



Global Poverty Action Fund Mid-Term Evaluation Report

May 2014



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ACRONYMS AND ABBREVIATIONS

CSD	Civil Society Department
CSO	Civil Society Organisation
DFID	Department for International Development
FGM	Female Genital Mutilation
GPAF	Global Poverty Action Fund
IATI	International Aid Transparency Initiative
ICAI	Independent Commission on Aid Impact
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MTE	Mid-Term Evaluation
NGO	Non-Government Organisation
OECD	Organisation for Economic Cooperation and Development
PPA	Programme Partnership Arrangement
ROI	Return on Investment
ToR	Terms of Reference
VFM	Value for Money
WASH	Water and Sanitation and Hygiene

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EXECUTIVE SUMMARY

Introduction

The Global Poverty Action Fund (GPAF) is a challenge fund that supports projects focusing on poverty reduction in pursuit of the Millennium Development Goals (MDGs) by delivering tangible changes to poor people's lives. GPAF grantees currently deliver 141 projects with a total budget of approximately £95 million that aim to directly benefit 11 million people across 31 countries in Sub-Saharan Africa and Asia. The GPAF programme started in 2011 and the last projects are planned to end in 2017.

GPAF projects address all seven of the core MDGs and target a wide spectrum of areas including: environmental conservation, disability, gender empowerment, infant and child nutrition, violence prevention, child rights and protection, education, fishing and forestry, HIV/AIDS, livestock production, reproductive health and female genital mutilation (FGM), water and sanitation, community-based microfinance, social enterprise promotion, food security, income generation activities, maternal and child health and rural livelihoods.

DFID commissioned Coffey International Development to conduct a Mid-Term Evaluation to assess the GPAF's progress to date and to consider the extent to which the GPAF aligns with DFID's objectives of poverty reduction and the achievement of the MDGs.

Evaluation approach and methods

This Mid-Term Evaluation has adopted a process evaluation approach to focus on how the Fund Mechanism is working. The evaluation did not examine the broader impacts of GPAF projects since many of these projects have been in their respective implementation phases for a relatively limited period of time and would likely not be able to provide evidence of impact. All GPAF projects that completed at least 12 months of implementation by the start of the evaluation period in May 2013 were selected for inclusion in the evaluation sample. A total of 33 projects were included in the evaluation sample. This sample was deemed large enough sample to evaluate the progress of the Fund and to identify areas for improvement to enhance the performance of the Fund in its later stages.

The design of the Mid-Term Evaluation was structured by the OECD-DAC evaluation criteria. The key evaluation questions were focused on conducting an assessment of the performance of the Fund rather than an assessment of the performance of individual projects. The design of the evaluation and reporting requirements was intended to be proportionate to the size of the grantee organisations and to not be overly burdensome. The evaluation drew evidence from a range of primary and secondary data sources and concentrated on the following five key sources:

1. Documents provided to the Evaluation Team by DFID and by the Fund Manager including project logframes, project proposals and other programme management information;
2. GPAF project Annual Reports submitted in May 2013;
3. An online survey of all 33 grantees included in the evaluation sample;
4. Semi-structured interviews with key stakeholders from DFID, the Fund Manager (TripleLine and Crown Agents) and KPMG (responsible for due diligence); and

5. Field verification visits to four GPAF projects, both to check the extent to which the Evaluation Manager's assessment of the Annual Reports was fair and representative of the project's performance, and to corroborate this with feedback from beneficiaries.

Key findings and conclusions

Overall performance of the Fund against its objectives: DFID's strategic intention was to establish a Fund that supported a diversity of projects delivered across a range of sectors that reduced poverty and had the greatest impact on the poor and marginalised. In terms of the design and delivery of projects to date, this strategy has proved successful.

GPAF projects in both the Impact and Innovation Windows are well aligned with the Fund's overarching objectives of poverty reduction and addressing off-track MDGs. While it is too early to assess the performance of the Fund at the outcome level, evidence from the Annual Reports and from verification visits confirms that projects are already delivering results effectively. This success has been facilitated by a combination of fund management processes and associated support provided by DFID, the Fund Manager and KPMG (responsible for due diligence) during the selection and inception phases and on an on-going basis during implementation.

The Impact Window has realised its primary objective of delivering projects that are able to provide benefits at scale for poor and marginalised people. Projects across this window are also able to demonstrate examples of innovation that could potentially be replicated and scaled up. However, it is evident that the full scale and range of different types of innovation and learning that is occurring is not being fully captured through current reporting processes. This finding is also true for those projects being delivered in the Innovation Window. Unlike the Impact Window, the Innovation Window has been less successful in fostering innovation. The Innovation Window was succeeded in 2013 by the Community Partnerships Window, which has less of an innovation focus and continues to promote access to funding for a wide range of Civil Society Organisations (CSOs).

Relevance: GPAF projects have been successful in targeting off-track MDGs at the local level of project operations, even when MDGs are on-track at the national level. The capacity of grantees to identify the relative level of poverty and marginalisation among their target groups has been constrained by a lack of socio-economic baseline research and analysis. Instead, target groups are often assumed as being poor or marginalised because of where they live. Smaller grantees in particular have less internal capacity and budget to undertake resource-intensive and detailed baseline analysis at the application and inception phase. It should be possible in most cases to find a method for analysis of target populations that is proportionate and cost effective and that does not disadvantage small organisations, especially since smaller projects tend to work with smaller groups of beneficiaries. Gender mainstreaming has been effectively encouraged through the application process, yet this has not been integrated into gender-specific activities part of the delivery process. Projects are not currently capturing unintended outcomes or more qualitative outcomes largely because these are often difficult to identify and to measure, and are not a focus of project reporting requirements beyond updating project risk matrices.

Effectiveness: the Fund has been effective in reaching its target beneficiaries. At the mid-term stage, the 33 projects that were included in the evaluation sample reported benefiting 1,827,728 people, a figure representing 48% of the total lifetime targets for these projects. The capacity of GPAF projects to reach their target populations has been enhanced by the range of different actors and partners with which they work. The diversity of these partnerships is a key characteristic of how CSOs work. It is

particularly true of projects that collaborate with partners to implement activities and those that work with or through other CSOs.

Most of the sampled projects have under-performed in meeting their output and outcomes milestones. However, projects reported that they would be on track to reach their milestones for the next reporting year. It is reasonable to assume that this will be the case since the reported delays included securing start-up inputs, developing networks with service providers and completing baseline research, all common constraints at the beginning project implementation phase.

Although the Impact Window has been most effective in generating innovative approaches, it is likely that the reporting processes across both funding windows are not capturing the scale and range of innovation and associated learning that is evident on the ground. More specific guidance on how to capture and report different types of innovations and learning would help address this potential under-reporting.

Sustainability: sustainability strategies appear to be well-developed in project proposals and are being operationalised. Ten of the grantees have been particularly effective in leveraging both in-kind and financial contributions that represent an additional 12% (£2,713,383) above the total budget for the respective projects. A key risk to sustainability that was identified concerned those strategies that were dependent on the assumption that Government or other CSOs would take responsibility for continuing activities beyond the life of the project. It was not clear from field visits that grantees had tested these assumptions to ensure that they were still valid and that sustainability strategies had not been compromised by changes in the project context since the start of their implementation.

Impact: the process focus of this evaluation meant that the evaluation did not seek to gather evidence of impact at this stage. The evaluation focused on how projects have established systems and processes to deliver evidence and report on the wide range of effects they are having. Project logframes were of a good quality and M&E systems were assessed as strong. These strengths could largely be attributed to the support of the Fund Manager from the start and throughout the implementation process. They may also reflect improvements in the capacity of grantees to understand how to update their logframes and M&E systems, as it was evident that many grantees were remedying weaknesses in their baseline data.

There also appeared to be more beneficiary-led monitoring being undertaken than was evident in the Annual Reports. A recommendation related to this finding was the need for projects to consider the balance between the value of beneficiary-led monitoring, especially in relation to empowerment effects and sustainability strategies, and the level of investment of staff time and financial resources needed to ensure the accuracy and reliability of the data collected. Similarly, projects investing in quasi-experimental impact evaluation techniques should consider the degree of rigour required to ensure that the results from this type of research are sufficiently reliable to justify their use and associated costs.

Efficiency: the Mid-Term Evaluation found that the Fund is delivering reasonably cost-effective activities. This is partly as the result of the Fund Manager's efforts to identify the cost per beneficiary at the application phase. Examination of similar projects working in similar contexts enabled reasonable like-for-like comparisons of the cost per beneficiary. It appears that the cost-effectiveness of project delivery is driven by economies of scale rather than other factors. Projects within the Impact Window, which are expected to deliver at scale, were found more cost-effective per beneficiary than those in the Innovation Window. This finding was considered reasonable since the sample of

Innovation Window projects often delivered activities in remote areas or were targeting especially challenging groups of people (e.g. disabled children) which incurred higher costs. The selection process helped ensure that smaller organisations were awarded grants, many of whom had not received funding before from DFID. The selection process also helped drive value for money by benchmarking different project activities, facilitating improvements in the quality of the proposals, ensuring alignment with the Fund's objectives and developing risk mitigation strategies.

The selection process was less successful in attracting proposals with a focus on conflict, security and justice. This result is partly explained by the Fund's emphasis on the MDGs and also by DFID's more recent inclusion of conflict, security and justice projects as fitting within a broader approach to addressing poverty. The portfolio was particularly weak in measuring and reporting value for money beyond demonstrating economy savings. Linking costs to the efficiency and effectiveness of project activities is a relatively new concept for many DFID grantees which partly explains this weakness.

Key recommendations

Recommendations for grantee organisations

Recommendation 1 – Mitigating risks to project sustainability: grantees should report on the extent to which risks to sustainability are being mitigated on an annual basis; particularly those strategies that are dependent on handing over responsibility for delivery to other agencies or that are reliant on some form of commitment by beneficiary groups themselves. Grantees should also explain during the application process how they intend to involve local government (where appropriate), and to monitor the extent to which this is occurring through annual reporting.

Recommendations for fund management

Recommendation 2 – Promoting cost effectiveness: grantees should be required to rigorously justify their proposed methods for achieving their objectives by comparing them with the cost-effectiveness of alternative methods. This step could be implemented as part of the Fund Manager's grant "set-up" process.

Recommendations for M&E

Recommendation 3 – Improving the socio-economic analysis of targets and beneficiaries: DFID and the Fund Manager should support GPAF grantees to improve the socio-economic analysis of target beneficiary groups to ensure that the needs of the poor and marginalised are being effectively targeted and addressed. This support could include providing best practice guidance on how to conduct baseline research and how to commission external research that is proportionate and cost-effective.

Recommendation 4 – Improving project reporting: the Fund Manager, together with DFID and the Evaluation Manager, should improve guidance on how grantees report innovation and learning. This guidance should include sharing specific examples of good practice and explaining why these examples are innovative and relevant, and what the potential is for approaches to be replicated or scaled up. A methodological annex should be included as part of the Annual Report template to allow reviewers to assess the quality of the standard tools that are used for collecting and reporting evidence of project results.

Recommendation 5 – Building the capacity of grantees to measure and report Value for Money (VFM): the VFM section of the Annual Report template should be amended to address the separation

of reporting requirements against economy, efficiency and effectiveness criteria (equity is addressed more broadly throughout the reporting template). This practice would facilitate analysis that better relates costs to performance. Improved guidance on how to make these links would also be valuable and should be provided by the Fund Manager together with the Evaluation Manager. This guidance could be supplemented by VFM surgeries providing individual grantees with support that is tailored to the type of projects being delivered.

Recommendation 6 – Promoting beneficiary-led monitoring: the Fund Manager, together with DFID, should continue to encourage and develop the practice of beneficiary-led monitoring. However, the development of beneficiary-led monitoring strategies should consider the level of investment and capacity required to produce data that is sufficiently accurate and reliable for the different ways in which the data is to be used. Requiring applicants to explain how they will ensure that data collected by beneficiaries will be valid and reliable may help ensure there is sufficient planning and resources devoted to this task.

Recommendation 7 – Monitoring unintended and qualitative outcomes: the Fund Manager, together with the Evaluation Manager, should consider the development of additional guidance to advise grantees on how best to identify measure and report unintended outcomes and less tangible qualitative outcomes.

Recommendations for the Fund

Recommendation 8 – Managing a civil society fund: the Fund Manager, together with DFID, may want to consider the under-representation of projects with a focus on governance, justice and conflict if it wants to promote a broader approach to addressing poverty and marginalisation. This could be achieved by specifically inviting or attracting applications from these sectors.

Recommendation 9 – Encouraging gender mainstreaming: the Fund Manager, together with DFID, could promote greater attention to other aspects of gender mainstreaming such as those identified in the 2013 “Gender and the Global Poverty Action Fund” guidance note¹. This could be achieved by making gender mainstreaming a key objective of the GPAF. Through the due diligence process, organisations could be required to demonstrate that they are using analytical tools to identify the different needs and priorities of women and men, boys and girls, as well as promoting gender skills and competences among staff and partners of funded organisations. This approach would encourage projects to appropriately budget and resource gender mainstreaming from the outset and facilitate better reporting in their Annual Reports.

¹ This is guidance note is also consistent with the “International Development (Gender Equality) Act 2014”

1. INTRODUCTION

1.1 GPAF overview and evaluation objectives

The Global Poverty Action Fund (GPAF) is a challenge fund supporting projects focused on poverty reduction in pursuit of the Millennium Development Goals (MDGs) through tangible changes to poor people's lives. GPAF grantees are currently delivering 141 projects worth approximately £95 million across 31 countries throughout Sub-Saharan Africa and Asia with an aim to directly benefit 11 million people.² The Fund started awarding two and three year grants to projects in 2011 and has multiple funding rounds. The fund's last round of projects will be completed in 2017.

Coffey International Development was appointed by DFID as the independent Evaluation Manager for the GPAF and for another of DFID's principal funding schemes of civil society, the Programme Partnership Arrangements (PPA)³. The Evaluation Manager's key purpose is to "ensure that robust and independent evaluation is applied across the GPAF and PPA portfolios" and to assess the impact of each Fund in meetings its objectives⁴. The key audiences for this evaluation are primarily DFID and the Fund Manager. However, the findings of the Mid-Term Evaluation Report will be disseminated more broadly to GPAF grantees and will be used to inform future capacity building support and guidance that grantees will receive between this evaluation and the final evaluation of the GPAF⁵.

DFID requested a Mid-Term Evaluation of the GPAF at this stage of the Fund, even though the majority of projects were not yet half way through their implementation. A process evaluation, rather than an impact evaluation approach, was adopted since most projects were not expected to be able to demonstrate observable impact from their activities at this stage⁶. The purpose of the process evaluation was to assess the strengths and weaknesses of the Fund mechanism, the progress achieved to date and the extent to which the GPAF aligns with DFID's objective of poverty alleviation and achievement of the Millennium Development Goals.

The evaluation of the GPAF is based on DFID's strategic rationale for supporting civil society⁷. This rationale is captured in a Theory of Change which involved intensive stakeholder consultation that explains why DFID should support civil society (Annex A). A number of assumptions and hypotheses included in the Theory of Change relate to the contribution of civil society to poverty alleviation and DFID's funding policy. As the GPAF Mid-Term Evaluation was process focused, it did not test these hypotheses, but instead provides a preliminary assessment on the effectiveness of the funding mechanism to date.

1.2 GPAF background

DFID provides a substantial amount of funding for civil society organisations (CSOs) in line with its overall strategy to alleviate poverty and promote peace, stability and good governance. The GPAF is one of DFID's primary CSO funding mechanisms that was established to contribute to DFID's priorities from the October 2010 Structural Reform Plan by providing funding to CSOs that are "best

² Fund Manager Presentation to the GPAF Board (26/11/2013).

³ Together these Funds will provide £480 million to approximately 230 CSOs between 2011 and 2015.

⁴ 2010 GPAF and PPA Evaluation Manager Terms of Reference.

⁵ Please see Annex K for details on the evaluation team.

⁶ Annex E presents a specification of the goals and timeframes of the evaluation that represents the Terms of Reference.

⁷ This Theory of Change was also developed in 2011 for the purpose of evaluating the PPA and was published in the PPA and GPAF Evaluation Strategy in 2012.

able to demonstrate real and practical impact on poverty reduction, significant capability across their systems and have a clear fit with DFID’s values and priorities”⁸.

Funding through the GPAF is also consistent with former Secretary of State for International Development Andrew Mitchell’s wish to fund smaller UK and non-UK organisations that could deliver at scale or be highly innovative, and to reach people that do not necessarily live in DFID priority countries (e.g. Central African Republic). Recognising the different capacity needs of organisations, a Fund Manager (Triple Line and Crown Agents) and KMPG (responsible for conducting the due diligence of the Fund) were also contracted to manage this large portfolio and provide more support than normally afforded to DFID’s larger grant partners.

GPAF grantees are delivering projects across a wide-spectrum of areas including: environmental conservation, disability, gender empowerment, infant and child nutrition, violence prevention, child rights and protection, education, fishing and forestry, HIV/AIDS, livestock production, reproductive health and female genital mutilation (FGM), water and sanitation, community-based microfinance, social enterprise promotion, food security, income generation activities, maternal and child health, and rural livelihoods.⁹

Funding through the GPAF is delivered through two different funding windows whose original objectives from 2011 are described in Table 1.

Table 1: Overview of assessed funding windows

<p>Impact Window</p>	<p>Impact grants fund poverty reduction initiatives which are directly linked to the Millennium Development Goals (MDGs) and those projects which are focused on off-track MDGs were given priority. Impact grants should be awarded to lower risk projects delivering activities at scale that achieve real benefits for men, women, boys and girls.</p>
<p>Innovation Window</p>	<p>Innovation grants fund poverty reduction initiatives that encourage innovation and deliver benefits for men, women, boys and girls. These may be small scale service delivery projects and should emphasise learning to facilitate scaling up. Innovation grants should potentially deliver higher rewards from ground-breaking work¹⁰.</p>

The objectives of the Fund have evolved for both windows over time. Most notably, the second round of applications was broadened in 2012 to include initiatives previously covered by the Civil Society Challenge Fund (CSCF), which has now been closed for new applications. Specifically, GPAF grants now support projects that focus on service delivery, empowerment and accountability initiatives and work in the areas of conflict, security and justice. While the Innovation Window was originally conceived to allow DFID to support higher risk pilot projects, management reports revealed that the assumption that smaller organisations were more likely to be innovative was not evident and as a

⁸ Extract from original GPAF ‘Frequently Asked Questions’ for Innovation 01 and Impact 01 (October 2010) on DFID’s Website. https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/88397/glob-pov-act-fnd-impact-gnt-guide-appls-merged.pdf

⁹ TripleLine excel document: GPAF IMP & INN projects main info (January 2013).

¹⁰ Extract from original GPAF ‘Frequently Asked Questions’ for Innovation 01 and Impact 01 (October 2010) on DFID’s Website. https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/88397/glob-pov-act-fnd-impact-gnt-guide-appls-merged.pdf

result this window was subsequently discontinued and replaced with the Community Partnerships Window in 2013¹¹.

2. EVALUATION APPROACH AND METHODS

The GPAF Mid-Term Evaluation was conducted as a process evaluation that focused on assessing the performance of the Fund mechanism – how projects are delivering, the way that the grant application process has affected project delivery, and the way in which the Fund has performed as a result. The evaluation involved an assessment of a sample of grantees whose projects have been operational for at least a year by 1 May 2013. A total of 33 grantees met this selection requirement¹².

The Mid-Term Evaluation was conducted at the Fund level. The purpose of the data collection strategy was not to assess the individual performance of grantees. Instead, the data from individual projects was aggregated and compared to other data sources to provide an overall view of the performance of the Fund as a whole against the different evaluation criteria.

The Mid-Term Evaluation was informed by a mixture of primary and secondary data, with a focus on five different types of sources:

1. Assessment of 33 GPAF grantee Annual Reports submitted in May 2013 against the Evaluation Framework indicators (see Section 2.2);
2. Analysis of data collected from the 33 grantees through an online survey;
3. Field verification visits undertaken to four of the sampled GPAF projects to understand:
 - the extent to which the Evaluation Manager's assessment of the Annual Reports was fair and representative of the project's performance; and
 - the extent to which information reported in the Annual Reports was corroborated by evidence from beneficiary feedback. These visits included interviews with project staff, focus group discussions with project beneficiaries and analysis of project secondary data and information¹³;
4. Semi-structured interviews with key stakeholders from DFID, the Fund Manager and KPMG; and
5. Desk-top analysis of documents provided to the Evaluation Manager by key stakeholders such as DFID and the Fund Manager. This analysis included project logframes, project proposals and other programme management information.

2.1 The Evaluation Sample

GPAF grantees were awarded funding and commenced project implementation at different times as a result of the different timescales of the funding rounds. Therefore, the GPAF Mid-Term Evaluation evaluated only those grantees who have been delivering project activities for 12 months or more by 1 May 2013. This approach was intended to recognise the amount of time required before projects could begin to demonstrate tangible progress against their objectives. There were 33 grantees from

¹¹ Although Innovation is no longer a requirement of the smaller window DFID continues its objective to make funding accessible to smaller organisations is still reflected in the GPAF Community Partnerships window.

¹² Annex C presents a summary of the Fund's progress as of end of April 2013.

¹³ The projects could not be representative of the 33 as a whole, but were used to assess the degree to which reported data could be verified.

both the Impact and Innovation Windows that met this profile¹⁴. The inclusion of the 33 grantees provided a representative overview of the Fund's progress up to May 2013¹⁵.

2.2 The Evaluation Framework

The Evaluation Team prepared a Mid-Term Evaluation Framework that was structured by the OECD-DAC evaluation criteria¹⁶ to objectively, systematically, and transparently respond to the key Evaluation Questions as agreed with DFID (Annex B). Both the Fund Manager and DFID were consulted and contributed to the design of the Evaluation Framework.

The Evaluation Questions were originally developed as part of the March 2012 Evaluation Manager PPA and GPAF Evaluation Strategy. These questions were then reviewed and refined in collaboration with DFID in February 2013 to capture the specific objectives of the GPAF at this stage in its implementation. The revised evaluation questions and corresponding indicators reflect the process focus on evaluating the performance of the funding mechanism. As such, the Mid-Term Evaluation was not designed to directly answer summative questions on the performance of the Fund against its Theory of Change. It is anticipated that these types of questions will be addressed in the final evaluation that is planned for 2016.

The six key overarching evaluation questions for the Mid-Term Evaluation were:

1. Does the GPAF portfolio fit with DFID's overarching objective of poverty alleviation?
2. To what extent has the GPAF achieved its objectives?
3. What were the key drivers and barriers (factors) affecting the ability of grantees to achieve DFID's overarching objective of poverty alleviation?
4. How sustainable were the activities funded by GPAF and was the programme successful in leveraging additional interest and investment?
5. What has GPAF funding achieved that would not have been achieved without DFID funding?
6. To what extent does DFID's investment in the GPAF represent good value for money (VFM)?

Each of the six evaluation questions was operationalised through the design of corresponding evidence criteria. The criteria are detailed in the Evaluation Framework, which includes evaluation sub-questions and indicators.

2.3 Assessing Annual Reports

Assessing the Annual Reports considered two aspects: firstly, reviewing grantees' self-reported data against the Evaluation Framework; and secondly, assessing the quality of evidence provided by the grantees to support their reported claims. The Annual Reports were then assessed against the Evaluation Framework on a scale between 1 and 5, where 5 indicated the criterion was strongly met, and 1 indicated the criterion was not met at all. The purpose of this assessment was to identify patterns of relative strengths and weaknesses in the evaluation sample against the Evaluation Framework which could then be further examined against the evidence from other data sources, such

¹⁴ Those grantees that have not been implementing projects for 12 months were still required to complete an Annual Report; however, these assessments were not used for the purpose of this Mid-Term Evaluation.

¹⁵ Further details on characteristics of the evaluation sample are included in Annex D.





¹⁶ The OECD-DAC evaluation criteria are widely recognised across the sector as an important approach to ensuring the transparency, rigour and comparability of evaluation processes.

as the online survey or verification visits. It is important to note that the assessments of the Annual Reports should not be regarded as a measure of the performance of individual projects or of the Fund, as the Evaluation Framework examines themes much broader than performance against output or outcome targets.

2.4 Rating the Evaluation Framework criteria

Once all of the Annual Reports were assessed on a 1-5 scale against the Evaluation Framework, these assessments were then aggregated and converted into a simple “traffic light” rating system format based on the approach used by the Independent Commission on Aid Impact (ICAI). The ratings of the aggregated Annual Reports assessments provided a baseline of Fund performance against the Evaluation Framework that was then tested against the evidence from the evaluation’s other data sources, most notably the online survey, key informant interviews and verification visits. Annex D provides further details on the traffic light system, including explaining how the Annual Reports were moderated and analysed using a coding framework through Atlas.ti. An explanation of the traffic light ratings is presented in Table 2.

Table 2: “Traffic light” system overview

Rating Symbol	Rating Description
	<ul style="list-style-type: none"> Green – the Fund rates well against the criteria in the Evaluation Framework. Limited improvements could be made to strengthen the ratings against these criteria.
	<ul style="list-style-type: none"> Green-Amber – the Fund rates relatively well against the criteria in the Evaluation Framework. Some improvements could be made to strengthen the ratings against these criteria.
	<ul style="list-style-type: none"> Amber-Red – the Fund rates relatively poorly against the criteria in the Evaluation Framework. Significant improvements could be made to strengthen the ratings against these criteria.
	<ul style="list-style-type: none"> Red – the Fund rates poorly overall against the criteria in the Evaluation Framework. Immediate and major changes need to be made to strengthen the ratings against these criteria.

2.5 Online survey

All 33 grantees included in the sample were asked to complete an online survey to supplement key research areas that were not adequately addressed by the Annual Report template. The survey research instrument is provided in Annex F. Response rates to the online survey were high among the 33 sampled GPAF grantees with 32 grantees completing the survey.

2.6 Verification visits

Field verification visits provided a key source of data for the purpose of verifying the evidence reported by grantees. Although the sample of visits was not representative of the sample of 33 assessed grantees, these visits were used to verify the data presented in four of the grantees' Annual Reports. The visits were guided by two key questions:

- Are the Annual Reports fair and representative of the projects' performance?
- Is what is reported in the Annual Reports corroborated by evidence from a range of stakeholders, including beneficiaries?

Characteristics of the selected verification visit grantees and additional information on the Evaluation Team's consultative approach for each visit are included in Annex D.

2.7 Stakeholder interviews

Interviews were held with staff from DFID, the Fund Manager (represented by Triple Line and Crown Agents), and KPMG, who are responsible for due diligence in order to assess the grantee selection process, including the extent to which the selection of grantees was equitable and represented value for money¹⁷.

2.8 Secondary document review

The Evaluation Team reviewed a number of key documents as part of the Mid-Term Evaluation¹⁸.

2.9 Strengths and limitations on data collection and research methods

The evaluation was delivered according to the Evaluation Specification agreed with DFID apart from a change in the number of verification visits. There were, however, inherent limitations in the evaluation design that should be taken into account with regards to the findings.

An unexpected research problem that was encountered was the lack of explanatory narrative to accompany data presented in the Annual Reports. Assessing the quality of evidence of these reports was particularly difficult. The research design did not permit the Evaluation Team to then probe further with the reporting grantees to understand the data, apart from those organisations included in verification field visits.

Overall, the Evaluation Team does not consider that these limitations severely undermined the evaluation's findings. The Evaluation Team had ample access and cooperation to verification visit grantees and key stakeholders throughout the evaluation process. Potential bias from different stakeholders was mitigated to the extent possible through the use of other sources of data for triangulation purposes.

2.9.1 Annual Reports

The primary data source for the GPAF Mid-Term Evaluation Report was the 2013 Annual reports from the 33 sampled grantees. These reports captured a wide range of information that was subject to assessment and multiple rounds of moderation against the Evaluation Framework. The Annual Report

¹⁷ For a list of the key stakeholders interviewed part of the Mid-Term Evaluation process, please see Annex I.

¹⁸ A list of these documents is included in Annex J.

template was adapted through consultation with the Fund Manager to respond to a number of the key evaluation questions.

The review of the Annual Reports had limitations. Annual Reports typically provided little contextual information and the reliability of the data that was presented was often difficult to assess through a desk-based review process. A further weakness of the Annual Reports as a data source was that their primary purpose was to respond to DFID's and the Fund Manager's reporting requirements, rather than the broader requirements of the Evaluation Framework. The 2013 reporting period was the first time that the sampled grantees from the Impact Window (27 grantees in total) used the reporting template, which may partly explain why the Evaluation Team observed such a wide range in the quality of responses to the template's questions.

Assessing the quality of evidence provided in the Annual Reports also proved difficult. Grantees were not asked to attach to their reports examples of monitoring systems or tools beyond the logframe. This omission meant that, in many cases, the data could not be verified but only assessed for its plausibility. The fixed length of the Annual Reports meant that it was not always possible for grantees to provide the amount of narrative required to describe and explain their performance to date.

Finally, as with any self-reporting exercise, the Annual Reports were subject to inherent response bias. More observations on the Annual Report template are included in the Lessons Learned section. Future assessments would be strengthened by asking grantees to attach examples of some of their key M&E tools where possible. The inclusion and presentation of the Evaluation Framework to grantees so that they are aware of the scope and focus of the evaluation in addition to their primary reporting requirements could also improve this process¹⁹.

The analysis of the Annual Reports was supported by an Excel compiler that was used to upload the individual assessments of each grantee against each evaluation question and sub-question within the Evaluation Framework. This tool allowed the Evaluation Team to then compare assessments by funding window, intervention sector, organisational size, grant size and type of intervention (indirect and direct). This tool allowed the Evaluation Team to determine if there were any strong patterns on how grantees were performing against the Evaluation Framework across a range of different variables.

2.9.2 Online survey

The second key information source for the Mid-Term Evaluation was an online survey. The online survey has a number of noteworthy benefits, including its low cost, its ability to capture comparable responses and its relative convenience for respondents to complete. The Evaluation Team undertook several steps to ensure that the survey was easy to use and was fit for purpose. This included piloting the survey both internally with the Evaluation Team and externally with a GPAF grantee for feedback. The high overall response rate of 32 out of 33 grantees completing the survey suggests these efforts were successful.

Despite the survey's benefits, it is important to note its limitations. Online surveys are inflexible by nature and it is difficult to encourage open responses to possibly contentious issues (e.g. exploring possible negative unintended outcomes). It is also likely that inconsistent interpretation of questions by respondents affected the data. Finally, the Evaluation Team is aware that the individuals who

¹⁹ Sharing the Evaluation Framework could not have been done in the present case because Annual Reports were already in preparation by the time the Evaluation Framework was agreed.

wrote the Annual Reports were not necessarily the same individuals who responded to the online survey, which may explain some of the subtle differences between the two data sources, such as the identification and prioritisation of different key barriers and success factors for project delivery.

2.9.3 Verification field visits

The verification field visits, the final major source of data for the GPAF Mid-Term Evaluation, allowed the Evaluation Team to verify areas that required more in-depth probing than possible through the assessment of the Annual Reports or analysis of data collected through the online survey. The visits enabled the Evaluation Team to lessen the extractive nature of evaluation by engaging with beneficiaries and capturing their voices in the report. The visits also allowed the Evaluation Team to work with grantees to provide feedback on their projects and address areas where they wished to improve their capacity, such as reporting on value for money.

The verification visits, like the other data sources, similarly presented their own set of limitations. Due to time and budgetary restrictions, the overall number of projects visited (four) was too small to be considered representative of the 33 sampled grantees. Therefore, lessons learned from these visits cannot be generalised directly across the sample of projects, but instead serve to provide illustrative examples of how the Fund is working.

The verification visits were used to test the reliability of the Annual Reports of the four sample projects. The findings from these visits are limited to the key areas of interest, as opposed to verifying what was reported in the Annual Reports in their entirety. The findings are also affected by the subjective nature of the qualitative data. While some elements of each visit involved an assessment of quantitative data, the majority of the research was conducted through semi-structured interviews and focus group discussions. The extent to which focus group beneficiaries felt comfortable and free to respond to questions invariably depended on a range of factors, only some of which were mitigated through careful sampling, language translation and the gender composition of the research team.²⁰

All of the verification visits sought to be sensitive to local contexts and involved consultation with grantees to agree appropriate research approaches. For example, at the request of one grantee, a verification visit was conducted by an entirely female Evaluation Team. Focus group discussions also endeavoured to follow good practice and always involved at least one independent translator. All focus group participants were informed that their involvement was voluntary and confidential, and verification visit grantees were encouraged to share the findings of the verification visit reports with beneficiaries. Finally, to promote free discussion, the Evaluation Team spoke with beneficiaries independently of grantee field staff and spoke with grantee field staff independently of DFID or the Fund Manager.



Detailed notes were taken following the focus group discussions and semi structured interviews. The Evaluation Team later reviewed the notes and read other observational notes taken during the collection. The data collected on the verification visits was later compared to other sources of information such as the grantee's original project proposal, the most recent Annual Report and responses to the GPAF online survey.




²⁰ For example, in one instance the Evaluation Team wanted to hold discussions with poor female farmers, however, the selection of participants may have inadvertently included women who were relatively wealthy within this community.

3. FINDINGS

The findings of the Mid-Term Evaluation report are presented under the OECD/DAC headings which structured the Evaluation Framework. Each section includes a traffic light symbol, which rates the strength of each OECD-DAC heading against the criteria included in the Evaluation Framework. The ratings were first developed through analysis of the Annual Reports and then moderated based on other sources of evidence.

Table 3: Summary of main findings

OECD-DAC criteria	Main Findings
<p>Relevance</p>  <p>The Fund rates relatively well against the relevance criteria</p>	<ul style="list-style-type: none"> • The Fund shows considerable strengths in addressing the MDGs, in capacity building of beneficiaries and the quality of the project logic, especially logframes. The Fund was successful in responding to MDGs that are off-track at the local level, even when they may be on-track at the national level. • The Fund is performing less well in terms of conducting strong gender and socio-economic baseline research and analysis of the needs and priorities of project target groups. It appears that the design, implementation and reporting of gender responsive activities was largely driven by a focus on gender through logframe indicators rather than through a more granular understanding of broader gender mainstreaming.
<p>Effectiveness</p>  <p>The Fund rates well against the effectiveness criteria</p>	<ul style="list-style-type: none"> • The performance assessment of the sample against the effectiveness criteria was relatively high. This is particularly evident in relation to cost effectiveness per beneficiary, and the identification of drivers and barriers. There is sufficient evidence that the distinct organisational characteristics of CSOs contributed to the Fund’s achievements. • The Fund is performing less well in relation to the GPAF’s objectives of meeting its milestones. Many of the causes of projects delays are typical during the inception phase and will not necessarily delay project delivery in the long-term. • There is a considerable amount of learning being documented, although much of it is generic good practice (e.g. consulting with project beneficiaries). Given the finding from the verification visits that there may be more learning than is being reported in the Annual Reports, grantees may require further guidance on how to complete the learning sections of the Annual Report template and what constitutes useful examples of learning. • The verification visits suggest that there may be more examples of innovation than is currently being reported in the Annual Reports. • The sampled projects have reportedly benefited 1,392,987 people. This represents 48% of the total target number presented in the 33 project proposals which appears reasonable for projects at the midline

	<p>stage of their implementation despite some inconsistencies in the numbers being reported²¹.</p> <ul style="list-style-type: none"> Beneficiaries and other stakeholders corroborated the achievements that projects reported in the Annual Reports for all four of the verification visits.
<p>Sustainability</p>  <p>The Fund rates relatively well against the sustainability criteria</p>	<ul style="list-style-type: none"> Sustainability strategies are well-developed across the portfolio and are being operationalised. This finding is particularly evident with grantees that reported that they build capacity of other groups, which is a key characteristic of how CSOs deliver results. The verification visits noted some risks to sustainability strategies that were only partly being mitigated. There is a concern that many of sustainability strategies depend on another service provider being willing and able to assume responsibilities. The extent to which other service providers are willing and able to assume such a role was not evident in the visits. The sample provided inconsistent information concerning the extent to which projects are leveraging additional resources in support of their work. While there are only limited examples of additional leverage mentioned in the Annual Reports, ten of the grantees who responded to the on-line survey indicated that they have leveraged both additional funds and in-kind contributions. This discrepancy may partly be due to the format of the Annual Report template which does not include in kind contributions.
<p>Impact</p>  <p>The Fund rates well against the impact criteria</p>	<ul style="list-style-type: none"> The Fund's performance against the different impact assessment criteria was strong. This strength largely reflects the support and guidance from the Fund Manager to assist applicants to achieve acceptable standards in their logframes and approaches to M&E. However, the verification visits indicated that some grantees are still in the process of remedying weaknesses in their M&E systems which shows there remains room for improvement. Beneficiary involvement in monitoring was frequently evident across the sampled project and was seen to have important empowerment effects and implications for sustainability strategies. However, the verification visits revealed a number of challenges in using beneficiary monitoring such as the time and cost associated with verifying data that is sometimes collected by illiterate or innumerate people.
<p>Efficiency</p>  <p>The Fund rates</p>	<ul style="list-style-type: none"> The Fund demonstrates reasonable value for money through its performance to date and through the design and implementation of the selection process. Currently, the portfolio is broadly delivering its project activities on budget as set out in the financial reports submitted with the Annual Reports. The selection process for awarding grants demonstrated equity by

²¹ The Evaluation Manager has not been able to account for discrepancies in the reported beneficiary numbers. The analysis of the Annual Reports revealed broad interpretations as to what constituted direct versus indirect beneficiaries, with number of reported indirect beneficiaries appearing particularly inflated. The total number of direct beneficiaries from Annex A of the Annual Reports should match the total number of direct beneficiaries reported in Annex B of the Annual Reports, however these numbers often varied.

relatively well against the efficiency criteria	<p>making funding available to smaller organisations. The application process enhanced the potential value for money of projects by improving the quality of proposals, achieving coherence with DFID's objectives and mitigating potential risks.</p> <ul style="list-style-type: none"> • The Fund has been largely unsuccessful in funding projects that work in the areas of governance, justice or conflict. While these types of projects do not naturally align with the MDGs, it is accepted that they can also address poverty and marginalisation. • Measuring value for money remains a challenge for most GPAF grantees and this was deemed a relative weakness of the Fund as a whole. However, there appear to be relatively simple ways this can be improved, especially by providing guidance to grantees to link their performance to costs.
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3.1 Relevance







Evaluation question: Does the GPAF portfolio fit with DFID's overarching objective of poverty alleviation?

