r esults. T he addi tionality ef fects for eac h organisation depends entirely on how each organisations has chosen to use the funding provided.

Figure 2: The additionality effects of DFID funding

The addi tionality effects of D FID f unding s hould ul timately l ead t o enhanced results an d p ositive change in the lives of the poor and marginalised
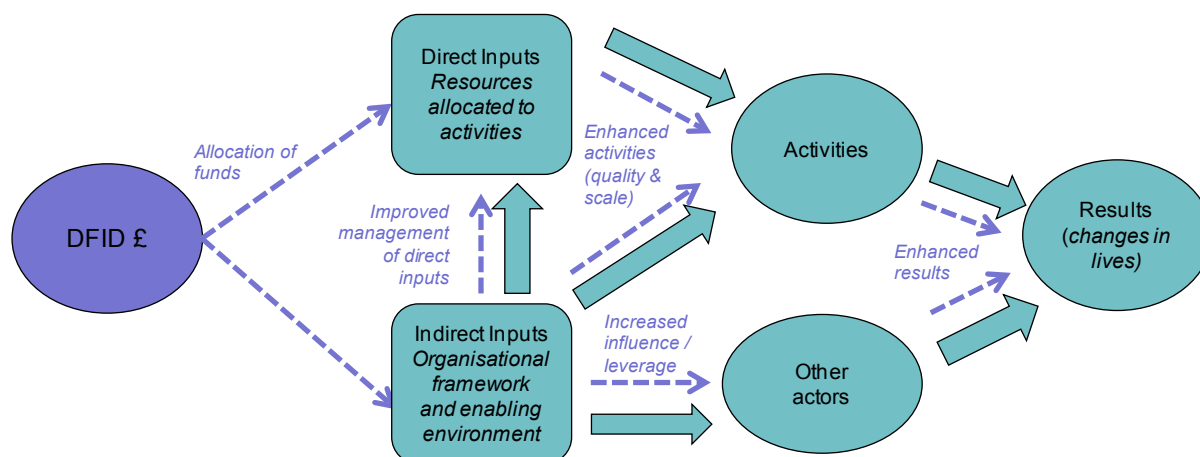
With a clear understanding of the 'additionality effects' of DFID funding, grantees will also be required to make an assessment of attribution:

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

Understanding at tribution will he lp dem onstrate t he impact o f D FID funding, bo th at gr antee an d at fund level.

2   ASSESSMENT OF ADDITIONALITY AND ATTRIBUTION: IN PRACTICE

A k ey principle u nderpinning this evaluation strategy is one of pr oportionality. This is to ens ure t hat evaluation approaches are proportionate to the amount of funding that grantees receive and sensitive to the funding modality, operational environment and strategic focus of the interventions and activities being delivered. The guidance for assessing additionality has been developed with this in mind.

Recognising that it may be problematic for some grantees to assess the additionality of DFID funding in s trictly economic t erms, t he evaluation will m easure the a dditionality and at tribution through s elf-reporting exercises. The procedure for self reporting is described below for GPAF and PPA grantees in turn.

When reporting on add itionality and at tribution, grantees will be r equired to qualitatively assess and evidence:

- **The additionality effects of DFID funding**
  - o   How has DFID funding improved the organisation's delivery of activities in terms of quality, efficiency, scope, scale and/or timeliness?
  - o   How has D FID f unding improved t he or ganisational framework or enabl ing environment, leading to enhanced results and positive changes in the lives of the poor and marginalised (directly or indirectly)?
  - o   How has DFID f unding en abled or ganisations t o l everage ad ditional f unding or under take activities which influence other stakeholders and partners to change their behaviour for the benefit of grantees' target groups?[2]

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

ANNEX 6: IMPACT ASSESSMENT AND ADDITIONALITY

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

2.1   Assessing additionality and attribution for GPAF grantees

Additionality

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

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

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

Attribution

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

Figure 3: How DFID funding relates to attribution

If DFID contribute to 33% of project funding, then 33% of the impacts are attributable to DFID.
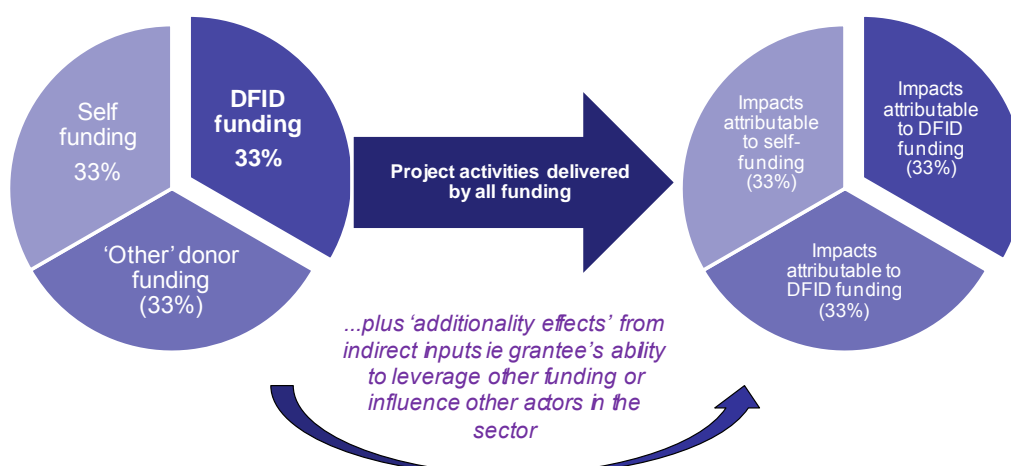
ANNEX 6: IMPACT ASSESSMENT AND ADDITIONALITY

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

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

Actions for GPAF grantees to report on additionality and attribution:
- *Report on 'additionality' in the relevant section of the annual review template (see annex 7)*
- *Report on what % DFID funding constitutes of total project funding*

2.2   Assessing additionality and attribution for PPA grantees

Additionality

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

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

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

- *Enhanced delivery of results which provide value for money;*

- *Enhanced generation and use of evidence to improve programming;*

- *Mainstreaming sector best policy and practice (e.g. gender, disability, tools); and*

- *Ensure DFID funding has a multiplier effect on grantees overall targeting and geography.*

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

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

- A narrative assessment of additionality in response to the questions highlighted above; and

- An assessment of additionality in relation to each of the defined performance assessment criteria.

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

Attribution

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

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[3] Results chains are helpful ways to map out the impact logics or causal relationships between grant funding and improved lives. Clarity on how funding is intended to effect change will guide grantees assessment and reporting on whether this change is taking place.
[4] See the Business Case Theory of Change in Annex 3.

ANNEX 6: IMPACT ASSESSMENT AND ADDITIONALITY

- If t he money i s s pent on specific ac tivities or pr ojects, t hen t he at tribution can be c alculated according to the % of an activity funded by DFID
- If t he m oney is p art of a pool of u nrestricted f unding, then the at tribution c an be c alculated according to the % of the unrestricted funding that is provided by the PPA grant (see figure 4)

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

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

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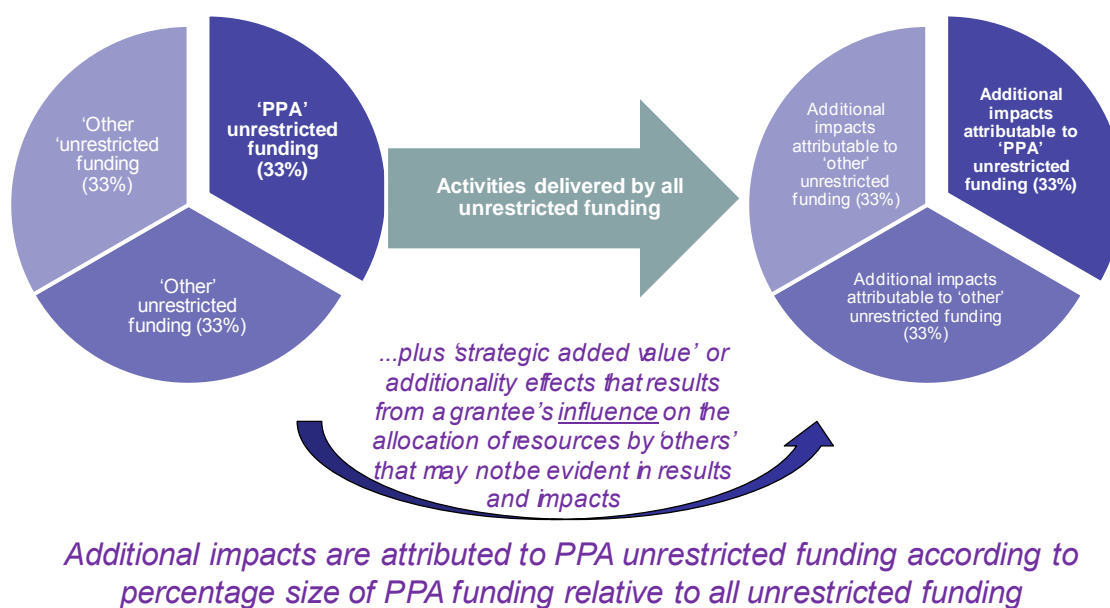
Actions for PPA grantees to report on additionality and attribution:
- *Ensure that there is a clear understanding within your organisation for how the PPA grant will be spent, and how it's allocation is 'strategic'*
- *Assign responsibility to someone within your organisation to monitor and report on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

APPENDIX 6.1: PPA GRANTEES – ADDITIONALITY REPORT

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

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

The additionality report contains two sections:

- A narrative assessment to allow grantees to evidence (in quantitative and /or qualitative terms) the additionality effects of DFID funding (2000 words)
- Grantee self assessment where grantees rate the significance of additionality in relation to each of the performance assessment criteria

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

Narrative Assessment (2000 words)

What are the additionality effects of DFID funding?

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

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

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

To what extent are the 'additionality effects' be attributable to DFID funding

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

APPENDIX 6.1: PPA GRANTEES – ADDITIONALITY REPORT

Grantee Self Assessment

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

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

- **Red** (the additionality is not very significant or non-existent) – the vast majority of what has been achieved would have happened without DFID funding;

- **Amber** (the additionality is significant) – approximately 50% of what have been achieved in the reporting period could credibly be attributed to DFID funding and it would not have been achieved without it; and

- **Green** (the additionality is very significant) – all or most of what has been achieved would not have been achieved without DFID funding.

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

APPENDIX 6.1: PPA GRANTEES – ADDITIONALITY REPORT

Examples:

Cost-effectiveness	*Grantee achieved economies of scale: standard bed net costs 10 GBP but negotiated a better deal for a larger contract (x GBP). Net savings: 'x' GBP*	*Green*	*This is the main area of CSO's activity*

Learning	*A part-time learning co-ordinator was hired to organise 1 learning session which would not have happened without DFID funding*	*Amber*	*More learning examples were shown in section XX and they were possible to achieve without DFID funding*

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

Annex 7

Annual Review Process

Appendix 7.1: PPA Annual Review Process Template

Appendix 7.2: GPAF Innovation Annual Review Process Template

Appendix 7.3: GPAF Impact Annual Review Process Template

Annex 7 outlines the general process and some of the key issues that will be addressed in the Annual Review Process.

The annual review process differs for GPAF and PPA grantees.

1   GRANTEE SELF ASSESSMENT

1.1   PPA Grantees

i.   Grantees will complete the annual review template (appendix 7.1) Scoring against the logframe focuses on actual achievement of expected results rather than the likelihood of achievement in the future. Grantees are required to score themselves against the milestones etc. set in the logframe. A new 5 point scale will allow for both over and under achievement.

ii.   Grantees will also prepare the following as part of the annual review process:

- an additionality report (see annex 6)
- a changing lives case study (see annex 9)

iii.   Grantees will submit these documents to DFID Coffey should be cc'd into all correspondence

1.2   GPAF Grantees

i.   Grantees will complete the annual review template (appendix 7.2 for Innovation grantees and 7.3 for Impact grantees) Scoring against the logframe focuses on actual achievement of expected results rather than the likelihood of achievement in the future. Grantees are required to score themselves against the milestones etc. set in the logframe. A new 5 point scale will allow for both over and under achievement.

ii.   Grantees will also prepare a changing lives case study (see annex 9) as part of the annual review process

iii.   Grantees will submit these documents to the GPAF Manager

2   REVIEW OF LOGFRAME

2.1   PPA Grantees

i.   DFID review and score all PPA logframes

ii.   DFID review PPA annual reports – this is done through a peer review process within the CSD and other relevant departments within DFID ie CHASE

iii.   PPA grantees are given an overall project score

iv.   The Evaluation Manager will undertake a 'light touch review' of a selection of grantees' reports and provide comments

v.   DFID prepares a comprehensive set of comments and recommendations for grantees which outline any areas for concern

2.2   GPAF Grantees

i.   The GPAF Manager will review and score all PPA logframes

ii.   The GPAF Manager will review the annual reports

iii.   GPAF grantees are given an overall project score

iv.   The Evaluation Manager will undertake a 'light touch review' of a selection of grantees' reports and provide comments

ANNEX 7: OVERVIEW OF ANNUAL REVIEW PROCESS

    v.   The GPAF Manager prepares a comprehensive set of comments and recommendations for grantees which outline any areas for concern

3   FINALISATION OF PROJECT SCORING

3.1   PPA Grantees

    i.   DFID will communicate the project score and comments to grantees

    ii.   Grantees will have an opportunity to provide any clarifications or further information before the project score is finalised

    iii.   Once the scoring and reporting is finalised, they will be entered into Coffey's grantee monitoring database

3.2   GPAF Grantees

    i.   DFID will communicate the project score and comments to grantees

    ii.   Grantees will have an opportunity to provide any clarifications or further information before the project score is finalised

    iii.   Once the scoring and reporting is finalised, they will be entered into Coffey's grantee monitoring database

4   FOLLOW UP OF ANNUAL REVIEW COMMENTS

4.1   PPA Grantees

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

4.2   GPAF Grantees

The GPAF Manager will assess the extent to which grantees are taking into account the comments made during the Annual Review Process. This will also be assessed in the Independent Progress Reviews commissioned by grantees at the end of their project.

5   USE OF ANNUAL REVIEW REPORT AND SCORES

Coffey will use the annual reports and case studies to:

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

APPENDIX 7.1: PPA ANNUAL REVIEW FORM

PPA Annual Review[i]

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

Complete areas within white boxes only

Reporting Year	

Basic Information[ii]

Organisation					
	2010/11	2011/12	2012/13	2013/14	
Annual Income of Organisation					
	2010/11 (if applicable)	2011/12	2012/13	2013/14 (indicative)	
PPA funding (£)					
As % of total organisational income					
	2010/11	2011/12	2012/13	2013/14	
Other DFID funding (£)					

Summary of relationship with DFID and other DFID funding[iii]
E.g. list of other DFID contracts or description of sectors worked in with DFID.

Approximate % of total organisational expenditure allocated by sector or theme[iv]

APPENDIX 7.1: PPA ANNUAL REVIEW FORM

Part A – Output Review and Scoring

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

Output 2
[Insert Output]
Assessment of performance of output and progress against expected results
Recommendations

APPENDIX 7.1: PPA ANNUAL REVIEW FORM

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

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

Output 4
[Insert Output]
Assessment of performance of output and progress against expected results
Recommendations

APPENDIX 7.1: PPA ANNUAL REVIEW FORM

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

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

APPENDIX 7.1: PPA ANNUAL REVIEW FORM

Part B – i. Results and Value for Money
ii. Relevance

Progress to date against PPA Outcome Statement(s)
Enter Outcome Statement(s)
Provide a summary of progress against the milestones and results achieved that were expected as at the time of this review.

Key Challenges
Highlight any key challenges (including emerging ones) to achievement of the overall results.

Risks and Assumptions
Review the key risks that affect the successful delivery of the expected results. Consider any different or new mitigating actions that will be required to address these risks.
Consider any climate or environment risks e.g. potential impacts on carbon emissions/wider environment and how the organisation is minimising and mitigating negative impacts. Provide an update on progress made against issues raised during the environmental screening process (if any).
Please provide any evidence to show how PPA funding allows you to take risks and innovate (if at all). Would this be the case if the funds would have been used in a restricted way to fund projects?
Are the assumptions identified in the logframe working out in practice? Any modifications required?

APPENDIX 7.1: PPA ANNUAL REVIEW FORM

Evidence
Is there any new evidence (internal or external) available which challenges the programme design or rationale?

Strategy for Achieving Results and Sustainability
What additional financial and material resources has the PPA been able to lever from external partners to enable you to more effectively deliver your results? *How has this been achieved? (e.g. Partnership working; learning)* *How have you used PPA funding strategically to ensure the delivery of sustainable results?*

Direct Feedback from Beneficiaries
What direct feedback have you collected from beneficiaries about results and their experience of the intervention? Include methodology e.g. how it was collected, who collected data, size of sample etc.

Disaggregated Results
Describe how evidence is disaggregated by gender and age. We are also interested in other variables applicable to your organisation's work e.g. disability and other excluded groups.

Value for Money (VfM)
What are the main cost drivers for your organisation in delivering interventions? How have these been justified and or rationalised to ensure value for money? *What are the main risks to achieving VfM for your organisation/project? How are you monitoring and managing these risks?* *Has PPA funding allowed any new VfM processes to be implemented across your organisation or driven any other efficiencies?* *Briefly outline what you regard as significant VfM improvements.* *Are you able to track your main efficiency savings? Are their processes in place to monitor these efficiencies?*

APPENDIX 7.1: PPA ANNUAL REVIEW FORM

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

Part C – Lessons Learned
What lessons are being learned and shared from this PPA?
Suggest you frame your response around what has worked well and what has worked less well with regard to one or more of the learning priorities identified by the 2011/14 Learning Partnership and/or comment on how the PPA has contributed to: • *Change in practice within your organisation* • *Generating learning within your organisation and/or across the sector and beyond (i.e. the learning partnerships / other PPA agencies / UK public etc), and the impact this has had on practice, policy etc.* • *DFID's thinking and/or evidence base* *Please include evidence to support your comments.* *Where it is too soon to draw such conclusions on the impact of the learning, please include a description of the intended impact and/or your learning priorities, plans to generate knowledge and to measure its impact (including key audiences, themes and rationale).*

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

APPENDIX 7.1: PPA ANNUAL REVIEW FORM

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

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

Part F Additionality Case Study (2000 word limit)
Please refer to guidance in revised Evaluation Strategy

Part G Changing Lives Case Study (2000 word limit)
Please refer to guidance in revised Evaluation Strategy

APPENDIX 7.1: PPA ANNUAL REVIEW FORM

End Notes

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

[ii] *Basic Information - this* is a useful snapshot of the full relationship between DFID and each PPA organisation.

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

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

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

[v] This can be used as an opportunity to provide DFID with case studies, YouTube clips etc.

[vi] The new project scoring system measures **actual achievement of expected results** rather than the *likelihood of achievement* in the future.

Ratings to be applied:

A++ = Outputs substantially exceeded expectation.

A+ = Outputs moderately exceeded expectation.

A = Outputs met expectation.

B = Outputs moderately did not meet expectation.

C = Outputs substantially did not meet expectation.

Annex 8

Independent Progress Review

ANNEX 8: INDEPENDENT PROGRESS REVIEW GUIDELINES

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

1   OVERVIEW OF INDEPENDENT PROGRESS REVIEW PROCESS

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

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

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

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

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

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

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

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2 PURPOSE OF THE IPR

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

The purpose of the IPR is twofold:

1. To verify, and supplement where necessary, grantees reporting through the annual review process, changing lives case study and for PPA holders only, the additionality report; and

2. To independently evaluate the impact that DFID funding has had on organisations and projects and assess value for money. The evaluation should answer the question: *What has happened because of DFID funding that wouldn't have otherwise happened?*

3 ROLES AND RESPONSIBILITIES

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

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

4   IPR PROCUREMENT

Grantees will b e r esponsible f or c ommissioning a nd m anaging t he I PR. Grantees m ay us e t heir discretion in how the procurement procedure is carried out.

For P PA h olders, i t is r ecommended t hat b oth I PRs be c ommissioned at the same t ime t o r educe administrative burden and enhance value for money.

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

Grantees may choose to work together and commission 'joint' evaluations. This is permissible provided t hat gr antees c an dem onstrate t he v alue of a j oint ev aluation and ensure t hat s haring resources will not in any way compromise the quality of the evaluation.

5   TIMING

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

PPA grantees are r equired t o c ommission an IPR a t th e m id-term o f funding (to be c ompleted b y October 2012) and at the end of funding (to be completed by April 2014).

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

6   UTILITY

Coffey will a nalyse t he i nformation gener ated b y the I PR pr ocess at individual grantee l evel and i n aggregate f ormat at meta/fund l evel. T he ana lysis of t he i nformation f rom t he I PR process w ill represent one source on w hich C offey w ill base the performance assessment at both gr antee and fund level.

TERMS OF REFERENCE FOR THE INDEPENDENT PROGRESS REVIEW (IPR)

1   BACKGROUND INFORMATION

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

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

2   EVALUATION OF THE PPA AND GPAF

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

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

a)   the extent to which grantee organisations are performing against their objectives[1];

b)   the extent to which grantee organisations and achievements align with DFID's theories of change (annex 2 and 3);

c)   the impact of DFID's funding in terms of the additional benefits realised because of funding and its attributable contribution to organisational effectiveness and the results set out in grantees' logframes. The impact assessment will consider the value for money organisations derive from DFID funding.

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

3   PURPOSE

The purpose of the IPR is threefold:

1.   To assess the extent to which comments provided as part of the Annual Review Process(es) have been acted upon by grantees;

2.   To verify, and supplement where necessary, grantees' reporting through the Annual Review Process, changing lives case study and for PPA holders only, the additionality report; and

3.   To independently evaluate the impact that DFID funding has had on organisations and projects and to assess the value for money of the funding. The IPR should answer the questions

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[1] This is reflected in grantees' initial applications and their logframes. For PPA holders this is also reflected in the business cases prepared by DFID to justify funding.
[2] http://www.oecd.org/document/22/0,2340,en_2649_34435_2086550_1_1_1_1,00.html

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

4   ANNUAL REVIEW PROCESS ACTIONS

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

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

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

5   VERIFICATION OF GRANTEES REPORTING

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

- Verifying grantee reporting related to the evaluation criteria; and

- Providing an independent assessment of the organisation or project in relation to the evaluation criteria.

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

5.1   Relevance

- Representativeness: Do the planned interventions and outcomes (as expressed in the LogFrame) reflect the needs of the target population?

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

- Do the planned interventions, outcomes and targeting continue to be relevant to the needs of the target population? Does the targeting strategy continue to be appropriate?

5.2   Efficiency

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

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

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5.3   Effectiveness

- Distinctive offering: What is the distinctive offering of the organization and how does it complement or add value to DFID's portfolio? Examples here might include:

  o   The organization has distinctive expertise in a particular area of work;

  o   The organization provides support and advice in this area and/or builds the capacity of DFID and others;

  o   The pr oject or pr ogramme f ills a gap in D FID's por tfolio, c omplementing ex isting work i n country programmes, or offering a channel to provide support where DFID has no presence;

  o   Linking together different levels of operation; and

  o   Networking and bringing together other actors.

- Learning and innovation

  o   How has organisational culture promoted or impeded learning and innovation?

  o   Assess the extent to which the organization has learned from its work and has incorporated the lessons into improved performance. Examples and case studies should be provided. A distinction should be made between two types of learning. Firstly, learning that improves the organization's capacity (for example improved capacity to monitor and evaluate). This learning i s essentially organizational de velopment f or t he gr antee. A ssess t he de gree to which this learning has demonstrably improved programming, in the intervention from which it arose a nd be yond. S econdly, l earning t hat pr ovides c ontextual k nowledge, f or ex ample learning abo ut t he s ituation of a t arget po pulation. This l earning i s l argely s pecific t o a particular context and will have little generalizability. Assess the degree to which this learning has demonstrably improved programming, in the intervention from which it arose.

  o   Assess t he ex tent t o which t he or ganization h as pr oduced g eneralizable learning t hat has been incorporated into its own practice and shared with others. Assess the degree to which this learning has demonstrably improved programming. Describe the strategy for communicating the learning and assess t he extent t o w hich others t ook up t he learning in changed policy and pr actice. E xamples and case studies should be provided. This type of learning overlaps with innovation.

  o   Innovation is a s pecial t ype of learning. I t i s di stinguished f rom l earning in general by novelty. Assess t he ex tent t o w hich gr antees dev elop, t est, an d ac hieve t he a doption b y others of new knowledge, such as in techniques, approaches, and design of interventions. Describe t he or ganization's s trategy f or c ommunicating t he i nnovation an d t he ex tent t o which it was taken up by others. If it has not yet been taken up by others, provide evidence indicating t he pot ential f or r eplication a nd s cale-up. Two l evels of innovation s hould be distinguished. F irstly, i ncremental i nnovation. T his i s i nnovation t hat ap plies or dev elops existing knowledge in new ways. For example, it might involve the application of an existing method t o a new c ontext, or it might i nvolve e laboration a nd i mprovement of a n ex isting method. S econdly, r adical i nnovation. T his i s i nnovation t hat pr oduces en tirely n ew knowledge. For example, it might involve the development and testing of a new method for vulnerability mapping.

    o   Monitoring a nd e valuation. Assess t he or ganization's monitoring an d ev aluation c apacity, and in particular its ability to measure results (focusing on the quality of reported results and lessons learned rather than an assessment of M&E systems themselves). Indicate with clear examples of the trajectory of change. I dentify and assess any impact assessment studies and clarify what part they play in the organization's monitoring and evaluation system.

5.4   Sustainability

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

5.5   Results

- <u>Performance against the LogFrame</u>: To what extent is the organization achieving (or progressing towards) the intended outcomes?

- <u>Changes in lives</u>. Assess the information about what changes these outcomes are making in people's lives and how many people are affected.

- <u>Changes in civil society</u>. To what extent are citizens doing things for themselves (for example community organizations managing and delivering services)? To what extent is civil society enabled to hold government to account?

- <u>Assess what conditions led to success and failure</u> – external, internal combination of interventions.

- To what extent does DFID funding <u>achieve additionality</u>, i.e. enable CSOs to achieve things they would have otherwise not been able to achieve? Assessment of additionality will be covered during the impact assessment as described below.

6   IMPACT ASSESSMENT OF DFID FUNDING

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

The s ection c oncludes b y pr oviding gu idance on c ontribution a nalysis, which adopt s a t heory of change approach to evaluation. This approach is informed by a wide range of evidence sources and perspectives brought together to produce a 'plausible' assessment of the 'contribution' of grantees to higher l evel outcomes and impacts. This E valuation Strategy is f irst and f oremost c oncerned with ensuring t hat gr antees ar e abl e t o pr oduce t he m ost r obust ev idence pos sible by r igorously us ing

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

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

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

6.1.1 Acknowledging the impact attribution problem

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

6.1.2 Contribution analysis

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

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[4] HMT Green Book
[5] *Evaluability* is defined in this context as the extent to grantees' activities can be measured to produce reliable evidence-based judgements of performance, impact and value for money.
[6] Please see the Key Evaluation Terms document and the NONIE paper on impact evaluation for more guidance

plausible as sessment of changes t hat would n ot ha ve h appened without t he support of D FID's funding.

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

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

  - directly delivery results (in the logframe) in the majority of cases for GPAF grantees.

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

Contribution analysis involves the following 6 steps[8] that typically a grantee would follow:

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

- Establish and agree with stakeholders a 'plausible' theory of change that accurately reflects the ways in which DFID funding has been used to deliver or enhance the delivery of planned results. Specifically focus on the type and nature of cause and effect relationships at each stage in the impact logic of the theory of change. The Three 'circles of influence' (Montague et al., 2002) are useful in this respect[9]:

  - **direct control** – where DFID funding has fairly direct control of the results, typically at the
    output level;

  - **direct influence** – where DFID funding has a direct influence on the expected results, such as the reactions and behaviours of its target groups through direct contact, typically intermediate outcomes; and

  - **indirect influence** – where DFID funding can exert significantly less influence on the expected results due to its lack of direct contact with those involved and/or the significant influence of
    other factors.

- Grantees should identify and articulate the assumptions that have been made in order to establish a set of cause and effect linkages between DFID funding, how it has been used and how this relates to the delivery of activities and ultimately the achievement of results set out in the logframe. In parallel, grantees should identify external influencing factors that could affect these linkages.

- To be c lear, in t he case of GPAF grantees where the link between DFID funding, outputs and outcomes is relatively direct these linkages may be expressed in the logframe. However, in the case of PPA grantees where DFID funding has been used in an unrestricted /indirect way these linkages and a theory of change will need to be developed that specifically focuses on how DFID

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[7] Mayne, J., (2008) 'ILAC Brief 16 – Contribution analysis – an approach to exploring cause and effect', ILAC
[8] Mayne, J., (2008) 'ILAC Brief 16 – Contribution analysis – an approach to exploring cause and effect', ILAC
[9] Ibid

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

Step 2: Set out the attribution problem to be addressed

- Grantees should determine the specific cause and effect questions that each grantee needs to assess through the evaluation process; assess the nature and extent of the attribution problem by asking:

  ➢ What do we know about the nature and extent of the contribution expected?

  ➢ What would show that DFID funding has made an important contribution?

  ➢ What would show that DFID funding has 'made a difference'?

  ➢ What would indicate that DFID funding has had the effects envisaged in the theory of change underpinning the way in which the grant has been used?

  ➢ How difficult is it to evidence these effects and why?

Step 3: Gather existing evidence on the theory of change

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

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

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

Step 5: Gather additional evidence

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

Step 6: Revise and strengthen the contribution narrative

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

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

There ar e s everal an alytical ap proaches t hat c ould be us ed t o as sess t he a dditionality of D FID funding in addition to contribution analysis. However, the key reason for presenting this approach is to demonstrate that this Evaluation Strategy is fully committed to gathering the best possible evidence concerning the impact and value for money attributable to DFID funding however great the challenge is. Even if a scientific approach to impact evaluation is not possible or is inappropriate then at the very least the approach to assessing the additionality of DFID funding should be as plausible and rigorous as possible, including evaluation designs and activities that entail predominantly qualitative research methodologies.

While responsibility for assessing and reporting on the additionality of DFID funding rests with grantees, the independent evaluators who will undertake the independent progress reviews (IPRs)[10] will be involved with t he impact as sessment. Where f easible, they s hould be involved as ear ly as possible by grantees so that they can provide technical support to design the assessment or carry out the steps described above.

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[10] See section 3.2 for further details on IPRs

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7   IPR METHODS

The methods to be used in the IPR include:

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

- Organisations applications for funding

- DFID's business case for funding (PPA only)

- Organisation's MOU with DFID for funding

- Updated versions of organisational (PPA) logframes / project logframes (GPAF)

- Organisations' annual review reports and comments provided by DFID

- *Changing Lives* case studies submitted

- Additionality reports (PPA only)

- The review should also consider other relevant organisational documents such as:

    o Organisational mission statement and strategy

    o Organisational monitoring & evaluation strategy

    o Impact studies undertaken by the CSO

    o Financial information / information on resources spent

    o Statement of experience

    o Information on synergies / collaboration with DFID country programmes, other actors etc

    o Published material (e.g. to demonstrate sharing of learning with others)

    o Additional documents as required and appropriate (e.g. information to assess changes in lives / changes in civil society)

7.2   Interviews and workshops with key stakeholders:

- Interviews and workshops with management teams to determine how funding is allocated and used

- Beneficiary interviews

- Interviews with staff at grantee organisation involved in strategic aspects / delivery of work

- Interviews with partners looking at e.g. uptake of learning and innovation, partnerships built with civil society, governmental and international organizations, building capacity of southern actors etc

- Additional interlocutors as appropriate

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

8   IPR CONSULTANT

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

- A specialist with a minimum of seven years experience in programme/project delivery in an international development context

- Experience of results-based monitoring and evaluation

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

9   RESOURCES REQUIRED

- Consultancy days, including preparation and site visits;

- Travel and accommodation expenses will be reimbursed (economy class airfares, mid-class hotel);

- Vouched expenses (including travel at economy rates and mid-class hotel accommodation) and subsistence costs according to established rates per country (to be agreed in advance with the contracting party).

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10 MANAGEMENT ARRANGEMENTS

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

11 QUALITY ASSURANCE

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

Appraisal focus	Key appraisal questions	Key quality indicators
FINDINGS	1. How credible are the findings?	Findings /conclusions are supported by data /study evidence Findings /conclusions 'make sense' /have a coherent logic Findings /conclusions are resonant with other knowledge and experience Use of corroborating evidence to support or refine findings
	2. How well does the evaluation /evidence address its original aims and purpose?	Clear statement of study aims and objectives (where relevant) Findings clearly linked to the purposes of the study – and to the initiative or policy being studied Summary of conclusions directed towards aims of study Discussions of limitations of study in meeting aims
	3. Scope for drawing wider inference – how well is this explained?	Discussion of what can be generalised to wider beneficiary population Detailed description of the contexts in which the study was conducted to allow applicability to other settings /contextual generalities to be assessed Discussion of how hypotheses /theories of change may relate to wider theories of change at the policy level Discussion of limitations on drawing wider inference
DESIGN	4. How defensible is the research design?	Discussion of how overall evaluation /research strategy was designed to meet the aims of the study Discussion of the rationale of the study design Use of different features of design /data sources evident in findings presented Discussion of limitations of research design and their implications for the study evidence
DESIGN	5. How well was the data collection carried out?	Discussion of: • Who conducted data collection • Procedures /documents used for collection /reporting • Checks on origin /status Description of fieldwork methods and how these may have influenced data collected

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

12 DELIVERABLES AND TIMEFRAME

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

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

- at final evaluation stage (by April 2014)

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

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

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

APPENDIX 8.1: INDEPENDENT PROGRESS REVIEW TOR

13 UTILITY

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

13.1 Dissemination

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

APPENDIX 8.1.1: ASSESSMENT CRITERIA FOR GRANTEES

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

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

APPENDIX 8.1.1: ASSESSMENT CRITERIA FOR GRANTEES

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

APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

1 INTRODUCTION TO PLANNING AND CONDUCTION EVALUATIONS

Purpose and rationale

This document explains how evaluation fits into the policy cycle and it outlines and explains subsequent s teps of t he e valuation pr ocess. This gu ide is m eant t o be a pr actical t ool s upporting GPAF and PPA grantees in planning and conducting external evaluation in order to fulfil their obligation specified under the Evaluation Strategy. It is, however, reasonably generic and can be used to support the design and management of other evaluations.

Evaluation is an integral part of a broad policy cycle often referred to as ROAMEF, which stands for Rationale, O bjectives, A ppraisal, Mo nitoring, E valuation an d F eedback.[11] The R OAMEF c ycle is presented in Figure 1 below.

Figure 1 – The ROAMEF Policy Cycle
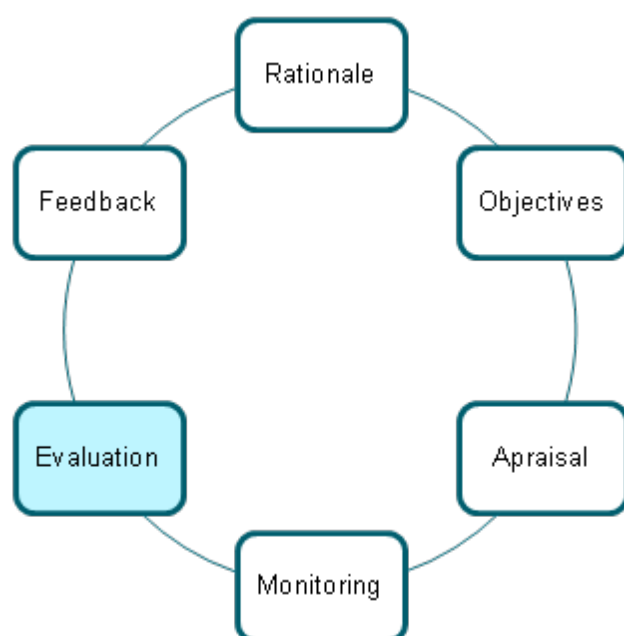
Source: The Magenta Book

It i s i mportant t o not e t hat ev aluation ev idence c an f eed i n t hroughout t he whole po licy c ycle a nd although the figure suggests that these phases of the ROAMEF cycle occur in a stepwise fashion, the process is often iterative and there are significant interdependencies between the various elements. A similar logic is applied at project cycle management to depict evaluation as a process following project planning and implementation.[12]

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

Importantly, decisions affecting and relating to any evaluation are often taken early in the policy and programme des ign a nd implementation processes. B ecause e ven m inor as pects of pr oject

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[11] The Magenta Book - Guidance for evaluation, HR Treasury (2011)
[12] See more on evaluation in Project Cycle Management at http://ec.europa.eu/europeaid/how/delivering-aid/project-approach/index_en.htm

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

1.1   Proportionality

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

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

2   STEP-BY-STEP GUIDE THROUGH THE EVALUATION PROCESS

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

Figure 2 – Evaluation process

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

Table 1 – Steps involved in planning an evaluation

Steps involved in evaluation	Questions to consider
1. **Defining the objectives and intended outcomes**	• What is the programme logic or theory about how inputs lead to outputs, outcomes and impacts, in the particular policy context?
2. **Defining the audience for the evaluation**	• Who will be the main users of the findings and how will they be engaged?
3. **Identifying the evaluation objectives and research questions**	• What do decision makers need to know about what difference the programme made, and/or how it was delivered? • How broad is the scope of the evaluation?
4. **Selecting the evaluation approach**	• What type of evaluation is required? • How extensive is the evaluation likely to be? • What level of robustness is required?
5. **Identifying the data requirements**	• At what point in time should the impact be measured? • What data is required? • What is already being collected / available? • What additional data needs to be collected?

	• Who will be responsible for data collection and what processes need to be set up?
6. **Identifying the necessary resources and governance arrangements**	• How large scale / high profile is the programme, and what is a proportionate level of resource for the evaluation? • What budget is to be used for the evaluation and is this compatible with the evaluation requirements? Has sufficient allowance been built in? • Who will be the project owner, provide analytical support, and be on the steering group? • What will the quality assurance processes be?
7. **Conducting the evaluation**	• Who will be responsible for specification development, tendering, project management and quality assurance? • When does any primary data collection need to take place? • Is a piloting or cognitive testing of research instruments required? • When will the evaluation start and end?
8. **Using and disseminating the evaluation findings**	• What will the findings be used for, and what decisions will they feed into? • How will the findings be shared and disseminated? • How will findings feed back into the ROAMEF cycle?

Source: The Magenta Book

2.1   Define the programme objectives and intended outcomes

The decision to evaluate is an opportunity to define limits in terms of institutional, temporal, sectoral, and g eographical dimensions of t he e valuation. D efining t he s cope of an e valuation am ounts t o asking t he qu estion: *What i s goi ng t o be evaluated*? Ex perience s hows t hat d uring t he evaluation process stakeholders wish to examine almost everything. However, in order to reach conclusions, the evaluation s hould be c onfined t o an ex amination of D FID f unding an d t he grantees per formance against the assessment criteria.

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

2.2   Define the audience for the evaluation

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

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

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

Source: The Magenta Book

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APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

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

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

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

Source: EVALSED Guide, European Commission

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

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

Figure 3 – Various levels of stakeholders' involvement
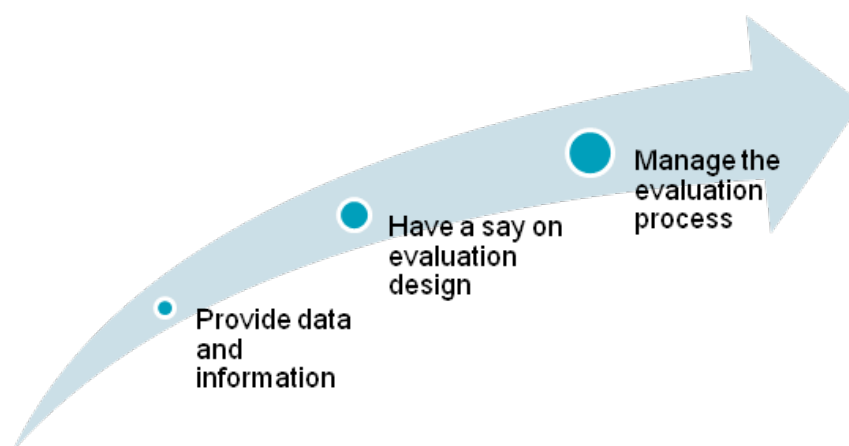
In practice the involvement of stakeholders in evaluation falls somewhat in the middle. While the participation of stakeholders in the Steering Committee is usually limited to key partners, other actors are engaged in a more informal way (e.g. through the dissemination of reports, consultation process, ad hoc meetings, etc.)

2.3   Identify the evaluation objectives and research questions

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

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

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

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

What difference did the funding make?	How was the programme delivered?
• **How will you know if the programme is a success?**	• Is it important to understand why the programme does or does not achieve planned outcomes?
• **Do you need to quantify impacts, as well as describe them?**	• Which aspects of the delivery process are innovative?
• **What were the impacts for the target group?**	• Is it important to learn about uptake, drop-out, attitudes etc.?
• **Were there different impacts for different groups?**	• What contextual factors might affect delivery?

Source: The Magenta Book

An alternative typology of evaluation questions differentiates between:

- descriptive questions - intend to describe and measure changes;

- causal questions - aim to address attribution of the change;

- normative questions - call for judgements (e.g. are the results satisfactory?);

- predictive questions - try to foresee results of planned interventions; and

- critical questions - intend to support changes (e.g. what are the effective strategies to reduce social exclusion?)[13].

It i s important t o note t hat ev aluation qu estions c annot be too c omplex and addr essed t hrough monitoring, audit or other control s ystems. Once the evaluation questions have been identified, on e has to consider if they can be answered, given the available data.

2.4   Select the evaluation approach

The appr oach is a conceptually distinct way of thinking about, designing, and conducting an evaluation study. While there is a great variety of evaluation approaches, and different typologies are used i n t he evaluation literature, Figure 5 below presents s ome ex amples of ten app lied i n t he evaluation practice.

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[13] See more: EVALSED Guide, European Commission (2012)

Figure 3 – Examples of evaluation approach

Process evaluation	• explains HOW a policy was implemented • uses qual & quant techniques
Empirical impact evaluation	• tests if any significant changes can be atributed to a policy • uses quant data and controls for other factors (the counterfactual)
Economic evaluation	• calculates the economic costs of a policy, and translates its expected impacts into economic terms • uses cost-benefit analysis
Theory-based evaluation	• tests and improves the links and assumptions between various elements of the intervention logic • uses qual & quant methods, incl. impact evaluations

Source: The Magenta Book

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

- evaluation objectives and research questions;

- complexity of a logic model;

- availability and quality of existing evidence and data sources;

- evaluability of research questions and measurability of outcomes;

- time and resources available.

2.5   Identify the data requirements

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

Table 3 – Examples of data sources

Primary information	Secondary information
• **Interviews with stakeholders** • **Survey of beneficiaries** • **Focus group interviews** • **Case studies**	• Monitoring data • Comparisons with similar activities • Statistical data • Previous evaluations – see more below

Baseline

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

- photographs would enable a before and after qualitative comparison – without the photographs of the existing environment before the intervention of the project, it would be relatively difficult to capture the changes that occurred once the work was completed;

- data on a local hospital or school capacity before and after the intervention would enable a quantitative comparison and help to translate the results into economic terms.

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

Use of existing evaluations

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

1) the evaluations cover the time period after the PPA contract was signed;

2) they are directly relevant to the process or results indicated in the logframe for this PPA round; and

3) they fulfil the requirements of proportionality and additionality with regard to the reporting obligations.

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

2.6   Identify the resources and governance arrangements (commissioning evaluation)

Resources

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

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

Table 4 – Factors affecting appropriate resourcing of an evaluation

Factor	Explanation
Innovation and risk	• High risk policies are likely to require robust evidence to understand both how they are working in practice and whether they are having the predicted impacts. In those cases where the innovative initiatives might offer "low cost solutions" evaluation resources might be "disproportionately" high but are still needed to demonstrate the scale of the returns on the policy investment
Scale, value and profile	• Large scale, high-profile, or innovative policies or policies that are expected to have a high impact are likely to require thorough, robust evaluation to help build the evidence base on what works, meet accountability requirements, assess returns on investment and demonstrate that public money is well spent
Pilots	• Pilot or demonstration projects, or policies where there is a prospect of repetition or wider roll out, require evaluation to inform future activities
Generalizability	• If it is likely that the findings will have a much wider relevance than the policy being evaluated, more resource may need to be allocated to ensure that the results can be generalised with confidence
Influence	• If the evaluation is capable of providing information which can have a large influence on future policy (for example, it can

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[14] EVALSED Guide, European Commission (2012)

	report at a strategic time point and/or meet a key evidence gap) more resource is likely to be justified
Variability of impact	• The effects of policies with highly uncertain outcomes or with significant behavioural effects are likely to be more difficult to isolate, and there is likely to be a greater case for conducting a more extensive evaluation
Evidence base	• Where the existing evidence base is poor or under-researched an evaluation is likely to require more resource in order to fill the gaps

Source: The Magenta Book

Governance

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

- assure the quality of the research design and delivery;

- support evaluators by offering access to relevant information and contacts;

- discuss evaluation findings, and

- ensure the findings are fed back to the relevant audience, taken seriously and used.

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

Commissioning an evaluation

Once t he pr evious steps are accomplished, a project s pecification for an evaluation should be developed i n t he f orm o f I nvitation to Tender d ocuments (ITT). These will i ncorporate t he T erms o f Reference in appendix 8.1 and specific information tailored to the intervention to be evaluated, including:

- the background, rationale and objectives of the programme to be evaluated, its target recipients, delivery method and intended outcomes;

- the extent of the existing evidence base related to the programme;

- the evaluation objectives and research questions;

- the audience and intended use of the evaluation (including DFID, Coffey, and the grantee);

- the available information, such as monitoring data collection processes already set up;

- the possible evaluation approach, research design and methods;

- the required capabilities, skills and experience of the proposed evaluation and team;

- the required evaluation outputs and the milestones to be met;

- the indicative budget and timetable[15]; and

- technical information, including award criteria.

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

Figure 4 – Milestones in commissioning an external evaluation
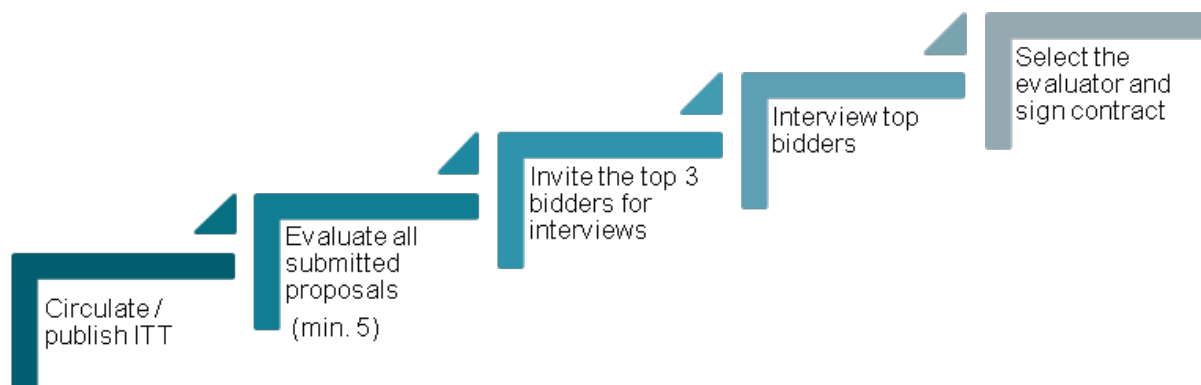
ITT documents are sent to potential contractors and/or published, providing clear instructions on how to submit tenders, deadlines for receipt, draft contractual terms and conditions, and any associated pricing and technical schedules etc. The commissioner of an evaluation should request information about the contractor's intention to submit an offer, and strive to receive at least 5 proposals to ensure the competition.

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

Table 5 – An example of award criteria and their weighting

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

[15] Please see HMT Magenta Book in the library of documents

APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

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

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

- evaluate the tenders;

- make the recommendation for award; and

- ensure DFID procurement policy is adhered to.

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

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

2.7 Conducting the evaluation

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

- to test and refine the evaluation methodology, including data collection tools;

- to specify the methods and work plan in a more detailed way than was possible at the proposal stage;

- to keep the evaluation team up-to-date with regard to any policy changes;

- to notify any unforeseen circumstances or problems faced during the evaluation;

- to ensure the quality of the evaluation.

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

APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

Appendix 8.2.1 – An example of assessment scores

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

Procurement title:			Project X		Members of Tender Board:			Board member 1, Board member 2, Board member 3		
Project technical & quality weighting (%):			80							
Project price weighting (%):			20		Overall Quality Threshold (optional):			60		

QUALITY SCORES

Example Technical & Quality Criteria	Individual Quality Threshold (optional)	Criteria Weight (must total 100)	Tenderer 1			Tenderer 2			Tenderer 3		
			Quality Threshold reached?	Score (out of 5)	Weighted Score	Quality Threshold reached?	Score (out of 5)	Weighted Score	Quality Threshold reached?	Score (out of 5)	Weighted Score
Method statement	0	45	Yes	4.8	43.2	Yes	1.1	9.9	Yes	3.2	28.8
Project team	0	20	Yes	3.7	14.8	Yes	3.3	13.2	Yes	4.5	18.0
Resource plan	0	20	Yes	3.0	12.0	Yes	4.0	16.0	Yes	3.0	12.0
QA	0	15	Yes	4.0	12.0	Yes	3.6	10.8	Yes	4.0	12.0
Quality Totals (MUST EQUAL 100)		100			82.0			49.9			70.8
Is overall quality threshold reached?					Yes			No			Yes

PRICE SCORES

Tender price (whole life costs)			Tenderer 1 price =		£30,000.00	Tenderer 2 price =		£70,000.00	Tenderer 3 price =	£80,000.00
Price score (mean price =)	£60,000.00 = 50 points		Tenderer 1 price score =		100.0	Tenderer 2 price score =		33.3	Tenderer 3 price score =	16.7

Project quality weighting x quality score	80% x 82.0 =	65.6	80% x 49.9 =	39.9	80% x 70.8 =	56.6
Project price weighting x price score	20% x 100.0 =	20.0	20% x 33.3 =	6.7	20% x 16.7 =	3.3
Overall score		**85.6**		**46.6**		**60.0**
Order of tenders (ranking)		1		3		2

Comments				
			This tender is below the overall quality threshold	

Signed by members of the Tender Board (for file copy) _____ Date_____

_____

_____

APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

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

Source: Coffey adapted based on Scottish Public Procurement Toolkit

APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

Appendix 8.2.2 – Letter template to unsuccessful bidders

Dear X,

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

AWARD CRITERIA	YOUR SCORE	WINNING TENDERER'S SCORE
OVERALL SCORE		

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

Source: Scottish Public Procurement Toolkit

APPENDIX 8.2: GUIDANCE ON PLANNING AND CONDUCTING EVALUATIONS

Appendix 8.2.3 – Letter template to a successful contractor

Dear X,

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

AWARD CRITERIA	WEIGHTING	YOUR SCORE
OVERALL SCORE		

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

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

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

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

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

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

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

Source: Scottish Public Procurement Toolkit

Annex 9

Changing Lives Case Study

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

1   INTRODUCTION

The theories of change around why and how DFID should fund civil society are based on a number of hypotheses and assumptions ar ound t he i nteraction be tween c ivil s ociety or ganisations an d beneficiary groups. DFID relies on these assumptions for funding and programming decisions, and as such, they need to be tested as part of the evaluation.

The PPA and GPAF portfolios will eventually include up to 200 grantees with a wide range of profiles[1], employing various d elivery modalities t o c hange lives across t he globe. Analysing data and reporting across the p ortfolio will en able the Evaluation M anager to respond t o the following key evaluation questions[2]:

- *How many people ar e being r eached t hrough t he G PAF and P PA a nd how ar e t heir lives changed?*

- *What are the necessary pre-requisites for interventions to be effective (i.e. external environment, DFID involvement, supporting interventions, strength of partnerships and/or coalitions)?*

- *What might be effective combinations of interventions to achieve results in different areas?*

- *To what extent are civil society organisations and their partners unique in their local knowledge, legitimacy with and trust from the communities they work with (especially the poorest and most marginalized) and their ability to deliver in areas where Government or donors cannot?*

- *How are CSOs encouraging citizens to do things for themselves?*

- *The "sustainability hy pothesis": D irect s ervice de livery i s l ocalised and uns ustainable, w hereas civil society holding government to account leads to broader and more sustainable results*

- *What is the distinctive value of different types of organisations in delivering the critical success criteria outlined in the Business Case Theory of Change?*

The Changing Lives Case Study will capture information which will help answer these questions, but asking al l gr antees t o r eport on best, t ypical an d worst c ase s cenarios and to pr ovide q ualitative evidence around how and why their interventions were or were not successful in changing lives.

The C hanging Lives c ase s tudies **will not** be us ed t o j udge gr antee per formance, bu t t o b etter understand strengths and limitations of civil society interventions more generally.

2   CASE STUDY FORMAT

The format is designed to capture, in narrative form, not just the best examples, which are often the only output of "case studies", but rather a s ense of the range of changes i n people's lives resulting from the intervention. Few interventions are 100% successful and capturing the range of outcomes is important. The format divides the intervention group into three: "best case", "typical case" and "worst case", and asks for s hort nar rative examples of eac h. T hese s hould be pr ovided f or t he r elevant outcomes in each organisation's LogFrame

"Worst case" should not be thought of as "failure". There is always a subset of a population who do not or cannot respond to the i ntervention. Understanding the reasons why outcomes ar e poor er f or this group often leads to important learning about barriers to uptake which can lead to improvements in the design of the intervention or to new interventions.

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[1] Including faith based organisations, niche-organisations, multi-sectoral organisations etc
[2] The full set of Evaluation Questions are listed in Section 3 of the main report

3   REPORTING GUIDELINES

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

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

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

1   INTRODUCTION

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

 PPA a nd G PAF gr antees w ill be r equired t o s ubmit a C hanging L ives c ase study as p art of t he annual r eview pr ocess i n A pril eac h year. **It is important to note that the changing lives case studies will NOT be used to judge grantee performance.**

Depending on the scope and scale of grantees interventions the best, typical and worst case scenarios m ay c hoose t o focus on i ndividual ben eficiaries i n s ingle i nterventions[3], or benef iciary groups across a range of interventions.

2   REPORTING TEMPLATE

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

Best case (approx 650 words)
What was the situation before the intervention? *How has life tangibly and demonstrably changed as a result of the intervention?* *How do we know this change has occurred?* *What are the characteristics of this group that distinguish it from the others?* *For GPAF grantees only: Would this case study be an effective or appropriate communication piece? Why or why not?* *Estimated percentage of the intervention population in this group – (0, 1-25%, 26-50%, 51-75%, 75-99%, 100%)*
Estimated number of people in the group (percentage in group x total population)

Typical case (approx 650 words)
What was the situation before the intervention? How has life tangibly and demonstrably changed as a result of the intervention? How do we know this change has occurred? What are the characteristics of this group that distinguish it from the others? What changes in intervention design might or have been made to increase these benefits? Estimated percentage of the intervention population in this group – (0, 1-25%, 26-50%, 51-75%, 75-99%, 100%)
Estimated number of people in the group (percentage in group x total population)

Worst case (approx 650 words)
What was the situation before the intervention? How has life tangibly and demonstrably changed as a result of the intervention? How do we know this change has occurred? What are the characteristics of this group that distinguish it from the others? What is it about this group that creates barriers to accessing benefits? What changes in intervention design might or have been made to increase these benefits? Estimated percentage of the intervention population in this group – (0, 1-25%, 26-50%, 51-75%, 75-99%, 100%)
Estimated number of people in the group (percentage in group x total population)

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[3] This is particularly relevant for GPAF grantees

Annex 11

Library of Resources

ANNEX 11: LIBRARY OF RESOURCES

LIBRARY OF RESOURCES

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

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

Annex 12

Management and measurement approaches to assess value for money

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

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

1 USING MEASUREMENT AND MANAGEMENT APPROACHES TO ASSESS VALUE FOR MONEY

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

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

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

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

2 A MEASUREMENT APPROACH TO VALUE FOR MONEY

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

- whether grantees have achieved the quantity and quality of the inputs, outputs and outcomes required at the 'least' cost, typically involving the use of *cost effectiveness analysis*; and

- the extent to which all lifetime benefits exceed all lifetime costs and the social and economic return on investment that results, typically involving the use of cost benefit analysis.

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

2.1 Cost effectiveness analysis

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

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

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

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

2.2   Cost benefit analysis

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

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

3   A MANAGEMENT APPROACH TO VALUE FOR MONEY

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

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

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[1] Please see ICAI's Approach to Effectiveness paper in the library of documents
[2] Please see the guide to cost benefit analysis in the library of documents

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

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

- **Procurement** – the extent to which costs are managed through effective procurement processes and results in savings and cost reductions throughout the life of the grant;

- **Planning processes** – the extent to which the right type of resources are allocated for the right purpose in order to optimise performance and ultimately improve the delivery of results; for example, in conflict-affected programme environments it may be necessary to incur considerable costs in order to provide the quality of technical assistance required at the right time in order to achieve short-term objectives. However, longer-term objectives in-country may not necessitate this level of resource cost and could afford an opportunity to use local or regional expertise as a more cost-effective alternative;

- **Financial systems** – the extent to which an organisation, of whatever size or type, is able to demonstrate that it has control over its costs and as a result is able to present budget and cost data appropriately; access to good quality financial data is a foundation for not only being able to demonstrate value for money but being able to achieve it as an integral part of the way that an organisation works;

- **Monitoring, evaluation and learning systems** – the extent to which an organisation is able to demonstrate appropriate capacity to gather information from a range of sources to help explain the linkages between what an organisation is funding, who is benefiting, how, under what circumstances and ultimately with what effect on the delivery of results. Organisations should strive to learn (in one form or another) whether or not its activities are effectively delivering their objectives and results. Organisations lacking this capacity will struggle to understand how the costs incurred relate to and are driven by factors that enhance their effectiveness to deliver results;

- **Leverage** – the extent to which the organisation has been able to coordinate and align its approach and activities with other organisations in order to lever in additional resources that directly contribute to the purpose for which the DFID grant was intended. Additional resources levered in as a result of DFID funding are likely to be measurable in one form or another; and

- **Delivery process** – the extent to which the organisation has been able to achieve economies of scale or effort through a coordinated approach to the delivery of activities that relate to the purpose for which the DFID grant was intended.

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

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

- **the type and scale of costs** incurred that are associated with the DFID grant;

- **the influencing factors,** either internal organisational /project factors and/or external conditions that specifically require (and drive) types and scale of costs to be incurred in order to achieve objectives, aims, outcomes and enhance performance in doing so; and

- **the efficiency gains** that can be made throughout the life of the grant as a result of improvements in the ways that resources are managed and used – for example, efficiency gains that results in the reduction of overhead costs over time as external resources are levered into organisational or project activities designed to sustain the benefits that are being realised.

Glossary of value for money terms in plain English	
Additionality	The extent to which an activity, its outputs, outcomes and impacts, are of a larger scale, a higher quality and/or take place more quickly than would have been the case if the project, programme or policy had not been implemented. The key question that needs to be asked is: what value has been added above and beyond would have happened in the absence of the project, programme or policy?
Attributable	Being able to demonstrate (either through evidence or rationale) to the satisfaction of a community of people that a change or effect has been caused by a programme or intervention
Baseline data	The state of the political, social, economic or environmental context at a given time, usually prior to the intervention – against which changes can be tracked throughout the course of the intervention
Benchmarks	Reference points against which progress can be measured. These should be carefully selected; they might include aspects of the project's baseline data, key objectives, targets or standards that it should aim for, but they should not be chosen unless they can be used to track progress.
Comparators	A comparator is basically a 'condition' that has similar characteristics to the condition of a target beneficiary group or beneficiary area. This 'condition' could be either a description of the physical setting, such as high crime rates in a deprived area, or a group of people, such as under-achieving pupils in year 6. Ideally, the only difference between the comparator's setting/group and the intervention's setting/group should be the activities of the intervention. Monitoring and evaluating the difference between the changes experienced in the comparator's and the intervention's setting/group allows the evaluation to separate out the change that (all things being equal) has occurred as a direct result of the project. The premise being that changes observed in the comparator represents what would have happened anyway without the intervention.
Cost-effectiveness	Cost-effectiveness assesses whether or not something has been delivered at 'least cost'. This method of assessing value for money involves allocating costs to measurable units of delivery throughout the impact chain i.e. at input, output and outcome levels. Typically, this results in the production of average unit costs i.e. the average cost of producing one unit – for example: • an *input* unit cost might be the average cost per trainer; • an *output* unit cost might be the average cost per person trained; and • an *outcome* unit cost might be the average cost per person who got a job. Wherever possible specific costs are allocated to specific units. Where this is not possible all costs, including overhead /management and administration costs are generally apportioned equally across the units of measurement. The purpose of producing unit costs is to compare them against comparable benchmarks. It is essential that benchmarks are as similar as possible as the unit costs of an intervention to ensure a fair and representative assessment of its cost-effectiveness. Finding sufficiently comparable benchmarks is often on eof the most difficult aspects of cost-effectiveness. The focus on the assessment of whether something has been delivered at the least cost means that the benchmark not only has to have similar units of delivery but also has to have incurred similar costs for the comparison to be sufficiently meaningful.
Counterfactual	The effects of an intervention at the outcome and impact levels are likely to be

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

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

Annex 13

Risk Assessment

The table below provides an assessment of the main strategy risks to the Evaluation Strategy, both before and after risk treatment. The Evaluation Manager conducted a similar risk assessment exercise in its inception, and through the Strategy has addressed a large number of the risks originally raised.

Risk Area	Risk	Impact on the programme	L	S	R	Risk Treatment	L	S	R
Data quality and reporting	Data / information on results collected by grantees holders is of poor quality, or in inconsistent formats and non-aggregatable (e.g. due to inconsistent measurement techniques).	Information on results provided is not representative and progress against set indicators can't be measured properly.	4	5	20	The Evaluation Manager will provide guidelines to grantees to help them understand the importance of data quality and rigorous evaluation methodologies. The Evaluation Manager will assess the quality of reporting and ensure that poor quality data is not relied upon to make decisions.	3	5	15
	The independent consultant for the IPR produces an evaluation that is faulty, biased or inconsistent.	PPA and GPAF grantees wish to publish something that DFID and the EM disagree with.	3	5	15	The Evaluation Manager will quality assure all independent evaluations and provide comments on their quality. Grantees will be asked to publish their IPRs alongside comments provided by the Evaluation manager.	2	5	10
	Grantees only pass on 'good news stories' and include easy to achieve indicators in their logframes.	The evaluation will not provide realistic view of grantee performance.	3	4	12	The Evaluation Manager and Fund Manager have reviewed the logframes to ensure that grantees have realistic indicators. The Independent Progress Reviews will check that reporting and case studies are accurate and representative.	2	4	8
	CSOs claim credit for work carried out by their partners that is not directly related to DFID funding.	It is impossible for EM to realistically gauge real progress made, and depending on the concentration of agencies, there may be some double counting	4	5	20	The Evaluation Manager introduced *indirect outcomes* into project logframes to explicitly capture the work carried out by partners.	2	5	10
Evaluation Framework	There is a lack of clarity around the exact objectives of the PPA and GPAF. There is a lot of anecdotal evidence, but, particularly for the PPA, there is	It will be difficult to assess the effectiveness of funds and hold them to account for objectives that have not been explicitly stated or agreed upon.	3	5	15	The Evaluation Manager has undertaken extensive consultation with all stakeholders to understand the rationale which underpins the funds. This has been expressed in the theories of change which all key	2	5	10

			L	S			L	S	
	little evidence of stakeholder agreement on the strategic rationale for funding.					stakeholders (CSD, CHASE, GPAF) have agreed to.			
8	CSOs do not always see the need, or have little experience of identifying, naming, capturing, quantifying and documenting change. Particularly where it relates to organisational change as opposed to change created by projects.	Reporting on additionality and impact are superficial and not comprehensive.	4	4	16	The Extensive Strategy consultation process helped grantees to understand the importance of M&E – and in particular the need to demonstrate the additionality effects attributable to DFID funding. The Evaluation Strategy also contains clear tools and templates which form part of the mandatory annual reporting cycles for grantees.	2	4	8
5	Project logframes do not adequately capture development effectiveness.	Assessment of grantees does not fully capture the value they provide or the additionality effects of DFID funding.	4	5	20	Performance assessments take into account other dimensions of performance, such as learning, partnership approach, targeting strategy etc.	1	5	5
	The evaluation approach will be disproportionate to the amount of funding received by some organisations.	Grantees will either fail to meet reporting requirements because of a lack of capacity, or spend a disproportionate amount of their grant on reporting and fail to deliver results.	4	4	16	Proportionality has been directly assessed in the Evaluation Strategy. Grantees have been guided to spend between 3-5% on evaluation. For the few organisations receiving very small grants, the Evaluation Manager will provide support to ensure an appropriate but robust approach is developed.	3	4	12
Impact of the evaluation	Grantees will ignore evaluation findings and recommendations.	Grantees will not improve performance, which might compromise results.	3	4	12	Grantees will work closely with fund managers to develop action plans after each annual review and after the fund reviews to ensure that comments provided are taken on board and acted upon.	3	4	12

L = Likelihood

S = Severity/Consequence

Annex 14

Evolution of the GPAF

1   EVOLUTION OF THE GPAF FUND

The Global Poverty Action Fund (GPAF) is a demand-led fund, and while its overall objectives will not change, the funding mechanism is constantly evolving to respond to the market. In May 2011, the criteria were widened to include empowerment and accountability, and conflict, security and justice, which had previously been covered by the Civil Society Challenge Fund. In April 2012, following an internal review, the criteria for the windows was amended to further improve the impact of the GPAF to deliver results. The "Small Window", previously called the "Innovation" Window, has been refocused from Innovation delivered through small organisations to results at the community level. This window will be renamed, and although applications with innovative approaches will be welcomed, this will no longer be a requirement. The Impact Window has been opened up to innovative applications, although this is not a requirement. The income upper limit for the „Small Window" has increased from £500,000 to £1,000,000.

The impact assessment of grantees and of the overall fund itself will take into account the dynamic nature of the fund.

2   GPAF FUNDING

The GPAF includes two funding rounds per year for the "Small" Window, and one round per year for the Impact Window. The individual funding rounds of the two windows consist of a 2-stage process, where applicants submit an initial Concept Note followed by, if successful, a Full Proposal. When the mid-term and final evaluations of the GPAF take place, grantees will be at varying stages of implementation, with some grants still to be awarded. Whilst this limits the scope of activity being evaluated, the mid-term evaluation has been timed to ensure that there is a sufficient amount of activity to inform a rigorous assessment of the fund.

ANNEX 10

META-LOGFRAME

Appendix 10.1: PPA General Meta-Logframe

Appendix 10.2: PPA CHASE Meta-Logframe

Appendix 10.3: GPAF Meta-Logframe

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ANNEX 10: META-LOGFRAME

Coffey International Development is the Evaluation Manager for the Partnership Programme Arrangements (PPAs) and the Global Poverty Action Fund (GPAF). Coffey is tasked with ensuring robust and independent evaluation at both the individual grantee level, and also at the overall fund level. As part of the overarching evaluation strategy, Coffey has developed meta-logframes for each of the funds. For the PPA, separate meta-logframes have been developed for the General and CHASE funding streams. This document therefore contains three individual meta-logframes: General PPA, CHASE PPA and GPAF.

The remainder of the document provides an overview to the development of a meta-logframe for each of the funds. It describes the methodology, and identifies some of the issues addressed.

The three individual meta-logframes can be found in the appendices to this document, as presented in the table below:

Appendix	Contents	Fund
10	Overview of the meta-logframe approach and structure	Both
10.1	Introduction to the General PPA meta-logframe	PPA
10.1.1	Impact Mapping	PPA
10.1.2	Outcome Mapping	PPA
10.1.3	Output Mapping	PPA
10.1.4	Output Mapping – Common Indicators	PPA
10.2	Introduction to CHASE PPA meta-logframe	CHASE
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10.3	Introduction to GPAF meta-logframe	GPAF
10.3.1	Outcome Mapping	GPAF
10.3.2	Output Mapping	GPAF

1   THE PURPOSE OF THE META-LOGFRAME

The international development sector is under ever-increasing pressure to demonstrate results. In order to inform policy decisions about funding moving forward, a key part of Coffey's role as Evaluation Manager is to develop an overall picture of the outputs, outcomes and to some extent the impact of PPA and GPAF funding.

The meta-logframe forms part of an overarching evaluation strategy. Its purpose is threefold:

- To provide a strategic overview of the key areas PPA and GPAF holders are working in;

- To capture the results of PPA and GPAF funding in a set of concise and cohesive indicators; and

- To assess the effectiveness of the delivery models.

Coffey will also assess the performance of the individual PPA and GPAF holders and provide insights into which organisations are performing strongly. However, this will not be done through the meta-logframe.

2   STRUCTURE OF THE META-LOGFRAME

There are several options for the structure of a meta-logframe and the initial terms of reference mentions using 'nesting' as a technique to aggregate data from all of the grantees. After careful analysis of the purpose of the meta-logframe and the merits of various approaches, Coffey recommends a higher level results framework. The rationale for this is explained below.

Nested Logframes

Nested logframes are useful tools where there is a clear goal or purpose and a number of different initiatives working to achieve this purpose i.e. a number of projects working to halt and begin to reverse the incidence of malaria. Where several projects share a common goal, the objectives feed down through the logframes, so that the 'outcome' for the high level plan becomes the 'impact' for subsequent projects and activities etc. A basic example is provided below.

Meta-Logframe			
IMPACT – Halt and begin to reverse the incidence of malaria	**Project 1**	**Project 2**	
OUTCOME - Programmes in malaria priority countries implement improved evidence-based policies and strategies	**IMPACT** - Programmes in malaria priority countries implement improved evidence-based policies and strategies	**IMPACT -** Programmes in malaria priority countries implement improved evidence-based policies and strategies	**Project 2 Activity A**
	OUTCOME – Programmes maintain interventions to increase effective protection and treatment for children, pregnant women and other vulnerable groups	**OUTCOME -** Capacity improved in malaria programmes to increase transparency and accountability in malaria control	**IMPACT** - Capacity improved in malaria programmes to increase transparency and accountability in malaria control
			OUTCOME – Harmonised malaria strategy plans across X programmes

The use of a nested logframe was considered, however the number of organisations in each fund and the diversity of their goals means that it would be impractical and artificial to try to establish linear, causal links between the impacts and outcomes of the various organisations: the result would be unwieldy and of little value.

Furthermore, Coffey has already facilitated a logframe structure at individual level that allows the fund agencies to report on outcomes resulting from work carried out in previous periods. This would be

impossible to capture using a nested logframe approach and would undermine the data that could be collected.

Results Matrix

Coffey proposes a high-level results framework (hereinafter referred to as the meta-logframe) that captures grantees' results without being too rigid in tying them in at different levels. The results matrix captures the common results areas for grantees – the 'domains of change' as well as the sectors that grantees are working in. A template is provided below, and the relevant domains and sectors described in section 3.

Three separate meta-logframes have been developed: one for the General PPA, one for the CHASE PPA and one for the GPAF. These are described in the rest of the document and will be housed in an Oracle database which is currently being developed.

The General PPA meta-logframe contains three levels (impact, outcome and output level), while the CHASE and GPAF meta-logframes only contain two levels (outcome and output level), as described below and in appendicies 10.1, 10.2 and 10.3.

In summary, the structure of the three meta-logframes is as follows.

- **Impact level (General PPA only):** Most of the General PPA agencies have used the MDGs for indicators at impact level. It is therefore sensible to use the MDGs in the meta-logframe and specify which organisations' work is relevant to each MDG. A few organisations have used alternative indicators, but it was possible to incorporate them into the outcome level of the General PPA meta-logframe instead.

  As the CHASE PPA agencies are delivering work that in many cases is not explicitly covered by the MGDs there are no common impact level indicators for CHASE agencies. Instead, CHASE organisations' impact indicators have been mapped onto the outcome level of the CHASE meta-logframe whenever appropriate.

  The impact indictors of GPAF grantees Projects funded under the GPAF have in most cases a more defined scope set at a lower level than the MDGs. The indicators at impact level have therefore been incorporated into the outcome level for the GPAF meta-logframe whenever appropriate.

- **Outcome level:** At outcome level, each meta-logframe draws together grantees' outcome indicators under common sectors (e.g. health, education) and domains of change (e.g. access, policy change, mobilisation) in an outcome grid (please see section 3 below).

- **Output level:** The output indicators of the logframes of all grantees have been mapped onto the defined areas at outcome level by listing the relevant outcome area for each output indicator in table format. This means that reports on the meta-logframe can also show outputs that contribute to those sectors/domains Please note that in some cases the output indicators can correspond to more than one outcome area.

  For the General PPA only, a set of common output indicators have been developed. This includes:

  - Number of people / households / communities directly or indirectly supported or reached

  - Number and type of resources produced

  - Number of groups trained / provided with capacity support

  - Number and type of policy influencing activities carried out

  - Number and description of initiatives designed to support women and girls directly

2.1 Advantages and disadvantages of this meta-logframe approach

2.1.1 Advantages

The outcome grid could be used in more than one way. In addition to being used to collect information upwards from individual PPA or GPAF agencies, it could also be used as a structure or framework for working backwards. For example, DFID could arrange an evaluation of change in a country, sector or region, based on the outcome grid. Any changes could then be investigated to examine the contribution of CSOs more generally, and PPA agencies in particular.

The grid is also helpful in capturing unexpected or negative changes – grantees would not be restricted to reporting on only what is in their individual logframe, but in the meta-logframe more broadly. That is, changes not covered by the pre-defined indicators in the individual grantee agency logframes. This would help capture changes brought about by ad-hoc, innovative or opportunistic work.