The Evaluation Framework assessed evidence of relevance against achievements towards MDGs; targeting and reaching the poor and marginalised; gender mainstreaming; ensuring activities respond to needs of beneficiaries; and evidence of how projects affected people in unintended ways.

Key findings: Overall, the Fund is performing well against the delivery of the MDGs and in targeting the poor and marginalised. The Fund was relatively weaker in demonstrating that projects were responsive to beneficiary needs, the broader elements of gender mainstreaming beyond project design and reporting and capturing unintended outcomes.

Table 4 shows the Evaluation Manager's overall assessment for the Fund against the five Relevance criterion as rating relatively well. The Fund rated particularly well for its contributions towards addressing the MDGs and relatively well for targeting poor and marginalised populations. The Fund rated relatively poorly for demonstrating on-going responsiveness to beneficiary needs and promoting broader gender mainstreaming activities. The Fund rated poorly for its monitoring and reporting of unintended outcomes which requires major changes to strengthen this rating.

Table 4: Relevance Assessment

The Fund rates relatively well for Relevance			
Ratings against the relevance evaluation framework criterion			
MDGs		Gender mainstreaming	
Focus on poor & marginalised		Unintended outcomes	
Responsiveness to beneficiary needs			

3.1.1 MDGs and focus on the poor and marginalised

Key findings: The Fund has been effective to date in targeting off-track MDGs in the locations of its operation. Projects are targeting the poor and marginalised, yet the identification of target groups has in most cases not been supported by in-depth socio-economic baseline research and analysis.

The sampled grantees are delivering projects that align with the MDGs and are relevant to the needs of poor and marginalised communities. This reflects the effectiveness of the application and selection process undertaken by the Fund Manager and by DFID. However, while all project proposals included information on the target profiles of groups, few projects undertook detailed socio-economic baseline research and analysis. In most cases, grantees inferred the characteristics of the population as a whole rather than ascertaining the degree to which target groups and beneficiaries were poor and marginalised.

Developing a deeper understanding of the relative degrees of poverty and marginalisation of target populations at the baseline stage should help projects target these populations more effectively. This would also make it easier for projects to design monitoring and evaluation strategies that are able to measure the impact of their activities on their beneficiaries. However, the expertise and resources required to undertake or commission socio-economic research will vary considerably across the range of organisations that apply for GPAF funding. The Fund has been designed to allow smaller organisations to access funding for the first time, yet, these organisations may lack the capacity to conduct this type of research. By contrast, larger organisations, such as those described in Box 1, may have more experience and resources to devote to such a task. It should be possible, however, to provide grantees of all sizes with proportionate guidance and support to enable them to collect at least basic primary data about their target populations.

Box 1: Good practice in target group identification

BRAC Tanzania (IMP014), one of the grantees visited by the Evaluation Team, provides an exception to the general lack of socio-economic analysis observed across the portfolio. In this project, household visits were conducted, identifying the target population against a range of criteria including land ownership, income and education.

Oxfam India (IMP027), another grantee visited by the Evaluation Team, conducted an extensive baseline study in the six project states and identified the project target population as those who belong to families of the lower socio-economic status with limited access to health services. Prayas, an Oxfam India partner, was also able to demonstrate how they had effectively identified and benefited populations that are geographically isolated.

The Fund is effectively targeting off-track MDGs in the locations where projects are being delivered, even when the MDG is on-track at the national level. The vast majority of respondents (81%)²² to the online survey reported that the primary MDG targeted by the project is on track at the national level which at first contradicts the Fund's intention. However, 88% of grantees reported that their target MDGs were off-track at the local level which matched their project proposals. This inconsistency is explained by the emphasis of the application process on describing the conditions of target groups

²² 26 grantees reported that the MDGs their projects are contributing to are on-track at the national level.

where applicants propose to intervene rather than the status of MDGs at the national level. From a project impact perspective, it is arguably more important that project designs are targeting the needs and priorities of local communities rather than being driven by national indicators of poverty that may not be as relevant at the local level. Targeting MDGs at the local level remains in line with DFID's objectives for the Fund.

Recommendation: DFID and the Fund Manager should encourage GPAF grantees to use proportionate and cost effective techniques for conducting at least basic socio-economic baseline research and analysis of their target groups. This will ensure that the needs of the poor and marginalised are being accurately identified and targeted ensuring that projects are addressing relevant needs and priorities in the most effective ways.

3.1.2 Gender mainstreaming

Key findings: There is a lack of evidence of gender skills within project teams and a lack of tools being used specifically for the purpose of mainstreaming gender across project activities. It appears that the design, implementation and reporting of gender responsive activities is largely driven by a focus on gender through the definition and measurement of indicators in the logframe, rather than broader gender mainstreaming activities. This finding was supported by the observations from the verification visits.

Although the portfolio's performance against gender-based indicators in the Evaluation Framework appeared to be relatively weaker compared to other Relevance sub-criteria, this does not reflect an absence of gender awareness among grantees. The Fund performed relatively well against Evaluation Framework indicators that relate directly to project design. These indicators included:

- Evidence that the different needs and priorities of women, men, boys and girls have been identified and are being addressed; and
- The quality and number of specific gender outcome and output indicators, and gender and age disaggregation of data, defined in the project log frame.

The focus on the inclusion of gender in project programming and the use of gender-based indicators is attributable both to the large number of projects that have a gender focus and to the application process managed by the Fund Manager that stresses the importance of gender mainstreaming and consideration of gender within target populations. The support provided by the Fund Manager to help grantees develop their logframes similarly has a cross-cutting gender theme.

The Annual Report template does not ask about gender mainstreaming or gender skills among staff, so these characteristics were queried through the online survey. Respondents reported high levels of inclusion of women in activities, and ensured women were being monitored through the use of gender-based indicators as illustrated in Box 2. These findings are consistent with the Evaluation Team's assessment of the Annual Reports and project logframes.

Box 2: Good practice of contributing to equity and inclusion through project design

Camfed (IMP029) has developed a District Education Committee (DEC) Constitution that requires each DEC to aim for 50% representation of women among their members. Camfed reported that across its programme, 42% of committee members are women.

The Methodist Relief Development Fund (MRDF, IMP011) and its implementing partner, Voluntary Action for Development (VAD), demonstrate a commitment to inclusion by requiring that three posts on its water user committees are specifically reserved for women. The policies for its other community groups also emphasises the importance of involving girls and boys, men and women so that the needs of different beneficiaries target groups are identified and addressed through fair representation.

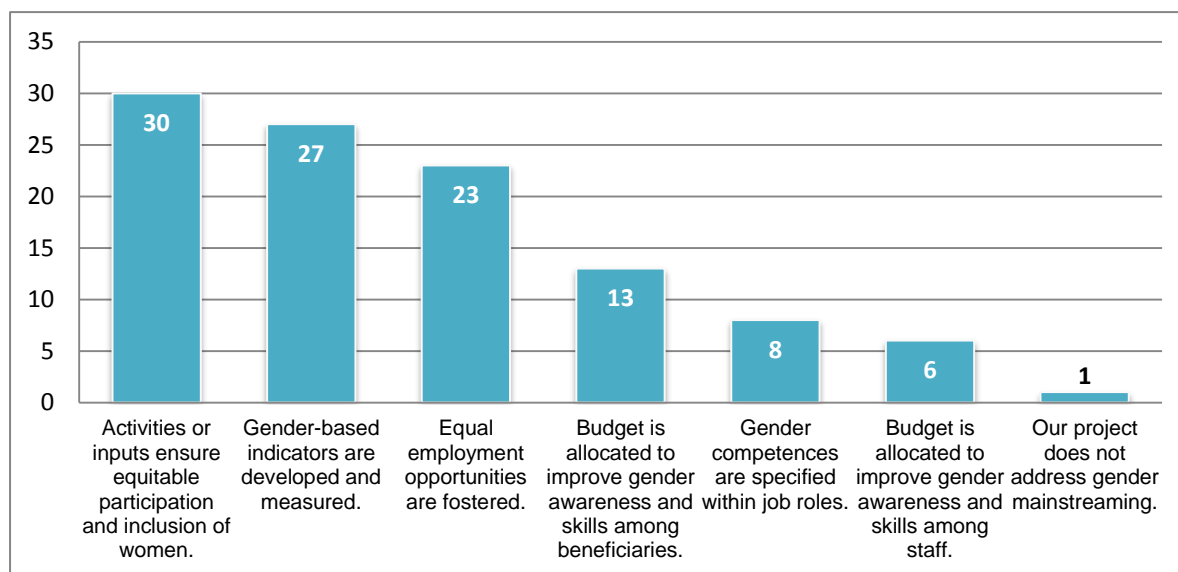
Evidence from the online survey suggests that broader gender mainstreaming activities and gender skills among staff is weaker. These aspects of gender are reflected in the following evaluation framework indicators:

- Gender competence in staff resources; and
- Extent to which grantees use up-to-date measures such as toolkits, guidelines or checklists to support gender mainstreaming.

Responses to the online survey show that the GPAF’s focus on gender mainstreaming does not appear to have translated into meaningful budgetary commitments either to promote gender skills among staff or among beneficiaries, as can be seen in Graph 1. Evidence of gender specific competences among staff was most evident during the Oxfam verification visit, but less so during the other three visits.

Information from the online survey also shows that projects tend to focus on equal employment opportunities rather than specifically hiring people with gender-specific competencies or funding gender capacity building for staff. The majority of respondents (75%) report equal opportunity policies and nearly all project report designing activities that ensure the inclusion of women.

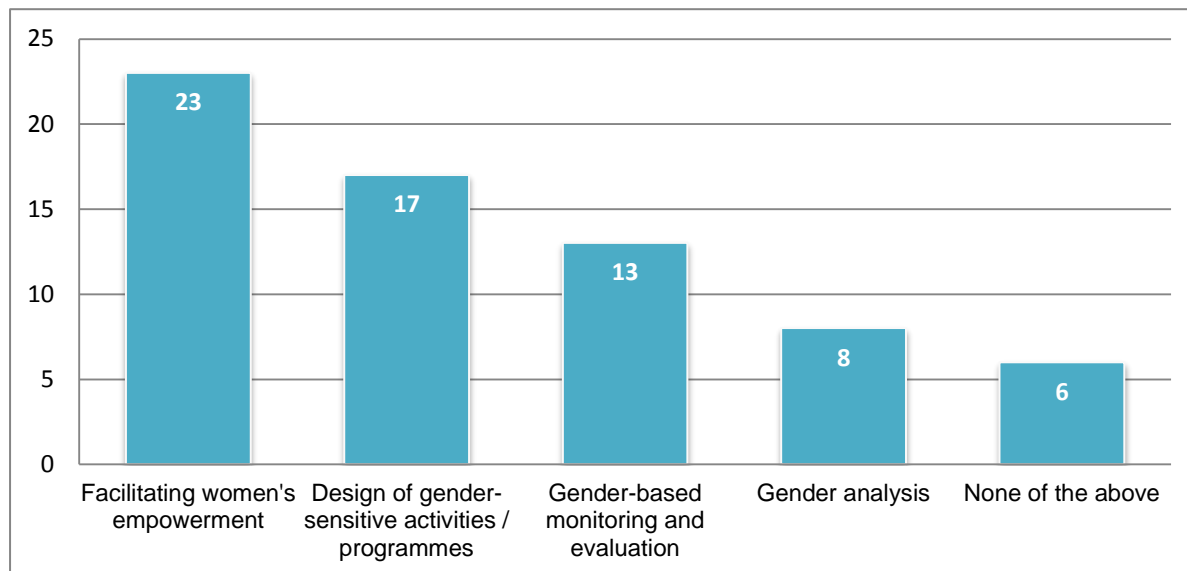
Graph 1: Measures for mainstreaming gender



Source: June 2013 GPAF online survey (n=31)

The survey reveals considerably less investment in gender skills and training. Gender competence among staff is not queried in the Annual Report template, though grantees are asked to present their staff details as part of their grant proposals which occasionally alludes to gender specific roles. The online survey also shows that staff tend to have skills in facilitating women’s empowerment and designing gender-sensitive activities and programmes. However, almost 20% of respondents indicated that staff had no gender related skills at all as seen in Graph 2.

Graph 2: Gender skills and training



Source: June 2013 GPAF online survey (n=31)

There is a lack of evidence of gender mainstreaming in the design and use of project management and delivery tools and systems. Although over half of respondents stated that they use some form of gender-based guidelines, a quarter reported that they did not use gender mainstreaming tools, and fewer than 10% reported using gender-focused toolkits. This appears to reflect a relative lack of familiarity with gender-sensitive project methodologies or at least a lack of investment in them. All of these findings suggest that the GPAF needs to encourage a wider diversity of gender mainstreaming activities through the design, budgeting, staffing and delivery of activities.

Recommendation: The Fund Manager, together with DFID, should promote greater attention to aspects of gender mainstreaming beyond the logframe indicators. Promoting broader gender mainstreaming could include the use of analytical tools that are able to identify the different needs of women and men, boys and girls, as well as promoting gender skills and competences among staff and partners of funded organisations. These initiatives should be consistent with 2013 “Gender and the Global Poverty Action Fund” guidance note.

3.1.3 Unintended outcomes

Key findings: It appears that many unintended outcomes may be going unnoticed, or at least are not being reported. While the scale of this finding is not known, the verification visits also confirmed the presence of either unknown or under-reported unintended outcomes.

It is good practice for monitoring and reporting to include the measurement of unintended (positive or negative) outcomes, to learn from these effects and to adjust project design accordingly. Annex B of the 2013 Annual Report template asked grantees to identify the number of beneficiaries that were unintended and to explain how they became beneficiaries. However, there were only a few instances across all of the Annual Reports that were reviewed where grantees appeared to be systematically monitoring more broadly for either positive or negative unintended outcomes.

Grantees are expected to develop and maintain project risk matrices as part of the logframe refinement process and are asked in the Annual Report template to identify new or emerging risks. However, the review of Annual Reports generally showed generic risks were usually identified with only rare instances of changes to the risk register as a consequence of monitoring unintended outcomes. Unintended outcomes are probably not being monitored more broadly because they do not reflect logframe reporting requirements, nor has monitoring unintended outcomes been stressed as part of project learning objectives. One verification visit also illustrated the technical challenge for a project to monitor unintended empowerment effects. Some examples of good monitoring of possible negative effects should be noted, including that conducted by African Initiatives in Box 3.

Box 3: Good practice monitoring to avoid a negative unintended outcome

African Initiatives (INN001) seeks to support women and girls' rights to education in pastoral communities in Tanzania, including promoting attitudinal change among communities. Through its work, African Initiatives has identified a broader change in social relationships, which traditional Maasai families are going through, which the project is promoting. Specifically, some Maasai parents are no longer allowing their daughters to undergo female genital mutilation (FGM). However, this transition is being undertaken in secret, without the awareness of the wider community. As girls reach the age of marriage these parents are increasingly concerned that their daughters may be rejected by their new husbands for not having undergone FGM. The extent to which women are being rejected by potential husbands is being monitored by project field staff.

Source: June 2013 GPAF online survey

Grantees alluded to a number of positive unintended outcomes in their Annual Reports. However, these examples were not accompanied by explanatory text and appeared to be anecdotal rather than reflecting findings from systematic monitoring. Tearfund (IMP 030), for example, noted that its water supply activities unexpectedly mitigated ethnic tensions. Prayas, a partner of Oxfam India (IMP 027) that promotes women's health among communities, noted in the verification visit an unintended outcome in the form of increased confidence among government health workers.

"As a worker, we don't have the confidence, but Prayas helps give the confidence. It has helped us to answer difficult questions [from the community] about the government's health programme, they support us like no one else."

Source: Government health worker, Rajasthan, India, verification visit (August 2013)

Examples of grantees reporting negative unintended consequences were rare. Several of the projects selected for the verification visits did, however, reveal that staff are often aware of such unintended effects, but do not monitor them because they were not included in the logframe. Unintended gender outcomes also appear to have been unmonitored. This was evident in two of the verification visits.

Box 4: Gender tensions following women’s economic empowerment

Two of the verification visits projects (TAO and BRAC Tanzania) involved the participation of women in agriculture. It had not occurred to either grantee to track the anticipatable unintended outcome of tensions between men and women as a result of women’s enhanced economic power. Probing by the Evaluation Team during the visits indicated that there was strong evidence of such tensions in the TAO project and some evidence in the BRAC project. The TAO project in Northern Uganda, implemented by its partner Kulika, was redesigned in the face of gender tensions, which included some husbands beating their wives. In the redesigned project, men were introduced as beneficiaries to dispel suspicions regarding the nature of Kulika’s assistance and to also share in its benefits. Discussions with project staff and beneficiaries suggest that the problem has been mitigated.

“Kulika has transformed my life. [In the past] the money I had just used for drinking. Kulika taught us to save money and use the money for other activities. Some of what I earn I use for the children at home. It is good. It has brought friendship between me and my woman. We now plan together.”

Male group member, TAO project, Chegere, Uganda

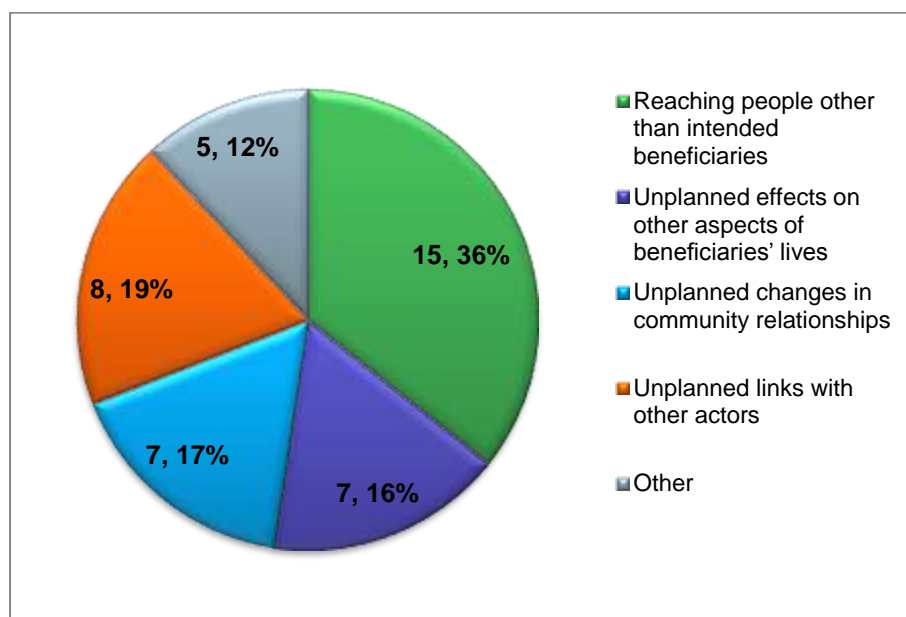
In the BRAC project, discussions with beneficiaries alluded to some tensions:

“My husband dominates and takes the money out of the house”

Female agricultural farmer, BRAC project, Kambera, Tanzania

The online survey similarly indicates that few grantees are aware of negative unintended outcomes. Chart 1 shows that only 19% of grantees noted negative unintended outcomes, while Chart 2 illustrates that all respondents to this question noted positive unintended outcomes. The discrepancy between unintended positive outcomes and unintended negative outcomes similarly suggests that some unintended negative outcomes are going unrecorded, as observed in the verification visits.

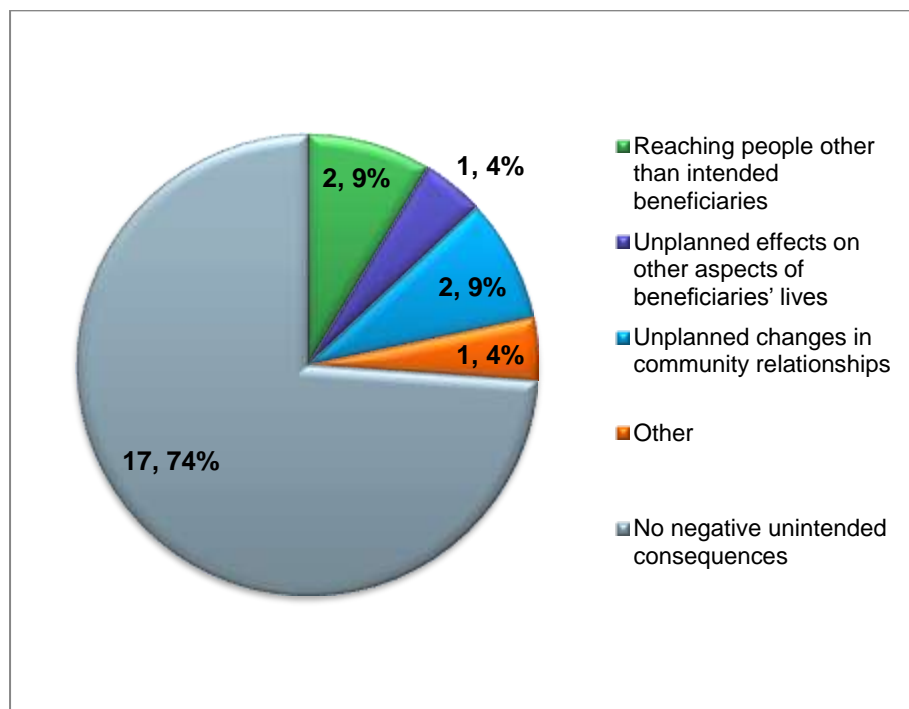
Chart 1: Negative unintended outcomes



Source: June 2013 GPAF online survey (n=21)

The online survey further corroborates findings from the Annual Reports that show that projects are reaching unintended populations. While only two respondents to the survey cited reaching unintended populations as a negative outcome, the majority of respondents explained that it was a positive unintended outcome. The Annual Reports and three of the verification visits suggested two primary explanations for the presence of unintended beneficiaries: first) the inclusion of unintended beneficiaries resulted from nearby populations observing the value of projects and wanting to similarly benefit; and second) including additional stakeholder groups was an adaptive mechanisms to make projects more effective.

Chart 4: Positive unintended outcomes



Source: June 2013 GPAF online survey (n=21)

Recommendation: The Fund Manager, together with DFID and the Evaluation Manager, should work with grantees to improve the extent to which unintended outcomes are monitored and interpreted. In particular, efforts should be made to identify and monitor foreseeable outcomes.

The capacity of grantees to monitor unintended outcomes may in some cases be related to the methodological challenges in monitoring “hard to measure” effects. The TAO visit provided an example of this methodological problem. There was a likely positive unintended outcome that all the project staff had observed but which had not been documented because of a lack of an objective way of measuring it as elaborated in Box 5.

Box 5: Recording the” hard to measure” the dancing women of TAO, implemented by Kulika

The Kulika project, supported by Trust for Africa’s Orphans (INN 005), works with 1,800 beneficiaries, mainly women, in Northern Uganda to improve agricultural yield and marketing through organising producer groups. Several people made the observation that group members were happier and livelier as a result of the groups. Beneficiary group members interviewed by the Evaluation Team about the benefits of the project mentioned not only increases in their incomes, but also improvements in community solidarity and friendship. One noteworthy observation was the positive effect group membership appeared to have had on elderly women, who appear rejuvenated.



This observation from Kulika is an anecdote, rather than evidence, however, it was compelling in that it suggests possible empowerment and health effects that are related to the success of the project. The Evaluation Team suggested to Kulika that they experiment with tools through which beneficiaries can record their own sense of well-being so that these empowerment effects can be monitored systematically. An example of such a tool is the “batteries tool”²³ developed by CAFOD for its HIV/AIDS programming which asks to beneficiaries to assign a score for health, emotional happiness, human rights and livelihood security.

Recommendation: The Fund Manager together with DFID and the Evaluation Manager should encourage and support grantees to develop objective means of measuring hard-to-measure qualitative outcomes such as project effects on well-being, using tools such as the batteries tool developed by CAFOD.

3.1.4 Responsiveness to beneficiary needs

Key findings: Beneficiaries and other stakeholders interviewed in the verification visits confirmed the relevance of the projects and corroborated the achievements presented in the Annual Reports.

The Annual Reports provided little indication of the extent to which feedback from beneficiaries shape projects which is why the rating is relatively weaker. The section on beneficiary feedback in the Annual Reports tended to largely describe routine processes of consultation, but rarely provided

²³ Details of the tool can be found at http://www.cafod.org.uk/content/download/7224/59964/file/Batteries%20Methodology_A%20Participatory%20Tool%20for%20QoL%20Assessment_HIV_2011.pdf

evidence for the key Evaluation Framework indicator on the “Extent to which beneficiaries consider activities provided as relevant to their needs and priorities”. The Evaluation Team’s discussions with beneficiaries during all four verification visits provided unreserved corroboration of the value beneficiaries placed on the projects and their achievement, which was not necessarily reflected in the beneficiary feedback section of the Annual Reports (see Box 6). Since the visits were not representative of the sample as a whole, it was not possible to set the rating higher. Beneficiary involvement in monitoring and evaluation is discussed further in Section 3.4.1.

Box 6: Project relevance to beneficiary needs

The verification visits provided the Evaluation Manager with an opportunity to probe the question of project relevance more fully with beneficiaries, including asking them to explain in their own words if the types of activities being delivered by projects met the needs of their respective communities. Testimonies from project beneficiaries are provided below that were captured during verification visits.

“Jabulon had three companions: poverty, drinking and violence. He invited them into his home. Poverty took his possessions. Drinking took his goats. Violence burned his children. Then Kulika came and chased these companions from his home. They went away from the farm. Jabulon began to do better. His children started going to school, his property returned, those who were burned were healed. Kulika helps people escape from poverty.”

Story told by a female farmer, Chegere, Kulika project.

“Previously, whatever poultry I was trying raise were dying. After training, I am able to keep more poultry than before. I want to continue so I don’t depend on anyone to run my life.”

Male livestock farmer, Usa River. BRAC Tanzania project.

‘Before VAD came in we were really badly off. Ever since VAD came in we can say we are better off. We didn’t have toilets, we didn’t have clean water. Our kids could get sick often because of drinking dirty water. They could just poop anywhere. We could spend a lot of money getting our kids to hospital.’

Group member, Kava, MRDF project.

‘Earlier a mother and baby would die, but now they are in the hospital and they are safer.’

Female beneficiary, Rajasthan, Oxfam India project.

3.2 Effectiveness








Evaluation question: To what extent has the GPAF achieved its objectives?

The Evaluation Framework sought effectiveness evidence concerning value for money and cost effectiveness; learning; identifying drivers and barriers of results, organisational characteristics; working with others; and alignment with portfolio objectives.

Key findings: Overall, the Fund was assessed as performing relatively well across all of the Evaluation Framework criteria measuring its effectiveness. This is particularly evident in relation to cost effectiveness and the identification of drivers and barriers. It was evident that the distinct organisational characteristics of CSOs contributed to the Fund’s achievements. While projects reported high levels of learning in their Annual Reports, analysis of the reported learning showed it tended to be generic and was rarely generalisable for the sector as a whole. Examples of innovation that could be scalable, particularly among Impact Window projects, were also evident.

Table 5 shows the Evaluation Manager’s overall assessment for the Fund against the six Effectiveness criterion as rating relatively well. The Fund rated especially well for its work to deliver activities and results with other actors. The Fund rated relatively well for the remaining criteria, with some improvements that could be made to strengthen their respective ratings.

Table 5: Effectiveness Assessment

The Fund rates relatively well for Effectiveness.			
Ratings against the effectiveness evaluation framework criterion			
Cost effectiveness		Drivers and barriers of project success	
Learning & innovation		Organisational characteristics	
Working with others		Alignment with Fund objectives	

3.2.1 Cost effectiveness

Key findings: The costs per beneficiary were deemed reasonable in light of the different types of projects being delivered, and their magnitude appeared to be driven by economies of scale, rather than any other factors. This became apparent in the VFM sections of the Annual Reports.

The sample of projects that were assessed were reasonably cost effective as measured initially by their cost per beneficiary and then contextualised further by considering the project’s range of activities, working locations and types of target populations. For the purposes of this evaluation, a threshold benchmark of £40 per beneficiary was set by the Evaluation Team for the impact projects²⁴. This benchmark was derived by calculating the cost per beneficiary from the proposals of the sampled Impact Window grantees as this represented a figure below which most proposals planned to fall below.

Impact projects whose cost per beneficiary was higher than the £40 benchmark did not necessarily result in a lower rating. Where this was the case, the project design and location were examined for factors that might legitimately result in high costs (such as high cost of inputs or remoteness of target

²⁴ This benchmark, though arbitrary, reflects the experience of the Evaluation Team in assessing unit costs for impact projects.

groups). The Fund Manager conducted a more rigorous benchmarking exercise as part of the application process (see Section 3.5.3) to help ensure that costs were reasonable. The Evaluation Manager’s finding that the majority of Impact projects fell below the £40 per beneficiary threshold (Table 6) shows that projects were generally successful in delivering in line with their proposals.

Costs also varied depending on organisational size. Within the Impact Window, medium sized organisations had higher unit costs than larger organisations. This suggests that economies of scale, rather than any other factor, are driving unit costs since larger sampled GPAF organisations were likely to draw on more established procurement systems and networks, and also could save on input costs since they tended to target larger populations. The average costs by organisational size and by grant window are shown in Table 6.

Table 6: Unit costs

Grant window	£ Average cost per beneficiary
Innovation window	£107.61
Impact window (average)	£39.27
Medium size Impact organisations	£63.49
Large size Impact organisations	£13.19

Source: April 2013 GPAF Annual Reports

No threshold was set for the Innovation Window projects, which, by their nature, were expected to be more exploratory. The higher unit cost for the Innovation grants is not considered unreasonable considering that the sample included smaller organisations that were often working in more remote locations or with particularly marginalised target groups (even if the projects themselves were not particularly innovative).

3.2.2 Learning and innovation

Key findings: When the quality and utility of the reported learning is taken into consideration, the Fund is reporting less new learning than was initially apparent. Given the finding from the verification visits that projects may be learning more than is being reported, it is possible that grantees had insufficient guidance on how to complete the learning sections of the Annual Report and on what might constitute useful learning.

The evaluation revealed more compelling examples of innovation rather than learning. Impact Window grantees in particular showed evidence of using incremental innovation to improve project delivery. As with the Impact Window, the Innovation Window similarly demonstrated examples of tried and test approaches in new contexts. However, the Evaluation Team found no examples of radical innovation from either window in the Annual Reports or from the verification visits.

Although projects reported high levels of learning, this does not reflect the deeper observation that much of the learning that was reported tended to repeat well-known lessons relating to good development practice. For example, many grantees reported the importance of consulting widely with

stakeholders as a key learning point. Only a minority of grantees reported learning that was more noteworthy in that it represented contextual or technical understanding that was not known before and could affect project delivery (see Box 7). The extent to which grantees integrated learning into programme improvement processes, as well as the extent to which other actors (including civil society, governmental and international organisations) made use of this learning to alter policy and practice was also not as evident from the Annual Reports.

It is possible that grantees reporting well-known development lessons may reflect that for a number of less well-established organisations, these factors are in fact still being learned. However, the verification visits suggested that the relatively poor reflection of what was learned by grantees was probably due to a number of other factors. Specifically, the overarching problem may have been a poor understanding of what constitutes interesting learning for inclusion in Annual Reports, rather than a general lack of examples to share. Another cause may have been related to the fact that most projects were only one year into implementation and are focused on delivering and scaling up their activities rather than generating learning.

The verification visits illustrated that learning was occurring that was not being reported. Specifically, the TAO Annual Report did not report the innovative nature of its market-led project nor its experience of gender-based tensions. Similarly, the MRDF Annual Report did not share its learning on the challenges and costs of beneficiary-led monitoring (discussed in Section 3.4.1).

Box 7: Good practice examples of learning

While much of the learning reported in the Annual Reports was limited to well-known factors that typically contribute to successful projects, some Annual Reports illustrated how new learning was being used to enhance project delivery.

Aga Khan (IMP006) learned that communication to change breast feeding behaviour is often not effective because interactions with beneficiaries are too infrequent or come at the wrong time. Aga Khan subsequently designed a new strategy to engage with the mothers. These cohorts are organised according to months (based on month of delivery) starting from the last trimester of the pregnancy until the child is two years old and combines multiple direct visits and indirect repetitive messaging such as through the celebration of breastfeeding week, nutrition week, and through mass media, such as airing of radio messages. This cohort approach enabled the project to better reach its target beneficiaries and may constitute substantial learning for other projects targeting pregnant and new mothers.

Samaritan's Purse (IMP 023) learned that during the implementation of its maternal health project that to change behaviour in highly integrated communities it needed to focus its outreach on those groups who hold power over household decision making, especially as women of reproductive age typically hold little power. Their strategy evolved to engage "Leader Grandmothers" since they hold much of the power in the household. This ensured that the project messages were transmitted to this crucial part of the population. This was a simple example of how learning more about the power structures in the local context enabled the project to adapt its activities to become more effective.

Source: April 2013 GPAF Annual Reports

The Evaluation did not seek to answer why Impact Window grantees appeared to be innovating more successfully than Innovation Windows, however, the Annual Reports revealed some interesting examples of innovation. The Evaluation Framework defines innovation in two ways:

- Incremental innovation – the application of existing knowledge to new contexts; and
- Radical innovation – the development or application of radically new knowledge.

While the analysis of the Annual Reports revealed no instances of radical innovation, Impact Window grantees showed a relatively high number of examples of incremental innovation across eleven projects. Discussions with DFID and other stakeholders suggested that larger organisations, such as those found in the Impact Window, may be more effective in pursuing innovation since their budgets afforded them the possibility to take more risks than smaller organisations. Similarly, their networks drew on a greater range of regional and international sources. It may also be the case that larger organisations are more experienced and better at reporting innovation.

Examples of incremental innovation among Innovation Window grantees include the introduction of motorbike ambulances by PONT as a regional emergency response service in rural Uganda; HealthProm introducing a low-cost “Dark Sensory Room” to provide a range of different sensory experiences in Tajikistan for children with visual problems; and African Initiatives trialling evening classes to address the issue of children unable to attend due to pastoral responsibilities. All of these examples illustrate how Innovation Window grantees used incremental innovation to try to deliver services more effectively to target beneficiaries.

Box 8: Good practice examples of incremental innovation

Kulika, implementing the TAO project (INN 005), initially reported group formation as an innovation. However, the Evaluation Team observed that its more noteworthy innovation was developing a market-oriented development project. As a result, beneficiaries enjoyed an income close to the Ugandan national average. The project successfully found a coincidence of interests between poverty-focused development, and a profit oriented private sector market.

The South African Catholic Bishops’ Conference (IMP 004) deployed volunteers in house-to-house TB and HIV testing. This simple intervention, which eliminated the stigma of going to a clinic, is said to have significantly boosted the rates of testing, although the necessary data is not provided to verify this claim. The model developed by the project could, if the results are as claimed, provide a cost-effective method for increasing TB and HIV testing.

Both Mercy Corps in Nepal (IMP 002) and Oxfam India (IMP 027) have been able to develop a means of facilitating the inclusion of illiterate beneficiaries. Oxfam developed an interactive voice recording (IVR) technique. At this stage of delivery, there was limited evidence to demonstrate the outcomes of this initiative. However, project reports note that the software was designed to help illiterate populations to report verbally rather than in writing. Mercy Corps introduced flip chart materials with pictorials to raise awareness of formal and informal protection measures, which can be used by barely literate facilitators.

Source: April 2013 GPAF Annual Reports and September 2013 verification visits

Recommendation: The Fund Manager, together with DFID and the Evaluation Manager, should improve guidance about what constitutes helpful learning and new innovation. This guidance should include illustrative examples.

3.2.3 Drivers and barriers of project success

Key findings: Key drivers and barriers to project success show considerable commonality across the Fund, with community engagement being noted as a driver by 90% of respondents in the online survey, and staff turnover and cultural resistance identified as barriers by 50% of respondents.

Drivers and barriers relating to the success of projects were relatively well identified in the Annual Reports and were largely corroborated in the online survey. The Annual Report template specifically asks grantees to state progress against timescales and includes a summary of key positive and negative factors affecting progress.

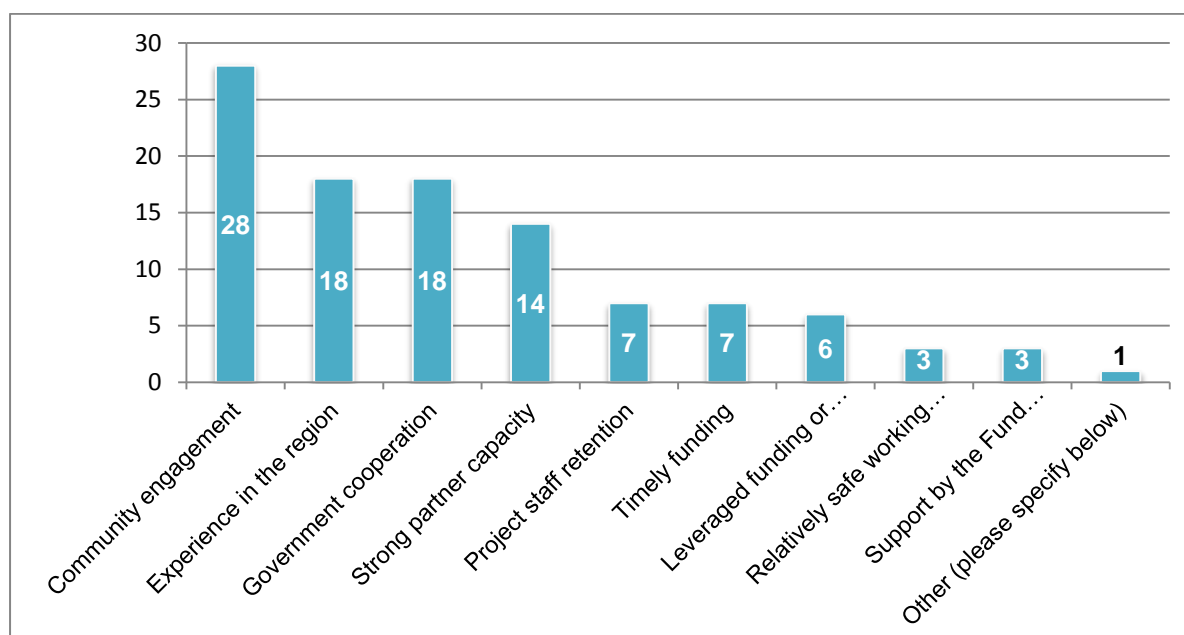
Analysis of the Annual Reports revealed that the most significant driver of success was community engagement, which mirrors the findings of the online survey. The most significant barriers identified from the Annual Reports relate to:

- **Funding delays:** Annual Reports reveal that delays in funding particularly disrupted those projects sensitive to seasonal variation, such as agriculture projects or grantees working in severe climates;
- **Acquiring inputs:** several projects reported that they could not source adequate seeds or fertilisers, or could not find suppliers with the quality of required inputs, forcing projects to wait or secure inputs from other sources;
- **Establishing satisfactory baseline and M&E systems:** review of the Annual Reports revealed that three projects were not able to substantiate their claims or had to delay project implementation because their data was incomplete or because data collection had to be repeated; and
- **Issues with implementing partners:** high staff turnover among implementing partners in particular forced projects to either find new implementing partners or wait until additional staff could be hired.