As the domains of change and sectors in the outcome grid are fairly generic, the same grid has also been used for the GPAF work. Depending on the types of projects that will be selected for GPAF funding in the subsequent funding rounds, the outcome grid might have to be amended.

2.2 Disadvantages and limitations

The outcome grid allows the capturing of a significant number of examples of change that could be used to illustrate the impact of individual PPA and GPAF agencies. However, as with any meta-logframe, it does not allow for the easy aggregation of statistical information. The only way to allow aggregation of this kind would be to establish common indicators used by several PPA and GPAF agencies.

It is likely that aggregation would be limited to a few areas suggested in Neil MacDonald's recent PPA meta-evaluation (e.g. Numbers of people reached within specific sectors; Numbers of policies changed). Even then these would be minimum figures, as not all agencies have statistical logframe indicators that cover these areas of their work.

Another potential weakness concerns areas of overlap. If one agency is supporting 50 CSOs with capacity development and another is supporting 30 CSOs, this does not mean the total is 80 CSOs, as some of the supported CSOs may be the same. There is no easy solution to this problem. Even attempts by individual agencies to solve this problem at beneficiary level are ripe with contradictions and technical problems. The only realistic solution is to note the issue, and be careful about the way in which results are presented.

A final problematic area is to distinguish between direct and indirect results. Some results at outcome level may be the direct result of agencies' work, or partners funded with DFID money. Other results may be more indirect (e.g. agency X works with partner Y to improve their capacity, and partner Y reaches 7,000 people in the health sector). The only practical way to solve this issue is to mark all agencies' indicators to show which are direct and which indirect. Even then the boundaries may become blurred.

After careful consideration, the Evaluation Manager recommends developing a few common outcome indicators that could be used in the future to better summarise changes in peoples' lives arising through PPA and GPAF work (see Annex 9, section 5). This should be easier in some sectors (such as health where there are many industry standard indicators) than others.

This could only be done in consultation with the grantees themselves, and would arguably be more useful for future funding rounds as it would be unrealistic to impose extra indicators (with associated costs in terms of developing baselines etc.) at this stage.

3 DOMAINS AND SECTORS

Based on an initial mapping exercise, the following domains are the most relevant for the outcome level of the meta-logframe:

- Changes in access to essential services, goods and information in order to realise basic rights and/or needs.

- Changes in the policy environment that enable improved access to essential services, goods and information.
- Changes in the ability of communities to organise and mobilise themselves around key areas of concern.[1]
- Changes in the capacity of different organisations and institutions to support or demand improved access to essential services, goods and information.
- Changes in the development, testing and wide scale adoption of pilot or innovative projects.

The most relevant sectors are the following for the General PPAs and GPAF. Note that many indicators cut across many different sectors. It will therefore be necessary to include a 'general' sector that includes cross-cutting indicators[2].

- Health (including HIV & AIDS)
- Education
- Infrastructure, including Water and Sanitation
- Markets and Livelihoods
- Governance
- Environment
- Care and protection
- Empowerment

Gender is treated as a cross-cutting issue as DFID have requested all indicators to be disaggregated by gender. However, specific indicators relating to the ability of women and girls to influence decisions that affect their lives will be captured under empowerment.

Table 1: Outcome areas for General PPA and GPAF meta-logframes

	General	Health and HIV&AIDS	Education	Infrastructure (inc. WATSAN)	Livelihoods and Markets	Governance	Environment	Care and Protection	Empowerment
1. Changes in access to essential services, goods and information in order to realise basic rights and/or needs.									
2. Changes in the policy environment									

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[1] There is obviously some overlap between capacity development, policy influencing and mobilisation. This cannot be avoided as these domains are interrelated with each other.

[2] There is a significant cross-over between these areas and those defined in BOND's proposed "Improve-It" framework. However, BOND's framework is based around ways of working, whereas these meta-logframes are based around areas of change. For example, capacity building may result in changes in the 'capacity' domain, but might also involve increased mobilisation or improved access to services for poor people. The intention of this meta-logframe approach is to capture change at outcome level.

	General	Justice	Good governance	Conflict prevention	Peace building	Security Sector	Humanitarian relief and resilience
that enable improved access to essential services, goods and information.							
3. Changes in the ability of communities to organise and mobilise themselves around key issues of concern.							
4. Changes in the capacity of different organisations and institutions to support or demand improved access to essential services, goods and information.							
5. Changes in the development, testing and wide scale adoption of pilot or innovative projects.							
6. Other changes							

Because of the specific nature of the CHASE organisations, a set of different sectors have been specified:

- Justice
- Good governance
- Conflict prevention
- Peace building
- Security Sector
- Humanitarian relief and resilience

Table2: Outcome areas for CHASE meta-logframes

	General	Justice	Good governance	Conflict prevention	Peace building	Security Sector	Humanitarian relief and resilience
1. Changes in access to essential services, goods and information in order to realise basic rights and/or needs.							
2. Changes in the policy environment that enable improved access to essential services, goods and information.							
3. Changes in the ability of communities to organise and mobilise themselves around key issues of concern.							

4. **Changes in the capacity of different organisations and institutions to support or demand improved access to essential services, goods and information.**							
5. **Changes in the development, testing and wide scale adoption of pilot or innovative projects.**							
6. **Other changes**							

4 LINKING OUTPUTS TO OUTCOMES

In most cases, individual PPA and GPAF agencies have linked outputs to their outcomes. However, in some cases outputs can contribute to many different outcomes. In order for the meta-logframe to be manageable, individual grantee agencies' outputs have been listed in the meta-logframe, and mapped onto the relevant outcome areas. Some outputs feed into two or more outcome areas.

A small collection of possible aggregated (or summarised) output indicators have also been included in the General PPA meta-logframe. These are output indicators where there is some prospect for adding together outputs from different agencies and producing an aggregated total (which would be a minimum total unless all relevant agencies include the same indicator).

5 ADDED-VALUE INDICATORS

It will be possible to add some indicators into the meta-logframe that are independent of individual agencies' logframes, e.g. around learning. This will be developed at a later stage.

6 WEIGHTING

Weighting is relatively straightforward for the GPAF agencies, as they are project funded and it is clear what proportion of the project costs are funded by DFID. This is slightly more complex for the PPA agencies and the approach to weighting is described below. It should be noted that any weighting will be made taking into consideration the individual contribution made by the PPA agency.

Some results of PPA agencies are 100% dependent on DFID funding whereas in other cases PPA money funds only a fraction of the work. The only realistic way to approach this would be to get a headline figure from each PPA agency as to what proportion of work should be attributed to PPA funding. For example:

- If a PPA logframe covers all of an organisation's work, and 40% of income comes from PPA funding then the weighting would by 40%.

- If a PPA agency only includes programmes in its logframe that are 100% funded by PPA money then the weighting would by 100%.

- If PPA funding represents 20% of an organisation's income and the PPA logframe covers 50% of its work then the weighting would be 10%.

By way of example if PPA funding is weighted at 50% and an organisation claims that 10,000 people have improved their income by 20%, we would suggest that DFID should claim 5,000 people have improved income by 20%.

7 DATA COLLECTION

The Evaluation Manager has developed procedures to capture and manipulate data at different stages. This includes guidelines on when and how often information will be collected and presented (e.g. through annual reviews, mid-term reviews, final evaluations). In addition, the Evaluation Manager foresees the following activities to support this data collection:

- A simple reporting mechanism .

- A review of the meta-logframe will be needed at regular intervals, to ensure that changes in individual PPA or GPAF logframes would be captured.
- An Oracle database will be used to handle the information.

APPENDIX 10.1- INTRODUCTION TO GENERAL PPA META-LOGFRAME

The following document contains the general PPA meta-logframe. It consists of three levels (impact, outcome and output). The general PPA meta-logframe is structured in the following way:

- **Impact level (10.1.1):** the impact level of the meta-logframe specifies which organisations' work is relevant to each Millennium Development Goal (MDG). Most of the general PPA agencies have used the MDGs for developing their indicators at impact level. The impact level of the general PPA meta-logframe therefore shows the contribution of each general PPA holder to the MDGs, as expressed through their individual logframe. For those organisations that have used alternative indicators, these have been incorporated into the outcome level for the meta-logframe (see below) where possible.

- **Outcome level (10.1.2):** the outcome level of the general PPA meta-logframe contains a series of domains of change and sectors as described in section 3 in Annex 10 and depicted below. The outcome indicators of the logframes of all general PPA holders have been mapped onto these areas and clustered whenever possible.

	General	Health and HIV&AIDS	Education	Infrastructure (inc. WATSAN)	Livelihoods and Markets	Governance	Environment	Care and Protection	Empowerment
1. Changes in access to essential services, goods and information in order to realise basic rights and/or needs.									
2. Changes in the policy environment that enable improved access to essential services, goods and information.									
3. Changes in the ability of communities to organise and mobilise themselves around key issues of concern.									
4. Changes in the capacity of different organisations and institutions to support or demand improved access to essential services, goods and information.									
5. Changes in the development, testing and wide scale adoption of pilot or innovative projects.									
6. Other changes									

- **Output level (10.1.3):** the output indicators of the logframes of all general PPA holders have been mapped onto the defined areas at outcome level by listing the relevant outcome area for each output indicator in table format. Please note that in some cases the output indicators can correspond to more than one outcome area.

APPENDIX 10.1 – INTRODUCTION TO THE GENERAL PPA META-LOGFRAME

- **Common indicators (10.1.4):** there are a number of common output indicators across the portfolio of grantees. The exact indicators used by each organisation vary, and so aggregation is be possible, but there might be a possibility of summarising information in some areas. The common indicators include:

  - Number of people / households / communities directly or indirectly supported or reached

  - Number and type of resources produced

  - Number of groups trained / provided with capacity support

  - Number and type of policy influencing activities carried out

  - Number and description of initiatives designed to support women and girls directly

APPENDIX 10.1.1   PPA - IMPACT LEVEL

This table shows the contribution of each agency to the MDGs, as expressed through their logical framework. A further mapping of logframes onto countries and/or specific targets under the MDGs could also be undertaken if required. However, this would require additional data collection from PPA agencies.

	ActionAid	ADD International	Article 19	CAFOD	CARE International	Christian Aid	ETI	Farm Africa Consortium	Gender Links	GAIN	HelpAge International	International HIV/AIDS Alliance	IPPF	Islamic Relief	Malaria Consortium	MSI	Oxfam GB	Plan UK	Practical Action	Progressio	Restless Development Consortium	SC UK	Sightsavers	Transparency International	VSO	WaterAid	Womankind Worldwide	World Vision UK	WWF UK
MDG 1: Eradicate extreme poverty and hunger	G	G		P	G	G	G	P		G	G						P		G	G	G	G			G	P			
MDG 2: Achieve universal primary education	G	G								G												G	P		G				
MDG 3: Promote gender equality and empower women	G	G		P	G	G	G		G	G	G		G						G								P		
MDG 4: Reduce child mortality										G							P											G	
MDG 5: Improve maternal health					G	G						P		G		G												G	
MDG 6: Combat HIV/AIDS, malaria and other diseases							G					G	G		P		P			G			P		G			G	
MDG 7: Ensure environmental sustainability			G						P										G										P
MDG 8: Develop a global partnership for development	G	G					G												G	G						P			

Key: Boxes shaded in green denote explicit references to MDGs in PPA agencies' logframes. Pink boxes are Coffey's estimates based on impact indicators.

APPENDIX 10.1.2   PPA - OUTCOME LEVEL

This section of the meta-logframe contains broad outcomes and indicators, designated in bold. Indicators in italics represent the individual indicators of PPA agencies. Areas where there are no indicators in italics represent areas currently uncovered by PPA agencies' logframes.

Please note that many outcome indicators could be included under more than one domain and in more than one category. In this document the indicators are placed into the most relevant domain/category. At a later stage these indicators may be replicated, with care being taken to avoid double counting.

1   DOMAIN 1: CHANGES IN ACCESS TO ESSENTIAL SERVICES, GOODS AND INFORMATION IN ORDER TO REALISE BASIC RIGHTS AND/OR NEEDS.

1.1   Improved access to essential services (general)[1]

- Total number of instances where there is the potential for at least one million poor people to benefit from an improved ability to access technologies, services, natural resources, markets and/or to mitigate risks as an indirect result of Practical Action knowledge, partnerships and influencing **(Practical Action)**

- % of people who received humanitarian support from responses meeting established standards for excellence (e.g. Sphere guidelines), disaggregated by sex **(Oxfam GB)**

- Number of men and women benefiting directly (Health, HIV & AIDS, Education, Secure Livelihoods) and indirectly (Secure Livelihoods) from quality services supported by VSO **(VSO)**

- # of beneficiaries reached, including through leverage of additional resources **(Christian Aid)**

- Number of communities, especially the most vulnerable, reporting improved access to quality services for defined target groups. (Target groups will be defined by the community and identify those least able to access services with a focus on women and disabled people.) **(World Vision UK)**

1.2   Improved access to health

- No. of OP (M/F) reporting improved access to appropriate health services **(HelpAge International)**

- No. of older men and women in HelpAge programme areas reporting improved health status **(HelpAge International)**

- Delivery of life-saving interventions to children under 5 **(SC UK)**

- Number of cases of malaria, pneumonia and diarrhoea U5 treated through Save the Children supported activities or facilities (by sex) **(SC UK)**

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[1] Note that some of the indicators in this section may later be analysed under more specific headings, such as health, livelihoods, etc.

APPENDIX 10.1.2   PPA - OUTCOME LEVEL

- Improved maternal, newborn and child health (MNCH), as demonstrated by decreased disease burden, improved nutritional status and increased skilled birth attendant utilisation rates **(World Vision UK)**

- % of people (m/f, children & young people, PWHIV) supported by partners who report increased adoption of safe preventive practices &/or uptake of health **(Christian Aid)**

- # DALYs (see Note 3) averted (HIV/maternal and SRH) **(IPPF)**

- Maternal deaths averted in programme countries over time **(MSI)**

Improved quality of life for people affected by HIV&AIDS

- Number of people reached directly through HIV/AIDS prevention, care, support and treatment services (including integrated TB, SRH and MCH services) of Alliance's supported Linking Organisations **(International HIV/AIDS Alliance)**

- percentage of women and men sampled, living with and affected by HIV who provide evidence of improved quality of life **(CAFOD)**

- Number of women, men, girls and boys accessing quality maternal and reproductive health, and HIV & AIDS services **(VSO)**

- Level of Practice and Behaviour of PLWHV **(Progressio)**

- Level of Knowledge and Attitude of PLWHV **(Progressio)**

Improved access to nutrition

- Proportion of women of reproductive age and children having access to specific nutritious products **(GAIN)**

- Proportion of target population consuming fortified foods **(GAIN)**

- The prevalence of malnutrition in women and children, including specific micronutrient deficiencies **(GAIN)**

Improved access to reproductive services

- Couple Years of Protection **(MSI)**

- Unsafe abortions averted over time **(MSI)**

- Number of users of long acting and permanent methods (LAPM) of contraception **(MSI)**

- Average cost per Couple Years of Protection in MSI's internal results based financing agreements **(MSI)**

- % Condom use at last high risk sex **(Restless Development, Warchild, YBI)**

- # unintended pregnancies averted, estimated by age (all ages/< 25) **(IPPF)**

- % cost reduction of cost per CYP/birth averted **(IPPF)**

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Improved access to treatment for non-sighted or partially sighted people

- Treatments delivered through health interventions **(Sightsavers)**
- % disabled children in programmes supported by Sightsavers transitioning from one school year to another **(Sightsavers)**

1.3　　Improved access to education

Improved enrolment rates

- Female gross enrolment rate in lower secondary school in operational areas **(Plan UK)**
- Change in number of children enrolled in locally accredited formal & non-formal Save the Children-supported primary education programmes (by sex and formal/ non –formal) **(SC UK)**

Reduced dropout rates

- # of girls completing a year of lower secondary education each year in operational areas **(Plan UK)**
- Number of boys and girls completing quality primary education **(VSO)**

Improved quality of educational environment

- # of girls and boys benefitting from an improved educational experience **(Plan UK)**
- # of schools defined as "girl-friendly" by adolescent girl pupils, adapted and strengthened from Unicef standards **(Plan UK))**
- % of basic education and ECCD schools/ education sites supported by SC that meet 4 quality criteria (learner's physical safety; learner's psychological safety, effective teaching practices and community participation) disaggregated by type of institution **(SC UK)**

Improved community support for education

- % of care givers who agree that girls' right to lower secondary education has to be fulfilled **(Plan UK)**
- % of parents citing financial barriers as a reason for adolescent girls not attending school **(Plan UK)**
- % of girls believing that their concerns are acted upon by school management **(Plan UK)**
- % of girls who perceive that violence has reduced in schools **(Plan UK)**
- % of community members who agree that physical violence against girls is acceptable (proxy indicator for attitudes) **(Plan UK)**

1.4　　Improved access to infrastructure services (inc. WATSAN)

- Numbers of people who have access to water as a result of our direct investments with and through partner organisations **(WaterAid)**

APPENDIX 10.1.2 PPA - OUTCOME LEVEL

- Numbers of people who have access to sanitation services (improved and unimproved) as a result of our direct investments with and through partner **(WaterAid)**

1.5   **Improved livelihoods and access to markets**

Improved livelihood security for people supported through livelihoods strategies

- number of households (Female-headed and male-headed) reporting improved livelihood security represented by an increase in food, income or other assets **(CAFOD)**

- Average % change in milk-related income of participating smallholder dairy farmers in Bangladesh **(CARE UK)**

- % of marginalised producers & landless labourers (m/f) supported by partners who achieve more profitable and resilient livelihoods &/or management of key livelihoods resources / risks **(Christian Aid)**

- Level of improvement in benefits from farming, water and forest resources reported by poor and marginalised people **(Progressio)**

- Number of households with improved standard of living based on locally defined standard-of-living threshold **(Farm Africa, Africa Now, Self Help Africa)**

- Number of smallholder households who can benefit from change due to consortium policy engagement **(Farm Africa, Africa Now, Self Help Africa)**

- Average turnover from smallholder enterprises **(Farm Africa, Africa Now, Self Help Africa)**

- Number of smallholders reporting improved access* to markets **(Farm Africa, Africa Now, Self Help Africa)**

- Total number of women and men each year with improved material wellbeing and/or representation in decision making over their ability access to technologies, services, natural resources, markets and/or to mitigate risks, as a direct result of Practical Action's work **(Practical Action)**

- % of targeted households living on more than £1.00 per day per capita **(Oxfam GB)**

- Number of men and women accessing quality services to support economic self-reliance **(VSO)**

- %age of people who sustain income level for one year after receiving Islamic microfinance in Chad, Iraq, Pakistan and Sudan **(Islamic Relief)**

- % Young people employed or setting up a successful business who are able to contribute to household income **(Restless Development, Warchild, YBI)**

Improved food security for people supported through livelihoods strategies

- Poor farmers, especially women, in targeted areas consider themselves to have increased food security **(ActionAid)**

APPENDIX 10.1.2   PPA - OUTCOME LEVEL

- Number of meals eaten in lean season by targeted households **(Farm Africa, Africa Now, Self Help Africa)**

- Number of smallholders with increased average production levels of key commodities and crops **(Farm Africa, Africa Now, Self Help Africa)**

Improved access to microfinance services

- # of CARE microfinance clients linked to formal financial services in Uganda **(CARE International)**

- Number of income generating enterprises (businesses) established by beneficiaries who have received Islamic micro finance **(Islamic Relief)**

1.6   Improved quality of life directly resulting from improvements in governance

1.7   Improved quality of life directly resulting from improvements in environment

- Numbers of poor women and poor men directly benefiting from initiatives that have improved ecosystems and ecosystem services in WWF's priority areas **(WWF UK)**

1.8   Improved care and protection for vulnerable groups

- % of children supported by Save the Children who demonstrate an improvement in protection outcomes **(SC UK)**

- Increase in number of girls and boys, especially the most vulnerable, who report living free from violence, abuse and exploitation over the past year **(World Vision UK)**

- % of poor, vulnerable and socially excluded women and youth, who feel safe and secure in targeted programme districts of Nepal **(CARE International)**

1.9   Increased empowerment

Increased empowerment of women to become involved in decision-making at different levels

- Proportion of women sources in media houses that GL is working with **(Gender Links)**

- Proportion of women in local government (with Case studies and testimonial evidence of the difference that this makes). **(Gender Links)**

- % of supported women meaningfully involved in household decision-making and influencing affairs at communal and institutional levels **(Oxfam GB)**

- Women's perception of safety & protection from violence **(Womankind Worldwide)**

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Increased empowerment / quality of life for older people

- Coverage/value of new/ improved social protection (SP) cash transfers to older people & families **(HelpAge International)**
- No of older men and women with potential to benefit from new/ improved policies **(HelpAge International)**

Increased empowerment / quality of life for the disabled

- Evidence of disabled people experiencing positive change **(ADD International)**

APPENDIX 10.1.2   PPA - OUTCOME LEVEL

2   DOMAIN 2: CHANGES IN THE POLICY ENVIRONMENT THAT ENABLE IMPROVED ACCESS TO ESSENTIAL SERVICES, GOODS AND INFORMATION

2.1   Number and description of policy changes at different levels, disaggregated by sector and type of institution[2]

- Policy influencing contribution scores, as generated from findings of rigorous qualitative evaluations **(Oxfam GB)**
- Number of policies changed: a) Illegal logging, b) Water resource management, c) Climate change **(Progressio)**
- Number of countries where there has been evidence of policy and legislative change at national and sub-national level as a result of SC supported advocacy interventions **(SC UK)**
- Number of pro-poor policies developed or implemented resulting from civil society strengthening initiatives **(VSO)**

2.2   Number and description of policy changes at different levels affecting the health sector

- Number of countries where WaterAid's works with evidence that WASH is recognised as an essential element of Health in national development **(WaterAid)**
- # (& description) of cases of partners / marginalised communities informing national/local policy, plans &/or budgets related to resilient livelihoods or health **(Christian Aid)**
- Number and description of global/regional malaria control policies and strategies to which MC has directly contributed **(Malaria Consortium)**
- Number of countries adopting best practice malaria control policies and/or strategies **(Malaria Consortium)**
- The adoption of scalable models and policy frameworks by governments, private sector, donors through GAIN-initiated advocacy and campaigns **(GAIN)**
- No of countries providing new basic geriatric/NCD training for health professionals **(HelpAge International)**
- No. of other development actors including OP in their programme **(HelpAge International)**

Number and description of policy changes at different levels targeted at people affected by HIV&AIDS

- No. of governments that increase access to ARVs/caring & support for OP and HIV+ family members **(HelpAge International)**

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[2] Different levels may include , for example, changes in discourse, changing minds, getting an issue onto the agenda, changed policy or policy implementation.

APPENDIX 10.1.2   PPA - OUTCOME LEVEL

Number and description of policy changes at different levels targeted at improved nutrition

- The presence of a legislative framework that allows quality standard setting for innovative fortified products and the required capacity to enforce quality control **(GAIN)**

- The existence of multistakeholder platforms and policy frameworks in selected countries that integrate agriculture, food security and nutrition **(GAIN)**

- Number of initiatives supported/facilitated by GAIN that drive nutrition as a key component of country strategies, as for example NEPAD/CAADP and Maternal Infant and Young Child Nutrition (MIYCN) Working groups, in alignment with SUN framework **(GAIN)**

Number and description of policy changes at different levels targeted at improved reproductive services

- # and description of new policies and regulations adopted to improve maternal and neonatal health as a result of advocacy work of CARE and its partners in Peru **(CARE UK)**

- # of policies/legislation in support of SRH and an enabling environment for SRH at national, regional and global levels **(IPPF)**

Number and description of policy changes at different levels targeted at improved treatment for non-sighted or partially sighted people

- No. of international policy engagements resulting in concrete policy commitments in our areas of work **(Sightsavers)**

2.3   Number and description of policy changes at different levels affecting the education sector

- School governance structures support gender equality and women's rights **(ActionAid)**

- Number of countries where WaterAid's works with evidence that WASH is recognised as an essential element of Education in national development **(WaterAid)**

- # of education policies, new or revised, at international, national and local level, that are more gender-responsive and/or aim to reduce violence against girls in school **(Plan UK)**

2.4   Number and description of policy changes at different levels affecting infrastructure (inc. WATSAN)

- Evidence that WaterAid's influencing work contributing to more people potentially having access to water and sanitation **(WaterAid)**

2.5   Number and description of policy changes at different levels affecting livelihoods and markets

- # (& description) of cases of partners / marginalised communities informing national/local policy, plans &/or budgets related to resilient livelihoods or health **(Christian Aid)**

- Number of additional "improvement actions" in worker conditions as defined by the ETI Base Code, disaggregated by Gender **(ETI)**

- Workers reports of "Most Significant Changes" related to working conditions, disaggregated by gender **(ETI)**

APPENDIX 10.1.2 PPA - OUTCOME LEVEL

2.6   **Number and description of policy changes at different levels affecting the governance sector**

- Number and description of systemic positive change shown annually (change in discourse, policy development, policy adoption, implementation, enforcement of change) with a verifiable contribution by TI to this change **(Transparency International)**

- Number and description of TI recommendations taken up by regional and global institutions (WB, G20, EC, regional intergovernmental bodies, financial institutions, etc) **(Transparency International)**

- Number of annual citations of TI Global Corruption Barometer in academic journals **(Transparency International)**

- Number and description of international development policies adopted or adapted that include A19 recommended principles **(Article 19)**

- Number of requests for A19 to contribute to international development policy processes **(Article 19)**

- Number of UN UPR outcome documents that include A19 recommendations on FoE and transparency **(Article 19)**

- Number and description of ASEAN policies that include A19 recommendations **(Article 19)**

- Number and description of ICT/media laws progressed or adopted that include A19 recommendations **(Article 19)**

- Number of progressive and comprehensive RTI laws adopted or well progressed that include A19 recommendations **(Article 19)**

- Number of countries where governments establish A19 recommended comprehensive safety mechanisms for journalists and human rights defenders **(Article 19)**

- Number of target governments that adopt IATI **(Article 19)**

- Number of cases filed by A19 and partners that receive progressive interpretation **(Article 19)**

- Adoption of IATI by WB and EU **(Article 19)**

- Number and description of policies developed or adopted by Africa IGOs (APRM, ECOWAS, EAC) that include A19 recommendations **(Article 19)**

2.7   **Number and description of policy changes at different levels affecting the environment sector**

- Ecosystem area (hectares) under improved management regimes and/or with reduced threats as a result of improvements in policies and practices **(WWF UK)**

- Number of policies and practices adopted and/or strengthened to incorporate concepts of environmental sustainability, poverty reduction, and/or climate smart as a result of WWF's engagement **(WWF UK)**

- Number of local & national policies, plans & processes, with allocated resources, in support of generic changes to regimes for the community or co-management of natural resources as a result of WWF's engagement **(WWF UK)**

APPENDIX 10.1.2   PPA - OUTCOME LEVEL

- Levels of commitment and action by Governments to policy frameworks and practices on adaptation, REDD+ and low carbon development that are climate smart, environmentally sustainable and designed to improve the well-being of poor men and women **(WWF UK)**

- Commitment and action by Governments to ensure that social & environmental standards are integrated into development planning, trade and investment **(WWF UK)**

- Levels of commitment and action by local and international companies to incorporate climate smart, social and environmental best practices into their policies and practices **(WWF UK)**

- Levels of commitment and action by banks and multilateral financial institutions to incorporate climate smart, social and environmental best practices into their policies **(WWF UK)**

2.8   Number and description of policy changes at different levels affecting care and protection for vulnerable groups

- Number and description of child protection and MNCH policy, planning or practice changes that have been informed by evidence from civil society **(World Vision UK)**

2.9   Number and description of policy changes at different levels supporting empowerment of different groups

Number and description of policy changes specifically affecting women and women's rights

- No of governments that have ratified the SADC Protocol on Gender and Development **(Gender Links)**

- Attainment of gender equality against SADC Gender Protocol targets as measured by the SGPI **(Gender Links)**

- Progress towards the adoption of an Addendum to the SADC Gender Protocol on gender and climate change **(Gender Links)**

- No of case studies, including personal testimonials) of how the SADC Gender Protocol is being used to effect change across a range of countries **(Gender Links)**

- Extent to which the three governments adopt indicators as an ongoing tracking tool;   use of indicators to strengthen national action plans; interest shown by other countries in the region. **(Gender Links)**

- Assessment score of legislation, government policies & strategies developed &/or in place which promote & protect gender equality, women's rights & development **(Womankind Worldwide)**

- Assessment of level of implementation & resourcing of legislation, strategies & policies in 11 countries **(Womankind Worldwide)**

Number and description of policy changes specificlly affecting older people and their rights

- No of humanitarian agencies who recognise and respond to older people's needs in their policy and practice **(HelpAge International)**

APPENDIX 10.1.2   PPA - OUTCOME LEVEL

Number and description of policy changes specifically affecting the disabled and disability rights

- Legal cases established of rights violations towards disabled people **(ADD International)**
- Ratification of UNCRPD in ADD countries **(ADD International)**
- INGOs (e.g. PPA holders) providing evidence of inclusive policy and practice **(ADD International)**
- Donors with disaggregated disability inclusive budgets **(ADD International)**

APPENDIX 10.1.2   PPA - OUTCOME LEVEL

3   DOMAIN 3: CHANGES IN THE ABILITY OF COMMUNITIES TO ORGANISE AND MOBILISE THEMSELVES AROUND KEY ISSUES OF CONCERN

3.1   Increased mobilisation and engagement of supported groups

Increased mobilisation and engagement of supported groups around national-level policies

- Poor and excluded people participate in budget and decision-making processes **(ActionAid)**

- percentage of partners demonstrating increased engagement and influence in policy and advocacy work **(CAFOD)**

- # and description of citizen's concerns and recommendations raised through summarized community scorecard reports, which are reflected in government decision-making for targeted Rwandan districts **(CARE International)**

- Civil Society Organisations' level of involvement in government processes **(Progressio)**

- Level of engagement with international institutions or corporate sector bodies **(Progressio)**

- % of young people participating in the development, implementation and monitoring of national-level policies, multi-year development plans and annual budgets **(Restless Development, Warchild, YBI)**

- % of targeted national and local government institutions and departments formally consulting with young people in their strategies, operational plans and budgets affecting the Three Priority Areas **(Restless Development, Warchild, YBI)**

- Financial value (£) of partnerships with private sector organisations providing financial and technical support for young people in the 3 Priority Areas **(Restless Development, Warchild, YBI)**

- % of targeted bi- and multi-lateral aid agencies successfully engaging and making provision for youth in their global strategies, country assistance plans, operations and budgets affecting the 3 Priority Areas **(Restless Development, Warchild, YBI)**

Increased mobilisation of communities to become involved in decision-making

- Level of Community and/or Constituency building **(Progressio)**

- Total number of women and men each year with improved material wellbeing and/or representation in decision making over their ability access to technologies, services, natural resources, markets and/or to mitigate risks, as a direct result of Practical Action's work **(Practical Action)**

- Duty bearer practice improvement contribution scores, as generated from findings of rigorous qualitative evaluations **(Oxfam GB)**

- Number of Civil Society Organisation, community groups and networks with capacity to influence and hold government and service providers to account **(VSO)**

APPENDIX 10.1.2   PPA - OUTCOME LEVEL

Mobilisation of individuals to become engaged in development work

- Total number of men and women directly benefiting from VSO interventions in Participation and Governance , Disability and National Volunteering programmes **(VSO)**

- Number of National Volunteers, Diaspora Volunteers and Campaign Volunteers overseas promoting positive development practices and active citizenship **(VSO)**

3.2   Increased mobilisation and engagement of supported groups around health-sector work

- Number of countries targeted by the Alliance with community initiatives that are influencing policy at the national level **(International HIV/AIDS Alliance)**

Increased mobilisation and engagement of supported groups around people affected by HIV&AIDS

Increased mobilisation and engagement of supported groups around nutrition

Increased mobilisation and engagement of supported groups around reproductive services

Increased mobilisation and engagement of supported groups around treatment for non-sighted or partially sighted people

- % of countries where Sightsavers works where partners are providing input into shadow UNCRPD monitoring and reporting mechanisms **(Sightsavers)**

3.3   Increased mobilisation and engagement of supported groups around education sector work

3.4   Increased mobilisation and engagement of supported groups around infrastructure work

- Evidence of increased capacity for collective action by civil society and non-sector actors to campaign effectively for the rights of the poor to WASH **(WaterAid)**

3.5   Increased mobilisation and engagement of supported groups around livelihoods and markets

3.6   Increased mobilisation and engagement of supported groups around the governance sector

- Number of unique visitors to TI website **(Transparency International)**

- Number of contacts received by Advocacy and Legal Advice Centres **(Transparency International)**

- Number of case studies of citizens resisting corruption **(Transparency International)**

APPENDIX 10.1.2   PPA - OUTCOME LEVEL

3.7   **Increased mobilisation and engagement of supported groups around environmental issues**

- Level of engagement of civil society groups with relevant government authorities and/or other decision makers to advocate for adaptation, REDD+ and low carbon development policy frameworks and practices that are climate smart, environmentally sustainable and designed to improve the well-being of poor men and women **(WWF UK)**

3.8   **Increased mobilisation and engagement of supported groups around care and protection issues**

3.9   **Increased mobilisation and engagement of specific groups**

Increased mobilisation of women

- % of girls who feel that their participation in decision-making is valued by community members, local authorities and family members **(Plan UK)**

- # of cases where adolescent girls/boys groups have influenced decision-making of local, national government / international institutions / service provision with Plan support **(Plan UK)**

- Community leaders and stakeholders demonstrate support for women's rights in targeted areas and within targeted groups **(ActionAid)**

- Poor women are empowered through improved knowledge and advocacy skill **(ActionAid)**

- Women's self assessment of their awareness of their rights & the skills to claim them **(Womankind Worldwide)**

- No of MOUs signed with cluster and country networks of the Alliance **(Gender Links)**

Increased mobilisation of older people

- Govt Ministries effectively including DPOs in consultation processes **(ADD International)**

- Evidence that DPOs have felt heard and that their contribution has been used to inform policy/implementation of legislation **(ADD International)**

Increased mobilisation of disabled people

APPENDIX 10.1.2   PPA - OUTCOME LEVEL

4   **DOMAIN 4: CHANGES IN THE CAPACITY OF DIFFERENT ORGANISATIONS AND INSTITUTIONS TO ENABLE IMPROVED ACCESS TO ESSENTIAL SERVICES, GOODS AND INFORMATION**

4.1   Increased general capacity of supported groups

Increased general capacity of CSOs/partners

- Percentage of partner organisations that achieve CAFOD's minimum standards of accountability **(CAFOD)**

- Number of partner organisations providing quality services in maternal and reproductive health, HIV & AIDS, education and economic development **(VSO)**

- Number of trained practitioners applying their skills effectively **(VSO)**

- % of target youth-led and youth-focused civil society organisations meeting established minimum standards in operations and programme delivery **(Restless Development, Warchild, YBI)**

Increased general capacity of governments and/or decision-makers

Increased general capacity of communities

- number of communities (HH) that report improved resilience to multiple hazards **(CAFOD)**

- # of individuals (men/women/vulnerable men/vulnerable women) benefitting from adoption of Community-Based Adaptation approaches developed by CARE in Ghana **(CARE International)**

- % of targeted households indicating positive ability to minimise risk from shocks and adapt to emerging trends & uncertainty **(Oxfam GB)**

4.2   Increased capacity of of supported groups to address health-sector work

- Number of Linking Organisations that have become principal/prime recipients of Global Fund, USG or other Multilateral grants over USD 1 million 3 **(International HIV/AIDS Alliance)**

Increased capacity of supported groups to address people affected by HIV&AIDS

Increased capacity of supported groups to address nutrition

Increased capacity of supported groups to address reproductive services

APPENDIX 10.1.2   PPA - OUTCOME LEVEL

Increased capacity of supported groups to address treatment for non-sighted or partially sighted people

4.3   Increased capacity of supported groups to address education sector work

4.4   Increased capacity of supported groups to address infrastructure work

4.5   Increased capacity of supported groups to address livelihoods and markets

4.6   Increased capacity of supported groups to address the governance sector

- Strength and diversity of RTI coalitions in target countries **(Article 19)**

- Number of A19/partner trained CSOs using RTI skills outside of scope of A19 projects **(Article 19)**

4.7   Increased capacity of supported groups to address environmental issues

- Numbers of CSOs, CBOs, collective and joint management regimes with strengthened capacity to sustainably use / manage natural resources **(WWF UK)**

- Effective collective or joint management plans in place and enforced **(WWF UK)**

4.8   Increased capacity of supported groups to address care and protection issues

4.9   Increased capacity of specific groups

Increased capacity of supported groups to support women's rights

- Number of partner organisations integrating gender equality into their programmes **(VSO)**

- Womankind partners in 11 countries are assessed as active members of national NGO networks &/or participate in national-level campaigns **(Womankind Worldwide)**

Increased capacity of supported groups to support older people's groups

Increased capacity of supported groups to support disabled peoples' rights

APPENDIX 10.1.2   PPA - OUTCOME LEVEL

5   DOMAIN 5: CHANGES IN THE DEVELOPMENT, TESTING AND WIDE SCALE ADOPTION OF PILOT OR INNOVATIVE PROJECTS

5.1   Increased development, testing and wide scale adoption of pilot or innovative projects

- # and description of instances where identified good practice is reflected in national/international development policy **(CARE International)**

- # of new funding sources leveraged for investment in innovative development models **(CARE International)**

- # and description of instances where identified good practice is reflected in national/international development policy **(CARE International)**

- A composite indicator (under development; to be finalized by May 2011) reflecting the status of the enabling environment supporting the effective scale and scaling-up of nutrition partnerships - rating for example: public investment, private sector investment and other factors against good practice **(GAIN)**

- The adoption of scalable models and policy frameworks by governments, private sector, donors through GAIN-initiated advocacy and campaigns **(GAIN)**

- Number of partnerships using good practice approaches with consortium support **(Farm Africa, Africa Now, Self Help Africa)**

APPENDIX 10.1.2   PPA - OUTCOME LEVEL

6   DOMAIN 6: OTHER CHANGES

6.1   Increased development education in the North

- number of people taking action (and description of the action) on poverty and climate change in response to invitations from youth leaders **(CAFOD)**
- number of children in Catholic Primary Schools demonstrating increased awareness of global issues **(CAFOD)**

6.2   Degree and description of engagement and awareness/understanding by targeted international agencies of Islamic faith stances

- Degree and description of engagement and awareness/understanding by targeted international agencies of Islamic faith stances on child protection **(Islamic Relief)**
- Degree and description of engagement and awareness/understanding by targeted international agencies of Islamic faith stances on conflict transformation **(Islamic Relief)**
- Degree and description of engagement and awareness/understanding by targeted international agencies of Islamic faith stances on environmental protection **(Islamic Relief)**
- Degree and description of engagement and awareness/understanding by targeted international agencies of Islamic faith stances on microfinance/deb **(Islamic Relief)**

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

This section shows the individual output indicators of each agency, and how these map onto the outcome indicators contained in part II. Output indicators may map onto two or more outcome indicators. Using this map would require the use of a database to show how outputs link up with outcomes.

ActionAid		
Output	**Indicator**	**Relevant outcomes**
Women's Groups strengthened to effectively contribute towards the planning and integration of national strategies to support women's rights	• Number of women's groups trained on advocacy techniques	3.9.1, 4.9.1
	• Number of women's groups participating in policy fora	3.9.1
	• Number of Reflect circles established to promote awareness and knowledge sharing	4.9.1
	• Policy briefs and reports produced by women's groups communicating priority issues for change	3.9.1
Community leaders, and local, regional and national government officials trained to support women to effectively access and exercise their rights	• Number of leaders trained on women's rights to raise awareness and knowledge amongst community decision-makers	4.1.3
	• Number of fora and workshops to promote dialogue and understanding amongst elders, officials and women's groups	4.1.3, 4.1.2, 4.9.1
	• Number of government officials trained on women's rights and the means by which they can be exercised	4.1.2
	• Reports published based upon women's groups' research and analysis targeting community and government decision-makers	3.9.1

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

CSOs, farmers' groups and associations established and strengthened to contribute towards the development of effective food security policies	• Number of newly created CSOs, farmers' groups and associations	3.5
	• Number of women members of farmers' groups and associations	3.5, 3.9.1
	• Number of CSOs and farmers' groups represented on food security council's/fora	3.5
	• Number of farmers' groups and stakeholder association members trained on advocacy techniques	3.5, 4.5
Organisation and skills of poor farmers and their groups are strengthened to promote access to and use of productive assets and climate resilient sustainable agricultural practices	• Number of farmers trained on sustainable farming practices (Male and Female)	4.5, 4.7
	• Number of farmers formally participating in resource users' associations - e.g. irrigation user groups, seed bank management committees or other similar groups	1.5.1, 4.5
	• Knowledge amongst farmers' groups of sustainable resource management	4.5, 4.7
	• Number of farmers informed about sustainable resource management	4.5, 4.7
	• Reports/policy papers produced advocating sustainable agriculture	2.5, 2.7
CSOs trained to demand greater accountability and transparency from governments and effectively monitor budgets and decision-making processes at national, provincial and district levels	• Number of CSOs trained in use of key analytical and advocacy tools (including budget analysis, social audit and transparency boards)	3.1.1, 3.1.2, 4.1.1
	• Number of CSOs groups/networks practicing ELBAG methodologies	3.1.1, 3.1.2
	• Social audit/budget analyses conducted by	

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

	CSOs	3.1.1
	• Resources produced and distributed to enhance CSOs knowledge and economic literacy	3.1.1, 4.1.1
	• Policy briefs published with CSOs targeting key decision makers	3.1.1
National and local government officials trained on issues of accountability and transparency to affect positive change in just and democratic governance practices	• Number of government officials trained	4.1.2, 4.6
	• Knowledge of ELBAG network priorities and actions amongst decision-makers and budget holders	4.1.2, 4.6
	• Awareness of decision-makers and budget holders to CSO and community groups' priorities	4.1.2, 4.6
	• Responses of public officials to petitions and public debate in open fora	4.6
Local schools have increased capacity to respect children's rights and gender equality	• Number of educational professionals (teachers, public officials) trained to promote gender equality in schools	3.9.1, 4.3
	• Number of school management committees (parents) trained to promote gender equality in schools	3.9.1, 4.3
	• Number of councils campaigning for school improvements	3.3

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

ADD International		
Output	**Indicator**	**Relevant outcomes**
ADD providing and/or funding needs assessments, training, mentoring and opportunities for reflective learning	• # of DPOs receiving training & mentoring from ADD	4.1.1, 4.9.3
	• # of partner DPOs that ADD supported in proposal development	4.1.1, 4.9.3
	• # of DPOs progressing with regard to their capacity	4.1.1, 4.9.3
All ADD partner DPOs have effective women's departments and cross-disability partners have women forums	• # of women-only cross-disability forums	3.9.1, 3.9.3
	• (# of) women departments being satisfied with ADD's support to increase their contribution within the DPOs	3.9.1, 3.9.3
All ADD partner DPOs can demonstrate constructive links between national body and grass root membership	• # of grass root DPOs affiliated with national DPOs	4.9.3
	• # of ATS between national and member DPOs	4.9.3
ADD with partner DPOs developing and implementing advocacy strategies including livelihood, (civic) education, political representation, physical access, gender issues and law	• # of ADD partner DPOs with Advocacy Strategy	3.9.3
	• # of public campaigns conducted in ADD working countries	2.9.3, 3.9.3
	• # of direct engagements with service providers	2.9.3, 3.9.3
	• #of direct engagements with local, district, state and national governments	2.9.3, 3.9.3

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

International Policy and Campaign Strategy developed (by ADD UK) and campaigns at international level planned and implemented	• # of meetings with (I)NGOs, donors, governments at CEO and field level	2.9.3
	• # of MOUs/partnerships with (I)NGOs	2.9.3
	• # of consultations by ADD with (inter)national organisations at UK and country/field level	2.9.3

APPENDIX 10.1.3 PPA - OUTPUT LEVEL

Article 19		
Output	**Indicator**	**Relevant outcomes**
A19 influences international policies and standards on transparency and accountability related to MDGs 5, 7 and the right to water	• Number and description of A19 policies developed	2.6
	• Number and description of international meetings/events organised by A19 and partners	2.6
	• Number and description of A19 statements and press releases published	2.6
A19 influences regional IGOs and bodies to develop/adopt progressive policy on FoE, transparency and accountability	• Number of A19/partner recommendations on transparency and FoE submitted for inclusion in UN charter and treaty processes	2.6
	• Number and description of A19/partner papers and submissions to Africa regional mechanisms APRM, ECA and ECOWAS	2.6
	• Number and description of A19/partner papers and submissions to ASEAN	2.6
	• Number of advocacy initiatives by A19/partners to advocate for WB and EU adoption of IATI	2.6
A19 influences national legislation and policy related to FoE, transparency and the free flow of information.	• Number and description of A19 submissions on national legislation related to RTI	2.6
	• Number and description of submissions on national legislation related to FoE	2.6
	• Number of requests for A19 submissions	2.6

	on national legislation from policy makers and legislators	
Increased capacity of CSOs representing poor men and women in target countries to test the RTI framework and system, with particular reference to MDGs 5, 7 and the right to water	• Number of partners, journalists, stakeholders and others trained by A19 in using RTI skills	3.6, 4.6
	• Number and quality of requests for information filed by A19 and partners during A19 projects	3.6, 4.6
A19 strengthens judicial processes that address impunity of state and non-state actors violating freedom of expression and transparency	• Number of A19/ partner-led strategic litigations	2.6
	• Number and description of A19/partner-led national initiatives to establish comprehensive protection mechanisms against impunity	2.6
	• Number of cases filed by A19 and partners seeking the interpretation of international laws by regional mechanisms on impunity	2.6

APPENDIX 10.1.3 PPA - OUTPUT LEVEL

CAFOD		
Output	**Indicator**	**Relevant outcomes**
Church-linked initiatives provide opportunities to improve food security and access to markets for poor and disadvantaged women and men.	• number of households (female- and male-headed) reached by CAFOD-supported interventions with a focus on food security	1.5.2
	• number of households (female- and male-headed) reached by CAFOD-supported interventions with a focus on small to medium enterprises	1.5.1
Church-linked organisations facilitate, develop and influence action plans, information systems and policies to increase community resilience to hazards for women, men and children in vulnerable communities	• number of communities (HH) that have implemented disaster risk reduction and climate change HVCA assessments	4.7
	• number of risk-reduction plans and activities implemented in conjunction with local and national governments	4.1.2, 4.7
Church-linked initiatives provide access to comprehensive (care, mitigation and prevention) services to reduce the impact of and vulnerability to HIV for women, men and children in marginalised communities	• number of women, men and children who have increased access to a holistic range of care and mitigation services	1.2.1
	• percentage of participants in faith-linked initiatives who both correctly identify ways of preventing HIV infection and reject major misconceptions about HIV transmission	1.2.1
Children and young people are skilled and motivated to adopt lifestyles that positively affect the lives of vulnerable, poor and disadvantaged women and men in the Global South	• number of Catholic Primary Schools using a new curriculum which promotes active global learning	6.1
	• number of young people (11-26) active in CAFOD youth leadership initiatives	6.1

APPENDIX 10.1.3 PPA - OUTPUT LEVEL

The accountability mechanisms of Church-linked organisations and other civil-society partners are strengthened	• Number of partners assessed by CAFOD's accountability minimum standards tool in the previous 12 months	4.1.1
	• % partners whose accountability has improved over the previous 12 months when assessed by CAFOD's accountability minimum standards tool	4.1.1
Policy influence	• Number and profile of civil-society policy initiatives supported by application of CAFOD's 'voice and accountability tool'	2.1, 3.1.1

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

CARE International		
Output	**Indicator**	**Relevant outcomes**
Innovative development models are implemented by CARE and partners in priority countries covering 5 sectors.	• Average # of litres per day produced by participating smallholder dairy farmer in Bangladesh	1.5.1
	• # of community-level saving and loans groups formed in Uganda	1.5.3
	• # of health facilities supervised by citizens in maternal and child health issues to improve the quality and / or cultural relevance in Peru	1.2
	• # of sectors and districts for which community score cards are summarised and disseminated in Rwanda	3.1.2
	• # of individuals (men/women/vulnerable men/vulnerable women) directly supported to mitigate against climate change through diversifying livelihoods strategies in Ghana	1.7, 1.5.1
	• # of poor, vulnerable and socially-excluded Nepalese women reached through activities raising awareness of community peace building, UN Resolution on Women, Peace and Security (UNSCR 1325) and social cohesion	4.1.3
All PPA-supported models are tested and reviewed resulting in refinements and recommendations for good practice.	• # of internal reflection and learning meetings held	5.1
	• # of externally published learning studies which identify clear recommendations to	5.1

APPENDIX 10.1.3 PPA - OUTPUT LEVEL

	improve models	
Identified good practice from PPA-supported models is mainstreamed within CARE and promoted among development actors through policy engagement.	• # of CARE and external stakeholders receiving good practice studies	5.1
	• # of workshops or public events at which CARE presents its findings to international or national development actors	5.1

APPENDIX 10.1.3 PPA - OUTPUT LEVEL

Christian Aid		
Output	**Indicator**	**Relevant outcomes**
To work through partners to support marginalised small-scale producers and landless labourers, primarily women, to develop increasingly profitable and resilient livelihoods	• # of marginalised producers & landless labourers (m/f) supported by partners to develop more resilient livelihoods	1.5.1
To work through partners to support marginalised and vulnerable communities in 10 countries to manage key resources / adapt livelihoods strategies to respond to climate trends and other key risks	• # of marginalised / vulnerable communities supported to conduct participatory analysis of livelihoods risks and opportunities, and implement measures in response	4.5, 1.5.1
	• # of vulnerable communities supported to build links with climate science actors to enhance understanding of short- and long-term climate trends / risks	4.7
To support partners to influence national and sub-national policy & practice to promote profitable and resilient livelihoods for marginalised small-scale producers & landless households, especially women	• # of cases of partners / communities supported to develop and conduct advocacy on issues of livelihoods, risk & resilience	3.5, 3.7
	• # (& description) of cases of women producers / labourers or other excluded groups supported to participate in policy processes related to livelihoods, risk & resilience	3.5, 3.7, 3.9, 3.9.1
To work through partners to improve health for women, people with HIV and children	• # of people (m/f, children / young people, PWHIV) reached with health prevention programmes &/or supported to access health services	1.2, 1.2.1
	• # of people with HIV reached through peer	

	support groups and/or faith-based / other activities aimed at reducing stigma & discrimination	1.2.1
	• # of cases of partners / communities supported to develop and conduct advocacy on health issues / rights of women, children and/or people with HIV	3.2, 3.2.1, 3.8, 3.9.1

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

Ethical Trading Initiative		
Output	**Indicator**	**Relevant outcomes**
Programme collaboration between businesses, civil society (including Trades Unions) and government to improve working conditions in selected workplaces in prioritised supply chains.	• Number of joint initiatives addressing a specific workers' condition as described in the ETI Base Code. • Number of organisations actively participating in joint initiatives.	2.5, 3.5 3.5
Poor and vulnerable workers in prioritised supply chains are better prepared to act on their rights.	• Number of workers reporting knowledge of their rights at work disaggregated by gender. • Percentage of workplaces, where joint initiatives are active, with representative structures in place that enable workers to voice their concerns.	4.5 2.5, 3.5
ETI member companies operate in a way that supports improvements in working conditions in prioritised supply chains.	• Number of changes in business practices adopted by businesses that affect prioritised supply chains. • Value of direct investment by companies in initiatives in prioritised supply chains.	2.5 2.5

APPENDIX 10.1.3 PPA - OUTPUT LEVEL

Farm Africa / Africa Now / Self-help Africa		
Output	**Indicator**	**Relevant outcomes**
Increased smallholder skills, knowledge and organisational capacity to support enterprise development	• Number of smallholders trained in production, business skills and organisational development • Number of smallholder organisations supported	4.5 4.5
Engagement between smallholders and relevant corporate, national, regional and global policy processes supported	• Number and descriptions of country policy processes engaged with • Number and descriptions of Africa regional policy processes engaged with • Number and descriptions of global policy processes engaged with	2.5, 3.5 2.5, 3.5 2.5, 3.5
Scalable proven good practice approaches for integrating farmers in value chains documented and disseminated	• Number of research initiatives completed • Number of learning fora/networks contributed to • Number of guidance/technical materials produced • Number of requests for information, technical guidance and support fulfilled	5.1 5.1 5.1 5.1

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

Gender Links		
Output	**Indicator**	**Relevant outcomes**
The SADC Gender Protocol moves into implementation mode with targets integrated into government gender policies; planning and budgets.	• No of in-country workshops held to identify gaps against the Protocol provisions and align national policies against the SADC gender protocol targets.	3.9.1, 4.9.1
	• No of countries that develop a costed action plan for the attainment of the SGP targets.	2.9.1
Centres of excellence for gender mainstreaming in the media that generate and disseminate gender content.	• No of media houses that complete the six stage COE process for adopting and implementing gender policies.	3.9.1
	• No of articles contributed to the Opinion and Commentary Service and usage by the media including the media COEs.	3.9.1,
	• No of articles and programmes produced by the Lusophone service	3.9.1
The SADC Gender Protocol is given effect at the local level through 300 Centres of Excellence (COE's) that include flagship programmes on gender justice, local economic development and climate change.	• Modules on Local Economic Development (LED) including care work and climate change that have been developed and launched	4.9.1, 3.9.1, 1.9.1
	• No of COEs with comprehensive gender action plans incorporating SADC Gender Protocol targets especially on GBV and economic empowerment	3.9.1, 1.9.1
	• No of case studies (including testimonial evidence) of local level action to end gender violence and empower women.	3.9.1, 1.9.1

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

365 Day National Action plans to end gender violence, especially prevention components, are strengthened through the adoption of a comprehensive set of indicators for measuring progress towards the SADC Gender Protocol target	• No of countries that adopt the indicators and conduct the surveys; no of launches; responses within the country	2.9.1
	• No of firsthand accounts or "I" stories of women empowered to reclaim their lives through telling their stories. *Qualitative:* evidence of how this changes the lives of women.	1.9.1, 3.9.1

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

GAIN		
Output	**Indicator**	**Relevant outcomes**
New products and marketing models aimed at mothers, infants and young children and the management of malnutrition developed and tested	• Number of effective delivery models developed, including identification of key success factors • Production of innovative products (by type of product)	5.1 5.1
Staple food fortification is scaled up and made more suited to high burden countries including through the use of new food vehicles, such as rice, wheat flour products, and other innovative products and by developing and demonstrating effective new models for scale-up through public-private partnerships	• Number of new delivery models for scale-up of food fortification developed (large, medium and small scale industries) • Coverage and reach of target groups through innovative financing mechanisms and public-private partnerships.	5.1 1.2.2
Improving food safety and food quality by supporting the establishment of a food safety lab and monitoring systems	• Number of countries with functioning food safety monitoring systems • Presence of a regional food safety laboratory	2.2.2 2.2.2
Access to a diversified diet supported for vulnerable households through creation of linkages between agriculture, food security and nutrition and mobilization of public private partnerships	• Number of new public-private partnerships facilitated by GAIN that enhance nutrition along the food value chain • Number of countries that set up mechanisms to effectively integrate nutrition into agricultural and food security policies • Proportion of vulnerable rural households that benefit from inputs that enhance the production of nutritious crops	1.2.2, 2.2.2 2.2.2 1.2.2

APPENDIX 10.1.3 PPA - OUTPUT LEVEL

Creation of social marketing and nutrition communication strategies in support of outputs 1-4	• Number of campaigns or other social marketing efforts developed	2.2.2
Enhanced evidence base for scaling up nutrition, incl. identification and validation of best practice models for scale-up and replication, (social) marketing and key indicators of success, including lessons learned on public-private partnerships	• Number of publications and reports disseminated on best practices, including M&E	4.2.2, 5.1

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

HelpAge International		
Output	**Indicator**	**Relevant outcomes**
Older people holding their governments to account at local level for the delivery of existing services	• No of OP and their associations in dialogue with service providers	3.9.2
	• No of OP (M/F) assisted to claim entitlements	2.9.2, 3.9.2
	• No of older people (M/F) supported to take action locally on specific rights abuses	2.9.2, 3.9.2
Capacity of governments, private sector and other service providers to deliver for older people increased	• No of government and other staff trained in age-relevant issues (inc health, SP, DRR, rights etc)	4.1.2
	• No. of older men/women & their families benefitting directly from HelpAge and partners' humanitarian response programmes	1.9.2
Increased provision of complementary services and support at community level by older people and NGOs	• No of OP (M/F) receiving improved access to community-based care services	1.9.2
	• No. of older men/women leading activity to mitigate impact of shocks	3.9.2, 3.7, 1.7
	• Number of OPAs/OP (M/F) involved in income generation activities	1.5.1, 1.9.2
Advocate for policy changes that recognise rights and needs of older people	• No of countries where OP involved in national level action for improved services	3.9.2
	• No of countries where HelpAge providing technical assistance to governments on new SP mechanisms	4.1.2
	• No of countries where HelpAge and	

	partners contribute to reporting against existing rights mechanisms and commitments	2.9.2

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

International HIV/AIDS Alliance		
Output	**Indicator**	**Relevant outcomes**
More people affected by HIV/AIDS access HIV (prevention, care and treatment) services with special emphasis on scaling up in Sub-Saharan Africa.	• Number of people reached with HIV prevention services	1.2.1
	• Number of people reached with HIV care and treatment services.	1.2.1
More integration of Alliance Linking organisations existing HIV services with other services (MCH, family planning, TB and livelihoods).	• Percentage of countries with an Alliance presence that show increased coverage of TB, SRH, MCH, livelihoods and or human rights programmes	1.2.1
Alliance programmes and data are increasingly part of the "national response" in the countries the Alliance is present.	• Percentage of Alliance Linking Organisations that are regularly reporting data to national AIDS authorities	3.2.1
More community representatives participate and engaged in policy & programming decisions.	• Number of countries targeted by the Alliance with community initiatives that are engaged in policy at the national level	3.2.1
	• Number of countries targeted by the Alliance where representatives of MARPs participate in decision making bodies on HIV/AIDS funding allocation	3.2.1
Alliance's Linking Organisation initiatives in targeted countries address access to justice, health and information for people affected by HIV/AIDS	• Number of Alliance Linking Organisations with law reform initiatives that focus on having an impact on the structural drivers of the epidemic.	3.2.1, 2.2.1
More CBOs are supported to deliver effective community action and hold governments to account building on Southern-led technical support	• Number of CBOs supported financially and technically to work at community level by the Alliance.	4.1.3, 4.2.1

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

| A stronger Alliance partnership generates learning that better feeds into policy and practice | • Average percentage score of the Alliance Linking Organisations as a 'learning organisation' based on eight dimensions of learning NGO index. | 4.1.1 |
| | • Number of Alliance Linking Organisations that have documented improvements in their programmes on the basis of accreditation in terms of effectiveness, efficiency and good practice. | 4.1.1, 4.2.1 |

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

IPPF		
Output	**Indicator**	**Relevant outcomes**
Delivering a package of essential services, centred around family planning, (PES) (see Note 7) through IPPF Member Associations (MAs), increasing knowledge, access and choice that will improve the health of women and girls, particularly poor and young people (see Note 8)	• SRH services provided: #total, #young people (YP), % poor clients, #CYP (See Note 9),# HIV/RTI services • % MAs providing PES services:(75%) 6 out of 8 services (See Note 12); (100%) 8 out of 8 services	1.2.3 1.2.3
Improve the policy environment for SRH and choice at global, regional and national levels Specifically contributing to 1) access to family planning/SRH; 2) Access to legal abortion; 3) Comprehensive sexuality education and child protection; 4) Integrated HIV/AIDS and SRH, including stigma reduction, 5) National budget allocations for SRH	• # of successful national policy initiatives to which IPPF MAs' advocacy has contributed significantly • # of successful global and regional political and financial commitments to MDGs, ICPD and international development dialogues to which IPPF has contributed substantively • # of national, regional and/or global financial/policy-making committees in which IPPF's MAs are active	2.2.3 2.2.3 3.2.3
Strengthen the economy, efficiency and effectiveness of IPPF's network	• % of IPPF funding to MAs that is delivered through results-driven financing • # MAs that produce and use standardised activity cost data (% efficiency)	4.1.1 4.1.1

APPENDIX 10.1.3 PPA - OUTPUT LEVEL

Islamic Relief		
Output	**Indicator**	**Relevant outcomes**
6 Communities in 4 fragile states (Chad, Iraq, Pakistan, Sudan) have community based access to Islamic micro finance	• %age of targeted communities who have received capacity building training in line with IR social mobilisation approach • No of beneficiaries who have access to Islamic micro credit facilities	4.5, 3.5 1.5.3
Partnerships established and feedback given to international agencies in relation to fragile states	• No and description of policy feedback to DFID, UN & EC in relation to fragile states • No and description of new formal partnerships (eg MOU) established with World Bank, UNFAO, UNICEF & IDB • No and description of new policy documents available on IR Website	2.1, 3.1 2.1, 3.1 2.1, 3.1
Public awareness and engagement of development issues increased through establishing community based twinning initiatives	• No & description of twinning initiatives established between communities in the North and South	6.1

APPENDIX 10.1.3 PPA - OUTPUT LEVEL

Malaria Consortium		
Output	**Indicator**	**Relevant outcomes**
Support for improved delivery systems in MC malaria programmes in PPA identified high burden and priority countries	• The number of programmes, supported by MC and partners in high burden countries that have adopted and/or are implementing the "mixed model"[1] to deliver malaria interventions	5.1
	• The number of programmes in high burden countries supported by MC to develop and implement practical diagnostic policies or strategies	5.1, 2.2
	• Number of programmes in priority countries supported by MC that are demonstrating, with evidence from the implementation, integrated, community-based approaches and improved access to malaria treatment	5.1, 1.2
MC contributing to the development and strengthening of harmonised national/regional malaria control strategies and increased transparency and accountability within those strategies	• Number and description of harmonised national strategies and/or plans supported by Malaria Consortium	2.2
	• Number of DFID priority countries in which MC is requested and provides support to improve accountability and value in malaria control	2.2
Increase in National Malaria programmes that are applying effective strategies to maintain coverage of malaria interventions	• Number of programmes in high burden and priority countries supported by MC that are implementing maintenance coverage strategies	2.2, 5.1
	• Number of countries where MC supports	

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

	epidemiological and entomological monitoring of changing malaria transmission in different epidemiological settings	2.2, 5.1
	• Number of "high risk" countries/regions supported by MC to adopt drug and/or insecticide resistance management strategies	2.2, 5.1
MC dissemination efforts to reach, inform and engage new and existing audiences to support ongoing malaria efforts and successes	• Number and description of targeted dissemination activities held or supported by MC to target and reach new and existing influencers who support ongoing malaria efforts.	4.2, 3.2
	• Number of DFID priority countries where MC is working with groups/ implementers to promote value and accountability in malaria control	4.2, 3.2
	• Number and description of evidence papers disseminated globally on the syntheses of major initiatives to achieve effectiveness and value in malaria control by Malaria Consortium.	4.2

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

Marie Stopes International		
Output	**Indicator**	**Relevant outcomes**
Increased access to quality FP and SA services for the poor and underserved through the private health sector	• Sites in rural and urban slum areas reached by high quality MSI mobile clinical outreach teams	1.2.3
	• Private providers in MSI accredited networks delivering quality family planning (FP) and/or safe abortion (SA) services	1.2.3
	• Clients reached with MSI family services who are defined as poor or underserved	1.2.3
Expanded FP and SA choice through the innovative use of new technologies and service delivery options	• Participating MSI country programmes distributing new, registered and less expensive contraceptive methods (e.g. Sino-II implants, generic Mirena-type IUDs, vasectomy)	5.1, 1.2.3
	• External results-based financing agreements° for FP or SA service delivery entered into by MSI and its networks	5.1, 1.2.3
	• Percentage of country programmes receiving Quality Technical Assistance (quality assurance visit) scores of 90% or above	4.2.3
Contribution made to improved aid effectiveness for FP and SA through increased MSI evidence collection and use.	• MSI programmes implementing our new standardised Management Information System and research activities to increase the organization's evidence base.	4.2.3
	• Evidence produced and disseminated by or in collaboration with MSI on PPA	4.2.3

	themes and outputs (e.g. reaching adolescents and other vulnerable populations, FP or SA innovations, value for money of results based financing for FP and SA services, integration of the private health sector in health systems)	

APPENDIX 10.1.3 PPA - OUTPUT LEVEL

Oxfam GB		
Output	**Indicator**	**Relevant outcomes**
Life sustaining and needs-based support provided to 1.5 million people from low income countries affected by serious humanitarian crises.	• Total number of people provided with appropriate humanitarian assistance, disaggregated by sex	1.1
700,000 people effectively supported to reduce their risk to natural hazards and adapt to current and future climatic variability and uncertainty.	• # of people supported to understand current and likely future hazards, reduce risk, and/or adapt to climatic changes and uncertainty, disaggregated by sex	4.7
80,000 poor women and men supported to sustainably increase their income via market-focused value chain development support.	• # of women and men directly supported to increase income via enhancing production and/or market access	1.5.1, 4.5
60,000 people reached to enable women to gain increased control over factors affecting their own priorities and interests	• # of people reached to enable women to gain increased control over factors affecting their own priorities and interests	1.9.1, 3.9.1
80,000 citizens supported to engage with state institutions and capacity building provided to 90 duty bearers.	• # of a) citizens, CBO members and CSO staff supported to engage with state institutions/other relevant actors; and b) duty bearers benefiting from capacity support	3.1, 4.1.2
Number of campaign actions directly undertaken or supported, e.g. contacts made with policy targets, online and offline actions taken, media coverage, publications, and specific events held	• Number of campaign actions directly undertaken or supported, e.g. contacts made with policy targets, online and offline actions taken, media coverage, publications, and specific events held	2.1, 3.1

APPENDIX 10.1.3 PPA - OUTPUT LEVEL

Plan UK		
Output	**Indicator**	**Relevant outcomes**
Girls' rights, and especially to education, are promoted through awareness raising initiatives with girls, boys, community members, leaders and government officials by Plan	• # of boys and girls made aware of their rights and gender equality from Plan sessions	1.3.1, 1.9.1
	• # of community members attending awareness events organised by Plan	3.3, 1.3.4
	• # of teachers, government officials and local leaders aware of their obligations in relation to girls rights and gender equality from Plan sessions	1.3.4, 1.9.1
Financial barriers to adolescent girls education is reduced with the support of Plan (or with Plan's direct provision)	• # of girls accessing financial/material assistance for education from Plan	1.3.1, 1.3.2
	• # of girls accessing financial assistance for education from local authorities with support from Plan	1.3.1, 1.3.2, 2.3
	• # of families (with adolescent girls) participating in/ supported by livelihood initiatives facilitated by Plan	1.3.1, 1.3.2, 1.5.1
School communities are supported by Plan to improve the quality of education for girls through capacity building	• # of teachers trained by Plan on participatory gender sensitive approaches and teaching methodologies	4.3, 1.9.1, 1.3.3
	• # of school structures improved with Plan's facilitation and support	4.3, 1.3
	• # of schools with a plan of action that specifically addresses the needs of girls, developed with Plan support	4.3, 1.9.1, 1.3.1, 1.3.2

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

School communities are supported by Plan to address violence against girls with capacity building and development of protection strategies/systems.	• # of child protection committees/ systems in place in schools with Plan support	1.8
	• # of boy, girls, and teachers trained by Plan in alternative conflict resolution practices	1.8, 4.3
	• # of schools with code of conduct developed and/or implemented with children with the support of Plan	1.8, 4.3
Boys and girls are trained by Plan and partners to develop knowledge and awareness of SRHR services.	• # of girls and boys trained by Plan on sexual reproductive health and rights	4.3, 1.9.1, 1.2.3
	• # of girls and boys who are aware of SRHR services and support	4.3, 1.9.1, 1.2.3
Adolescent girls are trained and supported by Plan to be involved in decision-making and accountability mechanisms at community, local and national level.	• # of girls and boys trained by Plan as advocates/educators	4.3, 3.9.1, 3.3
	• # of policy development processes (new or revisided) supported by Plan and partners at local and national level to be more gender-responsive and/or to reduce violence against girls in school	2.9.1, 2.8, 2.3
	• # of girls actively engaged in local or national governance mechanisms (including schools) with Plan support	3.9.1, 2.9.1, 3.3
Key regional and international actors are supported by Plan to develop and/or improve policies for adolescent girls empowerment	• # of policy development processes supported by Plan at regional and international level (DFID, EC, UN and World Bank policy and strategy documents in relevant sectors) to be more responsive to adolescent girls' needs	2.9.1, 2.3
	• # of international fora and policy	3.9.1, 3.3

	dialogues, in which girls are meaningfully engaged by Plan	
	• # of publications and electronic resources (research, papers/reports/policy papers, school resources, Participatory Videos) produced by Plan in support of adolescent girls' empowerment	4.3, 2.9.1

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

Practical Action		
Output	**Indicator**	**Relevant outcomes**
Increased representation of poor women and men in organisations and processes at the sub-national level that enhance their ability to access technologies, services, natural resources and markets and to mitigate risks	• Number of organisations of the poor whose capacity is strengthened by Practical Action to improve pro-poor access to technologies, services, natural resources and markets, and/or to mitigate risks including the type, gender disaggregated repesentation, function and location of the organisation	4.1.3, 4.5
	• Number of instances where new participatory engagements introduced and facilitated by Practical Action ensure the voice of poor people is represented in decision making over access to technologies, services, natural resources and markets and/or mitigate risks disaggregated by gender of those involved and the type, function and location of the process	3.1.2, 3.5
	• Number of poor people with the potential to benefit from improved representation in organisations and/or decision making processes as a direct result of Practical Action capacity building and/or facilitation support disaggregated by gender	3.1.2, 4.1.3
Poor women, men and children vulnerable to climate change, poverty and/or fragile states increase their access to material benefits and services as a direct result of Practical Action	• Number of poor people aquiring one or more new material benefits disaggregated by gender, benefit type and country (material benefit examples include improved food access, greater access to	1.4, 1.5

support	infrastructure services, higher incomes, and/or new livelihood opportunities)	
	• Number of instances where new district disaster risk mitigation plans incorporate community level planning (early warning systems, hazard planning, disaster response plans etc) with the potential to reduce aset losses of at least 10,000 people disaggregated by country	3.7, 1.7
Increased use of Practical Action knowledge services by individuals, enterprises, development practitioners and decision-makers in the north and south	• Number and type of knowledge services accessed each year by economic status and gender of users	4.1.3
	• Number of poor people reported by survey respondents to have benefited each year from the use of knowledge services disaggegated by gender, and the nature of the food, service, income, livelihood or risk mitigation benefit	4.1.3, 1.1
Increased capability of national governments, international institutions, private sector, practitioner organisations, and/or civil society groups to deliver proven technologies and approaches at national and international levels as a direct consequence of Practical Action partnerships and support	• Number, type and description of national and international partnerships supported each year with the poptential to impact on at least one million poor peoples' ability to access technologies, services, natural resources, markets and/or to mitigate risks, including the sector covered, the partnership members, its objectives and approach, Practical Action's role, and scale of the work programmes designed and/or implemented (£-turnover; estimated beneficiaries)	4.1.2
	• Number and description of new	2.1

	documented instances where national and/or international policies, standards or practices targeted by Practical Action change, with the potential to impact on the ability of at least one million poor people to improve their access technologies, services, natural resources, markets and/or to mitigate risks	

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

Progressio		
Output	**Indicator**	**Relevant outcomes**
Progressio provides development workers to strengthen the capacity of Civil Society Organisations	• Number of development workers in 6 countries to strengthen the capacity of Civil Society Organisations	4.1.1
The capacities of Progressio's partner Civil Society Organisations are strengthened in: 1. Effective Governance and Participation 2. Sustainable Environment and Climate Change 3. HIV and Aids	• Civil society organisational level capacity strengthened index in six countries	4.1.1
	• Civil society organisational level of skill index of development workers in six countries	4.1.1
	• Civil society organisational level of attitude index of development workers in six countries.	4.1.1
Progressio's Partners' Projects reach Civil Society Organisations and beneficiaries	• Number of projects, in Progressio's strategy in 6 countries	4.1.1
	• Number of Civil Society Organisations reached by Progressio in 6 countries	4.1.1
	• Number of beneficiaries reached by Progressio through partners in 6 countries	4.1.1, 1.1
Policy interventions rooted in partner experience, researched and appropriately targeted towards agreed policy makers by Progressio	• Number and description of policy interventions delivered and/or progressed	2.1
Progressio promotes learning and sharing of good practice	• Number of case studies published, disseminated and shared	4.1.1

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

Restless Development / War Child / Youth Business International		
Output	**Indicator**	**Relevant outcomes**
Delivery of evidence based grassroots programmes and services to a critical mass of young people	• # of young people accessing business or employment schemes and training through the Consortium	4.5, 1.5
	• # of young people accessing civic education, life skills and advocacy training programmes in Target Countries	4.5, 3.1.3
	• # of young people accessing SRH programmes and/or services in Target Countries	1.2.3
	• # conflict affected children and youth accessing protection and reintegration programmes and/or services	1.8
	• # duty bearers participating in activities aimed at improving the care and protection of conflict affected children and youth	4.1.2, 4.8
Provision of targeted technical support to a critical mass of national youth civil society organisations in both Target and Network Countries.	• # of local youth-led and youth-focused civil society organisations trained and supported to meet minimum standards in programme delivery	4.1.1
	• # of local youth-led and youth-focused civil society organisations trained and supported in significantly scaling up their influence and outreach	4.1.1
Sustained engagement with strategic partners (government, bi- and multi- lateral), in both Target	• # of national and local governments institutions and departments formally	4.1.2