There is considerable commonality in the drivers and barriers identified in the Annual Reports with those identified in the online survey as shown in Graphs 3 and 4. Respondents were asked to rank in order the three most significant factors contributing to success. Community engagement was noted by 90% (28 respondents) of the respondents as a key factor, with 61% (19) of them rating it as the most significant factor. Experience in the region, government cooperation and partner capacity were also viewed as especially significant factors contributing to success.

The commonality of these success factors illustrate that CSOs can often deliver services in ways that other delivery actors do not. Specifically, the relationships that CSOs are able to build with communities and local government over time provides them with the trust and political support that are needed for projects to succeed. This common characteristic is particularly important given the vulnerable nature of many of the groups that GPAF projects are targeting.

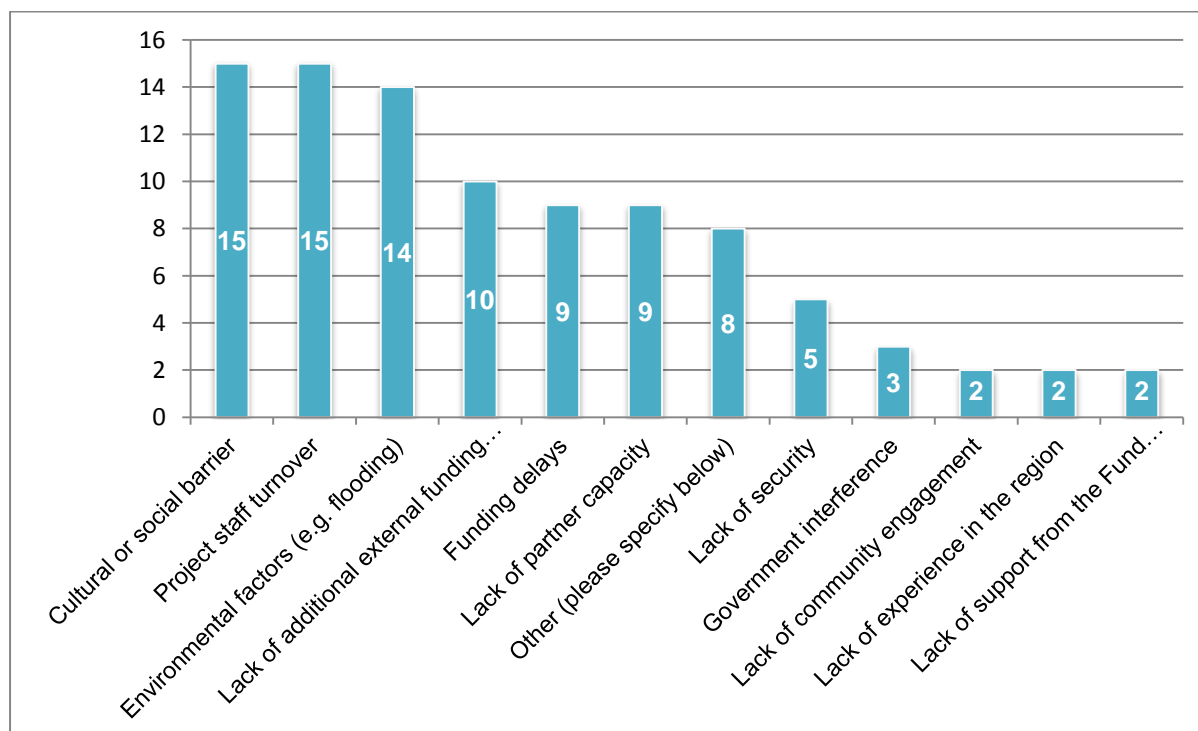
Graph 3: Drivers of success



Source: June 2013 GPAF online survey (n=31)

Graph 4 shows that the most commonly identified barriers were project staff turnover, cultural or social barriers, and environmental barriers. There was no strong relationship between these barriers and poor performance in the Annual Reports as assessed by the Fund Manager. There would be some value in the grantees organisations and Fund Manager including these categories as part of their risk matrices to ensure that they are reviewed and managed on a regular basis. Samaritan's Purse provides a good example of identifying key barriers in Box 9.

Graph 4: Barriers to success



Source: June 2013 GPAF online survey (n=30)

Box 9: Good practice identifying key cultural barriers

Cultural barriers were noted by half the respondents in the online survey. The Samaritan's Purse in Northern Uganda (IMP 023) project provides an example of an attempt to respond to such barriers. The project strives to empower women by addressing the deep fears that keep them from pursuing healthy behaviour. The project conducted barrier analysis to uncover social and psychological factors which are inhibiting healthy behaviours, and worked to address these issues. For example, it is a common belief in districts where the project worked that a woman who does not get enough to eat cannot produce breast milk. In a food insecure context, this belief has a substantial impact on breastfeeding. The project works to explain how the body is actually able to make enough milk, even in difficult circumstances and so empowers women to believe in their capacity to practise a key healthy behaviour.

3.2.4 Organisational characteristics

Key findings: Though the evidence is not available to relate the distinctive organisational characteristics of civil society organisations to their achievements, there are plausible reasons to believe that such a relationship exists, particularly in respect of trust by communities and a focus on empowerment. The verification visits corroborated this argument.

A hypothesis considered in this evaluation was that there are distinct characteristics of civil society organisations which facilitate their effectiveness in achieving their objectives. This hypothesis suggests that CSOs and their partners are often unique in their local knowledge, enjoy legitimacy and trust from the communities they work with (especially among the poorest and most marginalised) and have an ability to deliver in areas where government or donors cannot. No direct evidence is provided in the Annual Reports on the relationship between organisational characteristics and effectiveness, as this was not a question that was asked in the reporting format. However, the sample of reports illustrates that CSOs are successfully working in partnerships to benefit poor and marginalised populations.

The verification visits provided further validation of the thesis that the characteristics of CSOs contribute to their effectiveness. Projects were able to demonstrate the importance of values such as responding to under-served populations, and of intensive capacity building to support beneficiary groups to sustain benefits beyond the lifetime of the project. The capacity building activities provided by CSOs were observed as being particularly empowering and also effective in building trust with the community. Communities that were visited also explained that CSOs were delivering services that government and the private sector did not, and they expressed scepticism that government would be able to deliver similar types services in the near future.

Box 10: Organisational characteristics and their contributions to change

Organisational commitments to empowerment, sustainability and to reaching inaccessible populations appear to reflect the distinctive characteristics of civil society organisations as illustrated by the following examples:

The TAO verification visit provides an example of empowerment through capacity building. The project connects farmers with the market provided by the large commercial seed millers. One of

these millers also engages in agricultural extension work, trying to form farmers into groups to improve the quality and predictability of the supply chain. The beneficiaries that were interviewed were in no doubt about the superiority of the service provided by TAO's implementing partner, Kulika. The farmers' groups promoted by Kulika were characterised by high levels of solidarity, pride and confidence among the participants, which reflected the NGO's work on organisation-building and accountability.

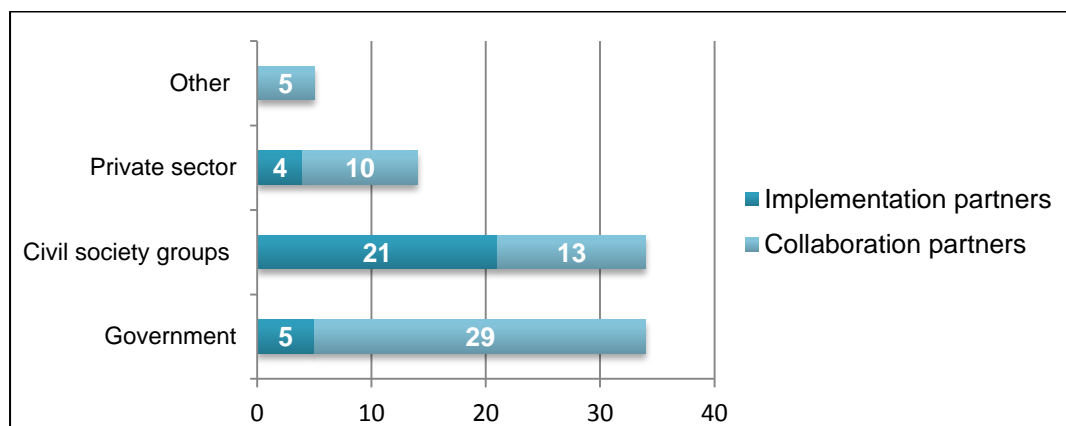
Similarly, the MRDF verification visit indicated the importance of a commitment to reaching under-served populations. VAD, MRDF's implementing partner, has established water and sanitation facilities, serving fishing communities on inaccessible islands in Lake Victoria. Prior to VAD's engagement, these communities enjoyed little in the way of basic services, and suffered a large burden of water-borne disease. Although the local government has a statutory responsibility to provide such services, the requisite resources were not available and it appears that VAD achieved what others have failed to do. VAD believe, with some justification, that their work has opened up Bussi Island to other service providers, including the government. Like Kulika, VAD have invested heavily in building the capacity of community groups to monitor and maintain their water and sanitation facilities, contributing to the sustainability of the intervention.

3.2.5 Working with others

Key findings: All grantees collaborated with partners, giving grantees access to local knowledge and increasing their geographic capabilities. Across the Fund, organisations working with implementing partners performed better against the effectiveness criteria than those working on their own. Those working with CSOs performed better than those working with other types of implementing partners. The importance of partnership to the success of projects, including collaboration with local government, was confirmed during the verification visits.

One feature of what supposedly makes CSOs adept at poverty reduction is that they can achieve more through their partnerships than individual actors can on their own. There were a range of findings in this respect. Some organisations, such as BRAC, work almost essentially on their own, while others, such as Oxfam India, work exclusively through partners. Most projects included in the evaluation fall somewhere in the middle of this spectrum. Graph 5 illustrates the types of partners that grantees work with, which distinguishes implementation partners (i.e. those who receive, manage and deliver activities with GPAF funds) from collaboration partners (i.e. those who do not) to further understand the effects of working in different types of partnerships.

Graph 5: Working with others

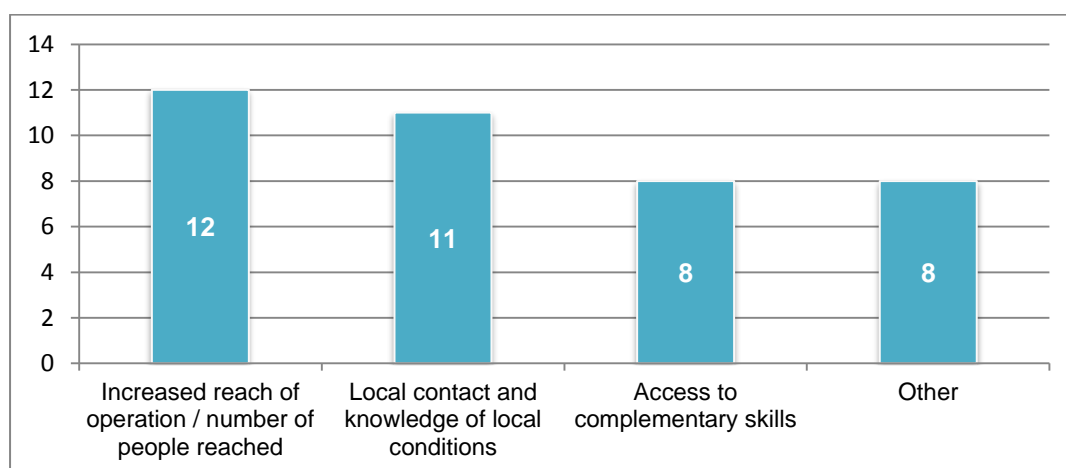


Source: June 2013 GPAF online survey (n=31)

Overall, implementation partners tend to be other CSOs, 67% of reported instances (21 out of the 31 cases), which is consistent with how the Fund is envisioned to function. Government is the largest collaboration group, however they do not receive GPAF funds; 94% of reported instances (29 cases)²⁵. This latter finding might appear to contradict the argument in Section 3.2.4 that civil society organisations are especially effective at delivering development outcomes, however, there is insufficient detail on the precise nature of the collaboration partnerships with government to make this argument. Furthermore, the verification visits suggested that the work with government is largely a matter of protocol rather than an operational partnership such as in the case of the project led by MRDF or TAO in Uganda.

Graph 6 shows the responses to the survey questions about the benefits of working with others. Increased reach (39%) and local knowledge (36%) are the most commonly cited benefits. Access to complementary skills was noted by 26% of respondents. These findings are consistent with the hypothesis that CSOs who work through partnerships are able to access local knowledge and deliver services more effectively than other providers could on their own.

Graph 6: Benefits of working with others






Source: June 2013 GPAF online survey (n=31)

²⁵ Graph 5 shows that five projects identified “Government” as an implementing partner which is not usually acceptable under the conditions of the GPAF. As this data is based on survey responses, it may reflect respondents’ misunderstanding of the partner-type terminology.

There was some evidence of a link between partnership working and performance against the effectiveness criteria of the Evaluation Framework. Organisations working with implementing partners²⁶ rated on average higher against the effectiveness criteria, while organisations working without implementing partners rated lower. This suggests that the impact of partnership on effectiveness is tangible. The profiles of the implementing partners also significantly influenced the ratings. Table 7 shows that organisations working with other CSOs as implementing partners rated on average higher against the effectiveness evaluation criteria, while those working with government and the private sector rated relatively weaker.

Table 7: The relationship between implementing partner and project effectiveness

Implementing partner	CSOs	Private Sector	Government
Effectiveness ratings			

Partnerships provided different benefits depending on the operating context. Partnerships that included implementing CSOs were found to be particular adept at providing access to local knowledge and serving as the primary capacity builder of local civil society organisations. This was illustrated by the verification visit to Oxfam India where each partner brought different competences to bear on the project, enabling it to support larger numbers of people more effectively than Oxfam India otherwise would have been able to on its own (Box 11).

All data sources indicate that the inclusion of government as a collaboration partner has important implications for achieving results and ensuring some level of project sustainability. Verification visits to TAO and its partner Kulika, and to a lesser extent BRAC Tanzania, showed that even informal partnerships or involvement of local government can provide important political support to enable projects to access people and work in politically sensitive regions. Almost all online survey respondents (97%) stated that they at least collaborate with government, and feedback from projects shows that government cooperation is a key success factor.

The Annual Reports and verification visits similarly illustrated that local government often plays a primary role in assuming key roles and responsibilities as part of sustainability strategies. Based on the apparent importance of engaging government to at least some extent in project delivery, DFID and the Fund Manager may want to consider asking CSOs at the application phase how they intend to involve local government (where appropriate), and to monitor the extent to which this is occurring through annual reporting.

Box 11: Good practice partnership model: Oxfam India

The partnership between Oxfam (IMP 027) and Prayas (the lead implementation partner) spans over 30 years and was seen to be crucial in both accessing beneficiary populations and catalysing government support.

The partnership model led by Oxfam India was seen to allow partners to maintain independence in project delivery; for instance each state has its own logframe and decides in collaboration with an

²⁶ Implementing partners are those who received and delivered projects through GPAF funding.

Oxfam India regional representative what activities would be appropriate for the operating context. As a result, each state essentially develops its own individual project in response to the overarching project outcomes. The partner is then supported by Oxfam India through capacity building initiatives and formal training to ensure all partners are reporting at the same level.

This approach is especially effective in the Indian context where health indicators, culture and capacity vary between states. Both Oxfam India and Prayas reiterated that one project delivery model would not be as effective if adopted wholesale by another partner. This type of partnership model is clearly appropriate to a large and diverse country such as India.

3.2.6 Alignment with Fund's objectives

Key findings: The Fund is performing well against its objectives of poverty reduction and responsiveness to off-track MDGs. It performs less well in terms of meeting other Fund objectives of innovation within the Innovation Window and learning, possibly because projects did not fully understand what constituted relevant learning for the purposes of the Annual Report. Projects have also experienced delays in achieving logframe milestones that were often due to delays that are typical at the beginning of projects, such as difficulties in establishing baseline information and sourcing inputs. Despite these delays, the sampled projects are performing reasonably well, with only two projects included in the sample found to be performing poorly by the Fund Manager.

The assessment of the sample's alignment with the Fund's objectives is viewed as relatively weaker compared to the other effectiveness categories. The Fund was reviewed for:

- Evidence relating to innovation, particularly: evidence to demonstrate that innovative approaches resulted in improvements in impact, outcomes, efficiency, effectiveness or quality;
- Evidence that interventions focused on conflict, security and justice; and
- Number and percentage of output milestones met by March 2013.

The limitations of Grantee reporting have already been referred to in Section 3.2.2 under "Learning and Innovation". The lack of projects working in the conflict, security and justice sectors is not a function of the Fund's performance as such, instead, it is likely that there are fewer of these projects represented in the Fund as they relate less directly to the Fund's focus on contributing to the MDGs and poverty reduction as discussed in Section 3.5.3²⁷. By contrast, 60% of the portfolio was found to be strongly aligned with other DFID priorities, specifically with regards to "evidence that interventions were focused on empowerment and accountability".

The challenge for many grantees in achieving their project milestones merits some comment. Only 12% of grantees met all of their logframe milestones. Various reasons are noted in Annual Reports to account for not achieving all of the milestones. These include delays in the project start-up phase, external factors such as natural disasters and conflict, and delays in measuring baselines.

²⁷ Only 16 proposals were submitted with a focus on these sectors and only three were awarded grants (see section 3.5.3)

High target beneficiary numbers may also contribute to an underachievement in reaching milestones. The Fund Manager worked with projects as part of the grant “set-up” process to refine target numbers, some of which were viewed by the Fund Manager as overambitious. The Fund Manager explained that some applicants may have perceived that setting high target numbers would contribute to a more favourable outcome for their application.

The relatively poor assessment against project milestones does not necessarily indicate that projects are irrevocably off-track; many projects state that they expect to be on-track to achieve their milestones by the next Annual Report. The assessment of progress by the Fund Manager, which considered the output milestones alone, rather than the outcome milestones, supports this argument. Of the 33 projects, one was assessed as over-performing, 17 were assessed as performing satisfactorily, and 13 were assessed as under-performing. Only two were considered to be performing poorly.

3.3 Sustainability





Evaluation question: How sustainable were the activities funded by GPAF and was the programme successful in leveraging additional interest and investment?

The Evaluation Framework assessed evidence of sustainability under three categories: leverage of additional funds; working with others; and the development and implementation of a sustainability strategy.

Key findings: There is considerable work by grantees with other actors and evidence of reasonable development and implementation of sustainability strategies. The sustainability of interventions is of considerable importance for the overall value for money of DFID’s investment in the Fund.

Table 8 shows the Evaluation Manager’s overall assessment for the Fund against the three Sustainability criterion as rating relatively well. The Fund rated especially well for its capacity building work with other actors and relatively well for operationalising sustainability strategies. The Fund rated less well for its success in leveraging additional funds, however, this finding is not surprising as many of the sampled projects were in the early stages of their implementation and have not yet been able to demonstrate their effectiveness to broader audiences.

Table 8: Sustainability Assessment

The Fund rates relatively well for Sustainability.		
Ratings against the sustainability evaluation framework criterion		
Leverage additional funds		Operationalisation of sustainability strategies 
Working with others		

3.3.1 Leverage of additional funds

Key findings: GPAF grantees, contrary to indications from the Annual Reports, appear to have been successful in leveraging additional funds as reported in the GPAF online survey.

The sampled projects are successfully leveraging additional funding, despite a discrepancy between what was reported as leveraged funding in the Annual Reports compared to the feedback captured through the online survey. This is important because it indicates commitment by both other donors and local communities in project approaches and the results that are being achieved. Examples of two projects that are successfully leveraging their results to attract the interest of new donors are presented in Box 12.

Box 12: Good practice in leveraging results with new potential donors

PONT (INN003) has used the successful implementation of its emergency transport village health worker model and shared it with its networks which led to a successful consortium bid with links to three other regions in Uganda. A UK Midlands Rotary group, having seen the initial motorbike ambulances, have progressed with their fundraising and bid to Rotary International for match funding of close to £150,000. If successful, this bid will provide over 30 motorbike ambulances to other regions of Uganda. This example illustrates opportunistic sharing of good practice with other potential partners and networks to attract additional funding.

SURF (IMP026) has received funding from the Big Lottery Fund for the Genocide Widowed Survivors Project (GWEP), to replicate its model of supporting widowed survivors in the five districts of Western Region of Rwanda not currently being targeted by the projects. This amounts to £496,632, and will allow SURF to scale up and replicate the successful support model throughout 2015.

The combined monetary value of leverage reported by respondents to the online survey was £2,713,383 representing 12% of the aggregated budget of the sampled projects. This sum constitutes both financial contributions and in-kind donations. By contrast, the sum of leveraged funds presented in the Annual Reports appears to amount to approximately £1.9 million²⁸. The discrepancy between the online survey and Annual Reports is due mainly to the fact that the Annual Reports and the Evaluation Framework ask about the additional funds raised, whereas the survey allowed respondents to note contributions that were “in-kind”. The Evaluation Team found that organisations often did not monetise in-kind contributions, however a strong example monetising in-kind contributions is presented in Box 13.

Box 13: Good practice in monetising in-kind contributions

SOS Sahel (IMP040) is working to reverse degraded ecosystems, which have been exacerbated by a number of factors including population pressure and undeveloped farming systems. SOS Sahel recorded that there have been 177,749 community labour person-days on physical conservation in its project, of which 69,815 came from women (i.e. 39.3%). Based on the average cost for a day

²⁸ It was not always clear from Section 1 of the Annual Reports the extent to which some funding was additional to what had already been secured at the application proposal stage, hence the approximation.

labourer in the region, the contribution in financial terms is estimated at 2,740,459 Ethiopian Birr (c. £100,000). This shows a significant indication that the community perceives the SOS's work as highly relevant to their needs and that the SOS has successfully mobilised the community to invest their physical time and energy in environmental conservation work.

3.3.2 Working with others

This has already been discussed under effectiveness in Section 3.2.5. All sampled grantees report some form of collaboration with others. Their sustainability strategies often include the intention to build the capacities of local counterparts and the handover of supervision and support to partners, particularly government.

3.3.3 Operationalisation of sustainability strategies

Key findings: Sustainability strategies are well-developed across the portfolio and are being operationalised. However, the verification visits noted some risks to these strategies that are only partly being mitigated, specifically a lack of capacity of other actors to assume responsibility for key activities after projects are completed. This risk appears likely to apply to other projects within the portfolio.

The desk-based review of Annual Reports revealed that sustainability strategies were being reasonably well operationalised. Almost 70% of grantees have clear sustainability strategies and over 60% are operationalising them. The verification visits, however, suggested grounds for caution in relation to unacknowledged risks within the sustainability strategies. In the case of the two projects illustrated in Box 14, the Evaluation Team noted important risks to sustainability strategies where projects were dependent on handing over responsibility for delivery to other agencies or to beneficiary groups themselves. The assumption that other agencies or groups will be able to assume responsibility for activities appears to be an under examined risk that applies to other projects in the sample too.

Box 14: Risks to sustainability strategies

VAD is implementing a water and sanitation project in Uganda on behalf of MRDF (IMP 011). While much of the project's sustainability strategy depends on the capacity building of community monitors, VAD's intention is that its activities are taken over by government at the end of the project. Testimony from beneficiaries and project staff indicated that the government may not have the resources to assume VAD's role. Additionally, the communities served by the project are itinerant fishing communities, leading to the risk that trained community monitors may move on. VAD acknowledge the risk of transience, but have attempted to mitigate this risk by selecting stable residents as committee members. Experience elsewhere leads them to estimate that at least 42% of committee members will still be there after three years. A longer-term sustainability strategy though might require provision for some form of refresher capacity building training.

Similar risks affect the sustainability strategy of the BRAC Tanzania project (IMP 014), which supports the improvement of agricultural and livestock production. The project's sustainability strategy depends on government extension services and the commitment of trained community service providers for agriculture and livestock. Again, there are reasons from the testimony of

beneficiaries to doubt the capacity of government to continue to provide extension services. The community service providers have a material self-interest in continuing their work in the agricultural sector, since they derive an income from it. However, this is the case for only some of the agricultural service providers. BRAC acknowledges the risk and is trying to ensure that all service providers will be able to derive an income from their activities. Similar risks are likely to apply to other projects in the Fund.

Recommendation: Grantees should report on the extent to which risks to their sustainability strategies are being mitigated on an annual basis; particularly those strategies that are dependent on handing over responsibility for delivery to other agencies or that are reliant on some form of commitment by beneficiary groups themselves.

3.4 Impact






Evaluation question: What has GPAF funding achieved that would not have been achieved without DFID funding?

The impact criteria reflect the fact that this is a mid-term process evaluation that focuses on the performance of the Fund mechanism to achieve its goals. Therefore, this evaluation considered the scale and quality of capacity building activities and evidence of suitable monitoring and evaluation systems to measure the Fund's impact. The criteria also included reviewing the systems that projects have in place to capture the additionality of project activities, and to identify beneficiaries who would not have been reached without GPAF funding.

Key findings: The Fund was rated highly against the evaluation criteria relating to how M&E is being implemented. What was initially rated as poor inclusion of beneficiary-led monitoring may be a function of under-reporting, which was evident during the verification visits. There is significant evidence of how grantees are building the capacity of organisations to manage and implement project activities. The verification visits confirmed the presence and underlying importance of this activity. Across the Fund, grantees have reportedly reached 1,827,728 people, including an additional number of unplanned beneficiaries. This represents 48% of the total target figures for the 33 project proposals which represents reasonable progress at the midline stage.

Table 9 shows the Evaluation Manager's overall assessment for the Fund against the four Impact criterion as rating well. The Fund rated especially well for its capacity building work with different types of beneficiaries and the additionality effects of GPAF funding. The Fund rated relatively well for establishing suitable systems for M&E systems and reporting the numbers and types of beneficiaries. However, some improvements could be made to strengthen the ratings for these latter two criterion.

Table 9: Impact rating

The Fund rates well for Impact.			
Ratings against the effectiveness evaluation framework criterion			
M&E		Capacity building	
Reporting beneficiaries		Additionality	

3.4.1 Monitoring and evaluation

Key findings: The Fund’s performance against the M&E criteria was strong: logframes were robust and had what appeared to be plausibly appropriate M&E systems based on the limited information that was available. This finding most likely reflects the work of the Fund Manager in assisting applicants to meet acceptable standards in their logframes and M&E systems. However, there is still room for improvement as verification visits illustrated on-going work to remedy weaknesses in project M&E systems. The verification visits also suggest that there may more experimentation with beneficiary-led monitoring than is apparent from feedback in the Annual Reports. This has empowerment effects and can contribute to sustainability strategies, yet it also has planning and budgetary implications.

The Fund is performing very well in terms of the quality of monitoring and evaluation systems and of the logic of project designs. This reflects the quality of the Fund Manager’s careful selection and dedicated work between the concept note and proposal stages to ensure that logframes and approaches to M&E were suitable. Discussions with the Fund Manager confirmed that the refinement of the intervention logic of projects and the development of the M&E logframes proved to be one of their most resource-intensive tasks. Although the Fund Manager has clearly contributed to the design of suitable M&E systems, the verification visits indicated that some projects may be challenged in operationalizing and managing their M&E systems as illustrated in Box 15.

Box 15: Weaknesses in M&E systems that are still being remedied

The system used by BRAC Tanzania combines extensive checking by programme staff of the quality of data gathered from farmers, with an in-house research and learning team, who conducted the baseline and midline surveys. The Evaluation Team felt there was a disconnect between the field staff and the in-house research and learning team, which appeared to disrupt the learning cycle. Specifically, there was no mechanism for the survey findings to feed back into programme decisions, and the monitoring system used by operational staff was not used by the research team.

Both VAD, the implementing partner of MRDF, and Kulika, the implementing partner of TAO, are making substantial investments to improve the monitoring and evaluation of their activities. The improvements involved all levels of the organisation including programme staff and managers. Of particular importance in VAD is their tracking of the error rate in beneficiary-led monitoring. The legacy of past weakness in VAD’s M&E systems is still evident in the recent revision of the baseline

and continued multiple versions of indicator definitions, which results in some confusion about what is being measured and discrepancies in the figures that are reported. The Evaluation Team was confident that these weaknesses are in the process of being remedied.

Kulika maintains extensive data, generated by beneficiaries, on production by farmer beneficiaries. The strength of this data is that it allows Kulika to measure its impact on poverty and its return on investment. Quality assurance of this data, however, is only partial, and the design of the M&E system has been outsourced to an external company, reducing the ease with which it can be restructured, although changes are possible in discussion with the contractor.

These latter examples suggest that GPAF grantees may still be engaged in a process of improving and refining their M&E systems which shows good monitoring and recognition of these issues.

The assessment against the M&E criteria in the Evaluation Framework found an apparent lack of reported beneficiary involvement in M&E. Despite this initial finding from the Annual Reports, all four of the projects that were subject to verification visits contained elements of beneficiary-led monitoring. These elements created important empowerment effects for beneficiaries (see Box 16). The verification visits also illustrated how community-based monitoring can be central to the sustainability strategies of the projects. The implications of community-based monitoring to project sustainability for the visited projects included: increasing the ability of communities to operate and maintain clean water supplies; enabling families to understand and choose from a range of good maternal-health practices; and supporting farmers to better track costs and profits as part of building longer term resilience.

Box 16: Good practice empowerment effects of beneficiary-led monitoring

CAMFED (IMP029) reported in its Annual Report that mobile based monitoring training has been both motivating and enriching for those beneficiaries participating in training. The report explains that a high level of commitment has consistently been displayed by beneficiary participants who were excited and felt empowered not only to be part of the training but also to be seen and recognised as experts on mobile technology in their schools and communities.

Despite the strengths of beneficiary-led monitoring, the Evaluation Team also found a number of important issues that should be considered by applicants who wish to adopt such approaches, particularly at the planning and budgeting period. Quality assurance and back-checking of beneficiary data can be a highly time consuming task, especially among beneficiary groups that have poor reading, writing or numeric literacy. The challenges and relatively high costs of beneficiary-led monitoring were evident during the verification visits.

Box 17: Challenges and costs of beneficiary-led monitoring

Both VAD (IMP 011) and BRAC (IMP 014) provide data on the challenges and costs of beneficiary-led monitoring. This suggests that such monitoring can be extremely expensive, despite its other advantages.

VAD, which runs a water and sanitation project in Uganda, involves community groups in measuring a series of indicators concerning their water and sanitation supply, and the incidence and costs of water-borne diseases. As part of a process of upgrading to its M&E systems, VAD has measured the error rate in record keeping by these groups, and the amount of staff time involved in error monitoring and quality assurance. The error rate in April 2013 was 50%. This is unsurprising in

communities where literacy and numeracy are low. VAD also estimates that it is devoting two-thirds of field staff time and half of the M&E officer's time to error correction. VAD has engaged in further training and clarification of the indicators with community monitors, and as a result the error rate had been reduced to around 5% by October 2012.

BRAC runs a rural livelihoods project in Tanzania. It has not measured the error rate of data on production, costs and profits kept by the farmers it supports, or the staff time devoted to quality assurance. However, an inspection of farmers' record books by the Evaluation Team suggested that agricultural farmers may have a comparable error rate to that experienced by VAD – between a third and 50% - although livestock farmers' books indicated a lower error rate of 27%. BRAC puts the data through a three-stage checking process, and field staff at the Usa River branch confirmed that they spent between 50% and 70% of their time on data quality assurance.

While these two examples are not necessarily representative of the whole Fund, they indicate that beneficiary-led monitoring may incur substantial costs. It would be worthwhile for any project using beneficiary-led monitoring to keep track of error rates, and to log staff time devoted to quality assurance.

Recommendation: The Fund Manager, together with DFID, should encourage the practice of beneficiary-led monitoring where appropriate in light of its empowerment and sustainability effects. Encouragement of beneficiary-led monitoring should also emphasise the importance of careful planning and budgeting to ensure that the data collected is sufficiently accurate, reliable and fit for its intended purpose.

The evaluation of the GPAF also provided insights into what is commonly viewed as more rigorous M&E approaches. Within the international development sector there are on-going discussions about the strengths and weaknesses of quasi-scientific methods, such as randomised control trials, for measuring and attributing outcomes to project activities. Experimental or quasi-experimental methods, when carefully executed under appropriate conditions, promises significantly greater rigour in assessing the impact of a project over methods that typically compare achievements against a baseline.

BRAC's most innovative approach (at least within the sampled GPAF projects) is the use of quasi-experimental comparisons between treatment and control groups. BRAC's expertise in these methods carries relevant learning for other GPAF grantees given the current interest in the sector, therefore, the opportunity to examine its application was one of the reasons for selecting BRAC Tanzania for a verification visit. The Evaluation Team's conclusion from the BRAC visit was that quasi-experimental methods can offer robust evidence, however, they do not automatically constitute a gold standard in M&E and can be affected by a number of constraints, some of which are discussed in Box 18.

Box 18: Quasi-experimental evaluation by BRAC Tanzania

BRAC Tanzania's quasi-experimental methods involved the branch staff identifying a population of farmers who were then randomly assigned to intervention or control groups by a research team. There were systematic efforts to check that the two groups matched according to variables such as age, household composition and size, level of education, income, acreage, and participation in any

farming programme and type of farming.

Following the delivery of BRAC Tanzania’s extension services, the monitoring data contained the aberrant finding that BRAC livestock farmers had a lower increase in income than the non-BRAC control group. The BRAC research team attribute this finding to possible delays in providing starter animals.

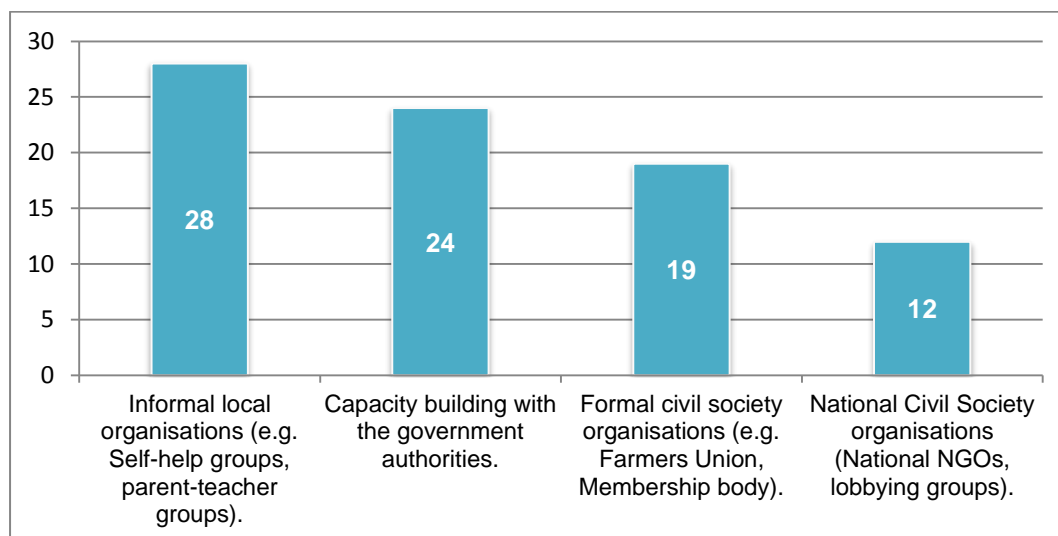
There is, however, an alternative interpretation of these findings. It is theoretically possible that these findings reflect sampling errors, rather than real effects. The intervention group comprised 813 farmers and the control group 336 farmers across five sampled branches of the targeted regions. However, the very large populations in these diverse regions combined with a relatively small sample create the inadvertent risk of sampling “outliers” who do not represent a “normal change” for beneficiary families. It remains a distinct possibility that such a sampling error may account for the findings.

3.4.2 Capacity building

Key findings: There is significant evidence of capacity building that is enabling civil society organisations to manage and implement their initiatives. The verification visits confirmed the existence and importance of these capacity building activities.

The future impact of activities delivered by CSOs is often dependent on building the capacity of partners and beneficiary groups to undertake certain tasks and to apply certain skills. It follows that capacity building then becomes a key objective if projects are to be successful. There is considerable evidence of capacity building in the Fund, particularly with other civil society groups, which is consistent with earlier findings on the benefits of working in partnership. The types of target groups that have received capacity building support through the Fund are shown in Graph 7.

Graph 7: Capacity building recipients



Source: June 2013 GPAF online survey (n=31)

The importance of capacity building as it relates to project effectiveness was evident in the verification visits. Beneficiaries explained that the capacity building support that was provided by implementing CSOs promoted levels of trust and legitimacy in host communities. Implementing CSOs also benefited from the capacity building support from their larger partners as was evident in the relationship between Oxfam India and their implementing partner, Prayas (Box 19). Interviews with Prayas revealed that the support they received from Oxfam heavily contributed to the projects' objective of encouraging women to advocate for health services from for the state.