APPENDIX 10.1.3 PPA - OUTPUT LEVEL

and Network Countries to work more effectively with and for young people as part of their core strategies and business models.	supported to consult with young people in their strategies, operational plans and budgets affecting the Three Priority Areas • # of bi- and multi-lateral aid agencies supported to engage with and to make provision for young people in their global strategies, country assistance plans, operations and budgets affecting the 3 Priority Areas • # private sector organisations engaged with the consortium to provide financial and technical support for young people in the 3 Priority Areas	4.1.2 4.1.2
Capturing and disseminating best practice, replicable models and learning from Target and Network Countries	• # on-line and written resources detailing evaluations, case studies and guiding documents on best practice in youth-led and youth-targeted development • # downloads of on-line youth development tools produced in 3 Priority Areas	4.1.1, 3.1 4.1.1, 3.1

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

Save the Children UK		
Output	**Indicator**	**Relevant outcomes**
Save the Children supported health and nutrition services (outreach and facility based) deliver high quality, appropriate maternal, newborn and child health interventions	• Number of live births attended by a skilled birth attendant through Save the Children supported activities or facilities	1.2.3
	• Number of children U5 successfully treated for severe acute malnutrition through Save the Children supported activities/ facilities (by sex)	1.2.2
	• Number of health care workers who complete pre-service or in-service training in defined list of child health and nutrition topics using standardised curricula through Save the Children support	4.2, 4.2.2
	• Number of boys and girls directly reached through our health and nutrition programmes	1.2, 1.2.2
Save the Children supported schools and learning sites, especially in fragile states, achieve year on year improvements in access to, and quality of, education in safe and child-friendly learning environments	• Change in number of children enrolled in locally accredited formal & non-formal Save the Children-supported primary education programmes (by sex and formal/ non -formal)	1.3.1
	• No of girls and boys, women and men, reached directly through SC supported education programmes	1.3
Increased number of children supported through improved child protection systems as a result of Save the Children supported interventions in	• Number of girls and boys reached directly through Save the Children's child protection work	1.8

fragile states	• % of targeted children (girls and boys) and caregivers (women and men) in a 12-month period who utilise prevention or response interventions delivered or supported by Save the Children	1.8
Increased transparency and accountability to children within Save the Children programmes	• An effective feedback & complaints procedure established in our programmes • % of SC supported projects involving Child Participation and complying with at least 3 SC practice standards	1.9 (with focus on children) 1.9 (with focus on children)
Changes in discourse and debate at national and sub-national level as a result of Save the Children supported advocacy and campaiging activities	• Number of countries that establish a national or state-level coalition for MNCH / nutrition pushing for decisive action on newborn child survival as a result of SC's support	2.2, 2.2.2, 2.2.3
	• No of SC country programmes conducting advocacy activities to change discourse and debate around specific SC advocacy messages and targets, broken down by sector (health, nutrition, livelihoods, education, protection, child rights governance)	2.1
	• Evidence of advocacy targets engagement in Save the Children supported advocacy activities	2.1

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

Sightsavers		
Output	**Indicator**	**Relevant outcomes**
Innovative large scale health initiatives implemented to provide at least 83 million treatments in target countries	• No. of trachoma surgeries conducted	1.2.4
	• No. of treatments provided under Mass Drug Administration (MDA) for NTDs	1.2.4
	• No. of primary health workers trained in eye health and community NTD workers trained in NTD distribution	4.2.4
	• No. of specialist eye health cadres trained	4.2.4
Innovative approaches piloted to identify improve eye health and benefit visually impaired and disabled people in target countries	• Value of funding allocated to innovative approaches by mixed internal / external programme panel	5.1
	• % of projects funded under innovative funding scheme achieving satisfactory rating when assessed by panel	5.1
Contribution to health systems strengthening in countries where Sightsavers works through delivery of eye health as an integral part of the national health strategy	• % of district level eye health programmes supported by Sightsavers that contribute to health system strengthening through support to at least 4 of the 6 WHO building blocks for health systems	2.2.4
	• No. screened for eye conditions	1.2.4
	• No. of surgeries conducted for Non-NTD conditions	1.2.4
	• No. of other Non-NTD treatments provided	1.2.4
Disabled and visually impaired girls and boys educated alongside their peers within wider government education systems in programmes	• No. teachers trained to provide education for children with a visual impairment	4.2.4, 4.3

APPENDIX 10.1.3 PPA - OUTPUT LEVEL

supported by Sightsavers	• No. of disabled pupils enrolled in the education system in programmes we support	1.9.3, 1.3, 1.2.4
Strengthened, representative and effective Disabled People's Organisations and Blind People's Organisations supported by Sightsavers	• No. of rehabilitation workers trained	4.2.4
	• % of countries where we work with Sightsavers supported BPOs / DPOs with active participation in national level policy fora	3.2.4, 3.9.3
Enhanced organisational management and information systems within Sightsavers, to deliver cost effective, quality results and outcomes to beneficiaries	• % of organisational income spent on evidence building	6
	• Transparency and accountability initiatives to donors, public and beneficiaries	6
	• Value for money initiatives	6
	• % of in-country salary costs invested in developing country level teams	6
	• Number of UK, US, other European and Indian public regularly supporting Sightsavers each year	6

Transparency International		
Output	**Indicator**	**Relevant outcomes**
To develop evidence on corruption issues	• Number and description of TI-S research publications	4.6
	• no and descriptions of TI National Chapter research publications supported by TI-S	4.6
To support citizens to address corruption and	• Number of Advocacy and Legal Advice	1.6, 3.6

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

promote integrity	Centres globally	
	• Number of Development Integrity Pacts, globally (DIPs are a public agreement between organisations of disadvantaged citizens and public institutions or representatives charged with the delivery of public goods and services).	3.6, 2.6
To reach out to and influence external stakeholders	• Number of press statements annually	2.6, 4.6
	• Number and description of TI documents with recommendations on Anti-Corruption practise and policy annually	2.6
To strenghten the capacity of the TI movement	• Number of cooperative projects within the movement coordinated by TI-S	2.6, 3.6, 4.6
	• Number of trainings organised by TI-S for TI National Chapters	4.6, 4.1.1

VSO		
Output	**Indicator**	**Relevant outcomes**
Partner Organisations supported to build their capacity in policy engagement/ networking/ representation of target groups including women and girls, national volunteering and Diaspora programme development and to provide quality services	• Number of partners organisations supported in building their capacity in policy engagement/ networking/ representation of target groups including women and girls, national volunteering and Diaspora programme development	4.1.1
	• Number of partners organisations supported in building their capacity to provide quality services in health, HIV and AIDS, education and economic	4.1.1, 4.2, 4.2.1, 4.3, 4.5

	development	
	• Number of partner practitioners trained in health, HIV & AIDS, education and economic development	4.1.1, 4.2, 4.2.1, 4.3, 4.5
Quality volunteers undertake partner capacity building	• Number of male and female VSO volunteers undertaking partner capacity building	4.1.1
Influence pro-poor policies of international institutions based on evidence gathered from our partners and volunteers	• Number of international advocacy strategies that aim to advocate for policy change and or implementation in VSO areas of impact (see comment for description of policy changes being monitored)	2.1
Opportunities facilitated for partners and staff to learn through knowledge sharing	• Number of International knowledge sharing contact days that facilitate learning for partners and VSO staff through international study tours and work placements	4.1.1

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

WaterAid		
Output	**Indicator**	**Relevant outcomes**
Develop and promote equitable and sustainable water, hygiene and sanitation services that are accessible, appropriate and affordable, ensuring these can be replicated and adapted by others.	• Numbers of people who have access to water as a result of our direct investments with and through partner organisations	(Already included under outcomes)
	• Numbers of people who have access to sanitation services (improved and unimproved) as a result of our direct investments with and through partner organisations	(Already included under outcomes)
	• Evidence of WaterAid supported work demonstrating inclusive representation and participation of community members in the planning implementation and use of services	3.4
To ensure and improve the effectiveness and sustainability of our service delivery by scaling up monitoring and review processes.	• Number of CPs carrying out post - implementation surveys to assess functionality, sustainability and use of water and sanitation facilities and hygiene practices.	6
	• Number of in-depth joint technical reviews of the effectiveness of the technical aspects of service delivery carried out and followed up in CPs.	6
To assist poor communities to demand their rights to water, hygiene and sanitation services and to take responsibility for developing and maintaining them.	• Number of communities WaterAid CPs support to demand their rights to water.	3.4, 4.4
	• Number of partnerships with networks supported to focus on WASH issues.	3.4, 4.4

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

Support governments and service providers in developing their capacity to deliver safe water, improved hygiene and sanitation.	• Number of local / district government receive capacity building from WaterAid staff across all country programmes.	4.1.2, 4.4
	• Number of CPs in Africa supporting sector level planning, coordination and performance monitoring.	2.4
To advocate for the essential role of safe water, improved hygiene and sanitation in human development.	• Number of CPs engaging with development actors working on health policy or programmes.	2.2, 2.4
	• Number of CPs where School WASH is promoted with other development actors. (See footnote).	2.3, 2.4
	• WaterAid Flagship Report for WASH produced with participation and contributions from CPs.	4.4
	• Number of countries in Africa and Asia with established Sanitation and Water for All Compacts as a result of WaterAid's support.	4.4, 2.4

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

Womankind Worldwide		
Output	**Indicator**	**Relevant outcomes**
Partners' organisational capacity is strengthened through Womankind support	• Womankind's partner organisations in 11 countries plan & implement organisational improvement strategies	4.1.1, 4.9.1
Womankind partners provide places in refuges, legal aid advice, referrals and counselling to women living with violence	• Number of women in 7 programmatic countries who receive legal advice and representation; are able to leave dangerous family environments through the provision of alternative accommodation and services; receive counselling following the trauma of an abusive relationship; are referred to further services they require	1.9.1, 1.1
Promotion & dissemination of models of good practice to promote & protect women's rights & development	• Number of publications & materials produced and disseminated promoting Womankind good practice guidance (NOTE - Womankind will launch a new website on 8th March 2011, after this time website downloads can be measured & reported on) • Number of meetings/influencing opportunities through which INGOs, donors, key policy & decision makers (in 11 countries, UK, EU and international level) are informed about Womankind's evidence based research, policy & recommendations	5.1, 4.9.1 2.9.1
Womankind partners deliver advocacy actions with	• Number of advocacy actions carried out	2.9.1

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

key government, civil society & other key targets at local & national level	by partner organisation annually in 11 countries	
Women have information, knowledge & materials about women's rights & services	• Number of educational outputs (workshops/campaign/events/radio programmes) & publications/written materials for women on their rights in 7 programmatic countries	4.9.1, 3.9.1

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

World Vision UK		
Output	**Indicator**	**Relevant outcomes**
Improved mobilisation and influence of civil society with significant actors in at least 10 countries.	• Number of communities reporting increased engagement with significant development actors. (Target groups will be defined by the community and identify those least able to access services with a focus on women and disabled people.)	3.1.1, 3.1.2
	• Number of significant civil society interactions with development actors at local, regional and national levels for planning, monitoring and / or evaluating MNCH services.	3.1.1, 3.1.2, 3.2.3
Strategies for strengthening formal and / or informal systems for child protection implemented in at least 10 countries.	• Number and description of countries where child protection systems are mapped and strategies for strengthening / influencing are implemented.	2.8
	• Number of communities supported to respond adequately to violations of child protection rights in coordination with local justice mechanisms.	3.8, 4.8
	• Number and description of communities implementing new strategies to reduce traditional or customary practices that harm children.	3.8
Resilience of children most vulnerable to abuse, exploitation, violence and neglect strengthened in at least 11 countries.	• Number of girls and boys trained in life skills and child rights.	4.8
	• Proportion and description of girls and boys who are equipped to protect	1.8

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

	themselves.	
Capacity for improved maternal, newborn and child health strengthened at family and community level in at least 8 countries.	• Number of communities with increased operational structures to promote maternal, newborn and child health.	4.2.3, 4.2
	• Number of communities that are supported in mobilisation and capacity building activities targeting the prevention and treatment of the major causes of disease in children under 5.	4.2, 3.1.2, 3.2

APPENDIX 10.1.3   PPA - OUTPUT LEVEL

WWF UK		
Output	**Indicator**	**Relevant outcomes**
Communities have received WWF training and/or have participated in processes for the equitable and adaptive safe-guarding of ecosystems	• Number of initiatives established that are enhancing and/or diversifying peoples' livelihoods	1.5, 1.7
	• Number of CBOs, collaborative or joint management regimes trained and facilitated in adaptive ecosystem management with equitable distribution of costs and benefits	4.7
	• Number of CSOs trained and facilitated to engage in advocacy and/or watchdog functions relating to environmental sustainability	3.7, 4.7
Policy frameworks and practices on adaptation, REDD+ and low carbon development that are climate smart, environmentally sustainable and designed to improve the well-being of poor men and women are identified, advocated and/or supported (i.e. by WWF & partners)	• Amount – quantitative and qualitative – of information shared, and/or approaches, lessons and tools developed and promoted	4.7
	• Numbers and levels of engagement with civil society groups and other influential people and bodies in adaptation, REDD+ and LCD decision-making processes	2.7
Climate smart, socially and environmentally sustainable policies and practices for public & private sector actors investing in the extraction/use of natural resources & infrastructure, are identified, advocated and/or supported (i.e. by WWF & partners)	• Amount – quantitative and qualitative – of information shared, or approaches, lessons and tools developed and promoted	4.7
	• Numbers and level of engagement with influential people and/or key decision-	2.7

	making bodies	

APPENDIX 10.1.4   PPA - OUTPUT LEVEL – COMMON INDICATORS

This section contains some common indicators they may allow for some aggregation/summarisation of results at output level. However, in order to achieve true aggregation there would need to be much greater coherence between the different agencies' indicators. Currently, some listing and summarisation could take place for the following indicators:

- Number of people / households / communities directly or indirectly supported or reached
- Number and type of resources produced
- Number of groups trained / provided with capacity support
- Number and type of policy influencing activities carried out
- Number and description of initiatives designed to support women and girls directly

Figures in this section would be minimum only. If further aggregation were necessary, more work would be needed to encourage consistent counting by PPA agencies.

Indicator: Number of people / households / communities directly or indirectly supported or reached	
CAFOD	- number of households (female- and male-headed) reached by CAFOD-supported interventions with a focus on food security - number of households (female- and male-headed) reached by CAFOD-supported interventions with a focus on small to medium enterprises - number of women, men and children who have increased access to a holistic range of care and mitigation services - number of communities (HH) that have implemented disaster risk reduction and climate change HVCA assessments
CARE International	# of individuals (men/women/vulnerable men/vulnerable women) directly supported to mitigate against climate change through diversifying livelihoods strategies # of poor, vulnerable and socially-excluded Nepalese women reached through activities raising awareness of community peace building, UN Resolution on Women, Peace and Security (UNSCR 1325) and social cohesion
Christian Aid	# of marginalised producers & landless labourers (m/f) supported by partners to develop more resilient livelihoods

APPENDIX 10.1.4   PPA - OUTPUT LEVEL – COMMON INDICATORS

	• # of people (m/f, children / young people, PWHIV) reached with health prevention programmes &/or supported to access health services • # of people with HIV reached through peer support groups and/or faith-based / other activities aimed at reducing stigma & discrimination
Farm Africa Consortium	• Number of smallholders trained in production, business skills and organisational development • Number of smallholder organisations supported
GAIN	• Coverage and reach of target groups through innovative financing mechanisms and public-private partnerships
HelpAge International	• No. of older men/women & their families benefitting directly from HelpAge and partners' humanitarian response programmes
International HIV/AIDS Alliance	• Number of people reached with HIV prevention services • Number of people reached with HIV care and treatment services
IPPF	• SRH services provided: #total, #young people (YP), % poor clients, #CYP (See Note 9),# HIV/RTI services • % MAs providing PES services:(75%) 6 out of 8 services (See Note 12); (100%) 8 out of 8 services
Islamic Relief	• No of beneficiaries who have access to Islamic micro credit facilities
Marie Stopes International	• Clients reached with MSI family services who are defined as poor or underserved
Oxfam GB	• Total number of people provided with appropriate humanitarian assistance, disaggregated by sex • # of people supported to understand current and likely future hazards, reduce risk, and/or adapt to climatic changes and uncertainty, disaggregated by sex • # of women and men directly supported to increase income via enhancing production and/or market access
Plan UK	• # of girls accessing financial/material assistance for education from Plan • # of girls accessing financial assistance for education from local authorities with support from Plan • # of families (with adolescent girls) participating in/ supported by livelihood initiatives facilitated by Plan

APPENDIX 10.1.4   PPA - OUTPUT LEVEL – COMMON INDICATORS

Practical Action	• Number of poor people acquiring one or more new material benefits disaggregated by gender, benefit type and country (material benefit examples include improved food access, greater access to infrastructure services, higher incomes, and/or new livelihood opportunities) • Number of poor people reported by survey respondents to have benefited each year from the use of knowledge services disaggregated by gender, and the nature of the food, service, income, livelihood or risk mitigation benefit
Progressio	• Number of beneficiaries reached by Progressio through partners in 6 countries
Restless Development Consortium	• # of young people accessing business or employment schemes and training through the Consortium • # of young people accessing civic education, life skills and advocacy training programmes in Target Countries • # of young people accessing SRH programmes and/or services in Target Countries • # conflict affected children and youth accessing protection and reintegration programmes and/or services
SC UK	• Number of boys and girls directly reached through our health and nutrition programmes • No of girls and boys, women and men, reached directly through SC supported education programmes • Number of girls and boys reached directly through Save the Children's child protection work
Sightsavers	• No. of trachoma surgeries conducted • No. of treatments provided under Mass Drug Administration (MDA) for NTDs • No. of surgeries conducted for Non-NTD conditions • No. of other Non-NTD treatments provided
WaterAid	• Numbers of people who have access to water as a result of our direct investments with and through partner organisations • Numbers of people who have access to sanitation services (improved and unimproved) as a result of our direct investments with and through partner organisations
Womankind Worldwide	• Number of women in 7 programmatic countries who receive legal advice and representation; are able to leave dangerous family environments through the provision of alternative accommodation and services; receive

	counselling following the trauma of an abusive relationship; are referred to further services they require

Indicator: Number and type of resources produced	
ActionAid	• Policy briefs and reports produced by women's groups communicating priority issues for change • Resources produced and distributed to enhance CSOs knowledge and economic literacy • Policy briefs published with CSOs targeting key decision makers
Farm Africa Consortium	• Number of guidance/technical materials produced • Number of requests for information, technical guidance and support fulfilled
GAIN	• Number of publications and reports disseminated on best practices, including M&E
Islamic Relief	• No and description of new policy documents available on IR Website
Malaria Consortium	• Number and description of evidence papers disseminated globally on the syntheses of major initiatives to achieve effectiveness and value in malaria control by Malaria Consortium.
Marie Stopes International	• Evidence produced and disseminated by or in collaboration with MSI on PPA themes and outputs (e.g. reaching adolescents and other vulnerable populations, FP or SA innovations, value for money of results based financing for FP and SA services, integration of the private health sector in health systems)
Plan UK	• # of publications and electronic resources (research, papers/reports/policy papers, school resources, Participatory Videos) produced by Plan in support of adolescent girls' empowerment
Progressio	• Number of case studies published, disseminated and shared
Restless Development Consortium	• # on-line and written resources detailing evaluations, case studies and guiding documents on best practice in youth-led and youth-targeted development
Transparency International	• Number and description of TI-S research publications • no and descriptions of TI National Chapter research publications supported by TI-S

APPENDIX 10.1.4 PPA - OUTPUT LEVEL – COMMON INDICATORS

WaterAid	- WaterAid Flagship Report for WASH produced with participation and contributions from CPs. - Number of countries in Africa and Asia with established Sanitation and Water for All Compacts as a result of WaterAid's support. (see footnote)
Womankind Worldwide	- Number of publications & materials produced and disseminated promoting Womankind good practice guidance (NOTE - Womankind will launch a new website on 8th March 2011, after this time website downloads can be measured & reported on) - Number of educational outputs (workshops/campaign/events/radio programmes) & publications/written materials for women on their rights in 7 programmatic countries
WWF UK	Amount – quantitative and qualitative – of information shared, and/or approaches, lessons and tools developed and promoted

Indicator: Number of groups trained / provided with capacity support	
ActionAid	- Number of women's groups trained on advocacy techniques - Number of women's groups participating in policy fora - Number of farmers' groups and stakeholder association members trained on advocacy techniques - Number of farmers informed about sustainable resource management - Number of farmers trained on sustainable farming practices (Male and Female) - Number of farmers formally participating in resource users' associations - e.g. irrigation user groups, seed bank management committees or other similar groups - Number of CSOs trained in use of key analytical and advocacy tools (including budget analysis, social audit and transparency boards) - Number of Reflect circles established to promote awareness and knowledge sharing - Number of newly created CSOs, farmers' groups and associations
ADD	# of DPOs receiving training & mentoring from ADD

APPENDIX 10.1.4   PPA - OUTPUT LEVEL – COMMON INDICATORS

	• # of partner DPOs that ADD supported in proposal development • # of DPOs progressing with regard to their capacity
Article 19	• Number of partners, journalists, stakeholders and others trained by A19 in using RTI skills
CAFOD	• Number of partners assessed by CAFOD's accountability minimum standards tool in the previous 12 months • % partners whose accountability has improved over the previous 12 months when assessed by CAFOD's accountability minimum standards tool
Christian Aid	• # of marginalised / vulnerable communities supported to conduct participatory analysis of livelihoods risks and opportunities, and implement measures in response • # of vulnerable communities supported to build links with climate science actors to enhance understanding of short- and long-term climate trends / risks
Gender Links	• No of COEs with comprehensive gender action plans incorporating SADC Gender Protocol targets especially on GBV and economic empowerment
HelpAge International	• No of government and other staff trained in age-relevant issues (inc health, SP, DRR, rights etc)
International HIV/AIDS Alliance	• Number of CBOs supported financially and technically to work at community level by the Alliance • Number of Alliance Linking Organisations that have documented improvements in their programmes on the basis of accreditation in terms of effectiveness, efficiency and good practice
IPPF	• % of IPPF funding to MAs that is delivered through results-driven financing • # MAs that produce and use standardised activity cost data (% efficiency)
Malaria Consortium	• Number of DFID priority countries where MC is working with groups/ implementers to promote value and accountability in malaria control
Oxfam GB	• # of a) citizens, CBO members and CSO staff supported to engage with state institutions/other relevant actors; and b) duty bearers benefiting from capacity support
Practical Action	• Number of organisations of the poor whose capacity is strengthened by Practical Action to improve pro-poor access to technologies, services, natural resources and markets, and/or to mitigate risks including the type,

APPENDIX 10.1.4   PPA - OUTPUT LEVEL – COMMON INDICATORS

	gender disaggregated representation, function and location of the organisation
Progressio	• Number of projects, in Progressio's strategy in 6 countries • Number of Civil Society Organisations reached by Progressio in 6 countries
Restless Development Consortium	• # of local youth-led and youth-focused civil society organisations trained and supported to meet minimum standards in programme delivery • # of local youth-led and youth-focused civil society organisations trained and supported in significantly scaling up their influence and outreach • # of national and local governments institutions and departments formally supported to consult with young people in their strategies, operational plans and budgets affecting the Three Priority Areas • # of bi- and multi-lateral aid agencies supported to engage with and to make provision for young people in their global strategies, country assistance plans, operations and budgets affecting the 3 Priority Areas • # private sector organisations engaged with the consortium to provide financial and technical support for young people in the 3 Priority Areas
Sightsavers	• % of district level eye health programmes supported by Sightsavers that contribute to health system strengthening through support to at least 4 of the 6 WHO building blocks for health systems • No. of rehabilitation workers trained • No. teachers trained to provide education for children with a visual impairment
Transparency International	• Number of trainings organised by TI-S for TI National Chapters
VSO	• Number of partners organisations supported in building their capacity in policy engagement/ networking/ representation of target groups including women and girls, national volunteering and Diaspora programme development • Number of partners organisations supported in building their capacity to provide quality services in health, HIV and AIDS, education and economic development • Number of partner practitioners trained in health, HIV & AIDS, education and economic development
WaterAid	• Number of local / district government receive capacity building from WaterAid staff across all country

APPENDIX 10.1.4   PPA - OUTPUT LEVEL – COMMON INDICATORS

	programmes.
Womankind Worldwide	• Womankind's partner organisations in 11 countries plan & implement organisational improvement strategies
World Vision UK	• Number of communities supported to respond adequately to violations of child protection rights in coordination with local justice mechanisms. • Number of girls and boys trained in life skills and child rights. • Number of communities with increased operational structures to promote maternal, newborn and child health. • Number of communities that are supported in mobilisation and capacity building activities targeting the prevention and treatment of the major causes of disease in children under 5.
WWF UK	• Number of CBOs, collaborative or joint management regimes trained and facilitated in adaptive ecosystem management with equitable distribution of costs and benefits

Indicator: Number and type of policy influencing activities carried out	
ADD	• No. of public campaigns conducted in ADD working countries • No. of direct engagements with local, district, state and national governments
Article 19	• Number and description of A19 policies developed • Number and description of international meetings/events organised by A19 and partners • Number and description of A19 statements and press releases published • Number of A19/partner recommendations on transparency and FoE submitted for inclusion in UN charter and treaty processes • Number and description of A19/partner papers and submissions to Africa regional mechanisms APRM, ECA and ECOWAS • Number and description of A19/partner papers and submissions to ASEAN • Number of advocacy initiatives by A19/partners to advocate for WB and EU adoption of IATI

APPENDIX 10.1.4   PPA - OUTPUT LEVEL – COMMON INDICATORS

	• Number and description of A19 submissions on national legislation related to RTI • Number and description of submissions on national legislation related to FoE • Number of requests for A19 submissions on national legislation from policy makers and legislators • Number of A19/ partner-led strategic litigations • Number and description of A19/partner-led national initiatives to establish comprehensive protection mechanisms against impunity • Number of cases filed by A19 and partners seeking the interpretation of international laws by regional mechanisms on impunity
ActionAid	• Reports published based upon women's groups' research and analysis targeting community and government decision-makers • Reports/policy papers produced advocating sustainable agriculture
CAFOD	• Number and profile of civil-society policy initiatives supported by application of CAFOD's 'voice and accountability tool'
ETI	• Number of joint initiatives addressing a specific workers' condition as described in the ETI Base Code • Number of changes in business practices adopted by businesses that affect prioritised supply chains • Percentage of workplaces, where joint initiatives are active, with representative structures in place that enable workers to voice their concerns.
Farm Africa Consortium	• Number and descriptions of country policy processes engaged with • Number and descriptions of Africa regional policy processes engaged with • Number and descriptions of global policy processes engaged with
Gender Links	• No of countries that develop a costed action plan for the attainment of the SGP targets • No of media houses that complete the six stage COE process for adopting and implementing gender policies
GAIN	• Number of campaigns or other social marketing efforts developed

APPENDIX 10.1.4 PPA - OUTPUT LEVEL – COMMON INDICATORS

HelpAge International	• No of countries where HelpAge and partners contribute to reporting against existing rights mechanisms and commitments
IPPF	• # of successful national policy initiatives to which IPPF MAs' advocacy has contributed significantly • # of successful global and regional political and financial commitments to MDGs, ICPD and international development dialogues to which IPPF has contributed substantively
Islamic Relief	• No and description of policy feedback to DFID, UN & EC in relation to fragile states
Malaria Consortium	• Number and description of harmonised national strategies and/or plans supported by Malaria Consortium • Number of DFID priority countries in which MC is requested and provides support to improve accountability and value in malaria control
Oxfam GB	• Number of campaign actions directly undertaken or supported, e.g. contacts made with policy targets, online and offline actions taken, media coverage, publications, and specific events held
Plan UK	• # of schools with code of conduct developed and/or implemented with children with the support of Plan • # of policy development processes (new or revisided) supported by Plan and partners at local and national level to be more gender-responsive and/or to reduce violence against girls in school • # of policy development processes supported by Plan at regional and international level (DFID, EC, UN and World Bank policy and strategy documents in relevant sectors) to be more responsive to adolescent girls' needs
Practical Action	• Number, type and description of national and international partnerships supported each year with the potential to impact on at least one million poor peoples' ability to access technologies, services, natural resources, markets and/or to mitigate risks, including the sector covered, the partnership members, its objectives and approach, Practical Action's role, and scale of the work programmes designed and/or implemented (£-turnover; estimated beneficiaries) • Number and description of new documented instances where national and/or international policies, standards or practices targeted by Practical Action change, with the potential to impact on the ability of at least one million poor people to improve their access technologies, services, natural resources, markets and/or to mitigate risks

APPENDIX 10.1.4   PPA - OUTPUT LEVEL – COMMON INDICATORS

Progressio	• Number and description of policy interventions delivered and/or progressed
SC UK	• Number of countries that establish a national or state-level coalition for MNCH / nutrition pushing for decisive action on newborn child survival as a result of SC's support • No of SC country programmes conducting advocacy activities to change discourse and debate around specific SC advocacy messages and targets, broken down by sector (health, nutrition, livelihoods, education, protection, child rights governance)
Transparency International	• Number and description of TI documents with recommendations on Anti-Corruption practice and policy annually
VSO	• Number of international advocacy strategies that aim to advocate for policy change and or implementation in VSO areas of impact
WaterAid	• Number of CPs engaging with development actors working on health policy or programmes. • Number of CPs where School WASH is promoted with other development actors. (See footnote).
Womankind Worldwide	• Number of meetings/influencing opportunities through which INGOs, donors, key policy & decision makers (in 11 countries, UK, EU and international level) are informed about Womankind's evidence based research, policy & recommendations • Number of advocacy actions carried out by partner organisation annually in 11 countries
World Vision UK	• Number of communities reporting increased engagement with significant development actors. (Target groups will be defined by the community and identify those least able to access services with a focus on women and disabled people.) • Number of significant civil society interactions with development actors at local, regional and national levels for planning, monitoring and / or evaluating MNCH services. • Number and description of countries where child protection systems are mapped and strategies for strengthening / influencing are implemented.
WWF UK	• Numbers and levels of engagement with civil society groups and other influential people and bodies in adaptation, REDD+ and LCD decision-making processes

	• Numbers and level of engagement with influential people and/or key decision-making bodies

Indicator: Number and description of initiatives designed to support women and girls directly	
ActionAid	• Number of women's groups trained on advocacy techniques • Number of women's groups participating in policy fora • Number of Reflect circles established to promote awareness and knowledge sharing • Policy briefs and reports produced by women's groups communicating priority issues for change • Number of leaders trained on women's rights to raise awareness and knowledge amongst community decision-makers • Number of fora and workshops to promote dialogue and understanding amongst elders, officials and women's groups • Number of government officials trained on women's rights and the means by which they can be exercised • Reports published based upon women's groups' research and analysis targeting community and government decision-makers
ADD	• # of women-only cross-disability forums • (# of) women departments being satisfied with ADD's support to increase their contribution within the DPOs
CARE International	• # of poor, vulnerable and socially-excluded Nepalese women reached through activities raising awareness of community peace building, UN Resolution on Women, Peace and Security (UNSCR 1325) and social cohesion
Christian Aid	• # (& description) of cases of women producers / labourers or other excluded groups supported to participate in policy processes related to livelihoods, risk & resilience
Gender Links	• All Gender Links output indicators fall into this category
Oxfam GB	• # of people reached to enable women to gain increased control over factors affecting their own priorities and

	interests
Plan UK	# of boys and girls made aware of their rights and gender equality from Plan sessions # of teachers, government officials and local leaders aware of their obligations in relation to girls rights and gender equality from Plan sessions # of girls accessing financial/material assistance for education from Plan # of girls accessing financial assistance for education from local authorities with support from Plan # of families (with adolescent girls) participating in/ supported by livelihood initiatives facilitated by Plan # of teachers trained by Plan on participatory gender sensitive approaches and teaching methodologies # of schools with a plan of action that specifically addresses the needs of girls, developed with Plan support # of girls and boys trained by Plan on sexual reproductive health and rights # of girls and boys who are aware of SRHR services and support # of policy development processes (new or revised) supported by Plan and partners at local and national level to be more gender-responsive and/or to reduce violence against girls in school # of girls actively engaged in local or national governance mechanisms (including schools) with Plan support # of policy development processes supported by Plan at regional and international level (DFID, EC, UN and World Bank policy and strategy documents in relevant sectors) to be more responsive to adolescent girls' needs # of international fora and policy dialogues, in which girls are meaningfully engaged by Plan # of publications and electronic resources (research, papers/reports/policy papers, school resources, Participatory Videos) produced by Plan in support of adolescent girls' empowerment
Womankind Worldwide	All Womankind Worldwide output indicators fall into this category

APPENDIX 10.2 - INTRODUCTION TO THE CHASE PPA META-LOGFRAME

The following document contains the CHASE PPA meta-logframe. It consists of two levels (outcome and output). There is no 'impact level' in the CHASE meta-logframe as the CHASE PPA grantees are reporting on results that are often not explicitly covered by the MDGs such as conflict prevention. Where relevant, the indicators provided by CHASE grantees at impact level have been mapped on to the outcome grid displayed below.

The CHASE PPA meta-logframe is structured in the following way:

- **Outcome level (10.2.1)**: the outcome level of the CHASE PPA meta-logframe contains a series of domains of change and sectors as described in section 3 of Annex 11 (Meta-logframe outline). The outcome indicators of the logframes of all CHASE PPA holders have been mapped onto these areas and clustered whenever possible.

- **Output level (10.2.2)**: the output indicators of the logframes of all CHASE PPA holders have been mapped onto the defined areas at outcome level by listing the relevant outcome area for each output indicator in table format. Please note that in some cases the output indicators can correspond to more than one outcome area.

	General	Justice	Good governance	Conflict prevention	Peace building	Security Sector	Humanitarian relief and resilience
1. Changes in access to essential services, goods and information in order to realise basic rights and/or needs.							
2. Changes in the policy environment that enable improved access to essential services, goods and information.							
3. Changes in the ability of communities to organise and mobilise themselves around key issues of concern.							
4. Changes in the capacity of different organisations and institutions to support or demand improved access to essential services, goods and information.							
5. Changes in the development, testing and wide scale adoption of pilot or innovative projects.							
6. Other changes							

APPENDIX 10.2.1   CHASE - OUTCOME LEVEL

This section of the meta-logframe contains broad outcomes and indicators, designated in bold. Indicators in italics represent the individual indicators of PPA agencies. Areas where there are no indicators in italics represent areas currently uncovered by PPA agencies' logframes.

1   DOMAIN 1: CHANGES IN ACCESS TO ESSENTIAL SERVICES, GOODS AND INFORMATION IN ORDER TO REALISE BASIC RIGHTS AND/OR NEEDS.

1.1   Improved realisation of rights or changes in access to essential services (general)[1]

1.2   Improved realisation of rights or changes in access resulting from justice initiatives

- Percentage of beneficiaries satisfied by quality of legal assistance provided by lawyers (ASF)

- Instances where incarceration of children is used as a measure of last resort (PRI)

- Numbers of restorative-justice based measures for children in contact and in conflict with the law (PRI)

- Number of illegal and/or unlawful pre-trial detainees freed from detention due to work of ASF and partners (ASF)

- Number of legal decisions relating to cases affecting vulnerable people (ASF)

- Percentage of vulnerable people and stakeholders (local authorities, civil society, donors…) perceiving the rule of law as being effective (sample of 3 groups of 50 villages in an area to be determined with J-PAL researchers) (ASF)

1.3   Improved realisation of rights or changes in access resulting from good governance structures

1.4   Improved realisation of rights or changes in access resulting from peace-building initiatives

1.5   Improved realisation of rights or changes in access resulting from security sector initiatives

- Number of community security action groups reporting that authorities have increased their understanding of community security needs and are addressing them more effectively as a result (Saferworld)

- Expansion of access to informal justice and mediation in conflict-affected regions reliant on informal institutions for dispute resolution (program treatment areas only) (TAF)

1.6   Improved realisation of rights or changes in access resulting from humanitarian relief and resilience mechanisms

- Percentage of the total affected population (children and adults) who receive an emergency response intervention from Save the Children meeting internationally accepted quality standards (Save the Children).

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[1] Note that some of the indicators in this section may later be analysed under more specific headings, such as health, livelihoods, etc.

APPENDIX 10.2.1 CHASE - OUTCOME LEVEL

- Percentage of children consulted who report satisfaction with the response they have received from Save the Children (Save the Children).

APPENDIX 10.2.1   CHASE - OUTCOME LEVEL

2   DOMAIN 2: CHANGES IN THE POLICY ENVIRONMENT THAT ENABLE IMPROVED ACCESS TO ESSENTIAL SERVICES, GOODS AND INFORMATION

2.1   Number and description of policy changes at different levels[2]

- Number of IASC, HCT or UN agency policies and practices that enhance PAD protection, influenced by IDMC/NRC (NRC).

- Changes to the policies and practices of a group of governments and organisations (Conciliation Resources)

- Number of states that refer to Oxfam and/or our partners' research and/or technical assistance in their official reports to the UN First Committee and/or Review Conference for the ATT (Oxfam)

- Number of collaborating agencies adopting CDA guidance within policies and operational practice (CDA Collaborative Learning Projects).

- Progress towards reform of government policies (or significant changes in practice) on political participation, access to justice, and protection of minority language/culture (TAF)

- Measureable progress towards reform of government policies (or signals of increasing state responsiveness) on issues that are key sources of grievance and state-society tension for the population in program target regions (TAF)

- Public perceptions of government responsiveness to local concerns (program treatment areas only) (TAF)

- Cumulative number and description of new countries with defence integrity or counter-corruption programmes (TI)

- Number of collaborating agencies adopting CDA guidance within policies and operational practice (CDA Collaborative Learning Projects).

- Description of references to use of good practice tools on feedback in policy documentation of target governments and aid agencies working with affected communities in insecure environments (Development Initiatives)

2.2   Number and description of policy changes at different levels targeted at justice sector

- Number of changes in domestic policy or/and legislation (e.g. Rome Statute, other international human rights instruments) contributed to by ASF (ASF)

- Number of measures relating to alternatives to prison and the use of non-custodial sanctions contributed to by PRI (PRI)

- Numbers of ratifications to OPCAT and 2nd Optional Protocol (PRI)

- Status of implementation of the Bangkok Rules (PRI)

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[2] Different levels may include changed in discourse, changing minds, getting an issue onto the agenda, changed policy or policy implementation.

APPENDIX 10.2.1   CHASE - OUTCOME LEVEL

2.3 Number and description of policy changes at different levels targeted at good governance

2.4 Number and description of policy changes at different levels targeted at conflict prevention and peacebuilding

- Number and description of authorities who develop new or significantly improved approaches, strategies and/or policies that directly respond to and mitigate conflict, and whose practices start to change as a result (Saferworld)

- Number and description of external actors (including donors and multilateral agencies) who take up SW (and partners') recommendations on policy and practice in conflict-affected states, and in doing so increase the potential for their policies and actions to more effectively prevent conflict and build peace Saferworld).

- Number and description of target international Institutions, governments, private sector actors and civil society agencies taking up the key findings and recommendations emerging from Alert's climate change and conflict research (International Alert).

- Measureable progress towards complete implementation of the 2006 Comprehensive Peace Agreement (TAF)

2.5 Number and description of policy changes at different levels targeted at security sector

- Volume (articles) of public reporting on defence and security anti-corruption reform (TI)

- Industry membership of the International Forum on Business Ethical Conduct for the Aerospace and Defence Industry (IFBEC) and description of defence industry associations or defence companies whose membership bid has been facilitated by TI-DSP (TI).

- Pronouncements by high-level decision makers in international organisations on the importance of tackling defence/security corruption (TI).

- Number and description of target high level reports related to the MDGs which reference the role of access to information in promoting security for the poor. (Development Initatives)

- Number and description of States whose position on the inclusion of an anti-corruption mechanism in a UN Arms Trade Treaty (ATT) has been informed through engagement with and influenced by TI-DSP (TI).

- Number and description of defence integrity building or countercorruption initiatives initiated by international organisations (TI).

2.6 Number and description of policy changes at different levels targeted at improving humanitarian relief and promoting resilience

- Number of governments that, due to the contribution of Oxfam or our partners, adapt institutions, budget allocations and/or the design and implementation of policies and programmes to increase the adaptive capacity of vulnerable citizens (Oxfam).

APPENDIX 10.2.1   CHASE - OUTCOME LEVEL

3   DOMAIN 3: CHANGES IN THE ABILITY OF COMMUNITIES TO ORGANISE AND MOBILISE THEMSELVES AROUND KEY ISSUES OF CONCERN

3.1   Increased mobilisation and engagement of supported groups

3.2   Increased mobilisation and engagement of supported groups around affecting justice

3.3   Increased mobilisation and engagement of supported groups around affecting good governance

- Number and description of strengthened mechanisms for state-citizen engagement in at least 4 countries based on dialogue and training initiatives provided by Alert (International Alert).

3.4   Increased mobilisation and engagement of supported groups around affecting conflict prevention and peacebuilding

- The degree of engagement and dialogue of marginalised groups with officials on peacebuilding issues (Conciliation Resources)

- Number and quality of community security plans developed and implemented by communities members in Georgia/Abkhazia / Kenya / Kyrgyzstan / Nepal / Pakistan / Sudan - in collaboration with local authorities - which provide for joint action to counter threats to security and build peaceful communities (Saferworld)

- No. and description of civil society organisations (CSOs) who have supported and / or influenced authorities to revise / strengthen their policies and approaches in relation to conflict and insecurity (Saferworld)

- Partners' (or the groups/communities with which they work) influence on peace and peacebuilding processes (Conciliation Resources).

- Public support for peace process (formal and informal/local), stating level of support and willingness to conform to the agreement (program treatment areas only) (TAF)

3.5   Increased mobilisation and engagement of supported groups around affecting security

- Number of community security action groups reporting that authorities have increased their understanding of community security needs and are addressing them more effectively as a result (Saferworld)

- Volume (articles) of public reporting on defence and security anti-corruption reform (TI)

- Perceptions of local security, and security forces within populations in conflict affected and fragile regions (TAF)

3.6   Increased mobilisation and engagement of supported groups around affecting humanitarian relief and resilience

- Number of local/provincial multi-stakeholder partnerships acting collaboratively to anticipate, prepare for, reduce risks and respond successfully to disaster & conflict risk (Christian Aid)

- Number of cases where partners / communities have informed national / local policy, plans and/or budgets related to risk reduction and/or resilience (Christian Aid)

APPENDIX 10.2.1   CHASE - OUTCOME LEVEL

4   DOMAIN 4: CHANGES IN THE CAPACITY OF DIFFERENT ORGANISATIONS AND INSTITUTIONS TO ENABLE IMPROVED ACCESS TO ESSENTIAL SERVICES, GOODS AND INFORMATION

4.1   Increased general capacity of supported groups

Increased general capacity of CSOs/partners

- Capacity in governments, aid agencies and civil society to apply available data and evidence (Development Initiatives)
- Number of civil society organisations in conflict-affected states that have an increased mean capacity score (Oxfam).
- Organisations' HR policies are effective, fair and transparent (PIA)
- Adequate support, management and leadership provided to staff (PIA)
- Systematic engagement with employees (PIA)
- Organisations' policies and practices attract and select a diverse and qualified workforce (PIA)
- Staff/management learning & development, and leadership issues, are organisational priorities (PIA)
- Organisations' approach to the physical, financial and psychological wellbeing of their staff is effective (PIA).
- Number and quality of NRC humanitarian assistance programmes developed, implemented or strengthened (NRC).
- Number of organisations using People In Aid's Code of Good Practice to shape their strategic plan or HR strategy (PIA)

Increased general capacity of governments and/or decision-makers

4.2   Increased capacity of supported groups to address justice

- Number of transferred legal aid mechanisms (e.g. legal clinics and mobile courts) to local partners (ASF)

4.3   Increased capacity of supported groups to address good governance

4.4   Increased capacity of supported groups to address conflict prevention and peacebuilding

- Number and description of civil society organisations (CSOs) in conflict-affected countries who have the skills, confidence and capacity to identify factors undermining peace and security and to effectively seek to address them (Saferworld).
- Number of Issue Papers and guidance documents generated through CDA collaborative learning processes are available to international agencies working in fragile and conflict-affected contexts (CDA Collaborative Learning Projects).
- Number and descriptions of international organisations which produce key planning and operational documents reflecting peacebuilding principles introduced by Alert through dialogue, training and studies International Alert).

APPENDIX 10.2.1   CHASE - OUTCOME LEVEL

- Number and descriptions of significant private sector actors whose operations reflect conflict sensitivity and peacebuilding principles through accompaniment, training and other support to economic actors (International Alert).
- Number and description of target international institutions and civil society agencies which produce key planning or programme documents reflecting gender and peacebuilding analysis and guidelines produced by Alert (International Alert).
- Number of violent incidents (or conflicts) mitigated through local community actors and non-state institutions (TAF)

4.5   Increased capacity of supported groups to address security

- Number and description of practical tools developed by TI-DSP to address defence and security corruption that are used by civil society organisations, governments, and/or companies (TI).
- Number and description of civil society organisations reporting capability in tackling defence and security corruption (TI).

4.6   Increased capacity of supported groups to address humanitarian relief and resilience

- Number of delegates deployable globally with leadership skills improved through BRC facilitated courses (British Red Cross).
- No of BRC partners with improved capacity to design and implement quality resilience related programmes (British Red Cross)
- Humanitarian organisations assessed as capable in generating mapped information for own use (MapAction).
- Number of countries where the Good Enough Guide and / or associated tools have been used demonstrably to measure impact of humanitarian interventions (Oxfam).

APPENDIX 10.2.1   CHASE - OUTCOME LEVEL

5   DOMAIN 5: CHANGES IN THE DEVELOPMENT, TESTING AND WIDE SCALE ADOPTION OF NEW OR INNOVATIVE WAYS OF WORKING

5.1   Increased adoption of good practice principles (general)

5.2   Increased development, testing and wide scale adoption of risk management processes

- A multi-sectoral platform for DRR/ risk management is functioning effectively at provincial or national level in 7 countries (Christian Aid)

5.3   Increased development, testing and wide scale adoption of financial management processes

- Number and description of references to a range of financial flows in resource allocation policies and documents (Development Initiatives)

5.4   Increased development, testing and wide scale adoption of results-based management

- Number and description of civil society organisations using DI data and evidence in their work on policy, delivery, M&E (Development Initiatives)
- Number of emergencies in which MapAction provides mapped information services (MapAction)

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

This section shows the individual output indicators of each agency, and how these map onto the outcome indicators contained in part II. Output indicators may map onto two or more outcome indicators. Using this map would require the use of a database to show how outputs link up with outcomes.

Asia Foundation		
Output	**Indicator**	**Relevant outcomes**
Support government efforts to implement key reforms	• Progress in implementation of reform efforts with project support (program target areas only)	• 2.1
Facilitate creation of multi-stakeholder coalitions (involving elites and non-elites) to actively pursue key reforms through formal advocacy, and informal political and personal influence	• Measureable signs of new and growing cooperation among communities in target areas, with direct involvement of influential actors, to advocate for key reforms or improved government performance at the district (or lower) level. (program target areas only)	• 3.1
Strengthen mechanisms and establish new channels for citizens to raise grievances with elected and public officials	• % of demands and grievances raised by citizens in advocacy and oversight meetings and direct engagements with elected and public officials resulting in grievances addressed	• 4.1, 4.4
Facilitate direct engagement with influential local and national actors to persuade them to support the peace process, or reduce their opposition.	• Progress towards influencing politically influential actors to increase their support for the peace process or reduce their opposition to the process.	• 2.4
Advise provided to negotiating parties to improve prospects for agreement and passage of peace	• Frequency of occasions when requests for advice from Foundation staff (and partners) is solicited and/or used to resolve deadlocks	• 2.4

agreement Facilitate dialogues between parties in peace process to break critical deadlocks.	or obstacles to the peace talks.	
Support efforts to expand access to informal dispute resolution mechanisms	• Expanded capacity for informal mediation through mediator training or support for local civil society efforts	• 4.4
Support community leaders, civil society to make improvements in local security and mitigate local conflicts Facilitate greater consultation between military or police units deployed in conflict-affected or fragile regions and community leaders. Support cooperative joint efforts by security forces and community members to remove causes of violence, disputes of concern to community members.	• Number of community level efforts or mechanisms supported to mitigate local conflicts, or prepare communities to address security threats • Number of local military or police units (or individual officers) deployed in conflict-affected or fragile regions that collaborate with the Foundation (or partners) to regularly consult with community leaders, women's representatives, all major ethnic and political factions on security issues • Quality of cooperation between security forces and community members in program areas.	• 3.4, 3.5 • 1.5 • 1.5

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

Advocats San Frontieres		
Output	**Indicator**	**Relevant outcomes**
ASF legal expertise and experience is shared with international and national partners to improve development and programme implementation	• Number of documents (best-practices, strategy and tools, etc.) developed and shared with partners (e.g. civil society, bar associations, research centres, donors)	4.2
	• Number of comprehensive output indicators used by all ASF projects and shared with partners	4.2
	• New indicators to measure the impact of lawyers' work to be developed and measured through J-PAL research	4.2
Provision of legal services to address individual needs of vulnerable people through ASF (e.g. legal centres, mobile clinics)	• Number of vulnerable people aware of their legal rights through ASF activities, for example through attendence at legal information sessions and mass media broadcats (e.g. radio).	1.2
	• Number of vulnerable people receiving legal advice and assistance (e.g. legal centres, mobile clinics)	1.2
	• Number of vulnerable people represented before courts through ASF projects (including pre-trial detenees)	1.2
	• Number of illegal or/and unlawful pre-trial detainees advised and legally assisted by ASF	1.2
Provision of quality legal representation and assistance for vulnerable people through legal aid	• Number and description of support provided to improve quality of legal	1.2, 4.2

by pools of national lawyers	representation and assistance	
	• Percentage of lawyers who apply national and international human rights norms to their local context	1.2, 4.2
	• Number of emblematic judicial cases taken by national lawyers (supported through members of ILN) and used for advocacy by AS	1.2, 4.2
Increased capacity of local partners to provide free and fair legal services to vulnerable people.	• Number of capacity building initiatives provided to ASF local partner organisations (e.g. bar associations, local NGOs)	4.2
	• Number of technical consultancies provided to national actors aiming at setting up legal aid mechanisms	4.2, 1.2
Increased protection for vulnerable people through improved legal frameworks and innovative access to justice mechanisms	• Number of specific legal issues raised by advocacy activities	2.2
	• Number of gender sensitive actions (research and/or activities) carried out by ASF	(1.2, 2.2, 4.2)
	• Number of judicial cases assisted by local partners on a pro bono basis	1.2
	• Number of legal assistance cases funded by the ASF legal aid fund targeting economic and social rights violations	1.2

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

British Red Cross		
Output	**Indicator**	**Relevant outcomes**
Delegate pools of trained emergency response and early recovery specialists enlarged and national and regional response mechanisms and capacities strengthened	• Number of new Regional Disaster Response Team members / delegates fully trained, equipped and ready for deployment in South Asia (SA) and East Africa (EA)	4.6
	• Number of new shelter experts recruited and trained	4.6
	• Number of HES roster specialists trained and equipped for Movement deployment	4.6
	• Number of new FACT-trained delegates, Team Leaders and Head of Emergency Operations (HEOps) deployable	4.6
Improved understanding of integrated approach to resilience by the national partners in Sierra Leone, Liberia, Lesotho, Bangladesh, Nepal, and Kyrgyzstan	• Number of partners developing an integrated approach to resilience programming	4.6
	• Number of BRC supported resilience related programmes that successfully implement at least 75% of key agreed technical recommendations	4.6
Wider promotion of IHL, humanitarian diplomacy and humanitarian principles	• Number of IHL international learning and capacity building events and launches of the updated customary IHL practice database	4.6
	• Number of case studies on principled humanitarian action	4.6

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

	• Number. of papers developed and disseminated to support humanitarian diplomacy	4.6, 3.6?
	• Number of partner NS supported to undertake humanitarian diplomacy	4.6, 3.6?
Bespoke international programme management methodology and Programme and Information Management System rolled out and in use by BRC and key partners	• Roll out of improved bespoke programme management system for BRC international programmes	4.6

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

Christian Aid

Output	Indicator	Relevant outcomes
Communities in 7 disaster/conflict/ climate change risk areas, including fragile states, are better prepared to anticipate, reduce risks and respond to disasters through training and information sharing.	• Number of people trained or supported to understand and to be able to develop DRR/CCA plans	3.6, 4.6
Local organizations, local authorities and communities actively participate in policy discussions related to the Hyogo framework for Action, advocating for and influencing an improved enabling environment for increased resilience.	• Number of local orgs/ communities which have received training or information about National/local Disaster (and related issues) policies and practice, current/pertinent disaster issues/debates. • Number of local orgs/ communities supported to develop advocacy plans for improved resilience.	3.6, 4.6 3.6
Households/ communities/ beneficiaries develop resilient livelihoods and safety nets, with demonstrated reduced vulnerability to shocks and hazards, across 7 developing countries.	• Number of vulnerable communities trained to conduct participatory analysis of livelihoods risks and opportunities (PVCA) and implement measures in response. • Number of Participatory Vulnerability Capacity Assessment (PVCA) carried out.	3.6, 4.6 3.6
Christian Aid has put into practice, tested and evaluated a consolidated multi-hazard/context, disaster reduction policy, framework and guidelines, including accountability and demonstrating impact.	• Consolidated resilience approach developed, applied and documented in different political settings including fragile states. • Robust systems for monitoring and evaluating the impact of the work are established, adhered to and produce	5.2 5.2

	evidence of Impact.	
	• HAP Quality & Accountability standard rolled out in 8 country programmes, to strengthen and ensure accountable relationships between Christian Aid, our partners and the communities that we work with.	5.2

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

Conciliation Resources		
Output	**Indicator**	**Relevant outcomes**
20 peacebuilding partner organisations receive support* to develop their capacities as peacebuilders.	• Number of days of professional support* received by at least 15 partners that directly and indirectly strengthens their capabilities and capacities.	4.4
	• (*in workshops, coaching meetings, hours of email/tel).	4.4
	• Partner organisations' institutional and professional capacities and capabilities (including conflict analysis, policy engagement, mediation skills as well as project planning, management and fundraising) and overall levels of project activity.	
Logistical, financial and political support provided to ensure that people-to-people exchanges and/or dialogues convened (in at least four regions), generating new ideas (for conflict transformation) and providing opportunities for more constructive relations.	• Number of dialogues and exchanges (including trainings) that have taken place across conflict divides.	4.4, 3.4
	• Quality of dialogues and exchanges (including trainings) that have taken place across conflict divides.	4.4, 3.4
Influence government and multilateral policies and practice (through publications, submissions, articles and workshops and meetings), to promote alternatives to violence that reflect the interests and rights of local people (in at least four regions).	• Number of policy briefs, reports publications and submissions produced.	2.4, 4.1.2
	• Number of people reached, events organised and requests responded to.	1.4
	• Funded and professionally supported initiatives taken by partners to influence policy formulation processes.	2.4, 3.4

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

Media activities and resources that aim to raise levels of public awareness of peace and conflict-related issues increased and challenge widely held stereotypes of "the other" (in at least four regions).	• Number of CR and partners' media outputs. • Availability and utilisation rate of resources produced (including audience reach, online downloads and evidence of dissemination (direct and indirect)).	2.4, 3.4 4.4, 3.4
Improve our planning, M&E systems and communications to provide a clear articulation of CR's work, rationale and impact.	• CR's communications reach amongst targeted audiences is extended and stakeholders' are better informed about our work. • Level of development and integration of PM&E systems across the organisation.	4.1.1 4.1.1

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

CDA Collaborative Learning Projects		
Output	**Indicator**	**Relevant outcomes**
Reflecting on Peace Practice (RPP): Policy-makers and practitioners have access to and are encouraged to use robust tools to effectively design, implement, monitor and evaluate conflict-sensitive and peacebuilding programs/activities.	• Evidence that new learnings on evaluation of peacebuilding and conflict sensitivity has been gathered, analysed, published and cited. • Regional networks are able to apply and disseminate RPP tools & findings for design, monitoring and evaluation of peacebuilding programs.	4.4 4.4, 3.4
Do No Harm (DNH): Policy-makers and practitioners have access to and are encouraged to use robust tools and methodologies to enhance the beneficial consequences and minimize the harmful consequences of international assistance.	• Evidence that learnings on application of the DNH methodology by collaborating agencies and other stakeholders has been gathered, analysed, published and cited. • Number of policies and/or operational guidance of aid recipient governments have been influenced by DNH methodologies and practices.	4.4 2.4
Listening Project (LP): Policy-makers and practitioners have access to and are encouraged to listen to the views of people in recipient societies of international assistance.	• Evidence that what makes international assistance efforts effective from the perspective of people in recipient societies has been gathered, analysed, published and cited. • Number of aid agencies' and donors' policy and operational guidance have been influenced by the findings and recommendations of the LP.	3.4, 4.4 2.4
Corporate Engagement Project (CEP): Companies in conflict-affected contexts have access to and	• Evidence that new learnings on company-community engagement practices has	3.4, 4.4

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

are encouraged to use robust tools to ensure that their presence has positive consequences for local communities.	been gathered, analysed, published and cited. • Number of policies and guidance standards of companies and/or regulatory bodies have been influenced by CEP tools and concepts	2.4
Organizational: CDA is considered to be an efficient, effective, transparent and results-oriented organization by funders and partner agencies.	• Percentage of CDA activities that are coherent, demand-led, on-time and on-budget. • Annual Reports systematically record results, outcomes and outputs of CDA activities.	4.1.1 4.1.1

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

Development Initiatives		
Output	**Indicator**	**Relevant outcomes**
Comprehensive, reliable and up to date data on resource flows to countries and places in conflict, crisis and insecurity and comparative analysis of those flows is produced and disseminated.	• Quantity and quality of data on resource flows in GHA reports and website	4.4, 2.4
	• Number of GHA reports and country profiles produced	4.4
	• Frequency of updates on graph-led site	4.4
Citizens, CSOs, government departments, donors and parliamentarians have the capacity to use and interpret the data and evidence	• Number of trainings and training resources offered by DI to citizens, CSOs, government departments, donors and parliamentarians	4.1.1, 4.1.2
	• Number of external presentations to target group	4.1.1, 4.1.2
	• Number and description of partnerships DI has related to data access to information, security and vulnerability and humanitarian response, with particular reference to cash transfers and chronic poverty	4.1.1, 4.1.2
Data and evidence gathering and analysis capacity in East and Central Africa region is increased	• Number of analysts recruited from and trained in the region	4.1.1
	• Number and description of reports to which Africa hub-based analysts are contributing	4.1.1
	• Number of analysts in Uganda who participate in training on aid-related	4.1.1

APPENDIX 10.2.2 CHASE - OUTPUT LEVEL

	budget analysis and resource flows for poverty reduction	
Communities affected by crisis have increased opportunities to feedback on their needs and the relevance and quality of resources they are receiving.	• Number of organisations who used good practice methodologies to capture feedback on affected communities' needs and resources	4.1.1, 3.4
	• Frequency of reporting from affected communities DI is engaged with on the relevance and quality of resources they receive and the extent to which they can exercise choice	4.1.1, 3.4

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

International Alert		
Output	**Indicator**	**Relevant outcomes**
Target international Institutions, governments, private sector actors and civil society agencies applying concepts and methodologies which reduce conflict and promote peacebuilding in at least 10 fragile and conflict affected states.	• No. and description of planning and consultation processes with stakeholders (4 target institutions as well as relevant civil society stakeholders in each case study country)	2.4, 3.4, 4.4
	• Number and description of reports disseminated to target institutions	4.4
	• No. and description of dialogue processes with institutional representatives and stakeholders facilitated by Alert to promote take-up of recommendations	4.4, 2.4
Reports, training and guidelines that will help economic actors in at least three fragile and conflict affected countries to strengthen their peace building contribution are developed and disseminated.	• No. and description of companies/industry bodies provided with capacity building support in conflict sensitivity	4.4
	• No and description of Multinational Companies (MNCs) in Extractive Industries accompanied by Alert to incorporate conflict sensitivity into their business practice.	2.4, 4.4
	• No. and description of published studies on strategies for local economic development which are responsive to the conflict context and peacebuilding objectives in conflict affected countries.	4.4
In South Asia and at least one other region, development and exchange of information on obstacles to climate change adaptation in fragile	• No. and description of local communities incorporated into study.	4.4, 3.4

and conflict affected contexts through research, networking and consultations.	• No. and description of identifiable institutional interest groups (political parties, national ministries and private sector) consulted in research and engaged in dialogues.	4.4
	• No. and description of dissemination forums with donor agencies and other relevant programme providers to share findings and recommendations from study.	4.4, 2.4
Major analytical report to establish evidence base and provide practical guidelines on ways in which peacebuilding outcomes are strengthened by incorporation of gender analysis into peacebuilding programmes.	• No. and description of country case studies where detailed research and analysis are undertaken	4.4
	• No. of peacebuilding programme areas (e.g. security, politics, economics) included in research and analysis	4.4
	• No of and description of consultation and dissemination processes with donors and other stakeholders to discuss research and findings and to share and test programming recommendations.	4.4, 2.4
Engagement in inclusive dialogue processes in conflict affected countries that address how to build a peaceful state and incorporation of lessons/experiences into advisory work with international agencies to support on-going strengthening of international peacebuilding.	• No. of Countries and description of dialogue processes.	4.4, 1.4
	• No. and description of policy development processes involving International Actors which Alert engages in.	2.4
	• No. and description of training and learning processes with foreign ministry staff and other key officials engaging in building bilateral relationships in conflict affected states.	4.4

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

MapAction		
Output	**Indicator**	**Relevant outcomes**
'Phase 1' missions: In-field emergency mapping support to major humanitarian emergencies, covering initial 30 days of international response.	• Number of mission-days in emergency operations (MapAction emergency team missions). • Number of organisations and constituencies (including affected communities) accessing MapAction services. • Map and other information product outputs by MapAction.	1.6 4.6 4.6
'Phase 2' missions: In-field mapping support to key coordinating actors from day 30 to 120 of major emergencies	• Number of days in field in emergency operations (individual GIS/IM officer assignments to partner agencies)	1.6
Skills and knowledge transfer in current and emerging mapping/spatial methods to humanitarian actors and national organisations.	• Number of humanitarian and other personnel trained in geospatial methods. • Retention and usage of geospatial skills by trained personnel.	4.6 4.6
Preparedness of spatial data for sudden-onset emergencies.	• Country-level datasets maintained at verified readiness. • Spatial data availability on day one of new emergencies.	4.6, 1.6 4.6, 1.6

APPENDIX 10.2.2 CHASE - OUTPUT LEVEL

Norwegian Refugee Council		
Output	**Indicator**	**Relevant outcomes**
Provision of timely assistance and protection to PAD in new and ongoing emergencies with a focus on conflict.	# of PAD (m/f) that receive timely, needs based assistance and protection.	1.6
DRC:	DRC:	
• Camp population and neighbouring community have increased food security and Income Generating Activities (IGAs).	• # of IDPs (m/f) involved in agricultural production and IGAs.	1.6
	• # of neighbouring residents (m/f) that have gained from subletting parts of their cropping land.	1.6
	• # of young people (m/f) trained in the use of brick making machines and production of stabilized blocks.	1.6
Iraq:	Iraq:	
• Conflict-induced IDP families living in informal settlements of Baghdad are provided with timely assistance and protection, and have strengthened their coping mechanisms.	• # of individuals (m/f) in the settlements of Baghdad having access to improved shelter/water and sanitation structures; basic food and non-food items; and sustainable sources of income.	1.6
	• # IDP representatives (m/f) trained in camp monitoring and community action planning in the design and implementation of assistance programmes	4.6, 3.6
Myanmar:	Myanmar:	

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

• Conflict induced PADs live in secure and durable shelters which provides a platform for promoting livelihoods. Pakistan: • Children affected by conflict within Khyber Pakhtunkhwa are provided with quality basic education. Somalia: • Displaced and vulnerable members of the host community in South Central Somalia (primarily Mogadishu) have access to shelters that provides privacy, dignity and physical protection from the climate.	• # of durable shelters constructed and used appropriately. Pakistan: • # of children (m/f) supported in receiving quality/ improved basic education. • # of teachers (m/f) having quality teaching materials. # of schools in conflict-affected communities, incl. the # reconstructed, are provided with missing facilities (furniture, latrines, etc) Somalia: • # of individuals (m/f) provided with climatically appropriate, fire and water retardant temporary shelters. • # and description of advocacy/policy initiatives towards UN, IASC or donors that fill an information/analysis gap and that aim at influencing improved access, assistance and protection of PAD.	1.6 1.6 1.6 1.6 1.6 2.6
Assistance to and empowerment of PAD to achieve durable solutions in post-conflict and protracted crises. Colombia: • Protection needs have been addressed through legal services for Colombian refugees in Venezuela, Ecuador and Panama.	• # of PAD assisted to find durable solutions Colombia (regional): • # persons (m/f) in need of international protection who are informed, counselled and assisted legally; • # of public servants (m/f) trained on	3.6, 4.6 4.6, 3.6, 1.2

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

	applicable international and national legal framework on refugee protection;	4.2
	• # Colombians (m/f) in need of international protection who have been informed about conditions in area of return and supported to return;	3.6, 4.6, 1.6
	• # of emblematic cases of SGBV documented in neighbouring countries and impelled in Colombia and Ecuador.	?
OPT: • Coordination and implementation of durable shelter construction secured for PAD in Gaza.	OPT: Restrictions on import of building materials are lifted, coordinated shelter construction is taking place. • # and description of advocacy / policy initiatives towards UN, IASC or donors that fill an information/analysis gap on durable solutions, in particular HLP	2.6, 1.6
		2.6
Provision of information, analysis and training to improve responses to specific situations of displacement.	• # of situations of conflict-induced displacement situations, including gender-specific information when available, monitored by IDMC (annual official figures available online).	4.4
	• # and description of in-country training workshops on IDP protection, including its gender-related aspects.	4.4
Contribution to access to appropriate assistance and durable solutions for PAD	• Methodologies developed/ tested for targeting and assisting PAD in urban	5.1

in urban settings.	settings. (Pilot: Bagdad and/or other city).	
Provision of expertise on displacement related to natural disasters.	• # and description of advocacy initiatives promoting response to disaster-induced displacement.	2.6
	• Annual estimated # of displaced by rapid onset natural disaster available.	4.6

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

OXFAM General		
Output	**Indicator**	**Relevant outcomes**
14,000 'Good Enough Guides' and associated tools on humanitarian impact distributed to humanitarian practitioners.	• # of guides/toolkits sold and/or uploaded.	4.6
Comparitive studies conducted in 3 countries using Oxfam/ACCRA Adaptive Capacity Framework.	• # comparative studies conducted.	4.6
200 officials/parliamentarians target countries are engaged by Oxfam and partners to garner support for ATT.	• # of officials/parliamentarians engaged.	2.6, 3.6, 4.6
30 civil society organisations in fragile states supported to gain increased skills and capacity	• # of CSOs receiving training and participating in learning processes.	4.6

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

Penal Reform International		
Output	**Indicator**	**Relevant outcomes**
Key criminal justice stakeholders exposed to best practice in addressing prison overcrowding and alternatives to prison.	• Numbers of key stakeholders involved in discussions of evidence-based models of best practice.	2.2, 4.2
Support for advocacy for the prevention of torture and the abolition of the death penalty.	• Status of campaign to promote OPCAT.	2.2, 3.2
	• Numbers of publications on DP and alternatives.	4.2
	• Number of capacity building events for CSOs working to prevent torture.	4.2
Restorative justice based measures for children in contact and in conflict with the law promoted.	• Number of key stakeholders reached with evidence-based models of diversion good practice.	4.2, 2.2
	• Number of training materials developed and events delivered.	4.2
	• Status of campaign to address issue of violence against children in police custody and pre trial detention.	2.2
Tools and capacity relating to special characteristics and needs of girls and women in the criminal justice system developed.	• Number of guidance notes / reports published.	4.2
	• Number of CSOs engaged in international network.	4.2
	• Numbers of workshops delivered; numbers of key stakeholders trained.	4.2

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

People in Aid		
Output	**Indicator**	**Relevant outcomes**
People In Aid successfully advocates for good HR practice in the humanitarian and development sector.	• Number of individuals using our materials. • Instances of People In Aid cited as a catalyst for organisational change. • Number of members of People In Aid.	4.1.1 4.1.1 4.1.1
People In Aid stimulates and facilitates HR-related learning and collaboration	• Number of learning events which People In Aid offers. • Number and description of collaborative activities in which People In Aid is involved. • Users of the learning and collaboration opportunities offered.	4.1.1 4.1.1 4.1.1
There is a deepening, widening and increasing take-up of People In Aid's capacity-strengthening tools.	• Number of tools/materials available. • Increasing diversity of users of our tools and materials, by location.	4.1.1 4.1.1
People In Aid identifies, certifies and publicly acknowledges achievement in people management.	• Number of organisations with People In Aid quality marks. • Number of good practice case studies on website.	4.1.1 4.1.1
People In Aid remains a well-functioning and sustainable organisation.	• Feedback received from members and staff. • Board's Key Performance Indicators. • DFID funding as proportion of total income.	4.1.1 4.1.1 4.1.1

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

Saferworld		
Output	**Indicator**	**Relevant outcomes**
In Georgia/Abkhazia, Kenya, Kyrgyzstan, Nepal, Pakistan and Sudan, SW and local partners provide support to community members in identifying and addressing their community security and justice needs in collaboration with local authorities	• Number of action-oriented community groups formed by members of conflict-affected communities in Georgia/Abkhazia / Kenya / Kyrgyzstan / Nepal / Pakistan / Sudan - with SW support - through which communities can identify their security related needs and priorities, and develop a shared purpose and vision for change.	3.5
	• Number of community groups in Georgia /Abkhazia, Kenya / Kyrgyzstan / Nepal / Pakistan / Sudan who have the opportunity, as a result of SW-facilitated meetings, to voice their security and justice concerns to local authorities in order to begin identifying joint solutions and plans for action	3.5, 2.5, 3.2, 2.2
In Georgia/Abkhazia, Kosovo, Kyrgyzstan, Somalia, Uganda and Yemen, local civil society organisations receive support from SW to develop the skills and capacities required to play an effective role in addressing conflict-related issues in their contexts.	• Number of local CSOs in Kyrgyzstan / Uganda / Yemen who receive targeted high-quality training / capacity-building from SW on areas such as strategic planning, advocacy, conflict analysis and monitoring and evaluation, and on the technical aspects of conflict-related issues relevant in their country.	4.4
	• Number of local CSOs in Georgia/Abkhazia / Nepal / Somalia who receive support from SW to articulate and convey the needs and views of their	3.4, 4.4

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

	constituents within policy development processes.	
In Kenya, Kosovo, Nepal and Sudan national and local authorities receive support from SW to assist them in developing effective policies and practical approaches for building peace, justice and security.	• Number of government-led policy development processes in Kenya, Kosovo, Nepal and Sudan to which SW provides quality technical input and support. • Number of formal / informal governing institutions in Kenya / Kosovo / Nepal / Sudan who receive quality technical support from SW to assist them in developing more participatory approaches to addressing people's security and justice needs.	2.1 2.1
External actors (incl. donors, external governments, and / or relevant multilateral agencies) receive SW analysis, policy options and training aimed at influencing and strengthening their policies and approaches for engaging in fragile and conflict-affected countries.	• Number and quality of research papers and policy briefings / reports published or electronically circulated by SW and disseminated to external actors. • Number of external actors receiving relevant, high quality training from SW on engagement in fragile and conflict-affected countries. • Number and quality of products (including briefings and submissions) provided to DFID by SW, which build on evidence and lessons learned from SW programme implementation.	4.4 4.4 4.4
SW, in consultation with DFID, develops and applies a robust monitoring and evaluation system which enables the identification, measurement and communication of results at output and outcome level, and demonstrates contribution to impact	• The quality of SW's monitoring and evaluation systems and approaches and the ability of SW to report fully and meaningfully against the indicators	4.1.1

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

level	contained within the log frame.	