Box 19: Capacity-building implementing partners in India

Strengthening of civil society (both implementing partners and community structures) is the strongest component of the Oxfam India project. Community-based monitoring inherently builds the capacity of the community to demand improved health services, and at the partner level, the rigorous verification processes led by Oxfam India and its partners visibly strengthen the ability of project staff to collect and learn from information. Capacity has been built in the development and implementation of Oxfam India's Management Information System, from the barefoot auditor at village level, through implementing partners, to Oxfam regional offices, and finally Oxfam headquarters staff.

3.4.3 Reporting beneficiaries

Key findings: The sampled projects reportedly benefited 1,827,728 people. These beneficiary figures were almost always disaggregated by gender, and usually also by age. The reporting also captured 31,641 people who did not belong to the original target groups. The verification visits confirmed the existence of these additional beneficiaries. Overall, these figures suggest that projects are successfully reaching their target populations and that they have the systems in place to report on the type of people who are benefiting from GPAF funding.

The Annual Report template asks grantees to report the number of planned and unplanned beneficiaries, which enabled the Evaluation Team to aggregate the total number of beneficiaries as seen in Table 10.

Table 10: Comparison of the total beneficiaries between Impact and Innovation windows

Funding window	Total number of beneficiaries reached by the sample	Percentage of total beneficiaries reached by the sample
Impact	1,808,046	98.6%
Innovation	19,682	1.4%

Source: 2013 GPAF Annual Reports (n=33)

The sampled GPAF projects are mostly successful in meeting their target numbers of beneficiaries. The total number of beneficiaries according to calculations from Annex B from all the Annual Reports came to 1,827,728 people. This figure represents 48% of the total number of target beneficiaries that

the sampled projects listed in their applications. Providing services to 1,827,728 people appears to be a reasonable level of achievement at this stage in the implementation cycle²⁹.

There were a limited number of projects (eight) that reported beneficiaries additional to those that had been targeted. These unintended beneficiaries amounted to fewer than 3% of the total number of people reportedly reached. The quality of explanation as to why these people benefited from projects varies in the Annual Reports. However, the verification visits illustrated that in at least two instances, unintended people were seeking the services being provided to target groups. This indicates the relevance of these projects not only to target groups, but also to surrounding communities as well.

Despite these encouraging beneficiary numbers, the Evaluation Manager has not been able to account for discrepancies in the total of beneficiary numbers being stated in the Annual Reports. The analysis of the Annual Reports revealed broad interpretations as to what constituted direct versus indirect beneficiaries, with the latter numbers appearing particularly inflated. The sum of direct beneficiaries described in the Outputs from Annual Reports should match the sum of direct beneficiaries reported in Annex B of the Annual Report, yet, these numbers also often varied.

3.4.4 Additionality

Key findings: It was a key objective of the GPAF Impact Window to achieve change at scale for poor and marginalised people. Respondents in the online survey described such effects. As noted in Section 3.4.3, the 33 projects included in the sample reached a reported 1,827,728 beneficiaries. The average cost per beneficiary and supporting rationale for these costs suggests that a significant scale of change has been achieved. However, there is no further evidence to suggest that these effects could not have been achieved through the use of other resources. These types of effects are more likely to be evidenced through in-depth research such as during project-level final evaluations.

Grantees indicated that having a GPAF grant has allowed them to develop new skills and competences which are in line with the Fund's objectives. Respondents to the online survey rated the development of technical skills as the most important factor for the successful delivery of projects, followed closely by monitoring and evaluation skills. It is not clear which part of the funding mechanism has had this effect, but it appears likely the dialogue with the Fund Manager during the selection process and subsequent reporting processes has contributed to the development of new skills.

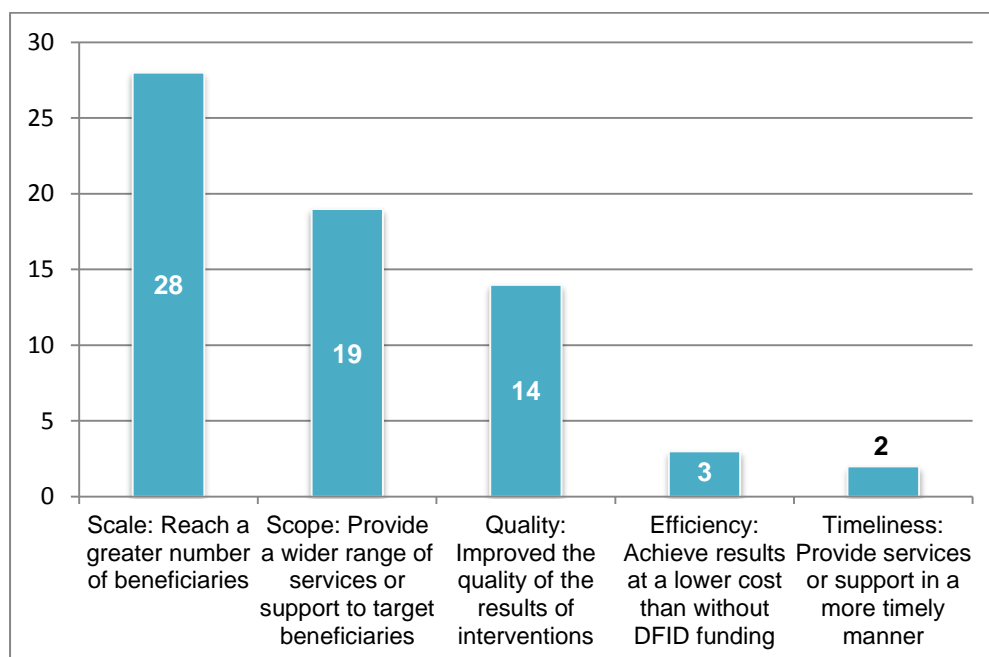
The high additionality rating for the Fund that is illustrated in Graph 8 specifically relates to the indicator "evidence of additionality effects attributable to DFID's funding, in terms of scale - larger volume of results achieved than would otherwise have been achieved". This is not additionality in the strictest sense, as it naturally follows that the results reported by grantees could only have been achieved through GPAF funding. The Evaluation Team included both closed and open questions in the online survey to capture potential additionality effects, and respondents identified effects of scale as the primary effect of DFID funding. There was little evidence for the two other additionality

²⁹In principle, the total of beneficiaries should be expressed as a proportion of those targeted at this stage in the grants. However, it proved impractical to make this aggregation from logframe milestones because of inconsistencies between logframes. .

indicators relating to “timing” and “quality” from the Evaluation Framework and the nature of the responses to the survey did not lend themselves to further critical analysis.

Rigorously evidencing additionality often requires research that extends beyond basic monitoring data. Therefore, a key source of evidence for the final GPAF fund-level evaluation will be independent final projects evaluations. Grantees can start contributing to this evidence base and developing their own M&E systems in preparation for these final evaluations by reporting on additionality through their annual reporting.

Graph 8: Reported most significant effects of GPAF funding by grantees



Source: June 2013 GPAF online survey (n=31)

Recommendation: The Fund Manager and Evaluation Manager should provide grantees with guidance to develop a greater understanding of how to report additionality. This should include adding a section for the demonstration of additionality in the Annual Report template.

3.5 Efficiency




Evaluation question: To what extent does DFID’s investment in the GPAF represent good value for money?

The assessment of efficiency examined how the selection and implementation of projects compared to how the Fund was supposed to function. The specific criteria examined in this section are the extent to which projects are delivering on time and on budget; the ways in which grantees demonstrate good value for money; and how the selection process ensured that projects funded represent good value for money.

Key findings: The GPAF provides reasonably good value for money. The assessment of the Annual Reports against the evaluation criteria indicates that the Fund is performing well in terms of delivering activities that are cost-effective and within budget. The Fund Managers’ assessment further indicates that 91% (30 out of 33) of the grants were rated adequate or better for value for money. The capacity of individual projects to capture and measure the broader elements of value for money was weaker across the Fund, however, the application process was considered good value for money by supporting the Fund to achieve its objectives.

Table 11 shows the Evaluation Manager’s overall assessment for the Fund against the two Efficiency criterion as rating relatively well. The Fund rated relatively well delivering on time and within budget with some improvements that could be made to strengthen this rating. The Fund rated relatively poorly on reporting value for money, and the Evaluation Manager has made a number of suggestions to strengthen the ratings against this criterion.

Table 11: Efficiency rating

The Fund rates relatively well for Efficiency.			
Ratings against the efficiency evaluation framework criterion			
Delivering on time and within budget		VFM	

Source: April 2013 GPAF Annual Report assessments (n=33)

3.5.1 Delivering on time and within budget

Key findings: To date, the Fund has broadly achieved its objectives in accordance with forecast budgets; however, there is an under-performance in relation to projects meeting their output milestones. The delays in projects achieving their output targets does not indicate that the Fund will underperform in the long term, as it appears that many of the delays appear can be addressed in time for subsequent reporting periods.

The Evaluation Manager’s ratings against this criterion were developed by comparing forecast expenditure with actual expenditure and the achievement rate of milestones. Projects across the sample show reasonable variance³⁰ between actuals and budget as shown in Table 12. The Evaluation Manager’s finding is consistent with the value for money assessments conducted by the Fund Manager of individual projects. The Fund Manager’s more comprehensive assessment of value for money for each project indicates that 15% (5 of the 33 projects) were very good, 27% (9) were good, 48% (16) were adequate, and only 9% (3) were poor.

³⁰ “Reasonable” is defined here as between + or – 5% of planned expenditure.

The ability of grantees to achieve their spending forecasts is partly attributable to the due diligence work conducted by KPMG. Specifically, KMPG’s assessment of the extent to which applicants have the structural capacity to deliver what was proposed in their applications, including managing and disbursing funds, has contributed to the efficiency of the Fund even if milestones are somewhat behind schedule as noted in Section 3.2.6.

Table 12: Average budget variance

Organisation size	Average budget variance	Variance Range
Innovation (small organisations)	4.99%	-8% to 2.6%
Impact	-2.39%	
Medium size organisations	-11.71%	-51% to 6%
Large size organisations	7.66%	-21% to 25%

Source: April 2013 GPAF Annual Report assessments (n=33)

3.5.2 Value for money measurement

Key findings: The capacity of projects to measure value for money is a weakness across the Fund. This was confirmed in the verification visits, although these visits also found that project staff grasped the concept of cost drivers, were able to identify their own cost drivers and express steps they had taken to manage them. This suggests that the weakness could be remedied by clearer guidance for monitoring and reporting value for money. In one of the verification visits, project data was encountered that would allow the development of value for money metrics.

The weaker rating for the value for money measurement category largely results from the lack of identification of cost drivers and tools for assessing value for money as reported in the Annual Reports. In part, this may reflect a weakness in the Annual Report template, which separates economy, efficiency and effectiveness rather than encouraging a more holistic approach value for money analysis. A lack of familiarity in the sector with value for money reporting beyond stating economy savings also likely contributes to poorer reporting in this area.

The Annual Reports of sampled projects rarely relate effectiveness to costs and the successful management of cost drivers. There are nonetheless some interesting examples of good practice in relating costs to performance:

- Mercy Corps (IMP 018) relates cost to performance by identifying training as a high cost item which is essential to performance;
- BRAC (IMP 028) measures and benchmarks the cost per child;
- Tearfund (IMP 030) provides evidence of unit cost analysis that is used to compare costs for WASH activities;

- Traidcraft Exchange (IMP022) referenced developing a mathematical model to develop a better understanding of costs, income and profits from its livelihoods activities; and
- PONT (INN003) weighed the cost and benefits of purchasing pushbike ambulances and mountain rescue stretchers rather than manufacturing locally. They calculated that the latter was more cost effective and allowed disabled members of the community to also benefit from employment.

The examination of the Annual Reports provides some evidence of efficiency in expenditure methods, particularly in the form of procedures for tendering. These procedures do not usually relate to industry-standard benchmarking, however, they appear to have helped manage costs. A broader sectoral benchmarking exercise is conducted by the Fund Manager as part of the application review process that compares different types of activities, to different types of target groups to different geographic locations (see Section 3.5.3).

The four visits that the Evaluation Manager conducted did not provide evidence of the use of cost-benefit analysis, however, they illustrated that it would be relatively simple in some cases to improve value for money assessments and reporting. All the projects were able to grasp the concept of cost drivers, identify them and describe means for managing them in ways that did not compromise performance. Most dramatically, Kulika (see Box 20), the implementing partner of TAO (INN 005), whose outcomes are already provided in monetary terms, has the data to construct a gross return on investment (ROI) calculation, with results that show that the project is raising the incomes of its beneficiaries. BRAC Tanzania (IMP 014) staff were also able to describe their target outcome in ROI terms.

Even where the outcome does not lend itself to being directly monetised, it should be relatively straightforward for more projects to develop monetary proxies. This is the case in health and water projects where there are relatively well-developed methods for this. The MRDF project has some of the data necessary to construct financial proxies of the outcome of improved water and sanitation as the project already collects data on the costs of water-related disease. The Evaluation Team suggested that other proxies, particularly for income lost through illness and water collection, should be measured, allowing costs to be related to outcomes.

Box 20: A return on investment calculation

Kulika’s market-led project in Uganda aims to increase farmers’ incomes. Since the outcome is already in monetary terms, it should be possible to perform a Return on Investment (ROI) calculation, dividing the value of the outcome by the cost. Kulika have not presented such a calculation, but it has the data to do so. The Evaluation Team performed a gross ROI calculation to illustrate this.

The data indicate that Kulika has achieved an average income for its beneficiaries of 95.3% of the national average, and that it has achieved a gross ROI of 1.84. It should be noted that the income data on which it is based are beneficiaries’ own data and have not been subject to the same level of quality control as that noted for VAD and BRAC in Section 3.4 above.

Illustration of possible value for money metrics for the Kulika project for all three districts in the two growing seasons of 2012

Average profit per beneficiary	USD \$ 361
Average cash equivalent per beneficiary of own product consumed	USD \$ 105
Total value per beneficiary	USD \$ 468
Average income per person in Uganda	USD \$ 490 ³¹
Percentage of an average income achieved by the project	95.3%
Cost per beneficiary	£127.55
Return on investment	1.84

Recommendation: The Fund Manager, together with DFID and the Evaluation Manager, should remedy the apparent poor performance on reporting cost drivers and the use of appropriate metrics for measuring value for money, by providing improved guidance on identifying cost drivers and on developing value for money metrics.

3.5.3 VFM of the GPAF selection process

Key findings: The selection process for awarding grants demonstrates equity in making funding available to smaller organisations and enhances value for money by improving the quality of proposals, managing the process to achieve coherence between project aims and DFID's objectives and by mitigating risk. The data from the Fund Manager also shows that the application process encouraged a wide range of organisations to apply for funding. The selection process has not, however, been successful in awarding grants to organisations who work in governance, justice and conflict sectors.

At DFID's request, the evaluation examined the value for money and equity of the grantee selection process. The evidence suggests that the selection process delivers value for money in three distinct ways as follows:

- Ensuring that proposals meet value for money criteria and are benchmarked against relevant sectoral examples;
- Minimising risk to DFID; and
- Providing equitable access to DFID funds.

Value for money of the selection process

Evidence shows that the GPAF application and selection process embeds cross-cutting VFM considerations. Specifically the Fund Manager:

³¹ World Development Report: Uganda 2012 (10 November 2013). <http://www.worldbank.org/en/country/uganda>

- Allocated judgement points to concept notes and proposals against a number of criteria, including the extent to which VFM has been considered in the project design, impact on poverty, and sustainability of interventions; and
- Devised benchmarking tools and unit costs for different types of activities across different sectors in different countries allowing the Fund Manager to examine costs to outcomes, which provides a more systematic way of comparing cost per beneficiary across the portfolio.³²

Promoting equity within the selection process

In recognition that smaller organisations may have less reporting experience or capacity to respond to DFID's due diligence demands, the Fund Manager and KPMG provided additional support to ensure that new organisations could meet the requirements for funding and capture their results.

The application and selection process led by the Fund Manager provided considerable support to applicants through activities such as:

- Workshops to better inform the development of concept notes (including sub-topics on cross cutting themes like gender and value for money),³³ and
- Developing a "queried recommendation" for those applications that may be able to be approved following the provision of more information or clarifications³⁴.

Value for money of the due diligence process

In addition to the selection process overseen by the Fund Manager, recommended proposals were subject to a due diligence assessment by KPMG. This added value and mitigated risk to DFID. KPMG was not part of the initial selection process, but assessed the capacity of recommended organisations to achieve the results specified in their proposals suggest. Specifically, KPMG reviewed the:

- Programmatic capacity of each organisation to deliver the grant;
- Financial management of the grant (including procurement procedures and management of sub-grants); and
- Capacity of organisations to record results and to measure impact.

The potential existed for overlap between the assessments carried out by the Fund Manager and those undertaken during the due diligence process. Both KPMG and the Fund Manager acknowledged that there were overlaps of their roles in the initial rounds, but all stakeholders, including DFID, indicated that these issues have now been resolved.

KPMG also noted weaknesses in the ability of grantees to compare alternative methods of achieving their objectives which is an important aspect of assessing value for money. KPMG perceives that the justification grantees provide for their methods appears more formalistic than analytical. Improving the rigour of this comparison exercise may further strengthen the value for money of the Fund.

³² DFID Civil Society Department (CSD) corroborated that that Fund Manager's benchmarking enabled the Fund Manager and DFID CSD to identify outliers and question why costs might be higher in some instances rather than others and why these higher costs might be justified (e.g. working with the disabled in remote locations).

³³ Applicants who were unable to meet these criteria to withdraw at concept note stage without incurring the costs of developing full proposals.

³⁴ This was originally introduced for Innovation Window applications who may be applying to DFID funding for the first time. However, it was then extended to the Impact Window, because it was proving to be a tool to promote equity in applications, especially those with lower proposal writing capacity

Recommendation: Grantees should be asked to rigorously justify their proposed methods for achieving their objectives by comparing them with the cost-effectiveness of alternative methods. It appears that the timing of this exercise should occur as part of the Fund Manager’s “set-up” process with grantees.

Success rates of the selection process

The selection process for GPAF grantees reflects DFID’s objectives to fund UK and non-UK organisations that can deliver at scale even if they are not particularly innovative. DFID’s other primary objective for the GPAF was to enable funding to be accessible to smaller organisations and to those organisations that had not previously qualified for DFID funding. In both instances, the selection process successfully contributed to fulfilling these objectives with the qualification that smaller grantees in fact were not especially successful at innovation.

Data provided by the Fund Manager indicated that the GPAF was successful, in both the Impact and Innovation Windows, in awarding grants to organisations of different sizes, including those that are new to DFID funding³⁵. Within the smaller window, 45 grants have been awarded to 42 organisations. Of these, a total of 36 organisations (86%) are new to DFID funding.³⁶

The two areas of work where the most grants have been awarded are similar across both windows; Health/Nutrition (28% of all awarded grants) and Agriculture/Food Security (21% of all awarded grants).³⁷ By contrast, few governance, justice and conflict proposals have been submitted or awarded grants across both windows. This may be partly explained by the inclusion of governance, justice and conflict projects only more recently as one of the accepted approaches to achieving MDGs.

Recommendation: The Fund Manager, together with DFID, may want to remedy under-representation of the governance, justice and conflict focus by specifically encouraging applications from projects of this nature.

3.6 Patterns in the data

Key findings: There were few overall patterns in the data. There is no pattern between ratings against the evaluation criteria and the size of the organization, the size of the grant or the approach to work. The only evident correlation concerned the sector of work, with technically-based sectors, such as water and health, rating strongly against the Evaluation Framework and income generation projects rating weakly.

³⁵ Impact grants were significantly more likely to be awarded grants if their organisational size was over £1 million; however, there is not a significant difference in the rate of grants awarded to organisations above this size. Nearly half of all Innovation Window concept note submissions were from very small organisations with an annual turnover less than £50,000. Applicants of this size were only rarely successful in being awarded a grant (less than 2% of those organisations who submitted concept notes were eventually awarded grants).

³⁶ DFID identified reaching new organisations as a key achievement. DFID also noted other achievements, including the fact that the Fund is supporting organisations beyond the UK and is helping to raise standards in the sector by requiring all GPAF grantees to be compliant with the Independent Aid Transparency Initiative (IATI) requirements.

³⁷ The ratios of grants submitted to grants awarded across both of these areas are similar.

The data from the assessments of the Annual Reports was examined to identify any consistent patterns of performance against the Evaluation Framework. Overall, there was no significant correlation between the size of organisation and the overall rating shown in Table 13. However, Table 13 shows that larger organisations rated relatively higher than other organisations against the Evaluation Framework criteria under Relevance and in the quality of evidence that was submitted. These findings are likely explained by the ability of larger organisations to draw on greater pools of resources for research and more established systems and processes for reporting evidence.³⁸

Table 13: Effect of organisational size on evaluation ratings

Organisation size	Relevance	Effectiveness	Sustainability	Impact	Efficiency	Overall	Evidence quality
Small							
Medium							
Large							

Source: April 2013 GPAF Annual Report assessments

The delivery approach used by the grantees was also examined to see whether this linked with the ratings (see Table 14). A project’s delivery approach was identified by examining its outputs. Where the outputs predominantly described capacity building beneficiaries at the community level, provision of materials or of services, the approach was categorised as “Direct”. Where the outputs predominantly described facilitating access, advocacy, awareness raising, community engagement, empowerment, governance, learning, or livelihood support/ income generation, the approach was categorised as “Indirect”. There was no noteworthy difference between the ratings for organisations working directly and those working indirectly.

Table 14: Effect of approach to work on evaluation ratings

Approach	Relevance	Effectiveness	Sustainability	Impact	Efficiency	Overall	Evidence quality
Direct							
Indirect							

Source: April 2013 GPAF Annual Report assessments

³⁸ As noted in Section 2.3, generally it was difficult to assess the extent to which the statements in the Annual Reports were supported by evidence owing to the limitations of the reporting template.

The only discernible pattern in the data was in relation to the sector in which an organisation works. Technical projects such as health and water projects achieved higher ratings than those for income generation or rural livelihoods, as shown in Table 15. With so few projects falling into each category, this pattern may not prove to be robust and should not be used as a basis for biasing future selection towards such projects, particularly given the importance of other sectors of work and the priority given to achieving a balanced response to poverty.

Table 15: Effect of sector of work on evaluation ratings

Approach	Relevance	Effectiveness	Sustainability	Impact	Efficiency	Overall	Evidence quality
Income generation							
Education							
Rural livelihood							
Health							
Water							

Source: April 2013 GPAF Annual Report assessments

The ratings for the sectors childcare and disability have been excluded from the analysis in Table 15, since there was a single project in each category.

The data was also examined for correlations within the categories. In particular, whether there was any correlation between the ratings for effectiveness and those for working with others, monitoring and evaluation, and for efficiency. No such correlations were found.

3.7 Accuracy of reporting

Key findings: the verification visits found that the Annual Reports of the selected field visit projects are a fair representation of achievement. The Evaluation Team also observed other noteworthy activities and effects that are not being reported, including examples of unintended consequences, additional learning, innovation and beneficiary-led monitoring.

The overarching purpose behind the verification visits was twofold: to verify whether the Annual Reports were a fair representation of achievements of the selected projects; and to determine if the achievements described in the reports are corroborated by stakeholders and beneficiaries.

In all four visits, the Annual Report was found to be a fair representation of achievements, but in three of them, the Evaluation Team found much that was not being reported. All four visits to project partners and beneficiaries similarly confirmed the achievements being reported (refer to Beneficiary appraisals in Section 3.1.4). The verification visits also highlighted how much more grantees are achieving and learning than is being reported.

The verification visits confirmed the pattern evident in the data from the Annual Reports that the Fund was performing very well with regards to its responsiveness to the MDGs, monitoring and evaluation, and capacity building, while weaker on gender mainstreaming activities and measuring value for money. The Evaluation Team noted that the necessary evidence was not always fully available in the Annual Reports, and that estimations had to be made as to how plausible some conclusions were. This is not necessarily a reflection of the quality of the evidence provided by grantees as it may also reflect the constraints of a short reporting format and the need for more guidance. While it would not be effective to increase the length of the format, it would be worth appending standard tools and methods to the proposal, which would allow independent reviewers to assess the quality of evidence being provided.

3.7.1 Reporting on unintended outcomes

Some unintended outcomes are potentially foreseeable, such as the gender friction that accompanied the early stages of the TAO project. Kulika, TAO's implementing partner, was aware of the problem, and adjusted the project accordingly, although it was not reported. But unintended outcomes that may be anticipated are not systematically monitored, and some projects were not aware of the possibility of doing this. Another example is the potential for children's school attendance or performance to suffer in income generation projects as a result of increased requirements for children's labour.

Other unintended outcomes are less foreseeable, but nonetheless visible to project staff who are in regular contact with beneficiaries. Again, the TAO project provides an example, in the unintended impact on beneficiary welfare. This was not reflected in the report, and no indicator was developed to provide objective confirmation of this effect.

3.7.2 Reporting on beneficiary voices

The Annual Report section on beneficiary feedback is not being used to best effect. In most reports, procedures are described rather than evidence provided from beneficiaries. In all the verification visits, discussions with beneficiaries fully confirmed both the projects' achievements and, in some cases, provided evidence of unintended outcomes being delivered.

In the cases of all four verification visits, projects were involving beneficiaries in monitoring project outputs and outcomes, which was not evident from their reports.

3.7.3 Reporting on learning and innovation

The potential of the Annual Report section on learning is also not being used to best effect. The reported learning is not, in general, specific or innovative. However, the verification visits revealed considerably more learning than was initially apparent. One example is the ability of VAD, the implementing partner of MRDF to measure the efficacy of beneficiary-led monitoring through data collection on the error rate and staff time spent in quality assurance. VAD's data, suggesting an error rate of 50% and staff time between 50% and 66% in quality assurance, is of major consequence to other organizations involving beneficiaries in this way. Although BRAC Tanzania did not

systematically measure error rates or staff costs relating to quality assurance and inspection, discussions with the Evaluation Team suggested similar issues to those experienced by VAD. Both BRAC and Oxfam India have invested heavily in multi-step data verification systems.

The poor quality of the learning reporting would seem to reflect, at least in part, grantees being unaware of what constituted “relevant” learning. The TAO project reported as innovation the formation of farmer groups rather than their linkage to the market, the latter of which has brought its farmer beneficiaries up to nearly the average Ugandan average. This suggests that more guidance on this aspect would be helpful to grantees

3.7.4 Reporting on value for money and use of data

The verification visits suggested that existing data was not being used to best effect, particularly with respect to measuring value for money. In part, this reflects a weakness in the reporting template. The template has separate sections for reporting economy, efficiency and effectiveness. This discourages analysis of value for money, which should demonstrate links between costs and effectiveness.

Perhaps reflecting a lack of guidance on this point, the verification visits suggested that better evidence of value for money was possible than that presented. At present, only unit costs are available, and few organisations are benchmarking their costs. The Evaluation Manager found that calculating the cost per beneficiary is a notoriously misleading statistic unless it also accompanied by details of the rationale for the costs used to build the unit of analysis.

Respondents in the online survey were asked, as an optional question, whether there was anything they felt was not adequately covered by the reporting template. Sixteen organisations responded, as shown in Table 16.

Table 16: What is not adequately covered in the Annual Report template

Response	Response rate
Template is adequate	5
Does not allow for case studies or success stories	3
Unintended outcomes such as women’s empowerment	2
Complaint - reporting burden on small organisations	2
Complaint – the template is not friendly and cannot be adjusted	1
Information noted that could have been reported in the template	3

Source: June 2013 GPAF online survey

Grantees suggested few additions to the template. The Evaluation Team found this surprising given the high level of unreported effects observed during the verification visits. The two main additions that grantees suggest for inclusion in the template is additional space for case studies and reporting against unintended outcomes. Grantee-led case studies are generally of unknown representativeness and objectivity, however the inclusion of space to allow grantees to explain a “typical” change as result of their projects could add useful qualitative evidence.

Recommendations for revisions to the Annual Report template:

- Include a methodological annex to allow reviewers to assess the quality of standard tools used;
- Include a section for grantees to demonstrate the additionality of funding and provide guidance for how this can be approached;
- Include space for grantees to describe a “typical change” to help illustrate the effects they produce for beneficiaries, although the Evaluation Manager recognises that the Programme Partnership Arrangement (PPA) agencies have previously found this difficult;
- Re-work the value for money section, removing the separation of reporting against economy, efficiency and effectiveness, to facilitate a connected analysis relating costs to performance, while still allowing reporting against the “3Es”; and
- Encourage grantees to consider methods for objectively measuring subjective and qualitative data such as well-being.

4. CONCLUSIONS

4.1 Fund performance against objectives

The GPAF’s Impact and Innovation Windows are both successfully contributing to the Fund’s overarching objective of poverty reduction and addressing off-track MDGs. While it is too early to assess outcome level performance across the entire Fund, the sampled projects are already delivering results effectively at outcome level, as was evident in the Annual Reports and corroborated through other data sources, in particular the verification visits.

DFID’s strategy to encourage diversity within the GPAF and fund the best projects in the sector has been successful. This success was enabled primarily through the Fund Manager’s extensive oversight during the application process, followed by further support to grantees after they had been awarded projects. The due diligence screening and organisational strengthening efforts undertaken by KPMG have similarly contributed to the Fund’s success. Together these management processes have ensured that:

- Project selection was equitable and funded a wide range of organisations working in different sectors, including those that had not received DFID funding before;
- Project selection included numerous value for money criteria and unit cost benchmarking to ensure the cost-effectiveness of projects;
- Project approaches were consistent with DFID’s objectives relating to the MDGs;
- Project logframes were sound and captured the intervention’s logic; and
- Projects had the systems and capacity to deliver what was presented in their proposals.

Beyond addressing MDG’s, the GPAF has specific goals for both the Impact and Innovation Windows. The Impact Window’s primary objective to deliver at scale to benefit poor and marginalised people has been realised. This was evident in the Annual Reports and corroborated by a range of stakeholders, including beneficiaries. Following the first round of funding, learning and innovation

objectives were also included as goals for the Impact Window. The Impact Window is generally not reporting learning of consequence to be shared with the sector as a whole, although it was evident in the verification visits that more learning is occurring than is being reported. Impact Window projects did, however, demonstrate examples of innovation that could be successfully scaled up and applied to other projects.

The Innovation Window's primary objective of benefiting poor and marginalised people has similarly been achieved. The Innovation Window has not generally been as successful in fostering innovation and generating learning that can be scaled up as had been envisioned. This inability of the GPAF to fund innovative projects through the Innovation Window led to the development of the Community Partnerships Window, which succeeded the Innovation Window in 2013.

4.2 Relevance - Evaluation question: Does the GPAF portfolio fit with DFID's overarching objective of poverty alleviation?

The Fund has been effective to date in targeting off-track MDGs in line with DFID's overarching objectives for the GPAF. This goal has been accomplished through an application process managed by the Fund Manager that requires applicants to link their projects to the MDGs. The Fund similarly appears to be targeting the poor and marginalised. However, the identification of target groups often lacked in-depth socio-economic baseline research and analysis. This lack of analysis raises the risk that some projects may not be targeting the needs of the poorest and most marginalised as well as they could be.

Gender mainstreaming in projects is weak across both funding windows. The evaluation found that the design, implementation and reporting of gender responsive activities is largely driven by a focus on gender through the definition and measurement of indicators in the logframe, rather than on broader gender mainstreaming approaches relating to change in power relationships. The online survey showed that project teams often lacked tools and trained staff for mainstreaming gender across project activities. This finding was supported by the findings from the verification visits.

Neither Impact nor Innovation Window grantees are effectively monitoring and reporting unintended outcomes. Risks related to negative unintended outcomes are identified as part of the logframe development phase, but these are generally not monitored beyond an update of the risk matrices as part of the annual reporting requirements. This shortcoming prohibits projects from learning about unintended outcomes and adjusting their project designs and delivery as needed. Despite an absence of unintended outcome reporting, the verification visits confirmed the presence of either unknown or under-reported unintended effects. The verification visits also illustrated the difficulty that some projects faced in rigorously reporting "hard to measure" qualitative effects, such as changes in people's sense of well-being.

4.3 Effectiveness - Evaluation question: To what extent has the GPAF achieved its objectives?

The GPAF Impact Window in particular is reaching and benefiting people in line with the Fund's objectives. The assessed portfolio of 33 projects has benefited 1,827,728 people according to the Annual Reports. This number represents 48% of the total beneficiary targets from the sampled project

proposals (3,776,452), a reasonable percentage at the mid-term stage, and is mostly attributable to Impact Window projects that are successfully delivering activities at scale³⁹.

GPAF projects are working with a range of different partners, a practice that provides them with greater access to local knowledge and increases their geographic access and trust among target populations. The evaluation found that the type of partnership relationships put in place also had had an effect on project delivery. Across the Fund, projects acting with implementing partners were rated as performing better against the effectiveness evaluation criteria than those that worked on their own. Similarly, projects that worked with CSOs tended to perform better than those projects that collaborated with other types of implementing partners (e.g. private sector or government partners). Such findings support the hypothesis that particular characteristics of the ways in which CSOs work enable them to deliver the type of activities required to reach and benefit poor and marginalised groups.

The projects being funded tend to under-perform in relation to meeting their targeted milestones. However, the current underperformance does not necessarily indicate that the Fund is off-track in the longer term. Delays in start-up activities, such as conducting baselines and external factors relating to natural disasters and conflict are among the different reasons cited in the Annual Reports and the online survey. Despite these issues, most projects reported that they would be on-track to meet milestones within the next year and the Fund Manager, whose performance scoring of projects is primarily based on the achievements of milestones, identified only two projects that it considered to be performing poorly overall.

The smaller organisations targeted through the Innovation Window failed to be particularly innovative despite the Window's stated purpose. By contrast, larger organisations in the Impact Window tended to report more compelling examples of innovation. This may be because larger organisations have budgets that afford them the possibility to take more risks than smaller organisations and to disseminate information to broader networks. Larger organisations may also be more experienced and better at reporting innovation. DFID recognised the Innovation Window's weakness in relation to innovation and replaced it with the Community Partnership Window which seeks to disburse grants to a wide range of organisations in terms of size and experience of DFID funding.

Neither the Impact nor the Innovation Windows are generally capturing or sharing learning of particular consequence for the sector as per the Fund's objectives. Although all projects were asked to report on learning in their Annual Reports, analysis of the quality and utility of the learning, indicates that projects are generally providing mostly generic lessons. However, the verification visits illustrated that projects may be learning more than is being reported. It is possible that grantees are unfamiliar with what might constitute useful learning and have insufficient guidance on how to describe their learning in the Annual Report template.

³⁹ Despite the high number of reported beneficiaries, the Evaluation Manager has not been able to account for some discrepancies in the reported beneficiary numbers. The analysis of the Annual Reports revealed broad interpretations as to what constituted direct versus indirect beneficiaries, with number of reported indirect beneficiaries appearing particularly inflated. The total number of direct beneficiaries from Annex A of the Annual Reports should match the total number of direct beneficiaries reported in Annex B of the Annual Reports, however these numbers often varied.

4.4 Sustainability - Evaluation question: how sustainable were the activities funded by GPAF and was the programme successful in leveraging additional interest and investment?

Sustainability strategies were well-developed in project proposals and were evidently being operationalised in the four verification visits. This is of considerable importance to the overall value for money of DFID's investment. Capacity building of beneficiaries and local partners is the primary method by which sustainability is being built across the Fund which is consistent with good practice.

Roughly a third of the sampled Impact and Innovation Window projects are contributing to the sustainability of their projects by successfully leveraging additional resources. The mix of leveraging additional financial resources from other donors and in-kind contributions from target communities provides an indication of the level of interest and popular support many of these projects are receiving. The extent to which the GPAF could have leveraged more resources was not a focus of this evaluation. However, it is likely the amount of leveraged in-kind and financial resources will continue to rise as projects demonstrate more results in the latter half of their implementation phase.

Despite the sample's strengths with regards to its sustainability, risks to the application of sustainability strategies remain, particularly in relation to the role of partners who, it is anticipated, will assume responsibility for continuing activities after the end of the project. In two instances, verification visits highlighted an unacknowledged assumption by projects that local government would assume key responsibilities once the project was completed. In neither of the two instances was it evident that local government had either the capacity or were willing to take on these additional responsibilities. This finding is relevant to other projects in the Fund that have not fully assessed the extent to which other actors can or will assume additional responsibilities when projects have completed their activities.

4.5 Impact - Evaluation question: What has GPAF funding achieved that would not have been achieved without DFID funding?

The evaluation did not seek evidence of impact, but rather sought to understand how projects are establishing the systems and processes that will enable them to monitor and measure the impact of their projects. In this regard, the portfolio's performance against the evaluation criteria for monitoring and evaluation was strong, particularly in relation to the quality of logframes and developing systems for capturing data.

The high quality of project logframes is largely attributable to the support of the Fund Manager in assisting successful applicants to meet acceptable standards and supporting them to consider how to capture their results using different M&E systems. The Annual Reports and verification visits did, however, show that there is still considerable room for improvement in developing M&E systems across the Fund as many grantees are still in the process of remedying weaknesses in their baseline and monitoring data.

All four verification visits suggest that there may be more experimentation with beneficiary-led monitoring across the Fund than was initially apparent from the Annual Reports. Beneficiary-led monitoring is consistent with good practice as it both empowers beneficiaries to take ownership of their projects and builds capacity of grantees to sustain monitoring activities when the project ends (crucial, for example, for recording crop yields in agricultural production projects). The visits also illustrated the challenges in relying on beneficiary-led monitoring data, particularly in relation to the high investment of staff time and resources required to verify what is being reported.

4.6 Efficiency - Evaluation question: to what extent does DFID's investment in the GPAF represent good value for money?

Overall, the sample demonstrated reasonably good value for money predominantly by proactively managing unit costs and through the selection process. The selection process for awarding grants showed equity in making funding available to smaller organisations. This process also provided good value for money in improving the quality of proposals, managing coherence between project aims and DFID's objectives and developing effective risk mitigation strategies. The selection process has not been successful in attracting concept notes or awarding proposals to projects that focus on conflict, security or justice. The reason for this may partly be explained by the Fund's emphasis on contributing to the MDGs which do not lend themselves to including projects working in humanitarian or conflict related areas.