APPENDIX 10.2.2 CHASE - OUTPUT LEVEL

Save The Children		
Output	**Indicator**	**Relevant outcomes**
Save the Children delivers humanitarian responses for the most vulnerable children and their families in new emergencies and humanitarian contexts that strive to meet internationally accepted humanitarian standards.	• % of children from the total affected population who are accessing emergency health and nutrition services, as result of Save the Children interventions that strive to meet Sphere standards.	1.6
	• % of children from the total affected child population who are benefiting from improved access to education (including ECCD) and educational resources as result of Save the Children interventions that strive to meet INEE standards.	1.6
	• % of children from the total affected child population with access to child protection and prevention services as a result of Save the Children interventions.	1.6
	• % of households (with children) from the total affected households with access to WASH services, as result of Save the Children interventions that strive to assists in meeting basic WASH needs as defined by Sphere standards.	1.6
	• % of households (with children) from the total affected households with access to non-food items and emergency shelter, as result of Save the Children interventions that strives to assists in meeting basic needs as defined by Sphere standards.	1.6
	• % of households (with children) from the	1.6

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

	total affected households with access to food and income as a result of Save the Children interventions that helps to meet basic needs as defined by Sphere standards.	
Save the Children drives an improvement in its emergency preparedness, an increase in the capacity of humanitarian workers and makes a marked contribution to the standard of leadership across the sector, through our sector-wide capacity building initiatives.	• % of Save the Children programmes that have an updated Emergency Preparedness Plan in place, operational and regularly monitored by the management team.	4.6
	• % of peer organisations surveyed that view Save the Children as a top 3 lead agency for capacity building in the sector.	4.6
	• % of technical and generalist graduates of SC training schemes working in non-administrative roles in the sector.	4.6
Save the Children interventions drive a change in discourse and debate, and contribute directly to improved practice in order to strengthen policy, practice and accountability for children in humanitarian responses, focussing on child rights at international and national level.	• % of emergency responses in which Save the Children demonstrates active engagement with humanitarian coordination mechanisms, including the cluster system.	5.1
	• No of significant humanitarian policy or legislation changes at international or country level that have been influenced by SC research and evidence, as acknowledged in policy statements and reports.	2.6
	• % of countries where Save the Children operates where we are implementing interventions relating to DRR and/ Climate	2.6, 5.1

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

	Change adaptation policy and practice.	
	• % of Save the Children emergency responses which have an effective feedback/complaints mechanism in use.	3.6, 4.6

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

Transparency International		
Output	**Indicator**	**Relevant outcomes**
Conduct high level governmental workshops and events addressing Defence and Security Reform best practice and initiatives worldwide, including in Southeast-Asia, Africa, and wherever in the world governments express an interest.	• Number of overall TI-DSP engagements (invitations, meetings). (ANNEXE 4). • Number of ANSF senior officers and officials course participants.	2.5, 4.5 4.1.2, 4.5
Reach out and influence the defence industry and governments worldwide to address more responsible the arms trade and transfers, with improved controls against corruption, industry standards and codes of conduct.	• Cumulative number and description of states TI-DSP engages (including via regional organisations) to convince them of the need for and practicality of an anti-corruption mechanism in the UN Arms Trade Treaty (ATT). (ANNEXE 5). • Number of regional and national defence industry umbrella organisations TI-DSP works with increases.	2.5 2.5
Produce practical tools that can be directly applied by civil society, governments, and the defence industry so that they are better able to address defence and security corruption and have increased capacity to do so.	• Cumulative number of new practical tools developed by TI-DSP to address defence and security corruption. • Number of TI-DSP trained experts available to civil society, industry, and governments. • Number of civil society organisations engaged by TI-DSP to build their capability in tackling defence and security corruption. • Cumulative number of new TI-DSP publications.	4.5 4.5 4.5 4.5

APPENDIX 10.2.2   CHASE - OUTPUT LEVEL

Reach out to and influence policy makers and international organisations worldwide (including UN, AU, African Development Bank, World Bank, EU, and NATO) to address the danger of defence and security corruption as a prominent issue on their agenda.	• Number of international organisations TI-DSP is engaged with to convince them to initiate defence integrity building or counter corruption initiatives. • Number of high-level decision makers in international organisations TI-DSP is engaged with to convince them of the importance of tackling defence/security corruption in official announcements.	2.5, 4.5 2.5, 4.5

APPENDIX 10.3 INTRODUCTION TO THE GPAF META-LOGFRAME

The following document contains the GPAF meta-logframe. It consists of two levels (outcome and output). There is no impact level for the GPAF meta-logframe, and most grantees' impact statements are set below the level of the MDGs. Where possible, the grantees impact indicators have been mapped onto the outcome grid depicted below.

The GPAF PPA meta-logframe is structured in the following way:

- **Outcome level (10.3.1)**: the outcome level of the GPAF meta-logframe contains a series of domains of change and sectors as described in section 3 of Annex 11 and displayed below. The outcome indicators of the logframes of all organisations selected for GPAF funding so far have been mapped onto these areas and clustered whenever possible. Indicators at outcome level from the logframes of grantees selected for funding in future rounds under the GPAF Innovation and Impact windows will be added to the GPAF meta-logframe.

	General	Health and HIV&AIDS	Education	Infrastructure (inc. WATSAN)	Livelihoods and Markets	Governance	Environment	Care and Protection	Empowerment
1. Changes in access to essential services, goods and information in order to realise basic rights and/or needs.									
2. Changes in the policy environment that enable improved access to essential services, goods and information.									
3. Changes in the ability of communities to organise and mobilise themselves around key issues of concern.									
4. Changes in the capacity of different organisations and institutions to support or demand improved access to essential services, goods and information.									
5. Changes in the development, testing and wide scale adoption of pilot or innovative projects.									
6. Other changes									

- **Output level (10.3.2)**: the output indicators of the logframes of all organisations selected for GPAF funding so far have been mapped onto the defined areas at outcome level by listing the relevant outcome area for each output indicator in table format. Please note that in some cases the output indicators can correspond to more than one outcome area. Indicators at output level from the logframes of grantees selected for funding in future rounds under the GPAF Innovation and Impact windows will be added to the GPAF meta-logframe.

APPENDIX 10.3.1   GPAF - OUTCOME LEVEL

OUTCOME LEVEL

(N.B. All sub-categories have been transferred from the PPA meta logframe for facilitating the mapping of outcome indicators of further projects funded under the GPAF. Additional categories included are marked in red.)

1   DOMAIN 1: CHANGES IN ACCESS TO ESSENTIAL SERVICES, GOODS AND INFORMATION IN ORDER TO REALISE BASIC RIGHTS AND/OR NEEDS.

1.1   Improved access to essential services (general)

1.2   Improved access to health

- Increased uptake of TB screening (SACBC)
- Increased uptake, adherence and completion of TB treatment (SACBC)
- DPT 3 vaccination coverage of 1-year old (PC)
- HIV prevalence (CCT)
- PWMIE have reduced symptoms and stabilised condition (Basic Needs)
- PWMIE including women during pregnancy and after childbirth accessing mental health services (Basic Needs)
- % of children <59 months with weight for age scores <2 (by sex) (SP)
- % of population accessing PPTCT, VCT and SGBV services (Tearfund)
- Number of individuals aged 15 and over who received HIV testing & counselling & know their results (EECMY)
- No. of families affected by deafblindness out of poverty (SI)
- Percentage of widows with access to health services (SURF)
- Percentage of widows receiving HIV support (clinic and home based) (SURF)
- Total out-of pocket expenditure on health as a percentage of total HH expenditure (MIA)
- Reduction in TB mortality rates in target communities (SACBC)
- Reduction in prevalence of MDR TB and XDR TB in target communities (SACBC)
- Maternal mortality Rate of pastoralists in Ethiopia (PC)
- Under-five mortality rate of pastoralists in Ethiopia (PC)

APPENDIX 10.3.1 GPAF - OUTCOME LEVEL

1.2.1   **Improved access to improved facilities preventing diarrhoea and other waterborne diseases**

- % of children <60 months of age in targeted population with diarrhoea in the last 2 weeks (MC)
- Reduction in diarrhoea and other waterborne diseases of under-fives in target communities (%) (MC)
- % of children <59 months who have had an episode of diarrhoea in the last two weeks who received ORT (by sex) (SP)

1.2.2   **Improved access to malaria-related provisions**

- % of children <59 months with a fever in the last 2 weeks who received any anti-malarial treatment within 48 hours (by sex) (SP)
- % of children <59 months who slept under an ITN the previous night (by socioeconomic group, sex) (SP)
- Percentage of pregnant women who slept under ITBN the previous night. (MIA)

1.2.3   **Improved quality of life for people affected by HIV&AIDS**

- % of targeted drop-outs (girls/boys) with comprehensive knowledge of HIV in targeted areas (CCT)

1.2.4   **Improved access to nutrition**

- Percentage of children admitted with acute MN have improved nutritional status on discharge from the Circles (GOAL)
- Percentage of HH children admitted with MN, graduating from Circles who, after follow-up 2 months later, had gained 5% or more from their admission weight (GOAL)
- Percentage of HHs with children aged 6-59mths who are less than -2 z scores, height-for-age (HFA) and PLW/ chronically ill adults with MUAC <23 targeted areas (GOAL)
- Households who have integrated at least one improved staple food into their regular diet (%) (MC)
- Prevalence (percentage) of underweight children under five years of age in rural areas (BRAC Int. 1)
- Proportion of population undernourished (BRAC Int. 1)
- Proportion of undernourished population. (Send a Cow)

1.2.5   **Improved access to reproductive health services**

- Contraceptive prevalence rate (DT HIV Foundation)
- Unmet need for family planning (DT HIV Foundation)
- Condom use among young people who had higher-risk sex in the preceding year by gender (ARFH)
- Contraceptive prevalence rate (ARFH)

APPENDIX 10.3.1   GPAF - OUTCOME LEVEL

- Number of clients screened for SRH/FP service needs (per year) (DTHF)

- Percentage of pregnant/ lactating women (PLW) who attended at least 2 Antenatal Care (ANC) visits (GOAL)

- Percentage of births assisted by skilled attendants (EECMY)

- Percentage of births assisted by skilled attendants (PC)

- % of pregnant women aged 15-49 years attended four or more antenatal visits (SP)

- % of births assisted by a skilled attendant (SP)

- Percentage of births attended by skilled health personnel (institutional delivery) (MIA)

- Early Initiation of breast feeding (Proportion of children under 3 years of age who were breastfed within an hour of birth) (AKF UK)

- Exclusive breast feeding (Proportion of children aged 6-35 months who were exclusively breastfed for at least 6 months following birth) (AKF UK)

- Complementary feeding (Proportion of children 6-9 months of age who are receiving both semi-solid food and breast milk) (AKF UK)

1.2.6   Improved access to treatment for non-sighted or partially sighted people

1.2.7   Improved access to emergency medical care

- Proportion of seriously ill under 5's who are taken to hospital from the 180 villages (PONT)

- Proportion of mothers at risk from complications in labour who are taken to hospital from the 180 villages (PONT)

1.1 Improved access to education

1.1.1   Improved enrolment rates

- Increased percentage of girls continuing onto secondary school (African Initiatives)

- Increased enrolment of girls in primary school (African Initiatives)

- Increased number of disabled girls in primary school (African Initiatives)

- Number of children enrolling in the community schools (ICA:UK)

- Number of girls and boys enrolled in primary school (IR UK)

- No. of children (girls and boys) attending 45 target schools (CIC)

- Net primary school enrolment rate (CIC)

APPENDIX 10.3.1   GPAF - OUTCOME LEVEL

- Ratio of girls to boys in primary education (CIC)

- Transition rate from BRAC pre-primary to primary by gender (with GPI) (BRAC Pakistan)

- Net Enrolment Rate in Primary Education by gender in KPK (BRAC Pakistan)

- Net primary education enrolment ratio (by gender) (TKT)

- Gross Intake Ratio in the last grade of Primary, by gender (Camfed)

- Gross Intake Ratio in the last grade of Junior High School, by gender (Camfed)

- Net Enrolment Rate in primary school, by gender (Camfed)

- GPI in Junior High schools in target districts (Camfed)

1.1.2   Reduced dropout rates

- Pupil drop-out rates at terminal stage (G6) in the target schools (CIC)

- Primary education retention rates (Build Africa)

- Primary education completion rates (Build Africa)

- % of targeted drop-outs (girls/boys) rejoining school (CCT)

- Primary school completion (CCT)

- Grade 1 completion rate of BRAC students by gender (BRAC Pakistan)

- Percentage of cohort reaching grade 5 (by gender) (TKT)

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1.1.3   Improved quality of educational environment

1.1.4   Improved community support for education

- % parents who indicate that girls have equal rights to primary education as boys (IR UK)

1.1.5   Improved outcomes in education

- Exam pass rates in partner schools, by gender (Camfed)

- School graduation rate of dependants (pri/sec) (SURF)

APPENDIX 10.3.1   GPAF - OUTCOME LEVEL

1.2 Improved access to infrastructure services (inc. WATSAN)
1.2.1   Improved access to safe Water

- Proportion of targeted population using an improved drinking water source less than 30 minutes away (MC)

- Proportion of target populations with sustainable access to safe drinking water (MC)

- Proportion of people using an improved drinking water source less than 1 km away (MRDF)

- Proportion of population in target areas that has access to safe drinking water within one kilometre from their household (%) (MC)

- % of population across all health zones with improved drinking water source <1 km away (Tearfund)

- Access to clean water for irrigation (DAPP)

- % of people using an improved drinking water source less than 30 minutes (/1 km) away (WSUP)

1.2.2   Improved access to sanitation and hygiene

- Proportion of target populations with sustainable access to basic sanitation (MC)

- Proportion of people using improved sanitation and hygiene facilities (MRDF)

- Average monthly expenditure on medicines for disease and skin conditions related to poor water, sanitation and hygiene (MRDF)

- Incidence rate of disease associated with poor water, sanitation and hygiene (MRDF)

- % of population across health zones using improved sanitation (Tearfund)

- % of people using an improved sanitation facility (WSUP)

- % of people with appropriate handwashing behaviour in low income areas of Naivasha municipality (all by female (F) & male (M)) (WSUP)

1.3   Improved livelihoods and access to markets

1.3.1   Improved livelihood security for people supported through livelihoods strategies

- Mukwano Group of Companies & Mount Meru Ltd purchasing all seed produced by 1800 women (Trust for Africa's Orphans)

- Ave. farm gate price received by farmers (TWIN)

- Number of families with improved household income generation (HPSA)

- % change in the proportion of target population below national poverty line (SCIAF)

- Standard measures of household income and productive assets (SOS SIUK)

- Percentage increase in incomes of the targeted population (BRAC Int. 2)

APPENDIX 10.3.1   GPAF - OUTCOME LEVEL

- Percentage change in income of target communities from diversified livelihood options (WWF Pakistan)
- Percentage of target community with income below poverty line (WWF Pakistan)
- % households formally banked in Zambezia (OI UK)
- % with income from their own business (e.g. buying and reselling of crops, livestock or fish, providing services, manufacturing) (OI UK)
- % people living below the poverty line (OI UK)
- % total income earned by the poorest 20% of the population (OI UK)
- Number of households reporting increased income. (Send a Cow)
- Percentage change in proportion of rural population below US$1.25 per day (PPP). (Poverty line introduced in Aug 2008 by the World Bank.) (Send a Cow)
- PWMIE and carers engaged in income-generating activity (Basic Needs)
- PWMIE and families living above the poverty line (Basic Needs)
- % change in incomes from agriculture and allied sources, reported by farmers in project districts (CIKS)
- % of farmers reporting changes in income through agriculture and allied activities (CIKS)
- Percentage increase in household income (1,500 households) (ADRA)
- Knowledge levels (DAPP)
- Skills development levels (DAPP)
- Assets acquisition levels (DAPP)
- Households economic status (DAPP)
- Annual household (HH) income from the Chilghoza nuts, other NTFPs and agricultural crops (WWF Pakistan 2)
- Net additional income accrued for new SACCO members (MCS)
- # of new jobs created via SACCOs (includes both formal sector jobs within SACCOs and informal sector part-time or full-time jobs generated by SACCO members) (MCS)
- # of vulnerable workers with access to new loan, savings, emergency funds & insurance products (MCS)
- Percentage of women working in the informal sector with access to social protection measures (MCS)
- Proportion of survivor households earning below the poverty line: FRW250 a day (SURF)

APPENDIX 10.3.1   GPAF - OUTCOME LEVEL

- Measurable improvement in food security of survivor households (SURF)
- Farmer-led Agricultural Producers' Company (APC) operating with adequate capacities and at a rate of return to sustain its own operations (CIKS)
- Increase in number of local enterprises in rural area (ADRA)
- Percentage change in number of project members below national poverty line in targeted area (HPSA)
- Percentage increase in number of local enterprises and small scale income generation activities with Phuhlisanani project members (HPSA)
- Current average production levels Kg of honey / hive for Indian bees (India Development Group)
- Gross sales of honey in new wholesale markets as % of production (India Development Group)

1.3.2   Improved food security for people supported through livelihoods strategies

- Number of families who are food secure (HPSA)
- Number of households above the acceptable food consumption threshold in terms of Food Consumption Score (FCS). (BRAC Int. 1)
- Minimum accepted diet (under five) (BRAC Int. 1)
- Change (%) in yields of major crops (Maize, Rice, Vegetables) and Livestock unit (BRAC Int. 2)
- Number of households reporting increase in food production. (Send a Cow)
- Percentage of farmers that see a 50% increase in disposable income (TE)
- Percentage of farmers who perceive an improvement in their well-being (TE)
- Households food security status (DAPP)

1.3.3   Improved access to microfinance services

- Percentage of total savings that are mobilised from rural areas (MCS)

1.4   Improved quality of life directly resulting from improvements in governance

1.5   Improved quality of life directly resulting from improvements in environment

- % area and trend of forested / vegetated vs degraded land (SOS SIUK)
- Change in forest vegetation. (WWF Pakistan)
- Conserved area (ha) of Chilghoza Forest (WWF Pakistan)

APPENDIX 10.3.1 GPAF - OUTCOME LEVEL

- % area and trend of forested / vegetated vs degraded land (SOS SIUK)

1.6 Improved care and protection for vulnerable groups

- Number of parents of vulnerable children with any income generating activity (HealthProm)
- Number of children effectively supported through the new community-based Early Learning Service (HealthProm)

1.7 Increased empowerment

1.7.1 Increased empowerment of women to become involved in decision-making at different levels

- Percentage of women married above 18 years (Oxfam India)
- Currently married women participating in HH decisions (Oxfam India)
- Percentage of widows and dependants with legal entitlement to land and property (SURF)
- Average daily income from new livelihood activities per economically active widow (SURF)

1.7.2 Increased empowerment / quality of life for older people

1.7.3 Increased empowerment / quality of life for the disabled

- No. of deafblind people realising their basic rights (SI)

APPENDIX 10.3.1   GPAF - OUTCOME LEVEL

2   DOMAIN 2: CHANGES IN THE POLICY ENVIRONMENT THAT ENABLE IMPROVED ACCESS TO ESSENTIAL SERVICES, GOODS AND INFORMATION

2.1   Number and description of policy changes at different levels, disaggregated by sector and type of institution[1]

2.2   Number and description of policy changes at different levels affecting the health sector

- Local government policies inclusive of mental health (Basic Needs)

2.2.1   Number and description of policy changes at different levels targeted at people affected by HIV&AIDS

2.2.2   Number and description of policy changes at different levels targeted at improved nutrition

2.2.3   Number and description of policy changes at different levels targeted at improved reproductive services

2.2.4   Number and description of policy changes at different levels targeted at improved treatment for non-sighted or partially sighted people

2.3   Number and description of policy changes at different levels affecting the education sector

2.4   Number and description of policy changes at different levels affecting infrastructure (inc. WATSAN)

2.5   Number and description of policy changes at different levels affecting livelihoods and markets

2.6   Number and description of policy changes at different levels affecting governance sector

2.7   Number and description of policy changes at different levels affecting environment sector

- Incidences of illegal forest cutting and hunting. (WWF Pakistan)

2.8   Number and description of policy changes at different levels affecting care and protection for vulnerable groups

2.9   Number and description of policy changes at different levels supporting empowerment of different groups

2.9.1   Number and description of policy changes affecting women's rights

2.9.2   Number and description of policy changes specifically affecting older people and their rights

2.9.3   Number and description of policy changes affecting the disabled and disability rights

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[1] Different levels may include changed in discourse, changing minds, getting an issue onto the agenda, changed policy or policy implementation.

APPENDIX 10.3.1   GPAF - OUTCOME LEVEL

3   **DOMAIN 3: CHANGES IN THE ABILITY OF COMMUNITIES TO ORGANISE AND MOBILISE THEMSELVES AROUND KEY ISSUES OF CONCERN**

3.1   **Increased mobilisation and engagement of supported groups**

3.1.1   **Increased mobilisation and engagement of supported groups around national-level policies**

3.1.2   **Increased mobilisation of communities to become involved in decision-making**

3.1.3   **Mobilisation of individuals to become engaged in development work**

3.2   **Increased mobilisation and engagement of supported groups around health-sector work**

3.2.1   **Increased mobilisation and engagement of supported groups around people affected by HIV&AIDS**

3.2.2   **Increased mobilisation and engagement of supported groups around nutrition**

3.2.3   **Increased mobilisation and engagement of supported groups around reproductive services**

3.2.4   **Increased mobilisation and engagement of supported groups around treatment for non-sighted or partially sighted people**

3.3   **Increased mobilisation and engagement of supported groups around education sector work**

- Parents actively involved in school development (Build Africa)
- Parents who are satisfied with SMC performance (Build Africa)

3.4   **Increased mobilisation and engagement of supported groups around infrastructure work**

3.5   **Increased mobilisation and engagement of supported groups around livelihoods and markets**

3.6   **Increased mobilisation and engagement of supported groups around the governance sector**

3.7   **Increased mobilisation and engagement of supported groups around environmental issues**

3.8   **Increased mobilisation and engagement of supported groups around care and protection issues**

3.9   **Increased mobilisation and engagement of specific groups**

3.9.1   **Increased mobilisation of women**

- % of Association Boards that are female (TWIN)

APPENDIX 10.3.1   GPAF - OUTCOME LEVEL

3.9.2   **Increased mobilisation of older people**

3.9.3   **Increased mobilisation of disabled people**

APPENDIX 10.3.1   GPAF - OUTCOME LEVEL

4   DOMAIN 4: CHANGES IN THE CAPACITY OF DIFFERENT ORGANISATIONS AND INSTITUTIONS TO ENABLE IMPROVED ACCESS TO ESSENTIAL SERVICES, GOODS AND INFORMATION

4.1   Increased general capacity of supported groups

4.1.1   Increased general capacity of CSOs/partners

4.1.2   Increased general capacity of governments and/or decision-makers

4.1.3   Increased general capacity of communities

4.2   Increased capacity of supported groups to address health sector work

4.2.1   Increased capacity of supported groups to address people affected by HIV&AIDS

4.2.2   Increased capacity of supported groups to address nutrition

- Reduction of negative coping mechanisms to respond to nutritional needs (% of households) (MC)

4.2.3   Increased capacity of supported groups to address reproductive services

- 16 LGAs health service outlets' capacities strengthened to provide quality and comprehensive reproductive health services to young people (ARFH)

4.2.4   Increased capacity of supported groups to address treatment for non-sighted or partially sighted people

4.3   Increased capacity of supported groups to address education sector work

4.4   Increased capacity of supported groups to address infrastructure work

4.5   Increased capacity of supported groups to address livelihoods and markets

4.6   Increased capacity of supported groups to address the governance sector

4.7   Increased capacity of supported groups to address environmental issues

- Percentage change in harmful Natural Resource use practices through collaborative management (WWF Pakistan)
- Change in management of Protected Areas in CIWC (WWF Pakistan)
- Number of conservation and livelihood improvement initiatives (WWF Pakistan)

APPENDIX 10.3.1   GPAF - OUTCOME LEVEL

4.8   **Increased capacity of supported groups to address care and protection issues**

4.9   **Increased capacity of specific groups**

4.9.1   **Increased capacity of supported groups to support women's rights**

- School Development Plans (SDP) priorities relating to gender (Build Africa)

4.9.2   **Increased capacity of supported groups to support older people's groups**

4.9.3   **Increased capacity of supported groups to support disabled peoples' rights**

APPENDIX 10.3.1   GPAF - OUTCOME LEVEL

5   DOMAIN 5: CHANGES IN THE DEVELOPMENT, TESTING AND WIDE SCALE ADOPTION OF PILOT OR INNOVATIVE PROJECTS

5.1   Increased development, testing and wide scale adoption of pilot or innovative projects

APPENDIX 10.3.1   GPAF - OUTCOME LEVEL

6   DOMAIN 6: OTHER CHANGES

6.1   Increased development education in the North

6.2   Degree and description of engagement and awareness/understanding by targeted international agencies of Islamic faith stances

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

OUTPUT LEVEL – MAPPING

N.B. The bullet points in the Indicator – box correspond to the bullet points in the Relevant outcomes – box (e.g. Indicator bullet point 1 = Relevant outcomes bullet point 1 etc.)

Trust for Africa's Orphans		
Output	**Indicator**	**Relevant outcomes**
Increased women farmers' productivity of Simsim, Soya bean and sunflower	• Tonnage of simsim, soyabean and sunflower produced as a direct result of the project	• 1.5.1
Organised and planned marketing of women farmers' produce	• 60 women farmer groups formed • Tonnage of simsim, soyabean and sunflower sold • Proportion of the market price offered to farm gate costs	• 3.5 / 4.5 • 1.5.1 • 1.5.3
Improved use of appropriate technologies by women farmers	• Number of acres cultivated for simsim, soyabean and sunflower • Measurable improvements in use of appropriate technology	• 1.5.1 / 1.5.2 • 1.5.1

African Initiatives		
Output	**Indicator**	**Relevant outcomes**
Improved attitudes towards girls and women, and increased equality of opportunities for girls in Ngorongoro Division	• A reduction in forced marriages • A reduction of school girl drop outs • Increase in the percentage of girls passing Standard 7	• 3.8 • 1.3.2 • 1.3.3 / 1.3.4
Pilot study of evening classes for Maasai children completed, and its impact assessed	• Teachers in place and evening classes running in 3 schools • 150 children in 3 villages attending evening classes • Report evaluating success of pilot scheme	• 5.1 • 5.1 / 1.3 • 5.1
Increased spending on education by local	• Increased budget contribution and transparency for Ngorongoro schools,	• 2.3

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

government and other local organisations to increase access to primary school for girls and to improve their performance	including a budget allocation specifically for girls	

PONT		
Output	**Indicator**	**Relevant outcomes**
Functional ambulances operating within target villages	• Number of motorbike and pushbike ambulances in service • Number of trained drivers available for work	• 4.1.1 / 1.2 • 4.1.1
OPL's (Operational Level Village Health Workers) and TBA's (Traditional Birth Attendants) trained in appropriate call out criteria and equipped with phones and mountain rescue stretchers within the 180 target villages	• Number of OPLs trained, equipped with phone and mountain rescue stretcher • Number of TBAs trained and equipped with phone	• 4.1.1 • 4.1.1
Management and supervision	• Number of NGO coordinators keeping accurate records and filing annual reports	• 4.1.1

HealthProm		
Output	**Indicator**	**Relevant outcomes**
A new community based Early Years Support Service ("EYS") is created in Dushanbe to expand modern methods of social service delivery	• Number of children on EYS project with individual care plan • Number of children who have been part of EYS project who attend mainstream school	• 1.8 • 1.8 / 1.3.4
An Early Years Network is established that builds the capacity of professionals in the government and non-government sector and prevents the institutionalisation of young children under 6.	• Network meets at least 6 times a year • Number of children entering Baby Homes per year	• 4.3 • 1.8 •

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

Families receiving support from the Early Years Support Service through 3 components: Skills training and small grants Activity scheme Befriending scheme	• Number of parents accessing training and small grants • Number of children involved in activity scheme • Number of children involved in befriending scheme	• 4.1.3 • 1.8 • 1.8

India Development Group (Jeevika Trust)		
Output	**Indicator**	**Relevant outcomes**
All JT partner project staff and volunteers trained to use new monitoring, reporting and impact assessment tools achieved through workshops, one to one consultancy and peer group evaluation (based on tools used New Philanthropy Capital).	• Number of staff and volunteers fully trained in the use of new project management tools • Implementation levels for new project management tools •	• 4.1.4
300+ small-scale women bee-keepers in Orissa consolidate commercial viability of their honey production through a training programme linked to the formation of a Women Beekeepers' Association (WBA)	• Numbers of women beekeepers attending training programme as active members of the WBA • Number of active members of the WBA	• 3.9.1 / 4.5 • 3.9.1 / 4.5
Up to six District-level Resource Centres (DRCs) created in Orissa for honey pooling, filtering and storage for wholesale production and marketing	• Number of women regularly accessing DRCs • Number of women beekeepers accessing wholesale markets	• 4.9.1 / 4.5 • 1.5.2 / 3.5 / *3.9.1*

ICA:UK

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

Output	Indicator	Relevant outcomes
8 community schools provided with and utilising books and learning materials	• Number of books and learning materials available to teachers/pupils • Systems in place to store, manage and care for resources	• 1.3.3 / 1.3.4 • 4.3
Volunteers working with the school (teachers and PA members) with enhanced skills	• Number of volunteer teachers trained • Number of PA members trained in participatory methods and M&E • Number of PA members trained in gender issues	• 4.1.1 • 4.1.1 • 4.1.5
Long term and short term income generating projects established at each school	• Number of seedlings established • Number of schools with nurseries • Number of animal husbandry projects established and maintained by teachers	• 1.5.1 • 1.5.1 • 1.5.1

Desmond Tutu HIV Foundation		
Output	**Indicator**	**Relevant outcomes**
Number of health professionals/workers trained by project/programme activities	• Number of health professionals trained • Number of health professionals at HIV care and treatment sites receiving refresher training on integrated SRH/FP for people living with HIV	• 4.2 • 4.2.1
Number of family planning service delivery points per 500 000 population	• % of HIV treatment and care consultations completing clinical tool to identify SRH/FP needs • HIV services offering family planning in Western Cape province	• 4.2.1 • 1.2.3
Unmet need for family planning	• % of HIV treatment and care consultations completing clinical tool to identify SRH/FP needs • Number of clients screened for SRH/FP service needs (per year)	• 4.2.1 • 1.2.5

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

Mercy Corps Scotland		
Output	**Indicator**	**Relevant outcomes**
Enhanced ability of formal sector intermediary organisations to identify and access Village Savings and Loan Groups (VSLAs) in eight underserved districts of Nepal	• Existence of revised, outreach-based NEFSCUN procedures for formalising VSLAs • # of village development committees reached • # of VSLAs reached in target districts	• 4.5 • 4.5 • 4.5
Efficient mechanisms developed for intermediary organisations to train and formalise informal safety nets for poor, informal sector workers	• Cost and time per VSLA for formalisation and training • # of New SACCO members trained • # of members with access to alternative emergency sources of funds reducing the use of high-risk informal loans	• 4.5 • 4.5 • 1.5
Improved legal status, accountability, management, social protection measures, and member services of existing safety nets for informal sector workers	• # of VSLAs registered as SACCOs • % increase in VSLAs/ SACCOs capacity index scores • # of community members trained	• 4.5 • 4.5 • 4.5

Relief International – UK (RI)		
Output	**Indicator**	**Relevant outcomes**
Improved access to inclusive and universal primary education by children.	• Number of classrooms constructed or rehabilitated • Number of new/improved sanitation facilities provided • Number of boys and girls enrolled under a flexible academic calendar and timetable time classes.	• 1.3.3 • 1.4.2 • 1.3.1
Enhanced quality of education and improved retention rates in targeted primary schools through training of teachers and provision of teaching / learning materials.	• Number of Teachers trained • Pupil to teacher ratio • Pupil to textbook ratio • Number of boys and girls who score above average in the national	• 4.3 • 1.3.3 • 1.3.3 • 1.3.5

APPENDIX 10.3.2　　GPAF – OUTPUT LEVEL

	examination.	
Increased capacity of MOE, REOs and DEOs, and CECs to manage, plan for, and deliver primary educational services in an efficient manner	• % schools in which CEC meetings are regularly (at least quarterly) held • Number of annual monitoring visits to the target primary schools made by educational authorities • Number of REOs able to design, manage, and implement an improved system for primary education data collection (including financial and literacy data), and use it for planning and budgeting	• 3.3 • 2.3 • 4.3

SOUTHERN AFRICAN CATHOLIC BISHOPS'CONFERENCE AIDS OFFICE		
Output	**Indicator**	**Relevant outcomes**
Caregivers symptomatically identify potential TB cases during home visits using standardised questionnaire, and refer them for TB testing (chest X-rays and/or sputum tests)	• Number of patients and their household members identified by caregivers as showing TB symptoms • Number of identified TB suspects referred and tested for TB	• 1.2 • 1.2
Caregivers ensure that patients testing positive for TB are initiated on and complete TB treatment	• Number of TB positive patients initiated on treatment • Number of patients who successfully complete TB treatment	• 1.2 • 1.2
Caregivers counsel and test all patients and their household members for HIV	• Number of patients and their household members counselled and tested for HIV • Number of those testing HIV positive referred for CD4 tests and ARV treatment	• 1.2.3 • 1.2.3

Heifer Project South Africa		
Output	**Indicator**	**Relevant outcomes**
Project members, including pass on group members, are trained in key areas, such as	• Number of project members who know subject matter from key trainings received such as livestock management, crop production	• 4.5

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

livestock management, crop production, gender awareness, Cornerstones, basic business management, environmental sustainability, HIV and AIDS, and human nutrition.	practices • Number of project members who have adopted improved agricultural practices in to their activities as a result of their trainings	• 4.5
Project members have received livestock and agricultural inputs	• Number of original project members who have been assisted with agriculture and livestock inputs. • Number of pass on project members who have been assisted • Number of mini-nurseries built for growing seedlings and saplings	• 4.5 • 4.5
Project members are involved in improved crop and livestock production for food security and income generation purposes	• Number of project members involved in livestock and crop production • Measureable improvements in income generation due to agricultural production • Measurable improvements in food security due to crop and livestock production	• 1.5.1 • 1.5.1 • 1.5.2

Aga Khan Foundation (United Kingdom		
Output	**Indicator**	**Relevant outcomes**
Pregnant women, mothers of children under two years of age and other care-givers in the family have the appropriate knowledge and develop requisite skills to follow the recommended IYCF practices, through the messages and assistance imparted by peer educators in selected blocks of three districts of Bihar	• Proportion of currently pregnant women who can cite ideal time for initiation of breastfeeding and at least 2 advantages of early initiation. • Proportion of mothers & caregivers of children under 2 who can cite at least 3 advantages of exclusive breast-feeding	• 1.2.5 • 1.2.5
Community-based front line workers (ANM, AWW and ASHA), TBAs and facility based health service providers (nurse-aides / Mamtas) mentored by Peer Educators and/or cluster coordinators in	• Number of front line workers who report being supported by PEs for IYCF counselling. (disaggregated by ANMs, AWWs, ASHAs & TBAs) • Number of facility-based health service providers who report being supported by PEs and/or CCs for providing counselling on early	• 1.2.5 • 1.2.5

counselling and problem solving skills for IYCF	initiation of breastfeeding.	
Appropriate policy improvements and programme implementation changes instituted with focus on IYCF counselling, including message delivery and problem solving, following advocacy for the same	• No. of government policy improvements and/or programme implementation changes on IYCF counselling at community and/or facility level. • No. of conferences / workshops /CMEs organised by health professional bodies discussing the role of health practitioners in ensuring IYCF practices' adoption.	• 2.2.3 • 3.2.3

Mercy Corps		
Output	**Indicator**	**Relevant outcomes**
At least 368,000 Goma-area residents have improved access to potable water and sanitation services by the end of the programme	• Number of persons provided with new/improved drinking water • Number of public water points supplied by the improved system • Number of new/improved sanitation facilities provided	• 1.4.1 • 1.4.1 • 1.4.2
Greater community participation and stronger Regideso management results in higher cost recovery and better quality, more consistent service	• # of public taps managed by community committees in target areas • % cost recovery from taps managed by community committees • Percentage of time during tapstand hours of operation that clean water is available	• 4.4 • 4.4 • 1.4.1
Improved hygiene behaviours contribute to a reduction in diarrhoea and other water-borne illnesses in the programme areas by the end of the programme	• % target population demonstrating improved hygiene behaviours by end of program • Number of schools and health centres which receive hygiene support	• 1.4.2 • 4.4

Scottish Catholic International Aid Fund (SCIAF)		
Output	**Indicator**	**Relevant outcomes**
Sustainable use of water and land resources through watershed management techniques	• Number of project water schemes with functioning (MOU, by-laws, financial sustainability) management system	• 1.4 • 1.4

APPENDIX 10.3.2 GPAF – OUTPUT LEVEL

	• Number of hectares of land under soil and water conservation measures • Number of functioning (MOU, by-laws) watershed management committees (50%F)	• 3.4
Diversified and increased income for poor households, with a focus on woman-headed households and landless youth	• Value of productive assets at household level • Number of women beneficiaries accessing credit • % increase in household income • Number of Productive Safety Net Program beneficiaries in the two regional states (registered at outcome level in logframe)	• 1.5 • 1.9.1 • 1.5 • 1.5
Financially and institutionally sustainable producer groups established and functioning effectively (focus on woman-headed households and landless youth	• Number of small scale enterprises in target area run by producers • Number of women members and managers of producer groups • Value of savings and assets held by cooperatives	• 1.5 • 1.9.1 • 1.5
Increased local capacity for food security, focusing on empowering women to take a greater role in local development	• Number of trainings and learning forums facilitated at community level • Number of women participating in development fora (categorised by roles in decision-making) • Number of project livelihoods activities documented and ready for scale-up • Number of people in target group directly assisted by food security programmes (DFID standard indicator) (registered at outcome level in logframe)	• 3.5 • 3.9.1 • 5.1 • 1.5.2

Sense International		
Output	**Indicator**	**Relevant outcomes**
Capacity of 2 RLCs strengthened and 6 SLCs established to deliver Early Intervention, Education and Vocational Training services for deafblind	• No. of teachers trained by RLCs and SLCs • No. of on-site training visits by SI (India) to RLC/SLC	• 4.9.3 • 4.9.3

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people		
Early Intervention (EI) established to screen infants in 8 hospitals and provide services for 250 deafblind children (0-6 yrs)	• No. health prof. medical (Ml)/para-medical (Pm) trained • No. of children screened in 0-6 years age group	• 4.9.3 • 1.9.3
Partner staff and selected SSA teachers trained on deafblindness enabling 9625 deafblind (db) children (6-14 yrs) to receive education services (625 directly and 9000 via SSA)	• No. teachers trained (partner educators/SSA) • Net enrolment of deafblind children in primary education (by gender)	• 4.9.3 • 1.9.3
125 deafblind (db) young adults (14+ yrs) receive vocational training for income generating activities (IGA)	• No. of db young adults receiving vocational training • No. of db young adults involved in IGA	• 1.9.3 • 1.9.3
State level networks of deafblind people, their families & teachers established, representing 484,000 deafblind people in advocacy & policy influence	• No. of local, national & regional meetings • No. of Govt policies incorporating deafblindness • No. of deafblind people & their family members receiving services (registered at outcome level in logframe)	• 3.9.3 • 2.9.3 • 1.9.3

Pastoralist Concern		
Output	**Indicator**	**Relevant outcomes**
Improved capacity of health centres, health staff, TBAs and CBRPS to provide pastoralist appropriate MCH services to women and children	• Pregnant women attending ANC4visits during pregnancy • % patient who report full satisfaction with the health service • % facilities meet basic standards for equip., , drugs and supplies	• 1.2.5 • 1.2 • 1.2
Increased health staff and TBA capacity and improved systems for pastoralist appropriate referral and outreach for MCH	• % of ambulance running costs cover by costs sharing scheme • Complicated cases referred to the Referral Health Facility • Women and children reached by mobile outreach teams	• 4.2 • 1.2 • 1.2

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Community initiatives undertaken to increase the access to government MCH services and to reduce/abandon Harmful Traditional Practices such as FGC	- Exclusive breastfeeding of children up to 6 months - Women reporting positive behav. related to 1) delivering in health facility; 2) exclusive br.tfeeding - Women reached with MCH information through CC, campaign community theatre	1.2.5 1.2.5 1.2.5
Action oriented research, papers on best practices and media stories produced to advocate for pastoralists appropriate MCH services	- Action research and best practice papers disseminated to policy makers - Meetings with policy makers to discuss pastoralist appropriate MCH methods - Media stories on pastoralist appropriate methods of the project	3.2.3 3.2.3 3.2.3

Methodist Relief and Development Fund		
Output	**Indicator**	**Relevant outcomes**
75 WUCs, 63 CMTs, and 9 SHCs functioning and responsible for sustainability of the project in 63 villages and 9 schools of 10 parishes of Kasanje and Ssisa Sub-Counties	- Number of WUCs functioning - Number of CMTs functioning - Number of SHCs functioning	3.4 3.4 3.4
Women, men, girls and boys in 63 villages and 9 schools of 10 parishes of Kasanje and Ssisa Sub-Counties have access to water from improved, safe sources within 1 km	- Number of direct beneficiaries, men, women, girls and boys provided with improved drinking water facilities - Average time spent by women and children accessing water - Number of households of the elderly, PWDs, and PLWHAs provided with improved drinking water facilities in their homes	1.4.1 1.4.1 1.4.1
Women, men, girls and boys in 63 villages and 9 schools in 10 parishes of Kasanje and Ssisa Sub-Counties have access to effective sanitation	- Percentage of households with access to effective sanitation facilities - Number households of the elderly, PWDs, and PLWHAs provided with effective sanitation facilities in their homes	1.4.2 1.4.2

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facilities	• Number of schools provided with gender-segregated sanitation facilities for boys and girls •	• 1.4.2
Women, men, girls and boys in 63 villages, and 9 schools in 10 parishes of Kasanje and Ssisa Sub-Counties learn good personal hygiene behaviour related to use of water and sanitation facilities	• Number of people trained in good hygiene behaviour • Number households of the elderly, PWDs and PLWHAs trained in good hygiene behaviours	• 4.2 • 4.2

Children in Crisis		
Output	**Indicator**	**Relevant outcomes**
Better trained and/or qualified and motivated teachers deliver quality lessons with appropriate resources	• Number of teachers formally qualified with TEC status • Number of trained teachers using child-centred teaching approaches • Percentage of teachers who report job fulfilment	• 4.3 • 4.3 • 4.3
Families, communities, and schools actively encourage girls' learning and gender equality	• Percentage of girls dropping out of their primary education • % of girls in target schools who report being adequately supported in their education and perceive themselves to still be in school in 5 years' time • Number of parents demonstrating positive measures they've taken to support their girls in school.	• 1.3.2 • 1.3.3 • 1.3.3
Communities are capable, in a well-governed and transparent way, of mobilising human, financial and advocacy resources to address the educational needs of pupils	• No. of schools that have successfully delivered a self-help activity to directly benefit the school • Communities report positive interaction and support from education authorities and district council.	• 3.3 • 3.3

BRAC International/BRAC Sierra Leone/BRAC Liberia		
Output	**Indicator**	**Relevant outcomes**

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Women in the target areas in Sierra Leone and Liberia have been trained on kitchen gardening (5,500 households) and/or poultry rearing (640 households	• Number of women trained in kitchen gardening • Number of women trained in backyard poultry rearing	• 4.5, 4.9.1 • 4.5, 4.9.1
Women in the target areas in Sierra Leone and Liberia have access to quality inputs for kitchen gardening (5,500 households) and/or poultry rearing (640 households)	• Percentage of women reported to have received inputs requested within one week • Percentage of women who indicated to be satisfied with the quality of inputs provided	• 1.5 • 1.5
180,000 household members in the target areas in Sierra Leone and Liberia have improved knowledge on nutrition and the importance of a well-balanced diet through community nutrition awareness campaigns and village nutrition committees	• Number of women trained in nutrition (male/female) • Percentage of women who are able to indicate at least three important aspects for healthy nutrition • Number of village nutrition committee meetings held and attendees.	• 4.2.2 • 4.2.2 • 3.2.2

SOS Sahel International UK		
Output	**Indicator**	**Relevant outcomes**
New systems of FLIWM to enable environmental sustainability alongside agricultural productivity are established in 4 districts (weredas)	• Number of farmers using new FLIWM systems • Area of land under improved natural resource management • Area of land at high risk of flooding	• 1.5 • 3.7 • 1.7
Enhanced productivity of existing agricultural and livestock management systems in 4 districts (weredas	• Standard measures of crop yields • Diversity of crops and forage sources • Standard measures of livestock health and productivity	• 1.5.2 • 1.5.2 • 1.5.1
Increased incomes for women in 32,000 households, as a result of improved livelihood	• Cash income amounts for women • No of women and marginal groups engaged in new market	• 1.5.1, 1.9.1 • 1.9.1

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diversification opportunities	enterprises • No of enterprises linked with formal credit institutions	• 1.5
Local institutions (government and community-based) are more effective, with improvements in womens' access to services	• Number of active members of new local institutions • Number and scope of new services offered to women by local institutions • % of women in management and leadership roles in local institutions	• 3.5 • 1.9.1 • 1.9.1

BRAC International, BRAC Tanzania		
Output	**Indicator**	**Relevant outcomes**
300 Community Agriculture Promoters (CAP), 400 Community Livestock Promoters (CLP) and 100 Artificial insemination(AI) workers trained and equipped to disseminate information to local small scale farmers and provide extension services	• Number of CAP trained by gender • Number CLP and AI worker trained by gender	• 4.5 • 4.5
13210 small scale farmers trained and equipped with improved agriculture, poultry and livestock practices, with regular access to extension services and BRAC microfinance services	• Number of farmers having knowledge of specific management and technology , by gender	• 4.5
30 collective & 300 individual crop demonstration plots and 50 model layer farms &100 broiler farms demonstrate new technologies/high yielding varieties.	• Numbers of crop demonstration plots in user • Number of model layer/broiler farms in use	• 4.5 • 4.5
Ensured quality and affordable agriculture & livestock inputs, and developed Agriculture Entrepreneurs (AE) for improved seed & agriculture tools supply to farmers	• Percentage of small scale farmers with access to quality & affordable input supply	• 1.5

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

GOAL		
Output	**Indicator**	**Relevant outcomes**
Establishment and continued activity of Nutrition and Food Security Circles in target communities	• Percentage of PD Circles established • Percentage of PD Female Circles that complete the training cycle	• 4.5 • 4.5, 4.9.1
Established and yielding micro-gardens at Circle beneficiaries homesteads	• Percentage of Circle HHs have established micro-gardens whereby yields are being used for consumption • Percentage of Circle participant HHs have passed on at least two seed varieties to another HH	• 3.5 • 3.5
Beneficiaries using high-energy, nutrient-rich and diverse foods at a household level	• Percetage of HHs w/children 6-59 months, chronically ill or PLW, who after follow-up 2 months after graduation, received foods from 4 or more food groups in the last 24hrs (Minimum Dietary Diversity) • Percentage of HHs with children 6-59mths, chronically ill or PLW, who, after follow-up 2 months after graduation, had eaten a minimum of 3 meals + snacks/day in the last 24hrs	• 1.2.4 • 1.2.4
Improved familial knowledge and practice of optimal feeding practices (for infants and young children, chronically ill and/or PLW)	• Percentage of females graduating from Female Circles • Percentage of males graduating from Male Circle • Percentage of women in PD Circles with infants <6mths who, after follow-up 2 months after graduation, were practicing exclusive breast feeding	• 4.5, 4.9.1 • 4.5 • 4.2

Build Africa		
Output	**Indicator**	**Relevant outcomes**
School communities trained in the Community Driven Education Strategy (CODES), School Development Plans (SDP) and engaging with the local authorities on education policy	• School communities trained in CODES r • SDPs formulated / reviewed • Education policy dialogues held	• 4.3 • 3.3 • 3.3

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SMCs trained in their roles and responsibilities	• SMCs trained • SMC exposure visits conducted • SMCs with mentors	• 4.3 • 4.3 • 4.3
Parents, teachers, pupils and local authorities trained in gender issues and appropriate support provided	• Number of girls with access to sanitary towels • Number of parents trained in gender awareness • Number of girls trained in life skills	• 1.2.5 • 4.9.1 • 4.9.1
Effective stakeholder participation & learning system established and functioning	• Project implementation reviews carried out • Number of impact reviews carried out	• 4.3 • 4.3

Canon Collins Trust		
Output	**Indicator**	**Relevant outcomes**
Improved literacy/numeracy leading to primary school return amongst out of school boys/girls	• % of targeted out of school boys/girls with basic literacy • % of targeted boys /girls rejoining school	• 1.3.5 • 1.3.1
Improved prevention and treatment of HIV among out of school boys/girls in targeted areas.	• Percentage of targeted out of school boys/girls with comprehensive knowledge of HIV • Percentage of targeted out of school boys/girls attending voluntary HIV testing and counselling	• 1.2.3 • 1.2.3
University researchers capacitated and resourced to evaluate the programme within the wider education and development context	• Numbers of university researchers (male/female) • engaged with programmes targeting drop-outs • Numbers of educationalists (male/female) exposed to project research through dissemination activities	• 3.3 • 3.3
Mercy Corps		
Output	**Indicator**	**Relevant outcomes**

APPENDIX 10.3.2 GPAF – OUTPUT LEVEL

Rural and peri-urban populations in the intervention areas benefit from increased access to a safe water supply and basic sanitation services	• Number of water points and latrines rehabilitated or installed and in regular use • Number of community committees formed and trained on water point and latrine management • Level of community satisfaction regarding the management of water points and sanitation services (% satisfaction)	• 1.4 • 4.4 • 4.4
Significant improvement in availability and quality of staple foods to households in the intervention area	• Estimated value of red bean, peanut and mosaic disease resistant manioc • Perception of increased access and availability of varied food types, through household level production and purchase at local market (% increase in perceptions) • Number of people trained on improved production and transformation techniques	• 1.5.2 • 1.5.2 • 4.5
The population in the intervention zone demonstrate increased knowledge and awareness on hygiene and sanitation practices, good nutrition, and related health concerns	• Number of people sensitised on good hygiene and sanitation practices and related health risks • Perception that nutrition and hygiene are important for family health (% increase) • Improvement in Knowledge, Attitudes and Practices of beneficiaries on hygiene, nutrition and sanitation (% increase)	• 4.2, 4.4 • 3.2.2, 3.4 • 3.2.2, 3.4

Association for Reproductive and Family Health, Education as a Vaccine Against AIDS and Society for Women Development and Empowerment of Nigeria		
Output	**Indicator**	**Relevant outcomes**
16 LGAs health service outlets' capacities strengthened to provide quality and comprehensive reproductive health services to young people	• Number facilities (public and private) offering youth friendly sexual Reproductive health service • Ratio of male to female health provider with skills to provide sexual and reproductive health services • Number of trained health workers providing adolescent and young	• 1.2.5 • 1.2.5, 1.9.1 • 1.2.5, 4.2.3

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

	people with sexual and reproductive health information and services	
900,000 adolescents and young people empowered with knowledge and skills to access reproductive health information and services	• Percentage of young women and young men age 15-24 with comprehensive knowledge about HIV and AIDS • Ratio of boys to girls who are utilising the reproductive health services in the health facilities and other community based outlets r • Number of adolescents and young people actively participating in project activities and processes	• 3.2.1 • 1.2.5 • 3.2.1, 3.2.3
Improved social, financial and policy environment that enables young people exercise their rights in accessing sexual and reproductive health services.	• Percentage of young people (females and males) accessing micro credit for viable income generating activities • Ratio of male to female young persons utilizing vouchers to access SRH services • Level of support by community gatekeepers to ensure young people's SRH	• 3.5 • 3.2.1, 3.2.3 • 3.2.1, 3.2.3

World Wide Fund for Nature – Pakistan (WWF - Pakistan)		
Output	**Indicator**	**Relevant outcomes**
A network of Community Based Organisations (CBOs) established and strengthened along CIWC for effectively addressing poverty-environment related issues among fisher communities	• Number of representative CBOs established in collaboration with local partners • Number of CBO representatives trained in office management, project development and management • Linkages with potential donors and government agencies to sustain and expand project initiatives	• 3.5, 3.7 • 4.5, 4.7 • 5.1
Diversified livelihood options introduced among fisher communities in the CIWC to augment their incomes	• Number of Livelihood Development Plans (LDPs) developed and endorsed by respective stakeholders • Number of trainings conducted and demonstration models set up for income generation options under the LDPs • Percentage of target communities adopting diversified livelihood	• 3.5 • 4.5 • 3.5

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

	options	
Energy efficient and alternative sources of energy introduced in fisher communities to improve their quality of life and reduce pressures on Natural Resources (NRs	• Number of alternate and energy efficient units introduced at household level to reduce fuelwood and Kerosene usage • Number of households provided with new and improved access to basic electricity supply • Percentage reduction in average household consumption of fuelwood & kerosene	• 1.7 • 1.7 • 1.7
Improved management of CIWC Protected Areas promoted in collaboration with stakeholders	• Number of strengthened PA Management Plans for which implementation has been initiated • Number of demonstration sites established for promoting community managed PAs • Percentage of fishers adopting improved fishing and natural resource use practices	• 4.7, 4.5 • 4.7, 4.5 • 3.7, 3.5

Opportunity International UK		
Output	**Indicator**	**Relevant outcomes**
Increase in income generation	• Number of jobs created or sustained • Average number of consumer goods owned by target clients	• 1.5 • 1.5
Diversified and more productive rural livelihoods	• % of clients reporting more than 2 sources of household income • % increase in yields of target smallholder farmers	• 1.5 • 1.5
Greater control over financial resources and reduced variance of household incomes	• Percentage of clients reporting they make joint financial decisions with their partners • Total value of savings that are deposited by target group • Percentage of clients reporting they sometimes have to go without food	• 2.5 • 1.5 • 1.5.2 • •

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

Increased financial literacy levels of target group	• % of respondents who report having to borrow from others to make loan repayments	• 1.5, 3.5
	• % of respondents aware of financial product features	• 1.5, 3.5
	• % of respondents who report currently using a household budget	• 1.5, 3.5

Send a Cow		
Output	**Indicator**	**Relevant outcomes**
1600 farmer households (70% F; 30% M) have sufficient nutritious food, access to drinking water, and the capacity to manage natural resources.	• Number of farmers (M/F) using sustainable agriculture and NRM practices. • Number of HH eating 2 or more meals a day that comprise of crops and vegetables. • Number of households provided with new/improved drinking water.	• 3.5 • 1.2.4 • 1.4.1
1600 farmers (70% F; 30% M) are generating sustainable incomes from produce, marketing and self-employment.	• Number of farmers (M/F) reporting increased sales from surplus produce. • Number of farmers (M/F) using credit and savings facilities. • Number of farmers (M/F) reporting increased income from self-employment.	• 1.5.1 • 1.5.1 • 1.5.1
Women farmers from 1600 households are empowered in the home and community; and there is increased awareness of the rights of women and girls.	• Number of women farmers reporting sharing household chores and decision making in the home. • Number of women farmers in positions of influence. • Number of households aware of women's formal legal rights above traditional law.	• 1.9.1 • 1.9.1 • 1.9.1

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

80 Self Help Groups made up of 1600 families from Kamba, Boreda, Bonke and Damot Sore woredas are fully established, self-reliant and influential in the community. (NB Self Help Groups = emerging CBOs)	• Number of groups established with elected committees. • Number of groups reporting small business initiatives. • Number Peer Farmers and Community Facilitators (M/F) reaching the community.	• 3.1 • 3.5 • 3.5

BasicNeeds		
Output	**Indicator**	**Relevant outcomes**
Access to community-based mental health services for at least 16,000 PWMIE in four regions of Ghana	• Mental health integrated into primary health care, community health nurses deliver basic mental health services • Availability of psychotropic & anti-epilepsy medicines • Midwives and TBAs provide counselling and make referrals for women at risk of mental disorders • CPNs provide basic maternal health information to women of reproductive age	• 1.9.3 • 1.9.3 • 1.9.3 • 1.2.5
11340 men and women (6300 PWMIE and 5040 primary carers) participate in livelihood activities	• PWMIE and carers access skills training and income generating activities • PWMIE and carers accessing financial credit / support services • PWMIE doing productive work/contributing to household duties • Carers relieved of full-time caring responsibilities and able to return to work	• 1.9.3 • 1.9.3 • 1.9.3 • 1.5

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PWMIE & their primary carers access govt social protection schemes and civil society initiatives expressly including PWMIE	• Mental Health Bill enacted • PWMIE and carers benefiting from NHIS, disability funds, LEAP and NGO progs • Mental health included in District Med-Term Dvpt Plans • Mental health included in District maternal health plans	• 2.9.3 • 1.9.3 • 2.9.3 • 2.9.3

Micro Insurance Academy (MIA)		
Output	**Indicator**	**Relevant outcomes**
Community develops its capacity to manage its community based health insurance (CBHI) schemes.	• Number of people attended insurance education conducted in the community. • Presence of an administrative and executive body • Number of people from the community participated in health insurance package finalisation planning. • Number of people enrolled in the CBHI scheme	• 4.2 • 3.2 • 3.2 • 3.2
Increased awareness and motivation in the community to use essential obstetric services.	• Number of women attended ANC • Number of women attended PNC • Number of women availed benefits from the CBHI maternal benefit package on completion of 3 ANC/PNC check-ups.	• 3.2.3 • 3.2.3 • 1.2.5
Increased awareness in the community to take informed decision on malaria prevention.	• Number of people in the community who attended malaria awareness sessions • Number of free ITBN distributed to CBHI members. • Percentage of HHs sprayed with Indoor Residual Spraying in the last 12 months (registered at outcome level in logframe)	• 3.2 • 1.2 • 3.2
Availability of reliable, affordable and accessible primary health care services at local level	• Number of first referral cases handled by VHCs • Number of OPD cases treated in the community clinics (PHCs)	• 4.2 • 4.2

APPENDIX 10.3.2 GPAF – OUTPUT LEVEL

Traidcraft Exchange		
Output	**Indicator**	**Relevant outcomes**
Target farmers are working collectively and collaboratively	• Percentage of farmer groups taking collective actions • Percentage of farmer groups that negotiate with local stakeholders for improved resources and services • Percentage of farmers that perceive benefits from membership of local groups	• 3.5 • 3.5 • 1.5
Government and private sector stakeholders recognise the needs of target farmers and reflect these in the development of policies and practices and the allocation of resources	• Number of improvements in policies, practices or resources negotiated by the district or regional associations • Number of public & private service providers providing more appropriate & affordable services to target farmers • Percentage of farmers that perceive benefits from district/regional association membership	• 2.5 • 1.5 • 1.5
Target farmers have improved their production practices (increased quality and yields, reduced costs etc.) and increased market access	• Percentage of farmers who see a 15% decrease in production costs • Percentage of farmers who see a 30% increase in productivity • Percentage of farmers who see a 30% increase in sales • Percentage of farmers that indicate satisfaction with the services received	• 1.5 • 1.5 • 1.5 • 1.5
Target farmers are less vulnerable to shocks and stresses, especially natural disasters and climate fluctuations	• Percentage of farmers that diversify production and/or adopt more environment friendly cultivation practices • Percentage of farmers that report an increase in soil fertility • Percentage of farmers covered by safety measures	• 3.5 • 1.5 • 1.5

Samaritan's Purse		
Output	**Indicator**	**Relevant outcomes**

APPENDIX 10.3.2 GPAF – OUTPUT LEVEL

Care Groups (CGs) established and their capacity built to promote maternal child health in their communities	• Number of Health Promoters who complete training and pass test in the Integrated Management of Newborn and Childhood Illnesses • Number of Leader Mothers who complete training and pass test in IMNCI • Number of LMs outreaching their target households twice a month • Number of MCH messages developed in collaboration with VHTs and health personnel	• 4.2 • 4.2 • 3.2 • 1.2
Pregnant women and caregivers of children <5 years, aware of and demonstrating healthy MCH behaviours	• Number of caregivers/pregnant women educated by LMs on prevention, treatment of infections, ANC and nutrition (by sex/age) • % of households with at least two insecticide treated nets (ITN) (by socio economic group) • % of infants 0-5 months who are exclusively breastfed • % of caregivers of children <5 yrs knowing when to seek care for their sick children (by sex/age)	• 3.2 • 1.2 • 1.2.5 • 3.2
Community members, especially men, are supportive of initiatives to improve MCH and provide enabling environments for their households to adopt positive behaviours and access services	• Number of community members participating in at least 2 church-based discussion groups in 12 months (by sex) • Number of radio spot messages aired • % of men who understand signs for when a child needs to be taken for medical attention • % of households who prioritise health care in household expenditure	• 3.2 • 3.2 • 3.2 • 3.2
Improved continuum of care available for maternal child health services	• Number of VHTs with improved IMNCI knowledge • % of CG leaders meeting with health centre staff on a quarterly basis • % of target households aware of MCH services available locally	• 4.2 • 3.2 • 3.2

CENTRE FOR INDIAN KNOWLEDGE SYSTEMS

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

Output	Indicator	Relevant outcomes
Promoted use of ecological and better management practices in agriculture and natural resources leading to improved productivity and reduced costs in the target area	% of farmers adopting proven technology advice on their farms (seed, water, technology, market) % of target villages having Village Agriculture Business Development Cadre (VABDC) and supporting farmers - Change in average yield rate of major crops (AYR) in Kilo gram/Acre - No. of units of household and community managed kitchen gardens - Farmers (%) reporting increase in crop yield and/or reduction in cost of cultivation.	3.5 3.5 1.5 1.5.2 1.5.1
Developed agriculture value chains for selected crops, leading to improved returns from agriculture enterprise, through value addition and market initiatives	% of farmers receiving better returns for their produce. % of men and women farmers involving in value addition enterprises for various commodities - Initiatives for value chain development work for major crops	1.5.1 3.5 3.5
Established and strengthened community based organisations (Producers groups, federations) involving men and women farmers in the target area.	- Establishment of well functioning agricultural producer company (APC) with membership of 9000 men and women farmers from the project district - Establishment of village level and cluster level farmers organisations - No. of revenue generation initiatives taken up at the APC level	3.5 3.5 3.5
Knowledge dissemination and policy engagement for better extension policy and practice in Tamil Nadu.	% of farmers (organic) report changes in quantum of amount received from govt. for org. agriculture - No. of policy briefs/docs identifying critical gaps in existing policies published and disseminatedr - Project model and best practices shared with specific networks and civil society groups.	1.5 2.5 3.5

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

Twin		
Output	**Indicator**	**Relevant outcomes**
No. of Nasfam members in 4 AMC who have access to appropriate seed & are trained in GAP	• % of seed sold by AMC that is certified. • No. of AFOs receiving training in GAP for aflatoxin reduction.	• 1.5.1 • 3.5
Empowerment of women in groundnut value chain.	• No. of members who have received training on good governance. • No. of women members of target AMCs.	• 4.5 • 3.9.1
Improved post harvest processes	• No. of Nasfam staff who receive training for crop handling & storage; • % of groundnut crop in 4 AMCs tested for aflatoxin.	• 4.5 • 3.5
Enhanced management systems;	• % of traceability information, by sack, available electronically, • % of non compliance followed by timely corrective action	• 3.5 • 3.5
Increased awareness of aflatoxin.	• No.of project related references to aflatoxin in Malawi media • Project outputs cited in articles and research.	• 3.5 • 3.5
Effective Project Management	• % of quarter reports sent to DFID on time & approved • All inputs have TOR & produce report after.	• N/A • N/A

SURVIVORS FUND (SURF)		
Output	**Indicator**	**Relevant outcomes**
All widows and dependants requiring legal assistance to enforce land and property rights have received support	• Percentage of widows and dependants aware of their right to access justice services • Number of legitimate cases for land and property claims documented	• 1.9.1, 1.8 • 3.5

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

All economic active widows receive livelihood training and access to capital	• Number of economic active widows trained • Number of widows with a bank account	• 4.9.1 • 1.9.1
All widows requiring healthcare have attended clinics and received counselling	• Number of widows requesting support being accompanied to health clinics • Number of widows requesting psychosocial support receiving trauma counselling	• 3.9.1 • 3.9.1
All widows and their dependants sensitised and tested for HIV, and receiving treatment if required	• Number of widows and dependants tested and counselled on HIV and know the results • Number of widows and dependants with advanced HIV maintaining their ARV treatment regime	• 1.9.1, 1.8 • 3.9.1, 3.8
All dependants of widows are enrolled in primary or secondary school	• Percentage of eligible dependants enrolled in and attending primary school • Percentage of eligible dependants graduated from primary school enrolled in and attending secondary school	• 1.3.1, 1.3.2, 1.8 • 1.3.1, 1.3.2, 1.8

Oxfam India		
Output	**Indicator**	**Relevant outcomes**
Percentage of women with access to balanced and wholesome food throughout life cycle in the project intervention areas is doubled	• Number/Percentage of women whose BMI is below 18.5 • Percentage of women suffering from anaemia	• 3.9.1 • 3.9.1
Percentage of women with access to quality obstetric care including referral services in project intervention areas is doubled	• Percentage of women having deliveries in health facilities • Percentage of PHCs with referral services for complicated pregnancy delivery • Number of women having unsafe abortion	• 3.9.1, 1.2.5 • 1.2.5 • 1.2.5

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

Percentage of women conceiving at least after one year of legal age of marriage in project intervention areas is doubled	• Number of women marrying at legal age of marriage • Unmet need for contraception	• 1.9.1 • 1.2.5
Comprehensive policy, processes for maternal health formulated and realisation of right to maternal health initiated in the intervention states.	• No. of VHSCs/Citizens bodies and RKS/Facility bodies formed with awareness of MH services and monitoring them • Grievance Redressal, Citizens Interface institutionalised into Health Policy and Directives	• 3.2.3 • 2.2

BRAC International/BRAC Pakistan		
Output	**Indicator**	**Relevant outcomes**
Establishment and on-going delivery of education in 200 Early Childhood Education Centres (ECEs) in poor and marginalised communities with 6,600 children enrolled	• Number of girls and boys enrolled across the ECE centres • Attendance rates, boys and girls	• 1.3.1 • 1.3.2
Recruitment, capacity development and skill building of 200 local women through high quality training as para-professional teachers	• Number of local women trained • Number of days of on-going skills development per teacher per year	• 4.3 • 4.3
Capacity development of 400 Government Primary School Teachers	• Number of teachers trained • Number of teachers practising new techniques	• 4.3 • 3.3
Increased parents and community participation in children's education through Mothers' Forums and School Management Committees (SMC's) in all 200 communities	• Number of Mothers' Forums and SMCs established • Total number of mothers and participating in forums at least quarterly • Total number of community members participating in SMCs at least quarterly	• 3.3 • 3.3 • 3.3

The Karuna Trust

APPENDIX 10.3.2 GPAF – OUTPUT LEVEL

Output	Indicator	Relevant outcomes
Increased enrolment of school age children	• Net primary education enrolment ratio(by gender)	• 1.3.1
Net primary education enrolment ratio(by gender)	• Percentage increase in progression to grade 5 compared to baseline (by gender)	• 1.3.2
Improved health and well-being of children and better hygienic practices within the community.	• % of underweight children compared to baseline • % of families using sanitation facilities provided compared to baseline • % of children immunised compared to baseline	• 1.2.4 • 3.4, 1.4.2 • 1.2
Improved livelihoods within the community through youth skills development and women's self-help groups	• % of youth accessing jobs through skills development • % of women in SHG groups accessing credit and starting a small business	• 1.5 • 1.5.3

Adventist Development and Relief Agency		
Output	**Indicator**	**Relevant outcomes**
Increased skills in food processing within 15 target villages	• Number of targeted beneficiaries trained and actively engaged in food processing by end of project • % of association marketed food undergoing processing meets market standards	• 4.5, 3.5 • 3.5
Increased number of viable food based processing industries	• % of target households involved in new micro enterprise businesses • 25 SHG established with at least 350 members receiving access to credit, capital or equipment • 275 targeted women receiving business training involved in new micro enterprise businesses	• 3.5 • 3.5 • 4.5, 4.9.1
Increased local capacity for value chain	• 10 rural food processing value chain partnerships created by EOP	• 3.5

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

development in rural food processing	• % of targeted households participate in food processing value chain. (total of households 1,500) • 7 established HPLG are actively engaged in selling produce and reporting profit by end of project.	• 3.5 • 3.5
Improved capacity of local stakeholders to promote and raise awareness of key crosscutting issues including gender, HIV/AIDS, DRR and environment	• Percentage of most-at-risk populations who both correctly identify ways of preventing the sexual transmission of HIV and who reject major misconceptions about HIV transmission by risk group • % of target beneficiaries have increased awareness on gender and women's rights issues. • % of target beneficiaries have increased awareness on DRR and environment	• 3.2.1 • 4.9.1 • 4.7

Camfed International		
Output	**Indicator**	**Relevant outcomes**
Vulnerable girls and boys attend school regularly	• Number of children receiving support to attend school • Attendance rates at junior high school of vulnerable female students • Number of children living with disability receiving support to attend school	• 1.3.4 • 1.3.1, 1.9.1 • 1.9.3
More female teachers and female classroom assistants in classrooms in the Northern and Upper East Regions	• Number of women in partner schools receiving in-service teacher training. • Percentage of trained teachers in partner schools who are female • Number of female school leavers providing sessions in schools	• 4.3 • 1.9.1 • 3.9.1
SMCs are implementing a transparent and accountable process to deploy school resources, and enforcing child protection measures	• Students understand how needy children are identified to receive support • Percentage of parents and students who say they understand how decisions are made in the SMC/PTA.	• 3.3 • 3.3 • 3.3

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	• Percent of stakeholders who say most or all cases of abuse in school get reported.	
Increase in number and scale of local initiatives that tackle obstacles to children's enrolment and success	• Number of needy children supported in their education through local initiatives • Number of schools where local groups are contributing to School Improvement Plans	• 1.8, 1.3.4 • 3.3
Improved data collection and use to inform decision-making and reinforce accountability at school and district level	• Number of people in school and district level trained in strategic data management. • Percent of DEC and SMC reps who report using data gathered through mobile technology to track school performance • Percent of DEC and SMC representatives who can name an action taken as a result of data.	• 4.3 • 3.3 • 3.3

TEARFUND DMT, PPSSP and HEAL Africa		
Output	**Indicator**	**Relevant outcomes**
191,540 beneficiaries have sustainable access to adequate safe drinking water	• Number of households provided with new/improved drinking water • % of water points with water user committees trained and functioning	• 1.4.1 • 3.4
63,180 beneficiaries have sustainable access to improved basic sanitation facilities	• Number of new/improved sanitation facilities (House Holds) • % of institutions with latrine maintenance committees trained and functioning	• 1.4.2 • 3.4
>60 % of beneficiaries of water and sanitation interventions have increased knowledge and show demonstrable behaviour change in hygiene practice	• % of people with appropriate handwashing behaviour	• 3.2
Increased knowledge and uptake of PPTCT, VCT and SGVB services	• Number of people directly reached in the target communities by PPTCT, VCT and SGVB sensitization and training	• 1.2

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

	• Number of men, women and children tested for HIV/AIDS and other STIs within PPTCT, VCT and SGVB sensitization / training • Percentage of most at risk population who both correctly identify ways of preventing the sexual transmission of HIV and who will reject major misconceptions about HIV transmission by risk group	• 1.2.3 • 3.2.1

DEVELOPMENT AID FROM PEOPLE TO PEOPLE (DAPP)		
Output	**Indicator**	**Relevant outcomes**
Beneficiaries in the targeted attain increased household income and improved wealth	• Percentage increase in number of local enterprises • in the targeted area • Percentage increase in value of production by beneficiaries • Percentage increase in yield per hectare by beneficiaries	• 1.5 • 1.5 • 1.5
Beneficiaries in the targeted area attain improved household food security status	• Change in yields (percentage) of major crops grown by beneficiaries • Number of households who are food secure throughout the year • Number of households adopting improved agricultural practices in the targeted area	• 1.5 • 1.5.2 • 1.5.1
Beneficiaries in the targeted area acquire increased capacity to self organise and work together to improve productivity, quality and access to markets	• Number of farmer clubs established in the targeted area • Number of households trained in various agricultural technologies • Number of farmer clubs benefiting from collective inputs buying and produce selling in the targeted area	• 3.5 • 4.5 • 1.5.1
Beneficiaries in the targeted area attain improved access to clean water for irrigation purpose	• Number of rope pumps provided to women farmers/groups • Percentage increase in agricultural output from irrigation in target area • Percentage increase in area (hectares) under irrigation farming in target area	• 1.5.1 • 1.5.1 • 1.5.1

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

Water & Sanitation for the Urban Poor		
Output	**Indicator**	**Relevant outcomes**
General purpose water & fluoride risk-free drinking water are being sustainably supplied to target communities	• No. of households provided with new/improved drinking water	• 1.4.1
Sanitation facilities have been constructed/ improved in target communities	• No. of new/improved sanitation facilities provided • No. artisans/SIPs supported in sanitation marketing/sludge removal	• 1.4.2 • 4.4
Residents of target areas have improved hygiene & fluoride awareness	• No. of females & males participating/trained in a hygiene promotion programme • No. of females & males participating/trained in fluoride awareness	• 4.4, 4.2, 3.4, 3.2 • 4.2, 3.2
Local service providers have increased capacity to sustain pro-poor water & sanitation services	• Non-revenue water (NRW) reduction • No. key stakeholders trained in gender mainstreaming	• 3.4 • 4.9.1

World Wide Fund For Nature Pakistan (WWF Pakistan)		
Output	**Indicator**	**Relevant outcomes**
Key stakeholders sensitised and mobilized for their effective role in conservation of the natural resources and livelihood improvement	• CBOs (VOs, WGs & Cluster Orgs (COs)) established • CBO members trained in office, financial and project management • Number of initiatives undertaken by CBOs & partners	• 3.7 • 4.7 • 3.7
Sustainable Management Practices introduced in Chilghoza Forest Ecosystem	• Area of Chilghoza forest under sustainable management • Change in Chilghoza forest vegetation cover and associated biodiversity • Number of NRM initiatives by the stakeholders	• 3.7, 1.7 • 1.7 • 3.7
Natural resource based livelihood options improved	• Type and number of livelihood options • Change in Yield of Chilghoza Nuts, NTFPs and Agricultural	• 1.5

APPENDIX 10.3.2   GPAF – OUTPUT LEVEL

	Products	• 1.5.1

Ethiopian Evangelical Church Mekane Yesus - Development And Social Services Commission		
Output	**Indicator**	**Relevant outcomes**
Increased capacity of the health system and staff in the two districts to deliver quality maternal & SRH services to pastoralists	• Health professionals/workers trained by project • Number of complicated cases referred to Hospital by motorcycle and sidecar "ambulance" • Percentage of women and men who have given response of full satisfaction with mobile VCTs under this project	• 4.2 • 1.2.7 • 1.2
Community based maternal and SRH, referrals, and education systems established / enhanced	• Condoms distributed by under this project • Referrals to health facility by TBAs trained by this project • Women and men reached with maternal and SRH information	• 1.2.5 • 3.2 • 1.2
PLWHA and Youth Clubs trained and equipped to convey HIV/AIDS awareness and stigma reduction messages to their communities	• Youth who can name at least 2 modes of transmission and 2 prevention methods for HIV/AIDS • Youth club members trained and active in HIV-related stigma and discrimination reduction • Individuals reached by community awareness actions of the project	• 3.2.1 • 4.2.1, 3.2.1 • 1.2.3