The sample showed weak capacity with regards to measuring value for money in both the Annual Reports and verification visits. What was reported tended to focus on economy savings rather than evidence of how costs were linked to the effectiveness and efficiency of project activities. The Annual Review format compounds this issue by divorcing economy, efficiency and effectiveness into separate sections, rather than encouraging a connected analysis that relates cost to performance.

4.7 Patterns in the data - Evaluation question: Were there any identifiable correlations underlying patterns of performance against the evaluation framework?

There were few overall patterns in the data and no correlation between performance against the evaluation criteria and the size of the organization or the size of the grant, or the approach to work. The only apparent factor that links to performance was the sector of work. Technically-based projects performed better overall than less technical projects. However, with so few projects falling into each category, the pattern may not prove to be robust and should not be used as a basis for biasing future selection towards such projects, particularly given the importance of other sectors of work and the priority given to achieving a balanced response to poverty.

4.8 Accuracy of reporting - Research question: Did the Annual Reports provide a fair representation of achievement?

The verification visits found that the Annual Reports were a fair representation of achievement, but there were significant activities and effects not being reported, including unintended consequences, additional learning, cost management, innovation and beneficiary-led monitoring. Respondents in the online survey suggested that hard to measure outcomes such as empowerment were difficult to report and recommended the inclusion of case studies. The fact that the Annual Reports do not fully reflect achievements suggests that some revisions to the report format and guidance may be useful.

5. LESSONS LEARNED

The evaluation of the sampled projects, and in particular the verification visits, identified some lessons that would be of generalisable consequence across the Fund and the sector as a whole. This section highlights key lessons learned, although others are included in the findings section.

5.1 Fund management lessons

5.1.1 Managing a civil society fund

The level of scrutiny in the selection and due diligence assessment for the GPAF and subsequent support provided afterwards indicates the type of management and investment necessary for a successful civil society challenge fund. The Fund Manager's approach to providing a capacity building function, from the application process through to project implementation, is effective because grantees must respond to feedback in order to progress their projects and they are able to establish relationships with their respective Fund Manager. Without these management processes in place, it is probable that the risk to DFID would have been substantially higher, potentially resulting in less measurable results, less coherence between projects' aims and the Fund's objectives, and potentially excluding smaller organisations from accessing funds

5.1.2 Mitigating risks to project sustainability

The sustainability of the Fund's benefits appears to largely depend on the extent to which there are actors capable of assuming responsibility for delivering or maintaining key activities once projects have completed. Much of this competency is being developed through the capacity building activities being delivered by projects as reported in the Annual Reports. The verification visits, however, found unacknowledged risks within the sustainability strategies of projects specifically related to the issue of a lack of willingness or capacity of actors to fulfil these functions. Grantees should be required to report on risks associated with their sustainability strategies, in particular those relating to the capacity of the actors that they anticipate will assume responsibility for key activities after projects are completed. Engaging government to at least some extent in project delivery was widely reported as a key success factor and as such, DFID and the Fund Manager may want to ask CSOs at the application phase to state how they intend to involve local government.

5.1.3 Improving the targeting of the poor and marginalised

The relative level of poverty and marginalisation of beneficiaries was not systematically established at the baseline stage for many projects, which increases the risk that the impacts on the poorest and most marginalised may be compromised and that results are not fully captured or understood. Project proposals were generally strong in describing the characteristics of their target groups based on a range of data sources. However, in most cases, grantees inferred the characteristics of the population as a whole rather than ascertaining the degree to which target groups and beneficiaries were poor and marginalised. The targeting of poor and marginalised groups could be strengthened further by conducting proportionate baseline and periodic research to review possible changes in the characteristics of target and beneficiary groups.

5.1.4 Encouraging gender mainstreaming

Mainstreaming gender across the GPAF requires reinforcement beyond the inclusion of gender activities, indicators and disaggregation in project logframes. DFID's efforts to promote gender mainstreaming through the grant application, assessment and management approach overseen by

the Fund Manager has been effective to some extent. This does not appear to have translated into gender specific funding priorities or attention to the gender relationships and strategic needs of women. Gender mainstreaming would be enhanced across the GPAF if it is prioritised as a Fund-level objective. Promoting Gender mainstreaming could take different paths given the broadness of the theme, however, the 2013 “Gender and the Global Poverty Action Fund” guidance note could serve as a practical tool for assessing progress against this objective.

5.1.5 Promoting innovation

There is no evidence that smaller organisations are naturally more innovative than larger organisations. Although the purpose of the evaluation did not include examining the characteristics of organisations that are able to successfully innovate, discussions with DFID and the Evaluation Team’s previous experience of working with civil society organisations, suggest that organisational size and the type of funding mechanism (i.e. restricted versus unrestricted funding) are important contributing factors to creating an enabling environment for innovation.

5.1.6 Improving project reporting

The quality of information in the Annual Reports could be enhanced through improvements in the guidance provided to grantees. The verification visits found that the Annual Reports are a fair representation of achievements. However, there are important effects which are not being captured by the reporting process. These effects include the measurement and reporting of unintended consequences, additionality, innovation and relevant learning, cost management information and beneficiary-led monitoring. Amending the template to address these under-reported areas will improve its utility for the grantee and a range of other audiences.

5.1.7 Building VFM capacity of grantees

Developing the capacity of GPAF grantees to measure value for money appears possible by providing projects with more support. Providing this support will, however, depend on the Fund Manager having the requisite resources. The verification visits found that project staff grasped the concept of cost drivers and often had access to data that would allow the development of more sophisticated value for money metrics. Grantees appeared to lack the methodological understanding of how to link costs to performance. Embedding such thinking within the application or reporting process could similarly address KPMG’s observation that grantees struggle to compare alternative methods of achieving their objectives.

5.2 M&E lessons for grantees

5.2.1 Promoting beneficiary-led monitoring

Beneficiary-led monitoring, while empowering and often central to sustainability strategies, is also challenging and resource-intensive. If projects seek to use beneficiary-led monitoring, then projects must plan and invest in verification systems to ensure data is accurate and reliable. Three verification visit projects illustrated the challenges of beneficiary-led monitoring (see Section 3.4.1), which will be of interest to all agencies considering using this approach. One project measured error rates in beneficiary data and provided estimates of the amount of staff time used to correct these errors. An initial 50% error rate was encountered with quality assurance estimated to consume half the time of the M&E officer and two thirds of the time of other field staff. The verification visit to another project suggested similar error rates and time spent on quality assurance.

5.2.2 Monitoring unintended outcomes

Unintended outcomes are probably not being monitored because they do not reflect logframe reporting requirements, nor has monitoring unintended outcomes been stressed as part of project learning objectives. Observed unintended outcomes included social tensions resulting from enhancement of the status of women and improvements in well-being. If DFID and the Fund Manager stress the importance of monitoring unintended outcomes beyond updating risk matrices, it is likely this would generate additional learning and enable projects to adapt their project designs more effectively. The quality of reporting on unintended outcomes may also be affected by the lack of capacity of some grantees to rigorously measure unintended qualitative effects, such as a person's sense of well-being. Sharing good practice to help bridge this gap in capacity is a potential area where the Evaluation Manager could provide support.

5.2.3 Applying quasi-experimental methods in evaluation

Quasi-experimental methods in evaluation can provide robust data on the impact of projects. However, these methods can also lead to findings that are less reliable and of less value if data has not been collected in a sufficiently rigorous way or if the methods have been applied under inappropriate project conditions. BRAC Tanzania (IMP 014) is unique in the GPAF portfolio in its use of comparisons between intervention and control populations to evaluate its performance and impact. The use of this impact evaluation technique has raised methodological questions about the robustness of the data (see Section 3.4.1). In particular, the use of small control groups raises the risk of inadvertently selecting individuals who do not share the overall characteristics of the beneficiary population, which then produces abnormal findings. This example will be of interest to all agencies considering the use of such methods.

5.3 Sector delivery lessons

5.3.1 Delivering Market led projects

The TAO project (INN 005), implemented by Kulika provides an excellent model of successful market-led development (see Section 3.2.2). The project was successful in being able to identify and negotiate a commonality of interests between seed millers and small farmers. It stands in contrast to many income generating projects in its careful attention to identifying markets and facilitating access to them. It is all the more noteworthy for accomplishing this in a context of post-conflict recovery. The Kulika model will be of interest to all agencies engaging in income generation projects.

5.3.2 Increasing TB and HIV counselling and testing

The South African Catholic Bishops' Conference (IMP 004) deployed volunteers in house-to-house TB and HIV testing (see section 3.2.2). This simple intervention, which eliminated the stigma of going to a clinic, is said to have significantly boosted the rates of testing, although the necessary data is not provided to verify this claim. The model developed by the project could, if the results are as claimed, provide a cost-effective method for increasing TB and HIV testing.

6. RECOMMENDATIONS

6.1 Recommendations for grantee organisations

6.1.1 Mitigating risks to project sustainability

Grantees should report on the extent to which risks to sustainability strategies are being mitigated on an annual basis. Requiring grantees to report on the capacity of the actors that they anticipate will assume responsibility for key activities after projects are completed will help mitigate risks, particularly for projects whose strategies are dependent on other actors assuming key responsibilities, such as other agencies for delivering services or some sort of commitment by beneficiary groups themselves. Grantees should also explain during the application process how they intend to involve local government (where appropriate), and to monitor the extent to which this is occurring through annual reporting.

6.2 Recommendations for fund management

6.2.1 Promoting cost effectiveness

Grantees who are awarded grants should be asked to justify their proposed methods for achieving their objectives by comparing it with the cost-effectiveness of alternative methods. The Fund Manager possesses relevant benchmarking data which could be expanded to facilitate this exercise. This exercise should occur as part of the Fund Manager's grant "set-up" process. Encouraging grantees to link their performance requirements to costs may also encourage improved value for money reporting in Annual Reports.

6.3 Recommendations for M&E

6.3.1 Improving the socio-economic analysis of targets and beneficiaries

DFID, the Fund Manager and the Evaluation Manager should support GPAF grantees to improve the socio-economic analysis of target beneficiaries to ensure that the needs of poor and marginalised are being addressed. It should be possible for grantees of all sizes to find a method for analysing the basic profiles of target populations which is proportionate and cost effective. The support to grantees could include providing best practice guidance on how to conduct baseline research and how to commission external research.

6.3.2 Improving project reporting

The Fund Manager, together with DFID and the Evaluation Manager, should improve guidance on how grantees report innovation and learning. This should include sharing specific examples of good practice and explaining why these examples are relevant and helpful. A methodological annex should also be included to allow reviewers to help understand standard of tools used to report results. Further additions to the template should include a section that asks grantees to demonstrate the additionality of their projects, particularly in preparation for their final project evaluations, and a "typical" change Section that provides narrative text on how change happens.

6.3.3 Building VFM capacity of grantees

The VFM section of the Annual Report template should be amended to address the separation of reporting requirements against economy, efficiency and effectiveness criteria (equity is addressed more broadly throughout the reporting template). This amendment would facilitate analysis that better

relates costs to performance. Improved guidance on how to make these links would also be valuable and should be provided by the Fund Manager together with the Evaluation Manager. This could take the form of VFM surgeries providing individual grantees with support and guidance tailored to their projects.

6.3.4 Promoting beneficiary-led monitoring

The Fund Manager, together with DFID, should continue to encourage the practice of beneficiary-led monitoring, particularly when it has empowerment effects and implications for the sustainability strategies of projects. Against the advantages of beneficiary-led monitoring, projects should also consider the level of investment and capacity required to produce data that is sufficiently accurate and reliable for the different ways in which may be used. Requiring applicants to explain how they will ensure that data collected by beneficiaries will be valid and reliable may help ensure there is sufficient planning and resources devoted to this task.

6.3.5 Monitoring unintended outcomes

The Fund Manager, together with the Evaluation Manager, should consider the development of additional guidance to advise grantees on how best to identify, measure and report unintended outcomes and less tangible qualitative outcomes.

6.4 Recommendations for the Fund

6.4.1 Managing a civil society fund

The Fund Manager, together with DFID, may want to remedy under-representation of governance, justice and conflict focus projects by specifically soliciting applications from these sectors. Weighting the project assessment criteria in favour of these projects will also mitigate the fact they do not usually respond as directly to MDGs. Such an approach would, however, affect an otherwise open challenge fund.

6.4.2 Encouraging gender mainstreaming

The Fund Manager, together with DFID, should promote greater attention to other aspects of gender mainstreaming such as those identified in the 2013 “Gender and the Global Poverty Action Fund” guidance note⁴⁰. This can be achieved by making gender mainstreaming a key objective of the GPAF. Through the due diligence process, organisations could be required to demonstrate that they are using analytical tools to identify the different needs and priorities of women and men, boys and girls, as well as promoting gender skills and competences among staff and partners of funded organisations. This would encourage projects to appropriately budget and resource gender mainstreaming from the outset and facilitate better reporting in their Annual Reports

⁴⁰ This guidance is also consistent with the recent “International Development (Gender Equality) Act 2014”.

Annexes: A-K
GPAF Mid-Term Evaluation Report



ANNEX A - THEORIES OF CHANGE: PROGRAMME PARTNERSHIP ARRANGEMENTS AND GLOBAL POVERTY ACTION FUND

Coffey International Development is the Evaluation Manager for the Programme Partnership Arrangements (PPAs) and Global Poverty Action Fund (GPAF) and in this role is responsible for ensuring that robust and independent evaluation is applied across the GPAF and PPA portfolios at both grantee and fund level.

Coffey's Evaluation Strategy is based on DFID's strategic rationale for supporting civil society and the way in which civil society organisations are funded. This rationale is captured and articulated in two theories of change which outline the rationale for supporting civil society, the intended results, and the rationale for funding modalities. The Causal Theory of Change addresses the question why should DFID support civil society? and the Business Case Theory of Change considers how should DFID fund civil society organisations?

The theories of change were developed in consultation with DFID and a range of other stakeholders and are based on assumptions and hypotheses relating to the relationships between organisations, funding, interventions, civil society, the poor and poverty alleviation. The Evaluation will test these assumptions through primary and secondary research and provide DFID with insights into the most effective way to fund civil society in order to achieve its overarching objectives.

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

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

£120 million over 3 years

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

PPA

£360 million over 3 years

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

OUTCOMES

	GPAF	PPA
RESULTS	Enhanced delivery of results which change lives and provide value for money	Enhanced delivery of results which provide value for money; flexibility
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 B: GPAF Mid-Term Evaluation Framework

1. Relevance: Does the GPAF portfolio fit with DFID's overarching objective of poverty alleviation?		Criteria	Indicators	Definitions and notes	Data Source(s)	
1.1	To what extent are grantees supporting achievement towards the MDGs, specifically off-track MDGS?	1.1.1	1.1.1.1	Grantee proposals identify and provide a rationale for the MDGs the project will contribute to.	An MDG may be on-track or off-track nationally. But what counts is the extent to which it is on-track locally in the project area of operation. This will be assessed in verification visits.	• Project proposals
			1.1.1.2	Grantee proposals identify specific off-track MDGs in the project country of operation to target. (Cross-check with 2.6.1.1)		• Project proposals
		1.1.2	1.1.2.1	Grantee proposals establish how they will deliver activities, goods and services effectively and efficiently to support the achievement of MDGs.		• Project proposals • Annual Reviews
			1.1.2.2	Grantee log frame output indicators measure contribution to the MDGs highlighted in the project proposal.		• Project logframes
1.2	To what extent have grantees targeted and reached the poor and marginalised?	1.2.1	1.2.1.1	Grantee proposal defines the poor and marginalised groups they are targeting.	<p>Poverty is defined in the 1995 Copenhagen Declaration as "deprivation of basic human needs, including food, safe drinking water, sanitation facilities, health, shelter, education and information. It depends not only on income but also on access to social services"</p> <p>Marginalisation (also known as social exclusion) is defined as in the Merriam Webster dictionary</p>	• Project proposals
			1.2.1.2	Grantee proposal establishes a logical link between the groups targeted and the problem they are trying to address.		• Project proposals
		1.2.2	1.2.2.1	Grantees are able to define 'reach' in terms of the quality of participation of beneficiaries in their intervention.		• Project logframes • Annual Reviews

				1.2.2.2	Proportion of the target population participating in or benefiting from the project.	as "releg(action) to an unimportant or powerless position within a society or group" Quality of participation refers to the extent to which beneficiaries are really engaged by the intervention. For example, if there is an intervention to train a group of teachers in an area, it might not be expected that students in a school would be 'reached' unless they had been educated by one of the trained teachers Note: it may be too early to see much in the way of outcomes and thus to measure 1.2.3.2	<ul style="list-style-type: none"> • Project logframes • Annual Reviews 		
				1.2.2.3	Proportion of the target population defined as "poor and marginalised" among all project beneficiaries.		<ul style="list-style-type: none"> • Annual Reviews • Project proposals 		
				1.2.2.4	Proportion of grantee funds received by those defined as "poor and marginalised"		<ul style="list-style-type: none"> • Annual Reviews • Project proposals 		
				1.2.3	Extent to which PPA and GPAF grantees 'benefit' the poor and marginalised		1.2.3.1	Quality of the grantee's assessment of causal links between project activities and effects on the lives of the poor and marginalised.	<ul style="list-style-type: none"> • Annual Reviews • Project logframes • Project proposals
							1.2.3.2	Quality of evidence provided by grantees to demonstrate outputs that have been achieved as a result of project activities.	<ul style="list-style-type: none"> • Annual Reviews • Project logframes • Project proposals
				1.3	To what extent are grantees mainstreaming gender equality in the design and delivery of activities (and or other relevant excluded groups)?		1.3.1	Extent to which grantees have adopted organisation-wide gender mainstreaming practices.	1.3.1.1
1.3.1.2	Evidence that Grantees have an Action Plan or corporate strategy for gender equality.	<ul style="list-style-type: none"> • Annual Reviews • Project proposals • Online surveys • Verification visits 							
1.3.1.3	Gender competence in staff resources.	<ul style="list-style-type: none"> • Annual Reviews • Project proposals • Online surveys • Verification visits 							

GLOBAL POVERTY ACTION FUND MID-TERM EVALUATION REPORT

		1.3.2	Extent to which grantees include provision for gender in the design and delivery of activities.	1.3.2.1	Evidence that the different needs and priorities of women, men, boys and girls have been identified and are being addressed	The distinct needs of women and girls might include child marriage, FGM, access to schooling, access to economic assets, access to decision-making	<ul style="list-style-type: none"> Annual Reviews Project proposals Online surveys Verification visits
				1.3.2.2	Quality and number of specific gender outcome and output indicators, and gender and age disaggregation of data, defined in the project log frame.		<ul style="list-style-type: none"> Project logframes
1.4	How are grantees ensuring activities respond to the needs of their target beneficiaries?	1.4.1	Extent to which the grantee contributes to the needs and priorities of their target beneficiaries.	1.4.1.1	Extent to which beneficiaries consider activities provided as relevant to their needs and priorities, by type of activity.	It may not be possible in verification visits to discuss with a statistically significant sample of beneficiaries. Care should be taken to ensure that the sample in the FGD are representative, and preferably that they are aware of the views of other beneficiaries	<ul style="list-style-type: none"> Annual Reviews Verification visits
1.5	To what extent and how has the project affected people in ways that were not originally intended?	1.5.1	Extent to which the project has had unintended effects on people.	1.5.1.1	Evidence of the type and quality of unintended consequences that the project had on people.	Note: no unintended effects is an acceptable result, provided that a sufficiently rigorous assessment has been made	<ul style="list-style-type: none"> Annual Reviews Verification visits Online surveys
				1.5.1.2	Evidence of the magnitude of unintended consequences that the project had on people.	Note: these indicators are intentionally loosely defined to allow for a variety of unintended effects	<ul style="list-style-type: none"> Annual Reviews Verification visits Online surveys
2. Effectiveness: To what extent has the GPAF achieved its objectives?							
			Criteria		Indicators	Definitions and notes	Data Sources
2.1	To what extent are projects delivering activities that are value for money with regards to their economy and efficiency?	2.1.1	Extent to which projects deliver activities that are value for money in terms of Economy and Efficiency.	2.1.1.1	Cost per unit targeted per year.	Note: It is important to be judicious in interpretation of these ratios and provide commentary on what they mean. There may be legitimate reasons why the cost ratios are high	<ul style="list-style-type: none"> Annual Reviews Project logframes
				2.1.1.2	Cost per project-specific output (output unit cost).		<ul style="list-style-type: none"> Annual Reviews Project logframes
				2.1.1.3	Cost per project-specific input (input unit cost).		<ul style="list-style-type: none"> Annual Reviews Project logframes

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2.2	To what extent are projects learning from the delivery process and adapting their activities as a result?	2.2.1	Extent to which grantees learn from the delivery process	2.2.1.1	Number of grantees who identify lessons learned from the delivery process.	Note: a comparison between Innovation and Impact windows will be instructive here	<ul style="list-style-type: none"> Annual Reviews Verification visits
				2.2.1.2	Type of lessons learned from project delivery as reported by grantees.		<ul style="list-style-type: none"> Annual Reviews Verification visits
		2.2.2	Extent to which grantees adapt their activities on the basis of lessons learned	2.2.2.1	Number of grantees who have adapted their activities as a result of the lessons learned at the evaluation stage.		<ul style="list-style-type: none"> Annual Reviews Verification visits
				2.2.2.2	Type of adaptations made by grantees as a result of the lessons learned.		<ul style="list-style-type: none"> Annual Reviews Verification visits
2.3	What are the key drivers and barriers affecting the delivery of results?	2.3.1	The extent to which grantees are identifying drivers and barriers	2.3.1.1	Types of drivers and barriers identified by grantees and their effects on the delivery of results.	A driver of results means a factor which positively influences the achievement of results A barrier to results means a factor which negatively influences or impedes the achievement of results Note: we will not know how relevant this identification is until we can see its impact on results at final evaluation stage	<ul style="list-style-type: none"> Annual Reviews Online surveys Verification visits
				2.3.1.2	Number of grantees identifying a similar driver/barrier, by type of driver/barrier.		<ul style="list-style-type: none"> Annual Reviews Online surveys Verification visits
2.4	Are there organisational characteristics that enable the civil society organisations to reach their target groups more effectively than other types of organisations?	2.4.1	Extent to which certain organisational characteristics of civil society organisations relate to more effective targeting in comparison with other organisations.	2.4.1.1	Evidence that organisational characteristics of the grantee contribute to reaching target groups more effectively than other types of organisations.	For example, this might include demonstration of special legitimacy enjoyed by the grantee with target groups, or independence of political or commercial interest, or ability to access hard to reach groups, or ability to perform more cost-effectively. There may be others, and this question is therefore left open-ended	<ul style="list-style-type: none"> Annual Reviews Online surveys
				2.4.2.2	Portfolio analysis to establish correlation between characteristics and targeting outcomes.		<ul style="list-style-type: none"> Annual Reviews Online surveys
2.5	In what ways have grantees worked with others to enable them	2.5.1.	Extent to which certain types of cooperation relate to more effective project delivery.(cross	2.5.1.1	Number of cooperation(s) grantees engage in to effectively deliver activities.	Working relationships with others are categorized in the GPAF programme into three	<ul style="list-style-type: none"> Annual Reviews Online surveys

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	to effectively deliver their activities?		check with 3.2.1)	2.5.1.2	Type of cooperation that grantees maintained with others to effectively deliver results.	types Consortia refers only to formal entities, with a legal agreement created by several organisations to accomplish the work Implementation partners refers only to partners who receive and manage GPAF funds Collaboration partners refers to those who collaborate in the work but do not receive GPAF funds Consideration will be given in the survey and verification visits to obtaining data from implementation partners	<ul style="list-style-type: none"> • Annual Reviews • Online surveys
				2.5.1.3	Nature of the cooperating entities (government, CSO, private sector).		<ul style="list-style-type: none"> • Annual Reviews • Online surveys
				2.5.1.4	Grantee's perception of the benefits arising from working with others to deliver results.		
				2.5.1.5	Portfolio analysis to establish correlation between types of cooperation(s) and effectiveness indicators .		<ul style="list-style-type: none"> • Annual Reviews • Project logframes • Online surveys
2.6	To what extent do the activities and services being delivered by grantees continue to align with the intended objectives of the fund??	2.6.1	Extent to which grantees are on track with their plans.	2.6.1.1	Evidence that grantees are delivering activities to support the achievement of the MDGs targeted by outcomes in the logframe (cross check with 1.1.1.2).		<ul style="list-style-type: none"> • Annual Reviews • Project logframes • Verification visits
				2.6.1.2	Number and percentage of March 2013 output milestones met.		<ul style="list-style-type: none"> • Annual Reviews • Project logframes

		2.6.2	To what extent did grantees encourage innovation by creating or implementing new or improved processes, products, services, methods of delivery or other aspects of an approach that result in significant improvements in impact, outcomes, efficiency, effectiveness or quality?	2.6.2.1	Evidence that grantees created or implemented new or improved processes, products, services, methods of delivery or other aspects of an approach.	<p>Innovation is a special type of learning. It is distinguished from learning in general by novelty. The Guidelines for the Innovation Window (Round 4, Guidelines for Applicant, 14 May 2012) recognize two types of innovation</p> <p>(1) "Innovation does not necessarily mean 'brand new' but could be an approach applied for the first time in a particular country or countries; or new ways of applying/adapting/developing an existing technique or initiative."</p> <p>(2) "We also understand innovation to mean experimentation, with the risk of failure (as long as lessons are clearly learned and the implications of failure are appropriately considered); inspiration which is the creative process of looking at entrenched problems with fresh eyes; genuine participation of people most affected by a problem to release more energy for ideas; use of appropriate partnership models; and from looking more at what works and why"</p>	<ul style="list-style-type: none"> • Annual Reviews • Verification visits
				2.6.2.2	Number of innovations.		<ul style="list-style-type: none"> • Annual Reviews • Verification visits

				2.6.2.3	Evidence to demonstrate the selected innovative approach resulted in significant improvements in impact, outcomes, efficiency, effectiveness or quality.	<p>Note that innovation was only added as an objective to the Impact Window in subsequent rounds. A comparison between the windows will be instructive</p>	<ul style="list-style-type: none"> • Annual Reviews • Verification visits
	2.6.3	IMPACT GRANTEES ONLY To what extent Impact Grantees deliver activities at	2.6.3.1	Number of beneficiaries reached.	The impact grants, being less risky, are on average intended to deliver goods and services at		<ul style="list-style-type: none"> • Annual reviews • Project logframes

		scale			greater scale than the innovation grants. This is true on average, with a planned 135,418 beneficiaries per impact project, compared with 4,166 per innovation project. However, the variance is large within each groups. Therefore cost per beneficiary is a better measure. For the impact window the average cost per planned beneficiary is £23.32 (excluding two projects with very high costs) and the median is £14.63. The costs range from £0.88 at the lowest to £84.25 at the highest. A figure of less than £40 (which encompasses more than 75% of the plans) will be taken as a benchmark. Note: These indicators should be given a nuanced interpretation, as there may be legitimate reasons for high costs per beneficiary (such as added expense in reaching remote populations)	<ul style="list-style-type: none"> • Annual reviews • Project logframes
	2.6.4	To what extent have grantees developed new skills and competences	2.6.4.1	Number of new competences and skills.		<ul style="list-style-type: none"> • Online surveys
			2.6.4.2	Type of new competences and skills.		<ul style="list-style-type: none"> • Online surveys
	2.6.5	Extent to which grantees delivered activities that are focused on, empowerment and accountability, and conflict, security and justice.	2.6.5.1	Evidence that interventions were focused on empowerment and accountability.		<ul style="list-style-type: none"> • Annual reviews • Project proposals • Project logframes
			2.6.5.2	Evidence that interventions focused on conflict, security and justice.		<ul style="list-style-type: none"> • Annual reviews • Project proposals • Project logframes

3. Sustainability: How sustainable were the activities funded by GPAF and was the programme successful in leveraging additional interest and investment?							
		Criteria		Indicators	Definitions and notes	Data Sources	
3.1	To what extent have projects leveraged additional resources (financial and in-kind) from other sources? What effect has this had on the capacity of projects to deliver their activities?	3.1.1	Extent to which projects leveraged additional resources (financial and in-kind) from other sources (state and non-state).	3.1.1.1	Sum of additional funds secured during the lifetime of the project (monetary value of in-kind contributions plus any monetary contributions to the project).	Note: Impact grants are required to achieve 25% match funding, so additional means funds over and above this 25%	<ul style="list-style-type: none"> Annual reviews Online surveys
		3.1.2	Duration for which projects leveraged additional resources	3.1.2.1	Number of years for which projects have secured additional funding (state and non-state).		<ul style="list-style-type: none"> Annual reviews Online surveys
		3.1.3	Extent to which leveraging additional funds affected the capacity of projects to deliver activities.	3.1.3.1	Proportion of additional funds that have been invested in GPAF-funded activities.		<ul style="list-style-type: none"> Annual reviews Online surveys
				3.1.3.2	Additional funds as a percentage of total project resources.		<ul style="list-style-type: none"> Annual reviews Online surveys
				3.1.3.3	Additional funds secured compared by project focus.		<ul style="list-style-type: none"> Annual reviews Online surveys
		3.2	To what extent are grantees engaging with other actors to ensure their interventions complement existing activities?	3.2.1	Extent of grantee's engagement with other actors. (cross check with 2.5.1)		3.2.1.1
3.2.2	Quality of grantee's engagement with other actors			3.2.2.1	Number and type of activities held in collaboration with other actors.	<ul style="list-style-type: none"> Annual reviews Online surveys 	
3.3	To what extent and how have grantees operationalized their strategies for sustainability?	3.3.1	Extent to which grantees have operationalised their strategies for sustainability	3.3.1.1	Level of detail provided on the operationalisation of a sustainability strategy in the project proposal.	<ul style="list-style-type: none"> Annual reviews Project proposals 	
		3.3.2	Quality of means used by grantees to operationalise their strategy for development.	3.3.2.1	Quality of grantee's assessment and operationalisation of a sustainability strategy.	<ul style="list-style-type: none"> Annual reviews Verification visits 	

4. Impact: What has GPAF funding achieved that would not have been achieved without DFID funding?								
		Criteria	Indicators	Definitions and notes	Data Sources			
4.1	To what extent have grantees put in place M&E systems that are fit for the purpose and are being used to support the delivery of activities?	4.1.1	Extent to which grantees provide an effective M&E Planning framework.	4.1.1.1	Quality of evidence that grantees have conducted a needs assessment, involving affected communities during the project planning/design phase.		<ul style="list-style-type: none"> Annual reviews Online surveys Verification visits 	
				4.1.1.2	Extent to which the grantee's M&E framework specifies intervention objectives and outputs that are time-bound, measurable and in line with the wider project objectives defined in the project proposal.	Note: the Fund Manager engages in an extensive process of quality assurance of the log frame prior to grant award. This should, in principle, be visible in the quality of the log frames	<ul style="list-style-type: none"> Annual reviews Project logframes 	
				4.1.1.3	Extent to which the grantees' project log frame indicators are relevant to the defined project /intervention objectives.		<ul style="list-style-type: none"> Annual reviews Project logframes Project proposals 	
				4.1.1.4	Extent to which the grantees' M&E framework identifies data collection strategies that are suitable to measure the defined indicators.		<ul style="list-style-type: none"> Annual reviews Project logframes Project proposals 	
				4.1.1.5	Percentage of total project budget allocated for planned M&E activities (including availability of skilled staff, financial resources and technical equipment).		Note: staffing and resources capital items such as equipment may not be itemised under the M&E budget	<ul style="list-style-type: none"> Annual reviews
				4.1.1.6	Extent to which beneficiaries actively participate in the design and implementation of M&E.	Participation means active involvement, beyond simply being surveyed to consulted	<ul style="list-style-type: none"> Annual reviews Verification visits 	
			4.1.2	Extent to which grantees' M&E systems include data management.	4.1.2.1	Quality of project systems (manual or computerised) for collecting, collating and managing project data.		<ul style="list-style-type: none"> Annual reviews Verification visits
		4.1.2.2			Quality of evidence of documentation of a systematic process of data verification and		<ul style="list-style-type: none"> Annual reviews Verification visits 	

					quality control at all levels of implementation.		
				4.1.2.3	Quality of evidence that grantees are using information and data collected through their M&E systems to make decisions concerning project delivery and with what effect.		<ul style="list-style-type: none"> Annual reviews Verification visits
4.2	To what extent and how have the projects built the capacity of civil society? How does this compare with the original project theory of change?	4.2.1	Extent to which grantees are engaged in capacity building with civil society organisations.	4.2.1.1	Number and type of community-based organisations and civil society organisations engaged in capacity building activities.	<p>Note: grantees are themselves civil society organisations. These indicators refer to their capacity building for other civil society organisations</p>	<ul style="list-style-type: none"> Annual reviews Online surveys Verification visits
		4.2.2	Quality of grantee's engagement in capacity building with civil society organisation.	4.2.1.2	Number, type and objective of capacity building activity by civil society organisation engaged.		<ul style="list-style-type: none"> Annual reviews Online surveys Verification visits
		4.2.3	Extent to which grantee's engagement in capacity building with civil society matches the original project theory of change	4.2.1.3	Compliance of capacity building types and objectives with the original project theory of change.		<ul style="list-style-type: none"> Annual reviews Online surveys Verification visits Project logframes Project proposals
4.3	How many people are receiving support from grantees that otherwise would not have received support? How many of these people were unintended beneficiaries?	4.3.1	Extent to which GPAF funds increased the number of people supported by grantees' activities.	4.3.1.1	Number of beneficiaries in activities funded through GPAF funds and additional leveraged funds. (disaggregated by age/ gender/ disability where appropriate).		<ul style="list-style-type: none"> Annual reviews Project logframes Verification visits
				4.3.1.2	Change in the average absolute number of beneficiaries receiving support from grantees in the calendar years proceeding and succeeding baseline.		<ul style="list-style-type: none"> Annual reviews Project logframes
		4.3.2	Extent to which the project supported unintended beneficiaries.	4.3.2.1	Percentage of people supported by the grantee's since Baseline who do not belong to the defined target group.		<ul style="list-style-type: none"> Annual reviews Project logframes

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4.4	What difference has GPAF funding made to grantees' delivery of results which provide value for money that would not otherwise have been achieved?	4.4.1	The extent to which GPAF funding has improved the quality, scale and timeliness of grantees' activities and results	4.4.1.1	Evidence of additionality effects attributable to DFID's funding, in terms of quality - better quality (and value) of benefits realised than would otherwise have been achieved.	Note: given the requirement for match funding, this will necessarily refer to GPAF activities carried out with both DFID funds and match funds	<ul style="list-style-type: none"> Annual reviews Verification visits Online survey
				4.4.1.2	Evidence of additionality effects attributable to DFID's funding, in terms of scale - larger volume of results achieved than would otherwise have been achieved.		<ul style="list-style-type: none"> Annual reviews Verification visits Online survey
				4.4.1.3	Evidence of additionality effects attributable to DFID's funding, in terms of timing - results achieved quicker than would otherwise have been achieved.		<ul style="list-style-type: none"> Annual reviews Verification visits Online survey

5. Efficiency: To what extent does DFID's investment in the GPAF represent good value for money?							
			Criteria		Indicators	Definitions and notes	Data Sources
5.1	To what extent are GPAF grantees delivering their activities on time and on budget against agreed plans?	5.1.1	Extent to which grantees deliver activities on time	5.1.1.1	Difference in days between the pre-determined start date of the project and the actual inception of project delivery.	Note: there is provision for a 3-month inception period after grant award.	<ul style="list-style-type: none"> Annual reviews Online surveys
				5.1.1.2	Number and percentage of project log frame milestones that grantees have met.		<ul style="list-style-type: none"> Annual reviews Project logframes
		5.1.2	Extent to which grantees deliver activities on budget.	5.1.2.1	% of budget utilized at the Year 1 Milestone.		<ul style="list-style-type: none"> Annual reviews Project logframes
				5.1.2.2	% variation between budget and predicted final account at Midterm.		<ul style="list-style-type: none"> Annual reviews Project logframes
5.2	To what extent and in what ways are projects achieving good value for money	5.2.1	Extent to which grantees demonstrate good value for money	5.2.1.1	Quality of the project's internal logic and the fit between outcomes, outputs, indicators, inputs and budget.	<ul style="list-style-type: none"> Annual reviews Project logframes Project proposals 	

				5.2.1.2	Extent to which grantees specify and demonstrate a reasonable understanding of their cost drivers.		<ul style="list-style-type: none"> Annual reviews Project logframes Project proposals Verification visits
				5.2.1.3	Extent to which grantees make use of value for money assessment tools (e.g. comparisons with other activities, cost-benefit analysis, opportunity cost analysis, etc.).		<ul style="list-style-type: none"> Annual reviews Online surveys Project logframes Project proposals Verification visits
				5.2.1.4	Variation in Fund Managers' rating for cost-effectiveness between activities delivered by the grantee and similar interventions delivered by other GPAF grantees.	<p>Cost effectiveness means the rating given by the Fund Manager for value for money, drawing on project achievement, amount spent, and the extent to which the project is on track to achieve its objectives</p>	<ul style="list-style-type: none"> Annual reviews Fund Manager data
				5.2.1.5	Extent to which grantees provide evidence of appraisal and peer review processes of quality assurance in terms of effectiveness and value for money, prior to final design.		<ul style="list-style-type: none"> Annual reviews Verification visits
				5.2.1.6	Extent to which grantees provide evidence of monitoring and reviewing progress in achieving target outcomes while validating their value for money standards.		<ul style="list-style-type: none"> Annual reviews Verification visits
5.3	To what extent and how did the selection process ensure that the projects funded represented good value for money?	5.3.1	Extent to which the selection process ensured that the projects funded represented good value for money.	5.3.1.1	Extent to which the selection process by The Fund Manager and DFID, (including the KPMG due diligence) was equitable and effective.	<p>Equitable refers to the extent to which the selection process was fair with regard to organisations of different sizes and other characteristics Effective refers to the extent to which the selection process resulted in the funding of proposals which reflected the Fund's objectives</p>	<ul style="list-style-type: none"> Stakeholders interviews Fund Manager data
				5.3.12	Evidence that the selection process led to funding of projects which represented good value for money.		<p>Value for money refers to the extent to which the selection process resulted in projects that delivered outputs and outcomes cost effectively</p>

ANNEX C: GLOBAL POVERTY ACTION FUND PRELIMINARY PORTFOLIO REVIEW (APRIL 2013)

Introduction

The purpose of the preliminary review of the Global Poverty Action Fund (GPAF) portfolio is to help:

1. Define the *scope* of the research to be undertaken for the Mid-Term Evaluation of the GPAF i.e. the scale and type of project activity that is covered by this interim evaluation;
2. Define the *focus* of the research to be undertaken i.e. the key questions that the Mid-Term Evaluation should set out to research and answer in response to the type and amount of project activity that has been delivered within the programme evaluation period⁴¹; and as a consequence the type of evaluation that is most appropriate in the context of the lifecycle stage of the GPAF; and
3. To identify the key data requirements and the most appropriate research methods that are required to fulfil the scope and focus of the evaluation, within the Evaluation Manager's Terms of Reference and approved budget provision.

Priority focus of the review: as a priority, revisions to the existing overarching research questions for GPAF need to be identified and agreed with DFID's Civil Society Department in order to inform potential revisions required to DFID's Annual Review template that grantees are currently required to complete and submit to DFID by the end of April 2013.

1. GPAF portfolio overview

The Global Poverty Action Fund (GPAF) is a demand-led fund supporting projects focused on poverty reduction in pursuit of the Millennium Development Goals (MDGs) through tangible changes to poor people's lives through service delivery, empowerment and accountability initiatives and work in the areas of conflict, security and justice. Projects are selected on the basis of demonstrable impact on poverty, clarity of outputs and outcomes and value for money.

GPAF originally consisted of two funding windows:

1. *Impact Window* (one annual funding round); and
2. *Innovation Window* (two annual funding rounds).

Following the DFID 'One year on' Review of the GPAF, the Innovation Window was replaced by *the Community Partnership Window*⁴².

The preliminary analysis undertaken for the purpose of this overview initially focuses on:

- The type of grants awarded;
- The amount of funding allocated; and
- The lengths of time projects have been delivering activity.

⁴¹ The Programme Evaluation Period is assumed as GPAF project activity from Round 1 to Round 3 of both the Impact and Innovation Windows to the start of the research phase i.e. December 2011 to the end of April 2013 (submission deadline for the Annual Reviews) equating to 17 months of programme activity.

⁴² Applications for the Community Partnership Window opened on Thursday 1 November 2012.
<http://dfid.gov.uk/Work-with-us/Funding-opportunities/Not-for-profit-organisations/Global-Poverty-Action-Fund/Global-Poverty-Action-Fund-review/>

It should be noted that the above characteristics of the portfolio have been selected only for the purpose of identifying the projects that should be included in the total population for the mid-term evaluation. For sampling purposes, other characteristics will be considered such as the type of organisations that are receiving funding.

Analysis of the above characteristics of the current GPAF portfolio allows the Evaluation Manager to broadly determine the extent to which the evaluation should take:

- A *formative* (process) approach, in other words, an evaluation of whether or not the process of delivering activities has affected or is likely to affect the capacity of the programme to deliver its results in the short to medium-term; and /or
- A *summative* (impact) approach, in other words, an evaluation of the effects or impacts of the programme as a consequence of the activities that have been delivered.

This summary is structured as follows:

- **Section 2.1** summarises the key characteristics of all of the grants awarded through the Impact and Innovation Windows to date. This section identifies those grants that have will have been delivering activities for 12 months or more by May 2013. Twelve months has been identified as a minimum period of time required to allow a sufficient amount of activity to be delivered to enable a meaningful and useful assessment of the performance of projects, at least with regards to the process of delivery. Identifying a minimum cut-off point enables the scope of the mid-term evaluation to be focused on those projects that have delivered a substantive amount of activity. This also avoids evaluating projects for which there is little in the way of activity to assess with any meaning;
- **Section 3.1** then provides a similar summary of the key characteristics of all of the grants that have been delivering activities for 12 months or more by May 2013;
- **Annex A** provides an overview of changes to the GPAF funding windows to date. The purpose of this overview is to determine the extent to which changes in the guidance to applicants needs to be accommodated by a different research focus for different projects depending on the funding round; and
- **Annex B** provides preliminary analysis of the content of the portfolio for both the Impact and Innovation Windows to date as well as for those projects that have will have been delivering activities for 12 months or more by May 2013.

1.1 Key characteristics of the GPAF portfolio

Of the total GPAF portfolio, 77% of the funding has been allocated through the Impact Window to 79 projects. The remaining 23% of the funding has been allocated through the Innovation Window to 23 projects. Tables 1 and 2 summarises the key characteristics of the Impact Window and Innovation Window respectively as of January 2013. Detailed analysis of each of these funding windows is provided in Annex B.

Table 1: Summary of all Impact Window grants at February 2013⁴³

Impact Window Grants	
Total funding:	£69,134,254
Total number of grants:	79
Grants awarded funding Round 1:	38 grants; £33,824,600 total value; 49% total impact window;
Grants awarded funding Round 2:	41 grants; £35,309,655 total value; 51% total impact window;
Core focus:	1. Reproductive health & female genital mutilation (identified by 15 grantees / 19% portfolio); 2. Education (identified by 9 grantees / 11% portfolio);
Core target group:	1. Women (identified by 26 grantees / 33% portfolio); 2. Communities (identified by 17 grantees / 22% portfolio);
MDG focus:	1. MDG 1 – Eradicate extreme poverty and hunger (identified by 31 grantees / 39% portfolio); 2. MDG 5 – Improve maternal health (identified by 15 grantees / 19%);
Implementation region (by funding allocation):	1. Eastern and Southern Africa (40 programmes ⁴⁴ / £31,551,821 / 46% portfolio); 2. Western and Central Africa (17 programmes / £20,850,024 / 30% portfolio);

Table 2: Summary of all Innovation Window grants at February 2013⁴⁵

Innovation Window Grants	
Total funding:	£4,515,468
Total number of grants:	23
Grants awarded funding Round 1:	6 grants; £852,010 total value; 19% total innovation window;
Grants awarded funding Round 2:	5 grants; £1,145,030 total value; 25% total innovation window;
Grants awarded funding Round 3:	12 grants; £2,518,428 total value; 56% total innovation window;

⁴³ Data source: *TripleLine excel document: GPAF IMP & INN projects main info 18-01-13*

⁴⁴ The number of programmes shown in Table 1 exceeds the total number of Impact Window grants as some programmes in Africa are multi-country.

⁴⁵ Data source: *TripleLine excel document: GPAF IMP & INN projects main info 18-01-13*

Core focus:	<ol style="list-style-type: none"> 1. Education (identified by 6 grantees / 26% portfolio); 2. HIV/AIDS (identified by 3 grantees / 13% portfolio);
Core target group:	<ol style="list-style-type: none"> 1. Women (identified by 8 grantees / 35% portfolio); 2. Children (identified by 6 grantees / 26% portfolio);
MDG focus:	<ol style="list-style-type: none"> 1. MDG 1 – Eradicate extreme poverty and hunger (identified by 13 grantees / 57% portfolio); 2. MDG 2 – Achieve universal primary education (identified by 6 grantees / 26% portfolio);
Implementation region (by funding allocation):	<ol style="list-style-type: none"> 1. Eastern and Southern Africa (12 grants / £2,353,744 / 53% portfolio); 2. South Asia (7 grants / £1,487,365 / 33% portfolio);

2. GPAF MID-TERM EVALUATION SAMPLING FRAMEWORK

By May 2013, 33 projects (or 32%) of the total portfolio of 102 GPAF projects will have been delivering activities for 12 months or more. It is proposed that this sample of projects forms the focus of the research undertaken to inform the Mid-Term Evaluation of GPAF project activity. Tables 3 and 4 summarises the key characteristics of this sample of projects awarded through the Impact Window and Innovation Window respectively. Detailed analysis of this sample of projects is provided in Annex B.

2.1.1 Key characteristics of the proposed sample of GPAF projects

Table 3: Summary of Impact Window grants in delivery for 12 months or more at May 2013⁴⁶

Impact Window Grants	
Total number of grants in delivery for 12 months or more at May 2013:	27 (34% of all Impact Window grants);
Impact Window funding round:	All Impact Window grants were allocated in funding Round 1;
Core focus:	<ol style="list-style-type: none"> 1. Education (identified by 7 grantees / 26% portfolio); 2. Water, sanitation and hygiene (identified by 4 grantees / 15% portfolio);
Core target group:	<ol style="list-style-type: none"> 1. Communities (identified by 8 grantees / 29% portfolio); 2. Women (identified by 7 grantees / 26% portfolio);
MDG focus:	<ol style="list-style-type: none"> 1. MDG 1 – Eradicate extreme poverty and hunger (identified by 11 grantees / 41% portfolio); 2. MDG 2 – Achieve universal primary education (identified by 8 grantees / 29%);

⁴⁶ Data source: TripleLine excel document: GPAF IMP & INN projects main info 18-01-13

Implementation region (by funding allocation):	<ol style="list-style-type: none"> 1. Western and Central Africa (6 grants / £11,401,178 / 44% portfolio); 2. Eastern & Southern Africa (12 grants / £7,667,154 / 30% portfolio);
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Table 4: Summary of Innovation Window grants in delivery for 12 months or more at May 2013⁴⁷

Innovation Window Grants	
Total number of grants in delivery for 12 months or more at May 2013:	6 grants (26% of all Innovation Window grants)
Innovation window funding round:	All innovation window grants were allocated in funding Round 1;
Core focus:	1. Education (identified by 2 grantees / 33% portfolio);
Core target group:	<ol style="list-style-type: none"> 1. Women (identified by 2 grantees / 33% portfolio); 2. Children (identified by 2 grantees / 33% portfolio);
MDG focus:	<ol style="list-style-type: none"> 1. MDG 1 – Eradicate extreme poverty and hunger (identified by 3 grantees / 50% portfolio); 2. MDG 2 – Achieve universal primary education (identified by 2 grantees / 33% portfolio);
Implementation region (by funding allocation):	<ol style="list-style-type: none"> 1. Eastern and Southern Africa (4 grants / £608,317 / 71% portfolio); 2. South Asia (2 grants / £243,693 / 29% portfolio);

2.2 Preliminary conclusions

The priority purpose of this preliminary review is to identify the key characteristics of GPAF portfolio in order to inform the scope, focus and type of Mid-Term Evaluation that will be conducted. It is clear from the review that to date:

- 79 (77%) projects of all 102 GPAF projects fall within the Impact Window;
- £69m (94%) of all £73.6m of GPAF funding has been allocated through the Impact Window with £4.5m (6%) allocated through the Innovation Window;
- 27 (34%) grantees in the Impact Window with a total lifetime funding allocation of £19m will have been delivering activities for 12 months or more by May 2013; and
- 6 (26%) grantees in the Innovation Window with a total lifetime funding allocation of £852,000 will have been delivering activities for 12 months or more by May 2013.

⁴⁷ Data source: TripleLine excel document: GPAF IMP & INN projects main info 18-01-13.

Whilst further analysis of the portfolio will be undertaken, this preliminary review of the GPAF portfolio suggests:

- A *primary research focus* on 33 projects that have been delivering for more than 12 months or more that were awarded through the Impact and Innovation Windows;
- A *formative (process) type of evaluation* given the early nature of the lifecycle stage of the GPAF portfolio delivered to date;
- The core objectives of each round for both windows do not appear to have substantively changed (as presented in Annex A). However, the focus has broadened slightly for some funding rounds to include greater scope for interventions in additional areas. The Mid-Term Evaluation should ensure that this change in scope is identified for those projects that this applies to;

Potential revisions to the key research questions for the GPAF Mid-Term Evaluation and to the DFID Annual Review template for GPAF will take into account the typical focus of a process evaluation, which can be distinguished by the following three component parts:

1. **Content evaluation** – an assessment of *what* it is GPAF is actually delivering compared to what it meant to deliver as set out in original programme and project planning documentation;
2. **Implementation evaluation** – an assessment of the extent to which the GPAF programme is delivering its activities to recipients as originally intended. This could include assessing:
 - a. The extent to which the GPAF programme as a whole is performing in terms of its capacity to deliver the quantity and quality of activities and services that were originally planned;
 - b. The extent to which GPAF programme as whole is delivering activities and services that are being delivered are reaching the intended target groups as evidenced by the degree of exposure they have had to programme activities; and
 - c. The extent to which programme management and administration arrangements are facilitating the delivery of the type and amount of results anticipated at the start of the GPAF programme.
3. **Other implementation features** – an assessment of the key drivers and barriers to delivery that have positive and negative effects on the performance of GPAF.

Intermediate effects: in addition to the process focus of the Mid-Term Evaluation, it is conceivable that some of the projects that have been delivering activities for the longest period of time may be able to observe and measure intermediary effects on outcomes, such as changes in awareness and behaviour. Further analysis of each of the projects in the proposed sample with regards to the types of intervention and the types of changes anticipated should help to identify how many projects are most likely to be able to measure early signs of their intermediate effects.

The Evaluation Manager proposes to use this preliminary review to quickly review and revise the key research questions for the Mid-Term Evaluation of the GPAF and potential revisions to the DFID Annual Review template for GPAF.

2.3 Overview of GPAF Funding Windows to February 2013

Table 1: Summary of whole GPAF portfolio to February 2013⁴⁸

	Impact Window	Innovation Window ⁴⁹	Totals
<p>Overarching objectives GPAF</p>	<ul style="list-style-type: none"> • Impact grants aim to fund poverty reduction initiatives which are directly linked to the Millennium Development Goals (MDGs) and those projects which are focused on off-track MDGs will be given priority. • Impact grants should be lower risk projects for work at greater scale to deliver real benefits for men, women, boys and girls. • The changes may be achieved through the funding of projects that are providing service delivery, empowering individuals and improving accountability, or addressing issues related to conflict, security and justice.⁵⁰ • They (GPAF Impact applicants) may now⁵¹ also focus on scaling-up previously piloted innovations, or include components that are piloting innovative approaches. For the GPAF Impact window, the level of risk associated with the innovation needs to be considered in relation to the scale of the intervention i.e. a proposal for a very large grant to support an innovation which is considered as a high risk 	<ul style="list-style-type: none"> • Innovation grants aim to fund poverty reduction initiatives that encourage innovation and deliver real benefits for men, women, boys and girls. • These may be small scale service delivery projects but should emphasise learning to allow scaling up. • Innovation grants will encourage potentially higher rewards from ground-breaking work. 	

⁴⁸ Includes Impact Window and Innovation Window Grant following completion of Round 2 applications for the Impact Window and Round 3 of Innovation Window

⁴⁹ Note that the Innovation Window has not become the Community Partnerships Window.

⁵⁰ In a meeting between The Evaluation Manager and Rachel Grant (DFID) on Friday 19 April, DFID advised to include GPAF objectives related to service delivery, empowering individuals and improving accountability, or addressing issues related to conflict, security and justice, and innovation. It was agreed these objectives must be measured in the mid-term evaluation, even though grantees were not aware of these specific objectives at the time of application. These additional objectives follow the GPAF guidelines published 31 July 2012 (Source: Impact Window, Guidelines for Applicants, 31 July 2012).

⁵¹ Guidance obtained from Impact Window Guidelines dates 31 July 2012

GLOBAL POVERTY ACTION FUND MID-TERM EVALUATION REPORT

	is unlikely to be funded.		
GPAF budget allocation	£69,134,254	£4,515,468	£73,649,722
Number of grants awarded	79	23	102
Eligibility	<ul style="list-style-type: none"> • 'Medium' sized UK-based not for profit organisations and locally registered CSOs in DFID focal countries • No fixed upper or lower limit to average annual income, however minimum grant size and 40% ceiling on funding results in limits on organisation size. • 40% ceiling on funding. • Max. 3 grants per not for profit organisation. • Project must be in either one of DFID's 28 focal countries of bottom 50 UN HDI countries 	<ul style="list-style-type: none"> • Small UK-based, not-for-profit groups. • Must have an average annual income of less than £500,000 for the past three years. • Max. 2 grants per not for profit organisation. • Project must be in either one of DFID's 28 focal countries of bottom 50 UN HDI countries. 	
Grant sum	£250,000 - £4,000,000	Up to £250,000	
Grant mechanism	Project funding with minimum 25% matched funding.	Project funding; no match funding required.	
Grant duration	Up to three years.	Up to three years.	
Funding rounds	One per year (two in total as of 02/2013).	Two per year (three in total to as of 02/2013).	

Table 2: Summary of original Round 1 guidance for both GPAF funding windows

	Impact Window		Innovation Window	
	No. (amount) of grants	Earliest project start date	No. (amount) grants	Earliest project start date
Awarded grants funding Round 1	38 (£33,824,600)	01/12/2011	6 (£852,010)	01/08/2011
Summary of funding guidance for both windows⁵²	<p>The original guidance for both funding windows is summarised as follows:</p> <p>The GPAF will contribute to DFID’s priorities as stated in our Structural Reform Plan. We will provide funding to CSOs that are best able to demonstrate real and practical impact on poverty reduction, significant capability across their systems and have a clear fit with DFID’s values and priorities.</p> <p>The GPAF has a strong focus on service delivery but complementary elements, such as capacity building, empowerment or advocacy (particularly local level advocacy), can be included where they help to achieve or sustain the service. All projects need to mainstream gender equality, particularly demonstrating how they will impact positively on the situation of women and girls (and/or other groups who are particularly excluded in the local context).</p>			
Impact Window	<p>Impact grants aim to fund poverty reduction initiatives which are directly linked to the Millennium Development Goals (MDGs) and those projects which are focused on off-track MDGs will be given priority. Impact grants should be lower risk projects for work at greater scale to deliver real benefits for men, women, boys and girls.</p>			
Innovation Window	<p>We also provide Innovation grants which aim to fund poverty reduction initiatives that encourage innovation and deliver real benefits for men, women, boys and girls. These may be small scale service delivery projects but should emphasise learning to allow scaling up. Innovation grants will encourage potentially higher rewards from ground-breaking work.</p>			

⁵² Extract from original GPAF ‘Frequently Asked Questions’ for Innovation 01 & Impact 01 (October 2010) on DFID Website

Table 3: Amendments to Round 2 guidance for both GPAF funding windows

	Impact Window		Innovation Window	
	No. (amount) of grants	Earliest project start date	No. (amount) of grants	Earliest project start date
Awarded grants funding Round 2	41 (£35,309,655)	01/11/2012	5 (£1,145,030)	01/09/2012
Amendments to guidance for both windows	<p>The guidance was clarified and broadened to include some of the initiatives previously covered by the Civil Society Challenge Fund (CSCF), which had been closed for new applications. At the same time DFID’s Conflict, Security and Justice Department were keen to provide more support to CSOs delivering this type of work at the grassroots level. The Secretary of State at the time agreed that the GPAF’s remit should be broadened in these ways. The GPAF could now support:</p> <ul style="list-style-type: none"> a) Service delivery that is focused on achieving the MDGs; b) Empowerment and accountability (at three defined levels); and c) Conflict, security and injustice. <p>In order to be eligible for GPAF funding, all such initiatives were required to demonstrate a ‘clear line of sight’ to poverty reduction and the achievement of the MDGs i.e. they must ‘deliver real benefits to poor people within the project life span’.</p> <p>Other changes introduced in the guidance included the following:</p> <ul style="list-style-type: none"> • Explicit requirement for all projects to demonstrate value for money; • Mainstream gender equality, particularly demonstrating how they will impact positively on the situation of women and girls (and/or other relevant groups who are particularly excluded in the local context); and • GPAF funding cannot be used for awareness-raising activities in the UK. 			

Amendments to guidance for Innovation Window	<p>Innovation Window grants to contribute to achievement of MDGs;</p> <p>For the purpose of the GPAF, 'Innovation' is defined as follows: Innovation does not necessarily mean 'brand new' but could be an approach applied for the first time in a particular country or countries; or new ways of applying/adapting/developing an existing technique or initiative. We also understand innovation to mean experimentation, with the risk of failure (as long as lessons are clearly learned and the implications of failure are appropriately considered); inspiration which is the creative process of looking at entrenched problems with fresh eyes; genuine participation of people most affected by a problem to release more energy for ideas; use of appropriate partnership models; and from looking more at what works and why. Source: Innovation Window, Round 4, Guidelines for Applicant, 14 May 2012</p> <p>A concept note stage was introduced for prospective grantees of the Innovation Window.</p>
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Table 4: Amendments to Round 3 guidance for GPAF Innovation Window

	Impact Window		Innovation Window	
	Earliest project start date	No. (amount) of grants	Earliest project start date	No. (amount) of grants
Awarded grants funding Round 3	n/a	n/a	12 (£2,518,428)	01/01/2013
Amendments to guidance for Innovation Window	In October 2011, the guidelines for the launch of Innovation Round 3 included further amendment. The clarification notes indicated that the scope of the objective relating to 'empowerment and accountability' had been broadened to accommodate initiatives designed to enhance the resilience of communities or institutions to natural and man-made shocks and stresses including those related to environmental, economic and climatic changes.			

3. GPAF portfolio content findings

3.1 Portfolio Overview

Chart 1 presents the proportion of funding for each GPAF funding window, which shows that 79 (77%) projects of all 102 GPAF projects fall within the Impact Window. Chart 2 presents the funding allocation for each round and funding window and shows the majority (94%) of funding was evenly allocated across the two GPAF Impact Window rounds. Chart 3 shows that allocations through the Innovation Window increased with each round of funding.

Chart 1: Proportion of Impact Window grants and Innovation Window grants awarded from inception to January 2013⁵³

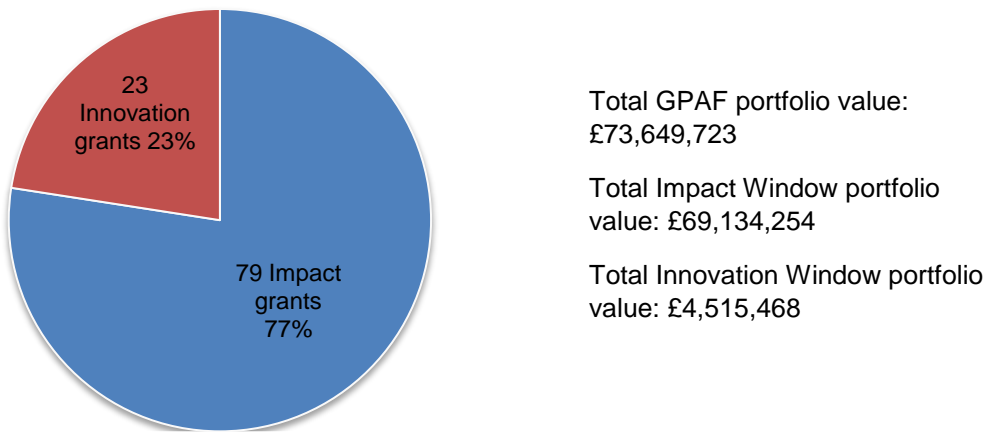
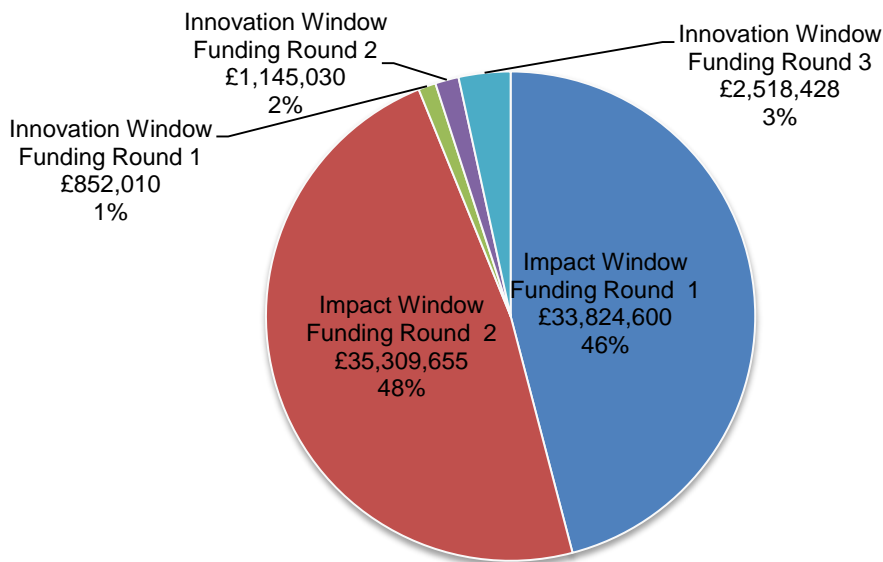


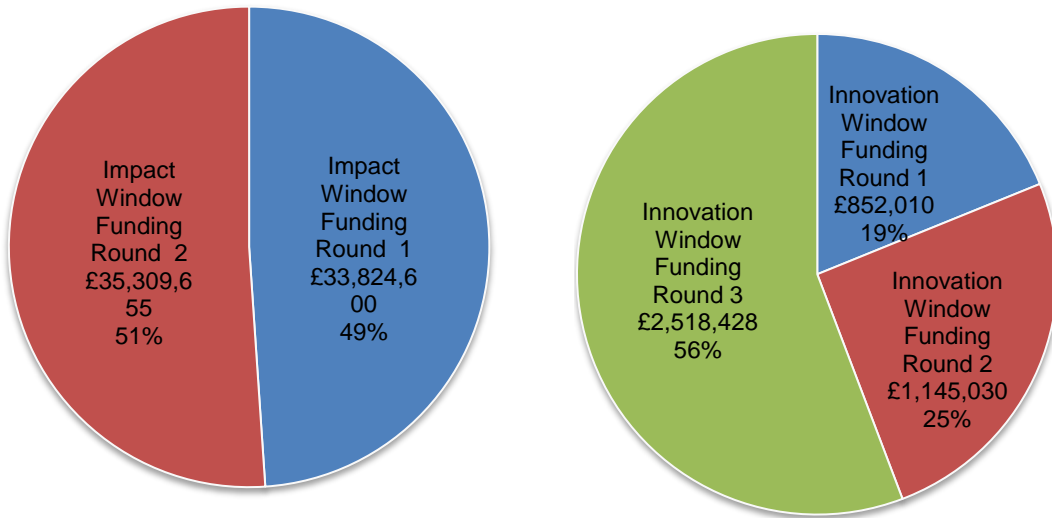
Chart 2: Impact Window grants and Innovation Window grants awarded by funding round⁵⁴



⁵³ TripleLine excel document: GPAF IMP & INN projects main info 18-01-13

⁵⁴ Ibid

Chart 3: Allocation of GPAF Impact grants and Innovation grants per funding round⁵⁵



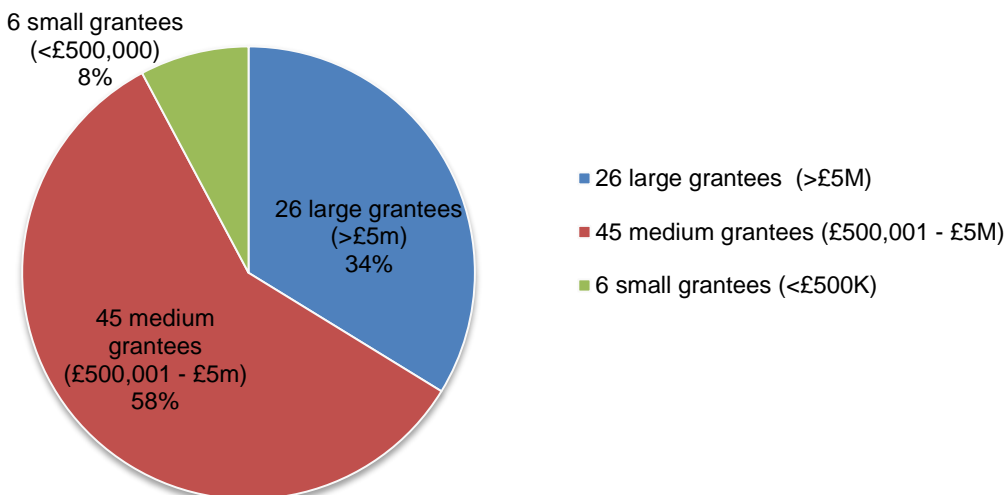
3.2 Scope of the research

GPAF Impact Window grants

Organisation size of Impact Window grantees

Chart 4 describes the average annual turnover of Impact Window grantees. Grantees are categorised into three categories: small (<£500k); medium (£500,001 - £5m); and large (>£5m). Accordingly, 26 (34%) grantees are categorised as large sized, 45 (58%) as medium sized and 6 (8%) as small. This is likely to be the result of the eligibility criteria which set grant limits between £250,000 and £4m and the requirement for matched funding. Smaller organisations are more prevalent in the Innovation Window.

Chart 4: Impact window grantee average annual turnover by size categorisation⁵⁶



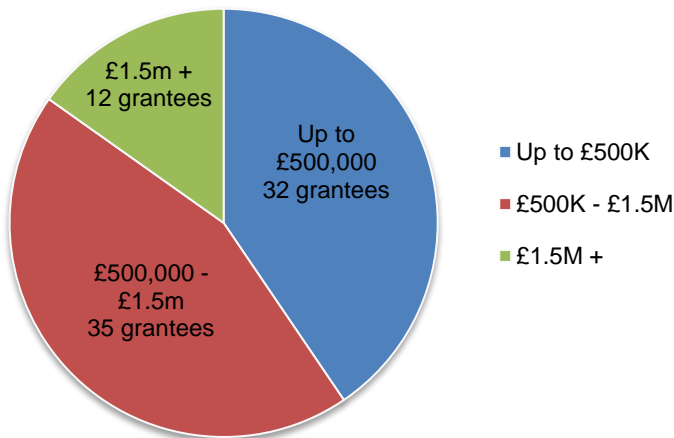
Lifetime funding allocations to Impact Window grantees

⁵⁵ TripleLine excel document: GPAF IMP & INN projects main info 18-01-13

⁵⁶ TripleLine excel document: GPAF IMP & INN projects main info 18-01-13

Chart 5 presents the lifetime amount of funding allocated to GPAF Impact grants by grant size categorisation⁵⁷. Grants were categorised into three categories: small (<£500,000); medium (£500,001 - £1.5m); and large (>£1.5m) – 12 grantees (15%) received relatively large grants of over £1.5m in funding for the grant period, whilst 35 grantees (44%) received a medium sized grant and 32 grantees (41%) received small grants.

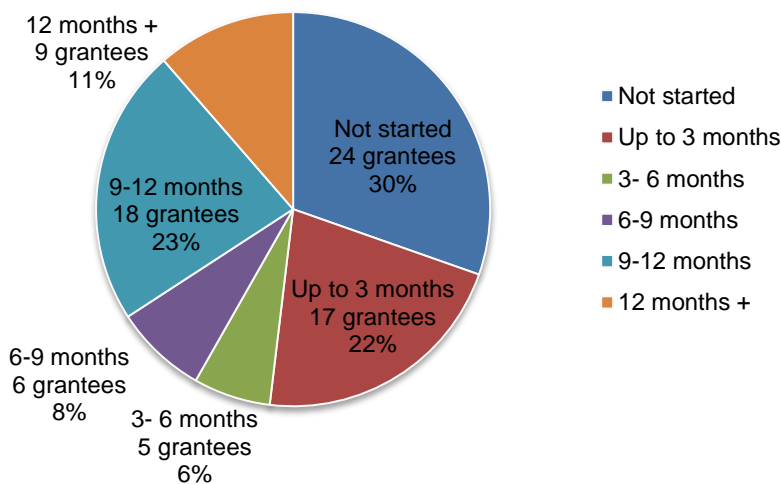
Chart 5: Funding allocated to Impact Window grantees categorised by the size of the grant⁵⁸



Impact Window grant delivery periods

Over half of the grants in the Impact Window have either not started delivering activities or have been delivering activities for less than 3 months. Chart 6 presents the different stages in delivery periods of the Impact Window grantees between their project start date and February 2013.

Chart 6: Different delivery periods for Impact Window grants between their project start date and February 2013⁵⁹



⁵⁷ Note that the size categorisations for Impact Window grants and Innovation Window grants are different because of the disproportionate size of funding allocations for each window.

⁵⁸ TripleLine excel document: GPAF IMP & INN projects main info 18-01-13.

⁵⁹ TripleLine excel document: GPAF IMP & INN projects main info 18-01-13.

3.3 GPAF Innovation Window grants

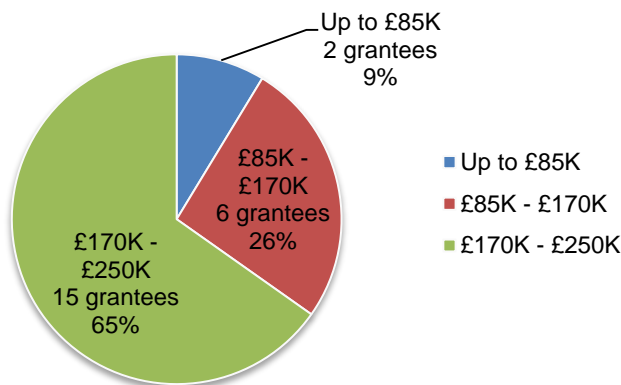
Organisation size of GPAF Innovation Window grantees

Due to the funding parameters of the Innovation Window, all GPAF Innovation Window grantees have an average annual turnover of less than £500,000.

Lifetime funding allocations to Innovation Window grantees

Chart 7 shows that 15 (65%) of Innovation Window grantees were allocated funding at the top of the funding bracket (£170,000-£250,000). For these grantees GPAF funding represents a significant proportion (i.e.34-50%) of the organisation's average annual turnover.

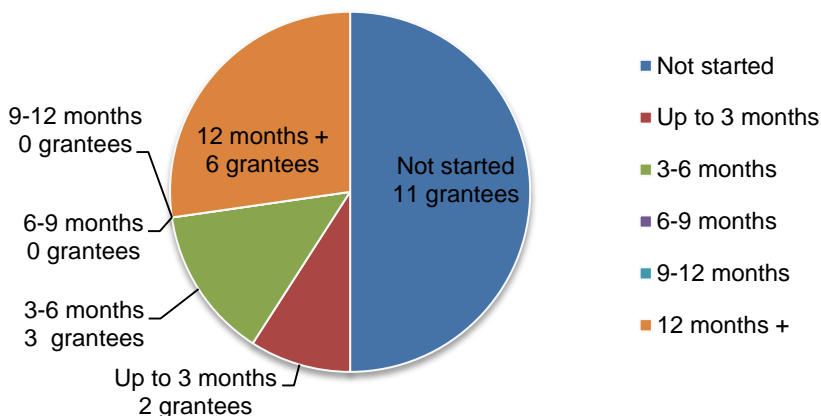
Chart 7: Lifetime funding allocations to Innovation Window grantees categorised by grant size⁶⁰



GPAF Innovation Window grant delivery periods

Close to half of the grants in the Innovation Window had not commenced delivering their activities by February 2013. Chart 8 presents the different stages in delivery periods of the Impact Window grantees between their project start date and February 2013.

Chart 8: Different delivery periods for Innovation Window grants between their project start date and February 2013⁶¹



3.4 Focus of the research

The design features of the portfolio summarised in Section 3 will help inform the design of the sampling criteria. The review considers: types of activities; core target beneficiary group; geographical location of

⁶⁰ Ibid

⁶¹ TripleLine excel document: GPAF IMP & INN projects main info 18-01-13

projects; and the primary Millennium Development Goals (MDGs) that projects are working towards. The eight⁶² MDGs are:

1. Eradicate extreme poverty and hunger;
2. Achieve universal primary education;
3. Promote gender equality and empower women;
4. Reduce child mortality;
5. Improve maternal health;
6. Combat HIV/AIDS, malaria, and other diseases;
7. Ensure environmental sustainability;
8. Develop a Global Partnership for Development;

Sections 3.1 and 3.2 presents analysis of the Impact Window and Innovation Window grants respectively.

3.5 GPAF Impact Window grants

Types of activities delivered by Impact Window grantees

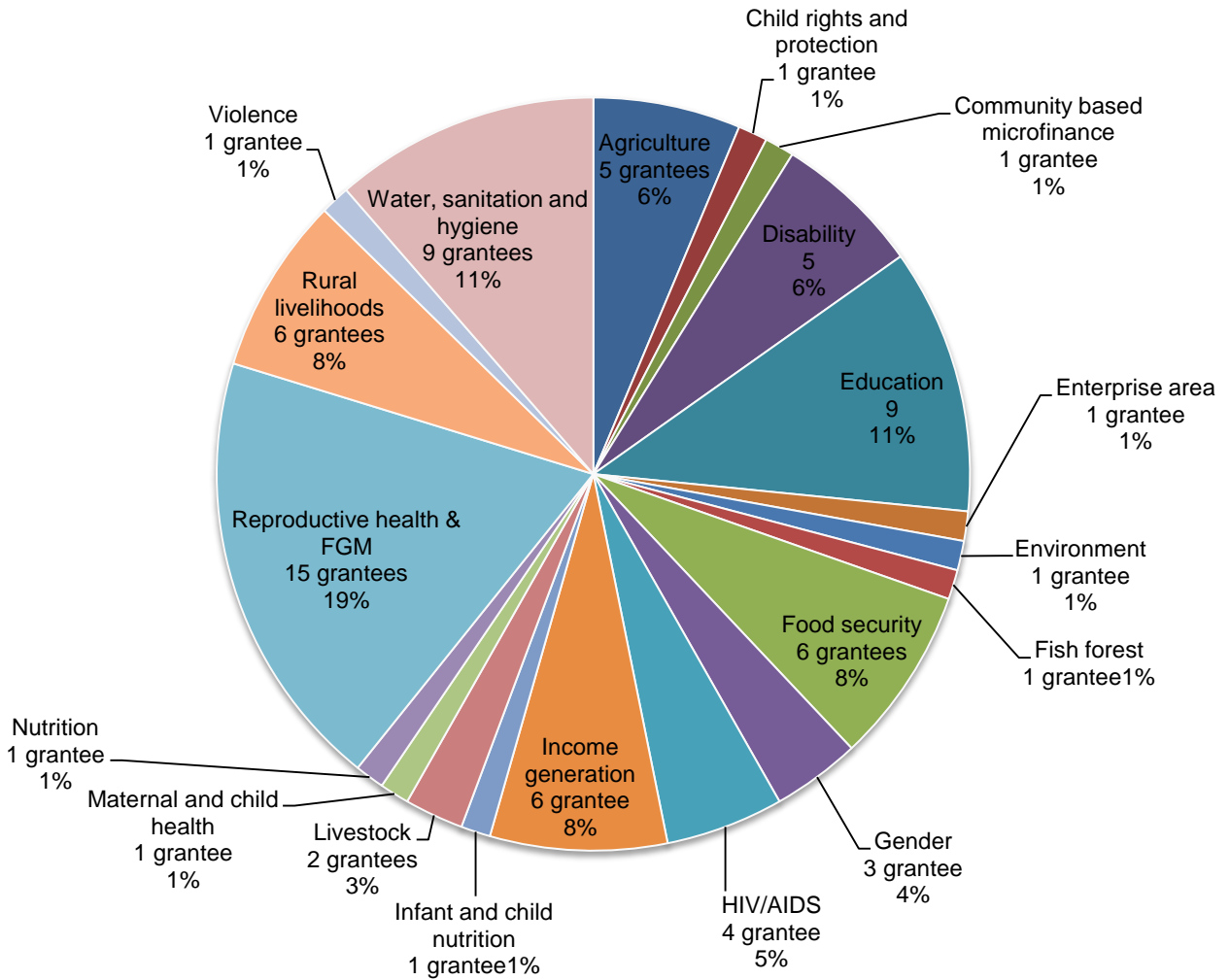
Impact Window grantees are undertaking and planning to will undertake project activities across a wide-spectrum of different types of activities. Chart 9 provides analysis of each core subject area ('Core Subject 1⁶³') as indicated by the individual grantee. The key types of activities are categorised by: reproductive health and female genital mutilation, identified by 15 (19%) grantees; education, identified by nine (11%) grantees; and water, sanitation and hygiene, identified by nine (11%) grantees.

⁶² MDG 8 is not a service-related goal. The GPAF grants are focused on service delivery, which means that MDG 8 is not considered in this analysis of the portfolio.

⁶³ Core Subject 1 identified in Triple Line data is assumed to represent the primary focus of the activities delivered by grantees; Core Subjects 2 and 3 are also identified but not presented here.

Chart 9: Core Subject 1 as identified by Impact Window funded grantees⁶⁴

- Agriculture
- Disability
- Environment
- Gender
- Infant and child nutrition
- Nutrition
- Violence
- Child rights and protection
- Education
- Fish forest
- HIV/AIDS
- Livestock
- Reproductive health & FGM
- Water and sanitation
- Community based microfinance
- Enterprise area
- Food security
- Income generation
- Maternal and child health
- Rural livelihoods



⁶⁴ TripleLine excel document: GPAF IMP & INN projects main info 18-01-13.

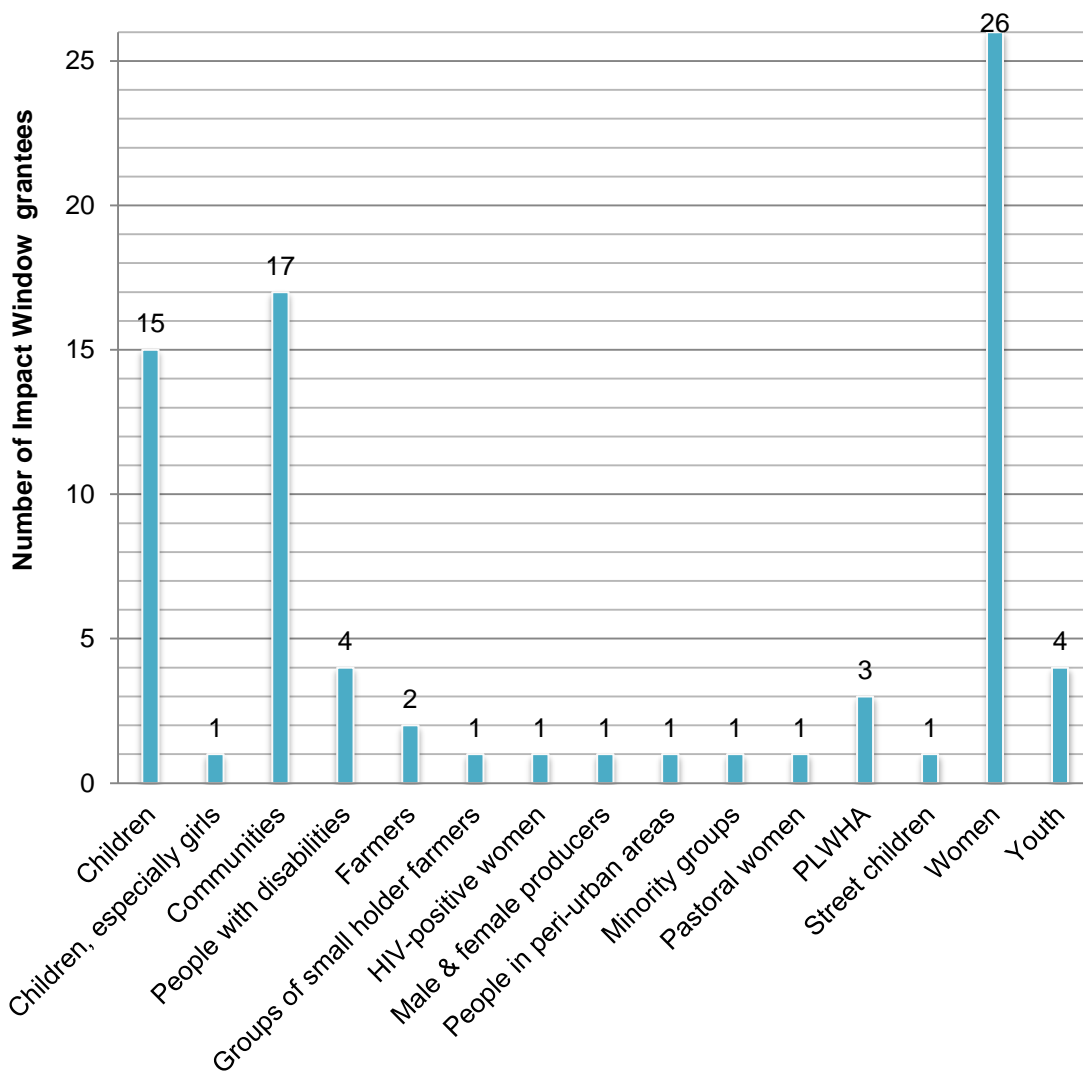
3.6 Impact Window target groups

Three target groups for intervention have been identified for Impact Window grantees as *Target Group 1*, *Target Group 2* and *Target Group 3*. The Evaluation Manager assumes ‘Target Group 1’ represents the primary target group of the project intervention. This analysis is based only on Target Group 1. Graph 1 shows that women are the most targeted group across the Impact Window portfolio with 26 (33%) grantees citing *women* as their primary target group. This was followed by *communities* (identified by 17 grantees) and *children* (identified by 15 grantees). More refined target groups such as *pastoral women*, *street children* and *farmers* are also identified in a smaller proportion.

Graph 1 illustrates women are the key target group for Impact Window grants.

If all target groups with women (such as HIV positive women and pastoral women) were considered collectively the focus on women would be greater than illustrated in Graph 1.

Graph 1: Target Group 1 as identified by Impact Window grantees⁶⁵



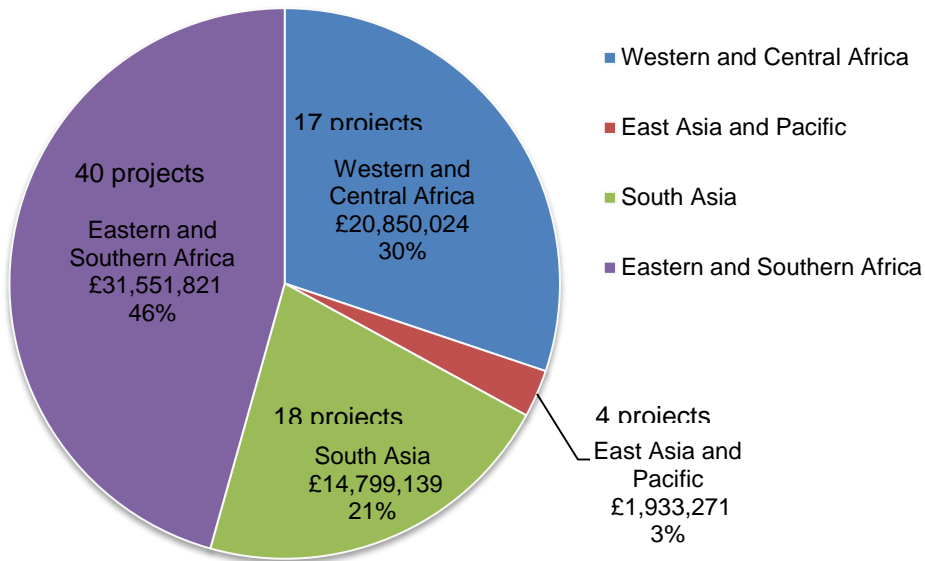
Target Group 1 identified for Impact Window grantees

⁶⁵ TripleLine excel document: GPAF IMP & INN projects main info 18-01-13

3.7 Geographic location of Impact Window projects

The Impact Window consists of projects that are predominantly based in Africa with 40 projects situated in Eastern and Southern Africa and 17 projects in Western and Central Africa. The funding allocation is proportionality greater in Western and Central Africa given the smaller number of grantees operating in the region compared to other regions – 18 projects are situated in South Asia with a total value of £14.8m (21% of the total Impact Window funding allocation, compared to 17 projects situated in Western and Central Africa with a total value of £21m (30% of the total GPAF Impact Window funding).

Chart 10: Regional allocation⁶⁶ of GPAF Impact grants⁶⁷ by funding requested⁶⁸



⁶⁶ Regions are based on DFID's regional classifications: <http://dfid.gov.uk/Where-we-work/>

⁶⁷ The number of programmes shown in Chart 10 exceeds the total number of Impact window grants as some programmes in Africa are multi-country.

⁶⁸ TripleLine excel document: GPAF IMP & INN projects main info 18-01-13.

Map 1: Geographic location of Impact Window projects



■ **East Asia and the Pacific**

Burma, Cambodia, Lao PDR

■ **Eastern and Southern Africa**

Ethiopia, Kenya, Liberia, Madagascar, Malawi, Mozambique, Somalia, South Africa, South Sudan, Sudan, Tanzania, Uganda, Zambia, Zimbabwe

■ **South Asia**

Afghanistan, Bangladesh, India, Nepal, Pakistan

■ **Western & Central Africa**

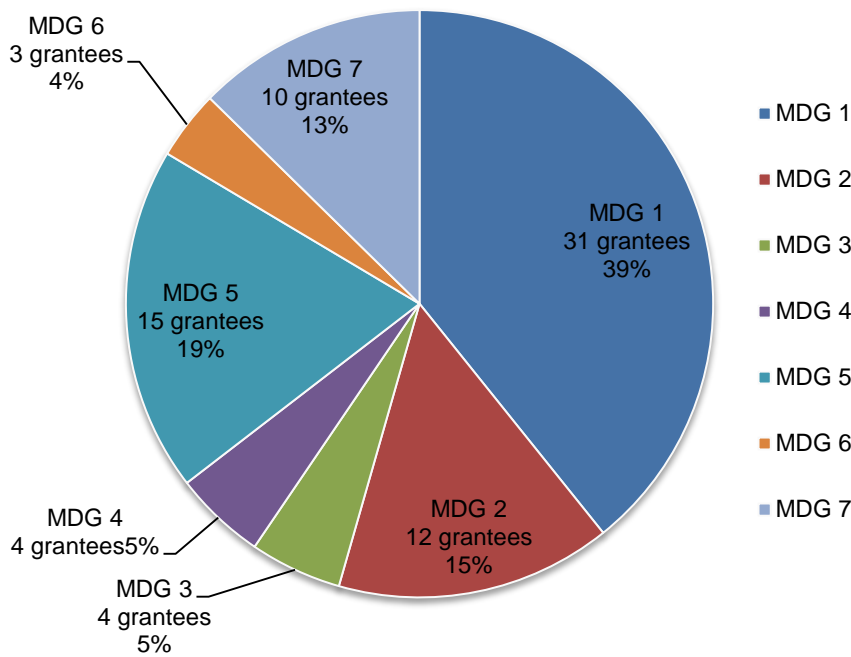
Burundi, Central African Republic, Democratic Republic of Congo, Ghana, Nigeria, Rwanda, Sierra Leone

3.8 MDGs supported by the Impact Window projects

Impact window grantees were asked to identify primary, secondary and tertiary MDGs that their intervention would help to achieve. The Evaluation Manager conducted analysis on the Primary MDG alone; secondary and tertiary MDGs have not been considered in this analysis. MDG 1 (Eradicate extreme poverty and hunger) was identified as the primary MDG for the 31 grantees (39%), followed by MDG 5 (Improve maternal health) which was identified by 15 grantees (19%). Chart 11 illustrates the primary MDGs identified by grantees funded through the Impact Window.

MDG 3 (*Promote gender equality and empower women*) was noted as the primary MDG for four grantees (5%). This preliminary finding is unanticipated given the strong focus on women highlighted in target groups and the core focus on reproductive health.

Chart 11: Primary MDGs identified for Impact Window grantees⁶⁹



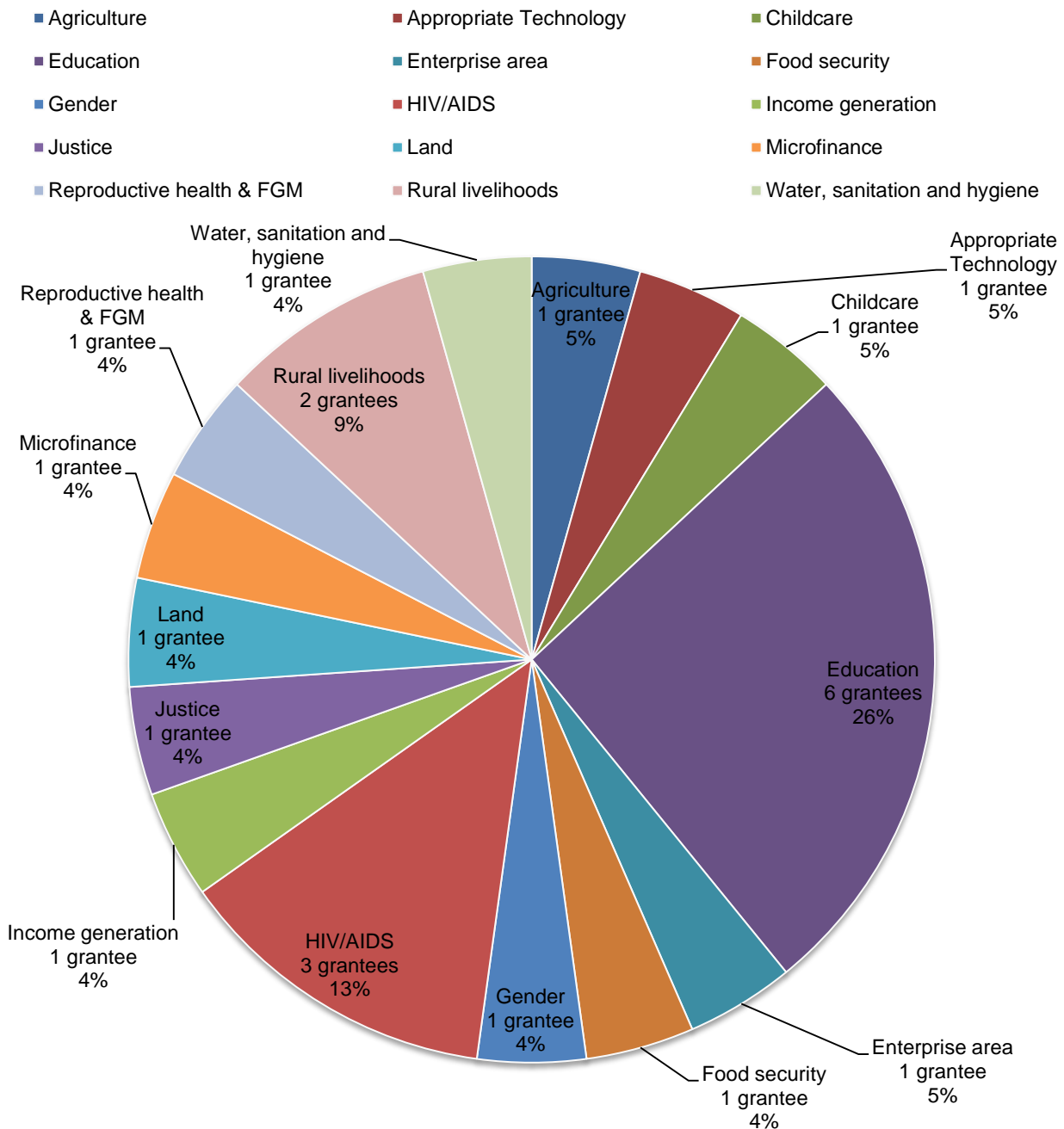
⁶⁹ TripleLine excel document: GPAF IMP & INN projects main info 18-01-13.

3.9 GPAF Innovation Window grants

Types of activities delivered by Innovation Window grantees

Chart 12 provides analysis of each core subject area ('Core Subject 1'⁷⁰) as indicated for individual Innovation Window grantees. The key types of activities are: education identified for 6 grantees and HIV/AIDS identified for three grantees.

Chart 12: Core Subject 1 identified for Innovation Window grantees⁷¹



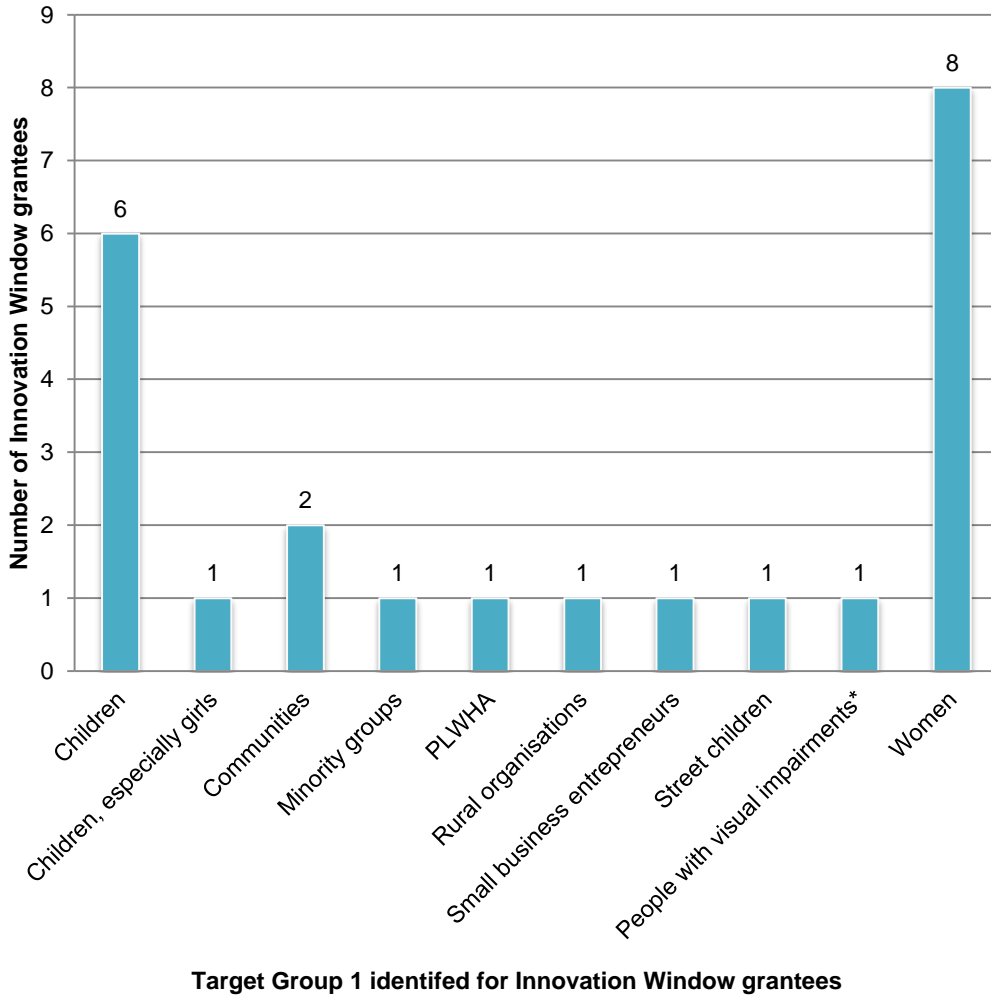
Innovation Window target groups

⁷⁰ Core Subject 1 identified in Triple Line data is assumed to represent the primary focus of the activities delivered by grantees; Core Subjects 2 and 3 are also identified but not presented here.

⁷¹ TripleLine excel document: GPAF IMP & INN projects main info 18-01-13

Graph 2 shows that women are the most targeted group across the Innovation Window with eight grantees identifying women as their primary target group. This was followed by children, which was identified by six grantees.

Graph 2: Primary target beneficiaries identified by GPAF grantees⁷²

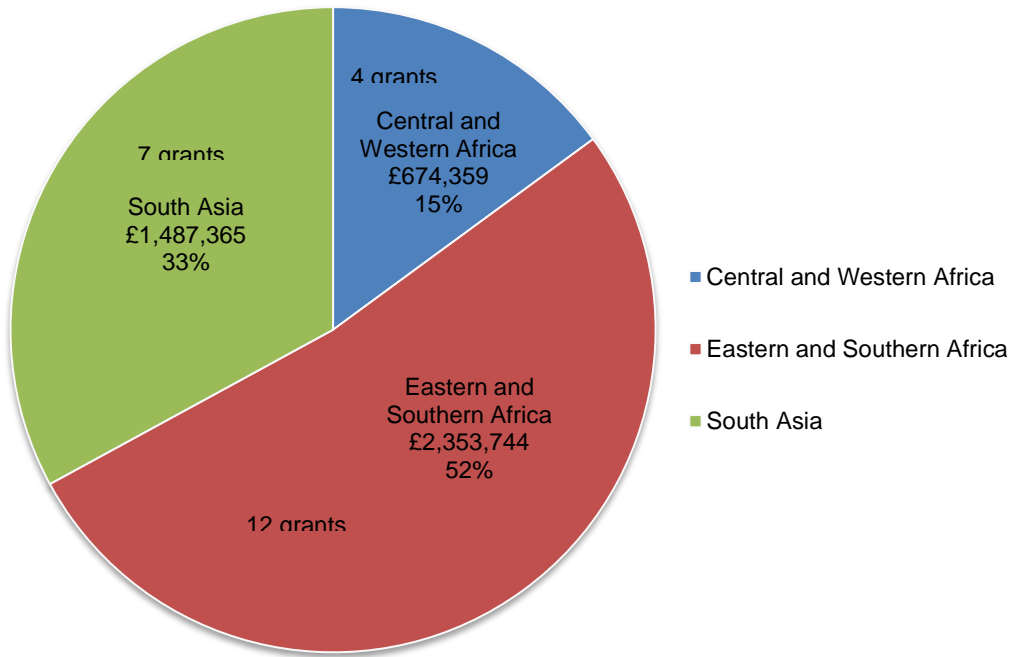


⁷² TripleLine excel document: GPAF IMP & INN projects main info 18-01-13

3.10 Geographic location of Innovation Window projects

Similarly to the Impact Window, the majority of grants funded under the Innovation window are situated in Eastern and Southern Africa (12 grants). No projects are situated in the East Asia and Pacific region.

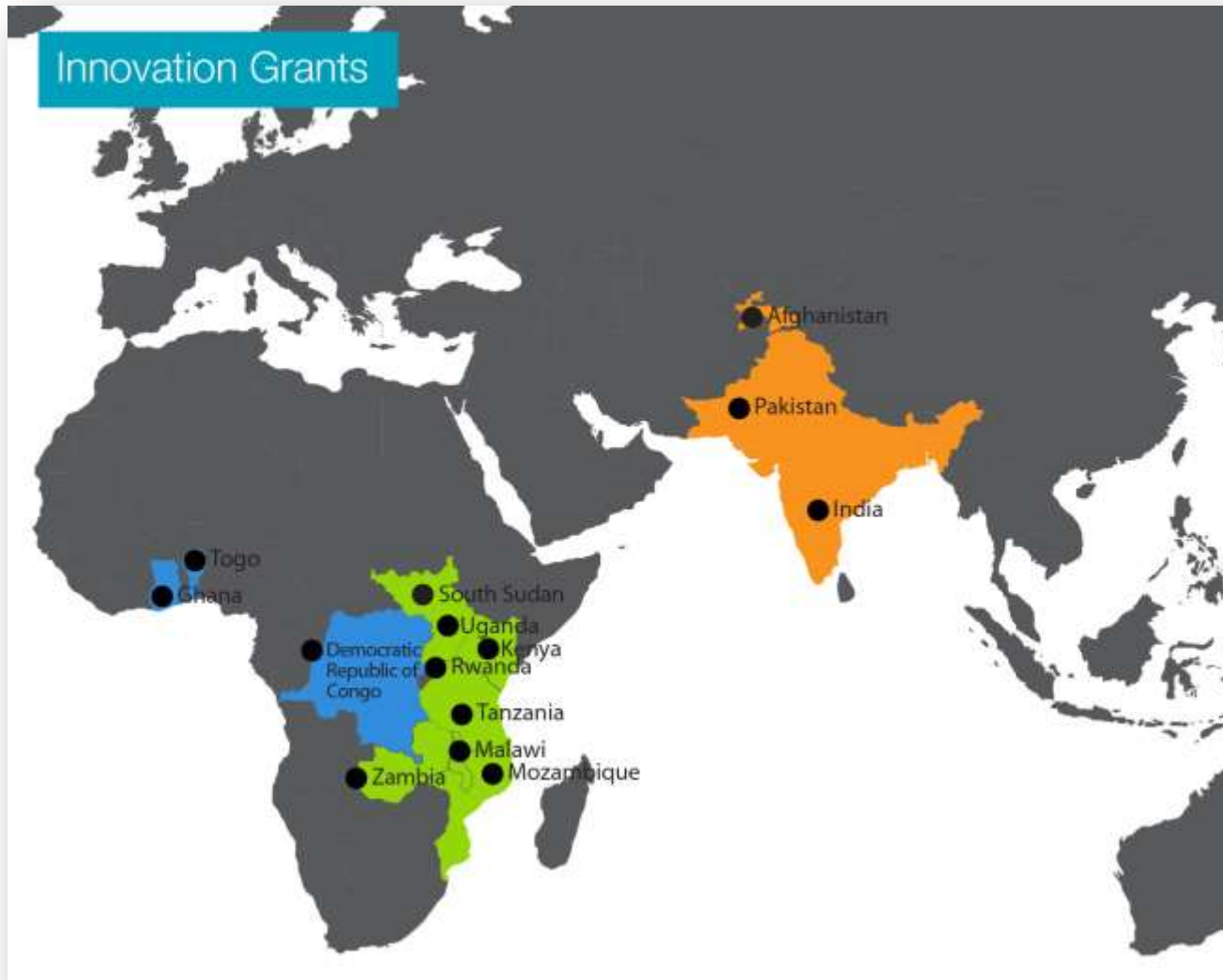
Chart 13: Allocation⁷³ of Innovation Window grants by geographic location⁷⁴



⁷³ Regions are based on DFID's regional classifications: <http://dfid.gov.uk/Where-we-work/>

⁷⁴ TripleLine excel document: GPAF IMP & INN projects main info 18-01-13

Map 2: Geographic location of Innovation window grants



■ **Eastern and Southern Africa**

Kenya, Malawi, Mozambique, Rwanda, South Sudan, Tanzania, Uganda, Zambia

■ **South Asia**

Afghanistan, India, Pakistan

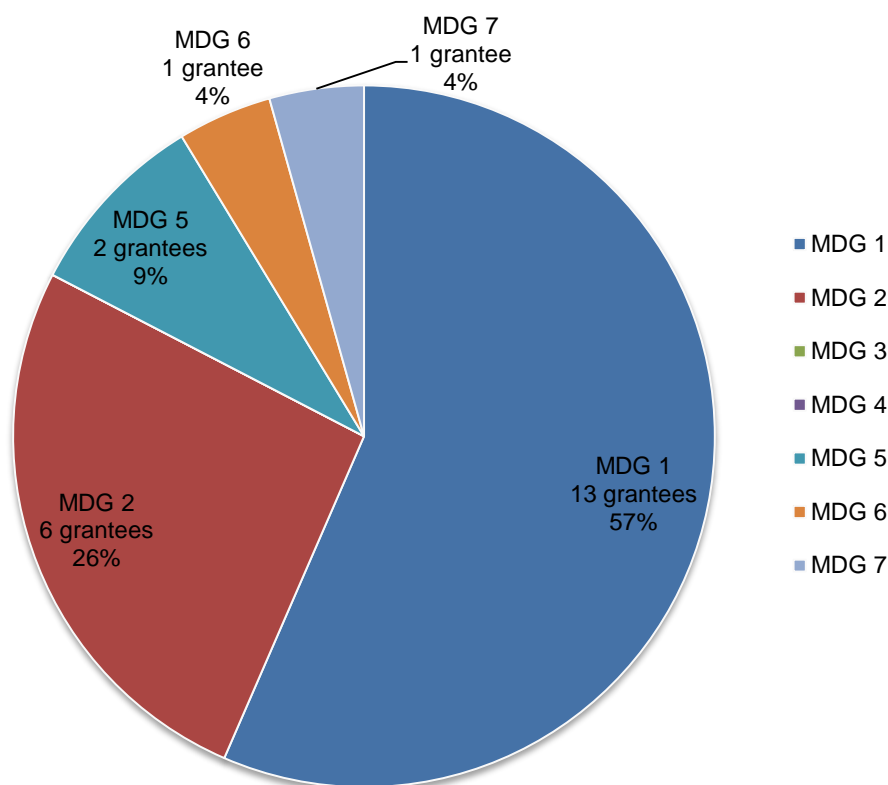
■ **Western & Central Africa**

Democratic Republic of Congo, Ghana, Togo

3.11 MDGs supported by the Innovation Window projects

Similar to the findings of the Impact window, MDG 1 (Eradicate extreme poverty and hunger) was identified as the primary MDG for the 13 grantees (56%). MDG 2 (Achieve universal primary education) was identified by six grantees (26%). Chart 14 presents the primary MDGs identified for grantees in the Innovation Window.

Chart 14: Primary MDGs identified for Innovation Window grantees⁷⁵



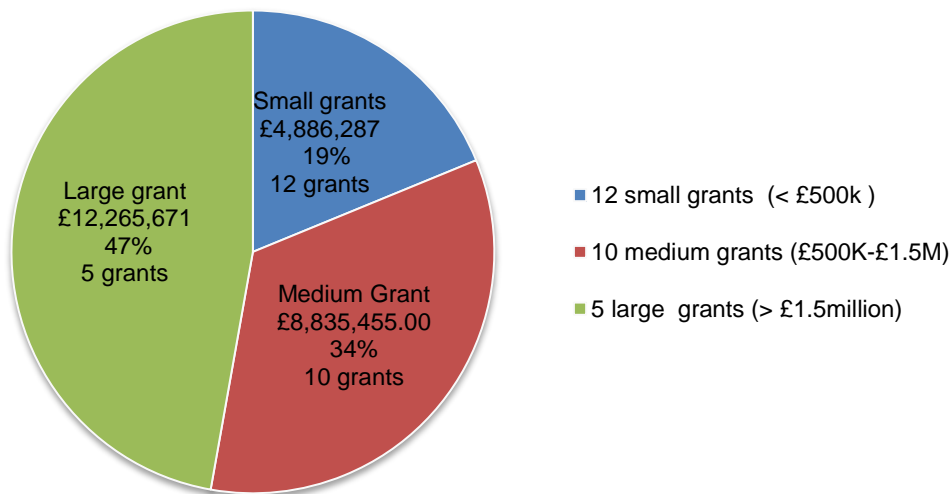
⁷⁵ TripleLine excel document: GPAF IMP & INN projects main info 18-01-13

4. Analysis of GPAF projects delivered for 12 months or more by May 2013

4.1 Impact Window grants delivered for 12 months or more by May 2013

Chart 15 shows that 5 (47%) Impact Window grantees that will have been delivering activities for 12 months or more have been allocated lifetime funding at the top-end of the funding bracket i.e. greater than £5m.

Chart 15: Lifetime funding allocations by size of grant⁷⁶ for Impact Window grantees that will have been delivering for 12 months or more by May 2013



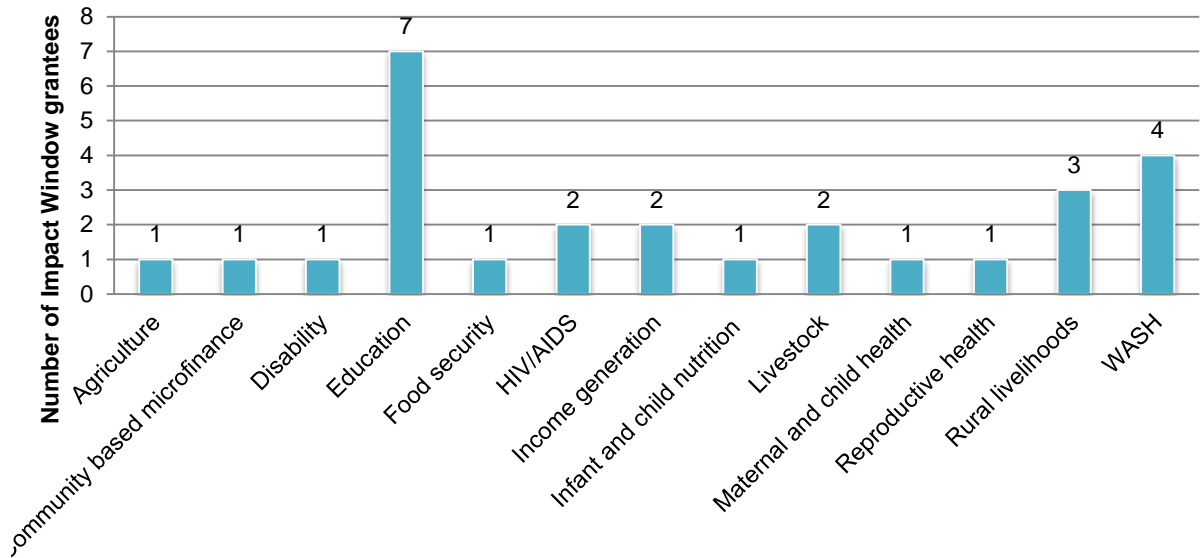
4.2 Types of activities delivered by Impact Window grantees that will have been delivering for 12 months or more by May 2013

Graph 3 presents each core subject area⁷⁷ as indicated by the individual grantee. The key types of activity identified are: education identified by seven grantees; and water, sanitation and hygiene identified by four grantees.

⁷⁶ TripleLine excel document: GPAF IMP & INN projects main info 18-01-13

⁷⁷ Core Subject 1 identified in Triple Line data is assumed to represent the primary focus of the activities delivered by grantees; Core Subjects 2 and 3 are also identified but not presented here.

Graph 3: Core Subject 1 identified for Impact Window grantees that will have been delivering for 12 months or more by May 2013

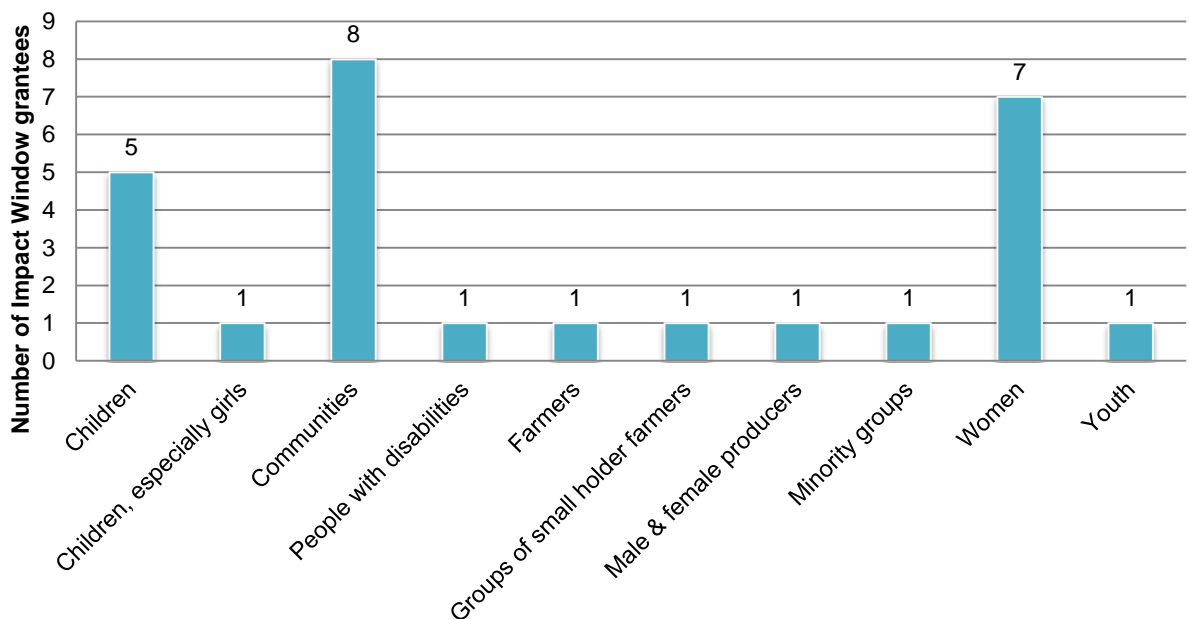


Core Subject 1 identified for Impact Window grantees

4.3 Key target groups for Impact Window grantees that will have been delivering for 12 months or more by May 2013

Graph 4 shows that *communities* are the most targeted group across the Impact Window portfolio with eight grantees identifying women as their core target groups. This was followed by *women* identified by seven grantees.

Graph 4: Target Group 1 identified for Impact window grantees that will have been delivering for 12 months or more by May 2013

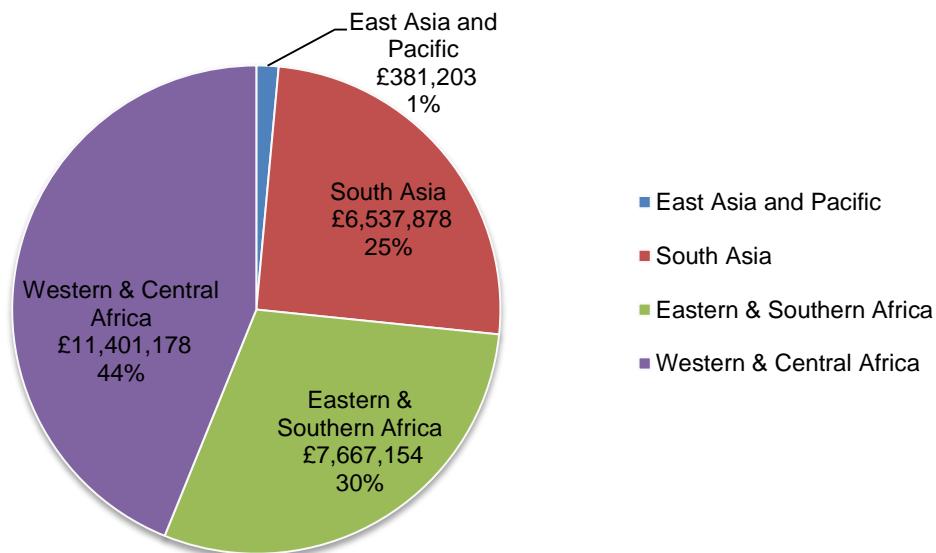


Target Groups identified for Impact Window grantees

4.4 Geographic location of Impact Window projects that will have been delivering for 12 months or more by May 2013

74% of grants funded through the Impact Window that will have been active for more than 12 months are situated in Africa, specifically in the regions of Western and Central Africa (44%) and Eastern and Southern Africa (30%).

Chart 16: Geographic location⁷⁸ of Impact Window projects that will have been delivering for 12 months or more by May 2013



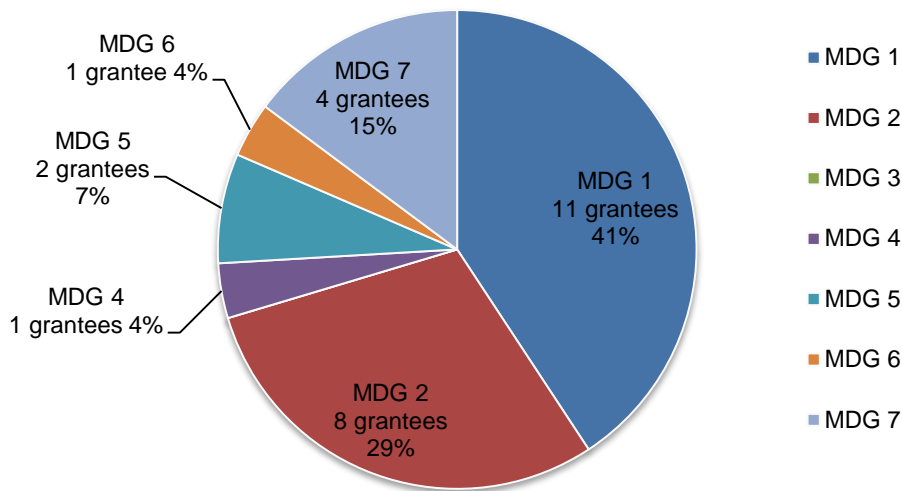
4.5 MDGs supported by Impact Window projects that will have been delivering for 12 months or more by May 2013

Impact Window grantees identified primary, secondary and tertiary Millennium Development Goals that their intervention would help to achieve. The Evaluation Manager conducted analysis on the Primary MDG alone; Secondary and Tertiary MDGs were not considered in the analysis.

MDG 1 (Eradicate extreme poverty and hunger) was identified as the primary MDG for 11 grantees (41%). MDG 2 (Achieve universal primary education) was identified by eight grantees (29%). Chart 17 presents the primary MDGs that Impact Window grantees that will have been delivering for 12 months or more by May 2013 are supporting.

⁷⁸ Regions are based on DFID’s regional classifications: <http://dfid.gov.uk/Where-we-work/>

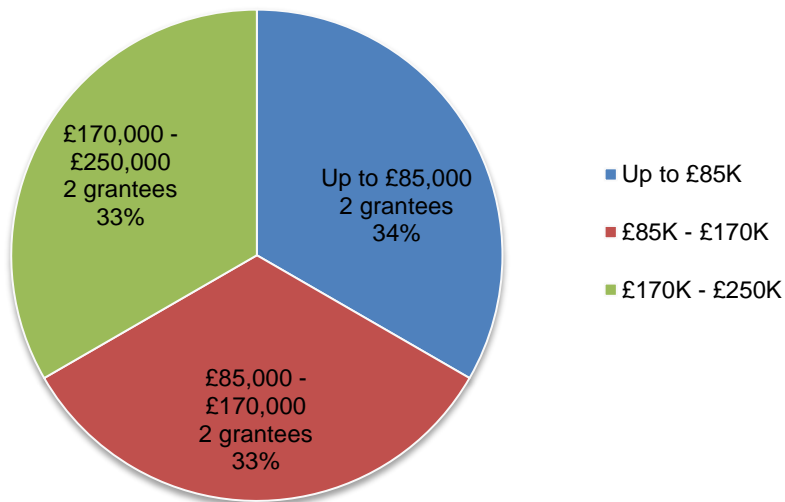
Chart 17: Primary MDGs identified by Impact Window grantees that will have been delivering for 12 months or more by May 2013



4.6 Innovation window grants that will have been delivering for 12 months or more by May 2013

Chart 18 shows equal distribution of Innovation Window grantees with regards to their grant size.

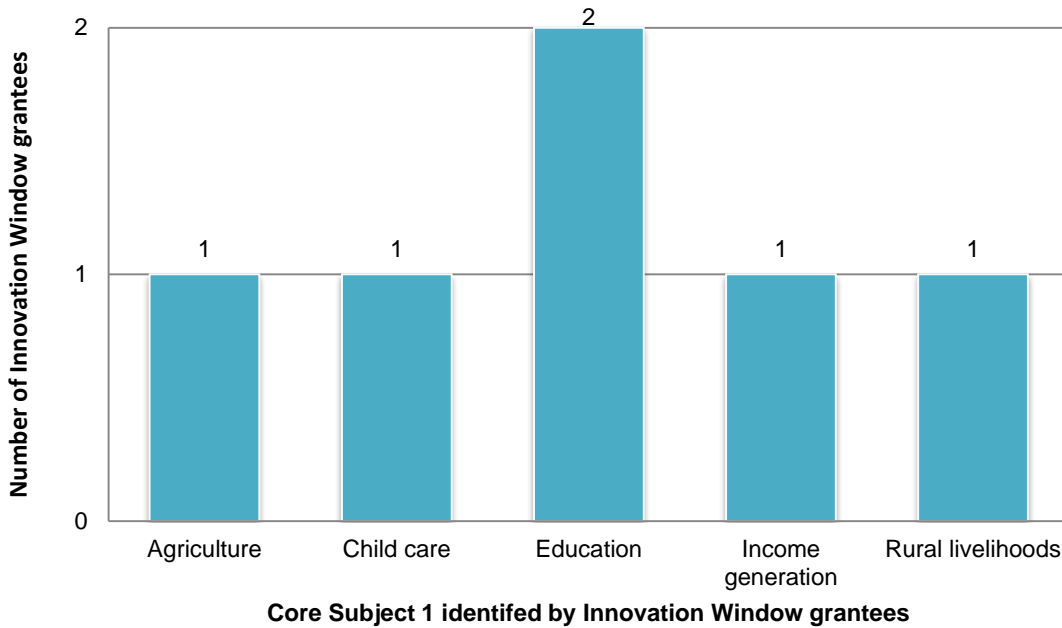
Chart 18: Lifetime funding allocation categorised by grant size⁷⁹ for Innovation Window grantees that will have been delivering for 12 months or more by May 2013



Graph 5 presents each core subject area as indicated by GPAF Innovation Window grantees that will have been delivering for 12 months or more by May 2013. The key focus of the portfolio is education that was identified by two grantees (33%).

⁷⁹ TripleLine excel document: GPAF IMP & INN projects main info 18-01-13

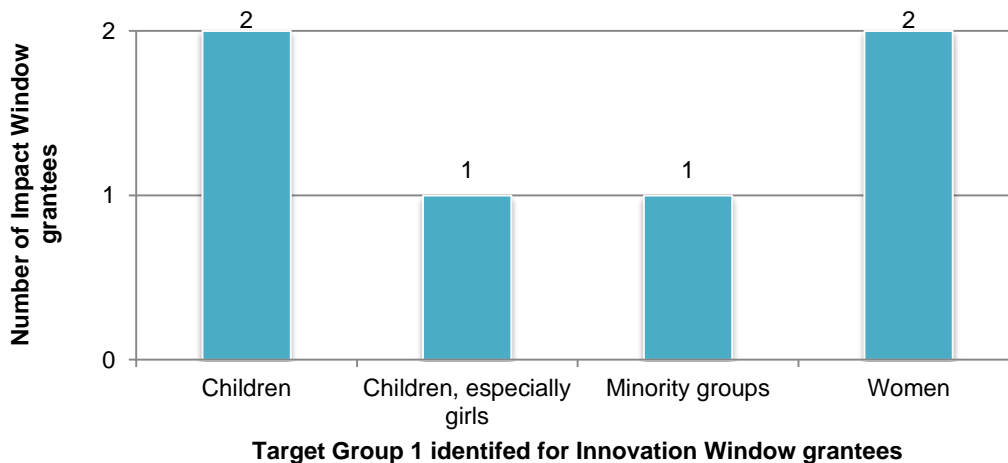
Graph 5: Core Subject 1 identified by Innovation Window grantees that will have been delivering for 12 months or more by May 2013



4.7 Key target groups for Innovation Window grantees that will have been delivering for 12 months or more by May 2013

Graph 6 shows that women and children are the two most targeted groups across the Innovation Window with two grantees (33%) selecting each of these groups.

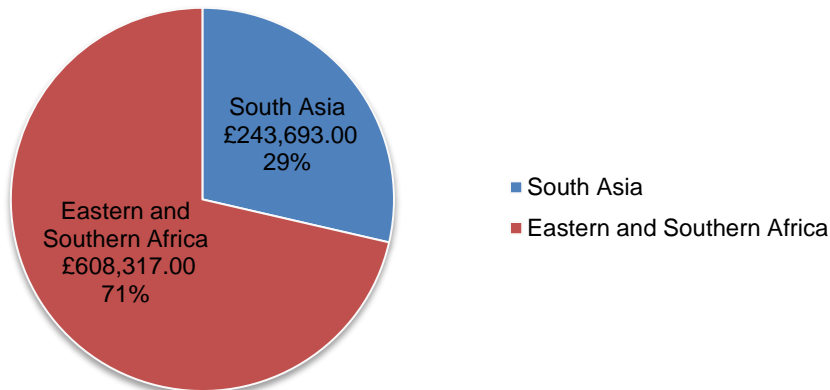
Graph 6: Target Group 1 identified by Innovation Window grantees that will have been delivering for 12 months or more by May 2013



4.8 Geographic location of Innovation Window grantees that will have been delivering for 12 months or more by May 2013

71% of the funding allocated under the Innovation Window where projects have been delivering for more than 12 months are situated in Eastern and Southern Africa. The remaining 29% of funding has been allocated to projects in South Asia. Chart 19 presents the geographic locations of Innovation Window projects that will have been delivering for 12 months or more by May 2013.

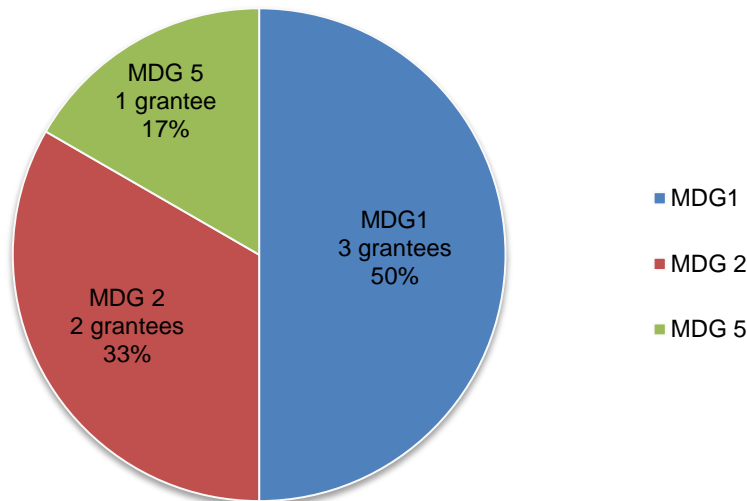
Chart 19: Geographic location of Innovation Window projects that will have been delivering for 12 months or more by May 2013



4.9 MDGs supported by Innovation Window projects that will have been delivering for 12 months or more by May 2013

MDG 1 (Eradicate extreme poverty and hunger) was identified as the primary MDG for 3 (50%) grantees. MDG 2 (Achieve universal primary education) was identified by two grantees (33%). Chart 20 presents the primary MDGs identified by GPAF Innovation Window grantees that will have been delivering for 12 months or more by May 2013.

Chart 20: Primary MDGs identified for GPAF Innovation Window grantees that will have been delivering for 12 months or more by May 2013.



ANNEX D: ADDITIONAL DETAILS ON THE EVALUATION APPROACH AND METHODOLOGY

Annual Reports:

The assessment of the Annual Reports considered two aspects: firstly, reviewing grantees' self-reported data against the Evaluation Framework; and secondly, as assessment of the quality of evidence provided by the grantees to support their reported claims. Annual Reports were then assessed against the Evaluation Framework on a scale between 1 and 5, where 5 indicated the criterion was strongly met, and 1 indicated the criterion was not met at all.

Table 1: Assessment criteria

Assessment rating	Sub-criteria
5	Performing very strongly against the criteria
4	Performing strongly against the criteria
3	Performing well - Some improvements should be made.
2	Not performing well - Significant improvements should be made
1	Performing poorly against the criteria
N/A	Criterion is not applicable to this grantee

Assessments were then revised in relation to the quality of evidence provided to provide a final composite assessment. Three members of the Evaluation Team each assessed 11 Annual Review reports. This process included two rounds of internal moderation by the three assessors to ensure consistency. A sample of nine assessments (three high performing, three medium performing and three low performing) was further submitted for independent moderation to check for fairness and consistency across the assessment conducted by the three reviewers. Modifications were made to assessments where appropriate. It should be emphasised that the purpose of assessing individual Annual Reports was not to assess the performance of individual grantees, but rather to allow aggregation to build a composite picture of the portfolio as a whole.

In addition to the assessment of the Annual Reports, the project proposal documents and attachments were also coded qualitatively using Atlas.ti to inform the assessment of the portfolio. The coding criteria were designed to reflect the indicators in the Evaluation Framework, in addition to basic grant characteristics that were included as shown in Table 2.

Table 2: Atlas.ti codes used for the Annual Reviews

<ul style="list-style-type: none"> Beneficiaries identified 	<ul style="list-style-type: none"> Affecting people, positive 	<ul style="list-style-type: none"> Barriers 	<ul style="list-style-type: none"> Engaging with actors to complement activities
<ul style="list-style-type: none"> Beneficiaries targeted 	<ul style="list-style-type: none"> Affecting people, negative 	<ul style="list-style-type: none"> Drivers 	<ul style="list-style-type: none"> Sustainability

<ul style="list-style-type: none"> Beneficiaries reached 	<ul style="list-style-type: none"> Value for money, economy 	<ul style="list-style-type: none"> Organisational characteristics 	<ul style="list-style-type: none"> Civil society capacity building
<ul style="list-style-type: none"> Organisation-wide gender mainstreaming 	<ul style="list-style-type: none"> Value for money, efficiency 	<ul style="list-style-type: none"> Working with others 	<ul style="list-style-type: none"> Unintended beneficiaries
<ul style="list-style-type: none"> Provision for gender in design and delivery 	<ul style="list-style-type: none"> Achieving VfM 	<ul style="list-style-type: none"> £ leveraged 	<ul style="list-style-type: none"> Innovation – Incremental
<ul style="list-style-type: none"> On time, on budget 	<ul style="list-style-type: none"> Best practice 	<ul style="list-style-type: none"> Impact of increased leverage 	<ul style="list-style-type: none"> Innovation – Radical

Rating the evaluation criteria

After all the Annual Reports were analysed and assessed against the Evaluation Framework, these assessments were aggregated and then averaged against each sub-criteria in the framework. The subsequent averages were then categorised against a “traffic light” rating system, where average assessments receiving a score of 4 and above received a “Green”; average assessments between 3 and 4 received an “Amber-Green”; average assessments between 2.5 and 3 received an “amber-red”; and any average assessments below 2.5 received a “red”. No weightings were attached to any of the sub-criteria.

Using a traffic light rating system was viewed as more appropriate than relying on average assessment scores because the latter implies a false sense of precision that was never the intention of the review of Annual Reports. Instead, the review of the Annual Reports provided a baseline of Fund performance against each of the sub-criteria which could then be compared and modified against other data sources.

Ratings for each of the sub-criteria were then reviewed and could be upgraded or downgraded based on the strength of other sources of evidence, particularly the online survey. The moderation of ratings resulted in the sub-criteria for “gender-mainstreaming”; “ Working with others”; and “Leverage of additional funds” being upgraded one level (e.g. from red to amber-red). There was insufficient evidence to upgrade or downgrade other sub-criteria.

Verification visits:

Field verification visits provided a key source of data for the purpose of verifying the data evidence reported by grantees. The Evaluation Team had originally planned to conduct nine verification visits as a representative sample of the 33 projects included in the evaluation. However, a change in visit requirements meant these visits needed to be reduced to four to remain within budget.

Table 3: Verification visit project characteristics

Type of grant	Grantee	Country	Total Budget	Size of grant	Size of grantee	Core subject
Impact	Methodist Relief & Development Fund (IMP-011)	Uganda	£688,356	Small	Medium	Water and sanitation
Impact	BRAC International (IMP-014)	Tanzania	£1,461,117	Medium	Large	Livestock

GLOBAL POVERTY ACTION FUND MID-TERM EVALUATION REPORT

Impact	Oxfam India (IMP-027)	India	£2,171,294	Large	Large	Reproductive health
Innovation	Trust for Africa's Orphans (INN-005)	Uganda	£249,417	Small	Small	Agriculture

Each verification visit was designed specifically for each project through collaboration with the project staff. Each visit included an initial familiarisation phone call between project staff and the Evaluation Team, a second phone call to set the visit's agenda and activities and an initial meeting on the first day of the visit to introduce project staff, present the purpose of the visits and respond to any questions or concerns.

Most verification visits lasted five days, each undertaken by two members of the Evaluation Team. Data gathering involved semi-structured interviews with project staff that was guided by the evaluation format, and also included interviews or focus group discussions with stakeholders such as implementing partners and beneficiaries. To ensure the independence and objectivity of the evaluation process locations for beneficiary meetings were selected by the Evaluation Team, and independent translators were used, rather than relying on project staff. In cases where it was appropriate, the members of the focus groups were selected by the Evaluation Team.

The verification visits culminated with a feedback presentation to interested staff members of key findings which then informed a verification visit report that was shared with project staff for comments before being finalised and submitted to DFID. The Evaluation Team encouraged verification visit project staff to share the findings with relevant beneficiaries as well; particularly those who had participated in focus group discussions or semi-structured interviews.

ANNEX E: GPAF MID-TERM EVALUATION SPECIFICATION

Approach

Scope

The evaluation will cover the 33 GPAF projects that will have completed one year of activity since the start of the grant. These comprise 27 grants from the Impact Window and 6 from the Innovation Window.

Focus: a formative evaluation

Given the timeframe, this will be largely a formative evaluation, concentrating on process and outputs, rather than a summative evaluation of outcomes and impacts.

Type of evaluation: a programme evaluation

The evaluation will be a programmatic meta-evaluation, rather than an assessment of the performance of individual grantees

The evaluation framework

The evaluation framework is contained in the file '*GPAF MTE Evaluation Framework 20130404.xls*'.

Table 1: Overview of what is contained in each of the MTE Evaluation Framework tabs

MTE Evaluation Framework Tab	Contents of the tab
GPAF Objectives	Objectives derived from GPAF documents
GPAF Meta-evaluation Template	Template for the evaluation, relating research questions to indicators, with clarifying notes
GPAF Evaluation Framework	The overall framework, detailing research questions, judgement criteria, indicators and data sources
Verification Visit Template	The template for verification field visits derived from the framework. Contains the questions for semi-structured interviews, secondary data analysis and focus group discussions
Verification Visit Sample	The sample of 9 projects identified for verification visits, and rationale for project selection. The sample was selected to roughly match the characteristics of the 33 projects, with respect to project size, grant size, organisation size, number of direct beneficiaries, regions, MDGs (including the proportion that are off-track), and type of intervention (ascertained from the impact weightings for outputs in grantees' logframes).
Sample Population Data	Characteristics of the overall sample of 33 projects
GPAF MDG	Status of the targeted MDGs for each project
Glossary	Glossary

Methods

The evaluation will involve:

- Assessment of the grantees' Annual Reviews of the 33 projects, against the evaluation framework indicators;
- Visits to a sample of 9 projects, guided by the verification visit template. The visits will involve semi-structured interviews with project staff, data analysis, and focus group discussions with beneficiaries;
- An online survey of grantees, to supplement the information from the Annual Reviews; and
- Stakeholder semi-structured interviews.

Data Sources

Data will be gathered from the following sources:

- Grantees' Annual Reviews;
- DFID Programme Documents;
- Grantees' original Project Proposals;
- The Fund Managers Project Information Database;
- Online survey of grantees;
- Verification visits to a sample of 9 projects;
- Stakeholder interviews; and
- Secondary data analysis to identify trends across the programme.

GPAF MTE Work Plan

Table 2: Overview of the key tasks and timetable for completion of the GPAF Mid Term Evaluation

Phase	Key tasks for the GPAF Mid-Term Evaluation	Month:																																				
		February				March				April				May				June				July				August				September				October				
	Week commencing:	4	11	18	25	4	11	18	25	1	8	15	22	6	13	20	27	3	10	17	24	1	8	15	22	5	12	19	26	2	9	16	23	30	7	14	21	28
1	Research design and capacity building	Management and quality assurance																																				
	Review GPAF portfolio information and submit preliminary review	▲	□																																			
	Refine key research questions																																					
	Identify revisions to the DFID Annual Review Templates for GPAF																																					
	Develop GPAF evaluation framework																																					
	Finalise research design and research tools																																					
	Develop sampling framework for verification field visits and semi-structured interviews																																					
	Conduct grantee capacity building workshop (date to be confirmed by DFID)																																					
	Finalise evaluation framework																																					
	DFID to approve finalised evaluation framework																																					
	2	Research and review	Conduct stakeholder management interviews																																			
Detailed review of GPAF grantee Annual Reviews (33 no.)																																						
Moderation of detailed review of GPAF grantee Annual Reviews																																						
Provide feedback to DFID on GPAF grantee Annual Reviews																																						
Conduct verification field visits and qualitative research																																						
3	Analysis and reporting	Triangulation of evaluation research findings																																				
	Conduct analysis of primary and secondary data																																					
	Submit and Present draft GPAF Mid Term Evaluation Report to DFID for comments																																					
	Respond to DFID comments and resubmit draft GPAF MTE to DFID																																					
	Dissemination of research findings to GPAF grantees for comments (2 weeks)																																					
	Respond to grantee comments and submit final GPAF Mid Term Evaluation Report																																					

- ▲ Meeting
- Deliverable
- Presentation / workshop

GPAF MTE RESOURCING

Table 3: Overview of the tasks that will be conducted by the GPAF Mid Term Evaluation team

Phase	Key tasks for the GPAF Mid-Term Evaluation	Role:	Project Director	Team Leader	Project Coordinator	Consultant	Civil Society Advisor
		Name:	Simon Griffiths	Neil MacDonald	Peter Mayers	Jessica Perrin	Juliet Walton
1	Research design and capacity building	Management and quality assurance	✓	✓	✓		
		Review GPAF portfolio information and submit preliminary review	✓		✓		
		Refine key research questions	✓		✓		
		Identify revisions to the DFID Annual Review Templates for GPAF	✓		✓		
		Develop GPAF evaluation framework	✓	✓			
		Finalise research design and research tools	✓	✓			✓
		Develop sampling framework for verification field visits and semi-structured interviews	✓	✓	✓		
		Conduct grantee capacity building workshop (date to be confirmed by DFID)	✓	✓	✓		
		Finalise evaluation framework	✓	✓	✓		✓
2	Research and review	Conduct stakeholder management interviews		✓	✓	✓	✓
		Detailed review of GPAF grantee Annual Reviews		✓	✓	✓	
		Moderation of detailed review of GPAF grantee Annual Reviews					✓
		Provide feedback to DFID on GPAF grantee Annual Reviews		✓	✓	✓	✓
		Conduct verification field visits and qualitative research		✓	✓	✓	
3	Analysis and reporting	Triangulation of evaluation research findings	✓	✓	✓	✓	✓
		Conduct analysis of primary and secondary data	✓	✓	✓	✓	
		Produce Draft GPAF Mid Term Evaluation Report	✓	✓	✓	✓	✓
		Dissemination of research findings to GPAF grantees	✓	✓	✓	✓	
		Respond to comments from DFID and submit final GPAF Mid Term Evaluation Report	✓	✓	✓		✓

ANNEX F: ONLINE SURVEY

Introductory text

Thank you for supporting the 2013 Global Poverty Action Fund (GPAF) mid-term evaluation.

We would be grateful for your time in completing a survey of questions. It is estimated the survey will take approximately one hour to complete.

Most questions simply involve check-boxes or ranking the importance of statement, while some questions are open ended and require a narrative response.

This survey forms part of the mid-term evaluation and is being sent to the 33 GPAF grant holders who have been implementing projects for more than 12 months at 1 May 2013. The data from this survey will be used in conjunction with grantee annual reports, project proposals, verification field visits and interviews with key GPAF stakeholders to inform the evaluation. The findings will be used to assess the GPAF mechanism and will not be used to assess individual grantee performance.

Prior to completing the survey, we encourage all grantees to review the 'GPAF Online Survey Guidelines'. This document explains the resources needed to complete the survey.

Please ensure you have completed this survey by [2 weeks from share date].

Many thanks.

The PPA and GPAF Evaluation Manager Team

Coffey

Question #	Question	Responses							
1	At the national level, is the primary MDG your project contributes to off-track?	Yes	No						
2	At the regional level, is the primary MDG your project contributes to off-track?	Yes	No						
3	Where relevant, please select the ways in which your GPAF grant addresses gender mainstreaming. Please select all categories that apply.	Budget is allocated to improve gender awareness and skills amongst staff.	Budget is allocated to improve gender awareness and skills amongst beneficiaries.	Gender competences are specified within job roles.	Equal employment opportunities are fostered.	Gender-based indicators are developed and measured.	Activities or inputs ensure equitable participation and inclusion of women.	Other (please describe).	Our project does not address gender mainstreaming.

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4	Where relevant, please select the ways in which your GPAF implementation partners address gender mainstreaming. Please select all categories that apply.	Budget is allocated to improve gender awareness and skills amongst staff.	Budget is allocated to improve gender awareness and skills amongst beneficiaries.	Gender competences are specified within job roles.	Equal employment opportunities are fostered.	Gender-based indicators are developed and measured.	Activities or inputs ensure equitable participation and inclusion of women.	Other (please describe).	Our project does not address gender mainstreaming.
5	If your project uses tools to support gender mainstreaming, which of the following tools do you use? Please select all categories that apply.	Toolkits	Guidelines	Checklists	Other (please describe)	We do not use gender mainstreaming tools			
6	If applicable, what formal gender skills/training do GPAF project staff have? Please select all that apply.	Gender analysis	Facilitating women's empowerment	Gender M&E	Design of gender-sensitive activities /programming	No gender skills			
7	Has your project had unintended consequences on people?	Yes	No						
8	If yes, please select the type of unintended consequences. Please select all categories that apply.	Positive	Negative	Neither					
9	Please indicate the type of positive unintended consequences. Please select all categories that apply.	Reaching people other than intended beneficiaries	Unplanned effects on other aspects of beneficiaries' lives	Unplanned changes in community relationships	Unplanned links with other actors (E.g. links have proven relevant that were not formerly taken into account?)	Other (please describe)			

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10	Please rate the significance of these positive consequences in relation to the delivery of your project's objectives.	High significance	Moderate significance	Low significance	No significance	
11	Please indicate the type of negative unintended consequences. Please select all categories that apply.	Reaching people other than intended beneficiaries	Unplanned effects on other aspects of beneficiaries' lives	Unplanned changes in community relationships	Unplanned links with other actors (E.g. links have proven relevant that were not formerly taken into account?)	Other (please describe)
12	Please rate the significance of these negative consequences in relation to the delivery of your project's objectives.	High significance	Moderate significance	Low significance	No significance	
13	If applicable, please indicate who your organisation cooperates with during the delivery of your project. Please select all categories that apply.	Government	Civil society groups	Private sector	We do not cooperate with other actors	
14	Please indicate what mechanism of cooperation you are using. Please select all categories that apply.	Consortia (formal entities, with a legal agreement created by several organisations to accomplish the work and share	Implementation partners (partners who receive and manage GPAF funds)	Collaboration partners : (those who collaborate in the work but do not receive GPAF		

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		GPAF funds)		funds)								
15	Have you experienced advantages of working with others to deliver results?	Yes	No									
16	Please select the most significant advantage of working with others.	Access to complementary skills	Increased reach of operation/number of people reached	Local contact and knowledge of local conditions	Other (please describe)							
17	Has GPAF funding supported the development of new skills and competences that you would not otherwise have developed?	Yes	No									
18	Where relevant, please rank in order of importance the types of skills and competences developed as a result of GPAF funding. "1" should be the type of skill or competence that most contributes to the successful delivery of your project.	Technical skills	Project management skills	Monitoring & Evaluation skills	Financial management skills	Other (please describe)						
19	Where relevant, please identify and rank up to three of the most significant factors enabling the success of your project to date with "1" being the most significant.	Community engagement	Experience in the region	Project staff retention	Timely funding	Strong partner capacity	Relatively safe working environment	Government cooperation	Support by the Fund Manager	Other (please describe)		
20	Where relevant, please identify and rank up to three of the most significant factors	Lack of community engagement	Lack of experience in the region	Project staff turnover	Funding delays	Lack of partner capacity	Lack of security	Government interference	Lack of support from the Fund	Cultural or social barrier	Environmental factors (e.g.	Other (please describe)

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	inhibiting the progress of your project to date with "1" being the most significant.								Manager		flooding)	
21	Did GPAF funding allow you to leverage additional resources (monetary or in kind) * IMPACT GRANTEES DO NOT INCLUDE MATCH FUNDING (e.g. in kind contribution might be a community hall that was donated instead of rented saving £100)	Yes	No									
22	If so, please indicate the monetary value of the additional resources in GBP (both funding and in-kind contributions).	Monetary value of additional financial resources	Approximate monetary value of additional in-kind resources									
23	Please describe any additional resources that have been obtained since the project commenced.	Open response										
24	Please explain the effect these resources have had on the delivery of project activities (between 25 and 100 words).	Open response										
25	For additional financial resources, for how many years are the additional resources secured? For each source of funding indicate the number of years.	1 year	1 -2 years	2-3 years	Over 3 years							
26	Does your project	Yes	No									

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	engage in capacity building initiatives?						
27	If yes, please rank in order of importance for the success of your project the groups you target for capacity building initiatives. Please select up to three groups with '1' being the most important.	Informal local organisations (e.g. Self-help groups, parent-teacher groups).	Formal civil society organisations (e.g. Farmers Union, Membership body)	National Civil Society organisations (National NGOs, lobbying groups)	Capacity building with the government authorities		
28	Where relevant, please rank in order of importance the type of capacity building your project provides. Please select up to three categories with '1' being the most important.	Increased access to information	Organisational development	Providing tools, standards and guidance	Formal training and workshops	Influencing the actions of others	
29	What have been the most significant effects of GPAF funding for your project? Please select the two most relevant categories with "1" being the most important.	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	Timelines: where DFID funding has allowed grantees to provide services or support in a more timely manner	Other (please describe)
30	Please provide a short example of how GPAF funding has impacted	Open response					

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	your work for the two most relevant categories? (between 25 and 100 words)							
31	Where relevant, please indicate which tools you use to assess your value for money.	Comparison and benchmarking with other activities	Cost-benefit analysis	Opportunity cost analysis	Other (please describe)	None		
32	Please briefly describe how you use these value for money tools in your project.	Open response						
33	In what areas did the KPMG due diligence assessment reveal areas for improvement in your organisation?	Programmatic: Capacity, technical skills, experience.	Systems and processes	Environmental risk management	Value for Money	Results and impact	Governance	Financial
34	To what extent have you been able to respond to key areas for improvement raised by KPMG?	All areas for improvement were responded to.	Most areas for improvement were responded to.	Some areas for improvement were responded to.	A few areas for improvement were responded to.	No areas for improvement were responded to.	Other (please describe)	
35	To what extent have the revisions recommended by KPMG improved your ability to fulfil the aims objectives of your GPAF project?	Significantly improved	Somewhat improved	Neither improved or disadvantaged	Somewhat disadvantaged	Significantly disadvantaged		
36	Reporting formats often fail to capture the novelty and diversity of what development organisations are actually doing. Please use this space to briefly describe, if you wish,	Open response						

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	achievements, challenges and learning that you feel are not adequately captured by the Annual Report	
37	Would you be happy for the Evaluation Manager to contact you for clarifications on your responses?	Open response

ANNEX G: COMPARING EVALUATION ASSESSMENTS TO FUND MANAGER PERFORMANCE SCORES

Explaining the difference between Evaluation Assessments and performance scores

The assessment of the sampled grantees' Annual Reviews against the evaluation framework is not defined as a measure of a grantee's performance against its objectives since the evaluation framework serves a much broader research purpose. For example, whether or not a grantee has mainstreamed gender tools into its work may have no effect on its overall performance against its logframe. However, to illustrate the difference between the evaluation's assessment and the Fund Manager's performance scores, the Evaluation Team compared its assessments with the performance scores produced by the Fund Manager. The evaluation assessments were banded from A to E to correspond with the system used by the Fund Manager.

Comparing the Evaluation team's assessments with the Fund Manager's scores revealed markedly different results. Over the 33 projects, only five are in the same band for both the Fund Manager's scores and Evaluation Team's assessments. A further 22 of the overall evaluation assessments are lower than the Fund Manager scores, and six are higher. This is largely driven by the fact that the Fund Manager considers progress against milestones as the primary indication of performance whereas the evaluation frameworks considered much broader criteria with no weighting for relative importance.

The difference between the Evaluation's assessments and the Fund Manager's scores became significantly less pronounced when the Evaluation Team's compared only its effectiveness assessments with the Fund Manager scores. For 17 of the projects, the assessments are in the same band with the Fund Manager's scores, while eight are higher and eight are lower. The difference between the Evaluation Team's assessments of effectiveness compared to the Fund Manager's scores was driven by the Fund Manager's emphasis towards performance milestone completion. By contrast, the Evaluation Team's assessment of effectiveness is broader and reflects the measurement of additional factors from the evaluation framework such as learning and organizational characteristics.

ANNEX H: EVALUATION SCHEDULE

Key Activities	Timeframe
Coffey commissioned as the GPAF and PPA Evaluation Manager	January 2011
Refine the evaluation questions and develop an evaluation framework	February – March 2013
Assessment and moderation of the 33 Annual Reviews from sampled grantees	April – June 2013
Develop, pilot and launch Online survey	June – July 2013
Verification visits to 4 projects in Africa and Asia, including discussions with beneficiaries	August – September 2013
Semi-structured interviews with key stakeholders at DFID, the Fund Manager and KPMH	August – October 2013
Analysis of data and drafting Mid-Term Evaluation Report	November 2013
Submission of Mid-Term Evaluation Report to DFID	29 November 2013
Presentation of Mid-Term Evaluation Report findings to DFID	Mid December 2013
Presentation of Mid-Term Evaluation Report findings to GPAF grantees	Mid February 2014

ANNEX I: LIST OF KEY INFORMANTS

Due Diligence: 19/08/2013

KPMG staff

- Stephen Blakely, Senior Manager

DFID: 28/08/2013

CSD staff (East Kilbride)

- Roy Trivedy, Head of Civil Society Department
- George McLaughlin, Deputy Head of Civil Society Department
- Rachel Grant, GPAF Manager
- Margaret Sinclair, GPAF Manager

Fund Manager: 18/10/2013

Triple Line staff

- Martin Wright, Senior Fund Manager
- Janet Glover, Technical Consultant
- Maku Obuobi, Grants Manager
- Brenda Dempsey, Grants Manager
- Tony Maher, Senior Project Administrator

Oxfam India(28/8/2013 - 3/9/2013)

Oxfam staff

- Tista Dutta Sahoo, Programme Funding Manager
- Dhananjay Kakade, Program Coordinator Health
- Shilki Soni, GPAF Project Officer
- Saurabh Jha, Program Finance Coordinator
- Aniruddha Bramhachari, Monitoring, Evaluation and Learning Manager

Prayas Staff

- Ritesh Laddha, Secretariat Coordinator
- Vijaypal Singh, District Coordinator
- Rehka Nagda and Geeta Mathur, Field Animators

Auxiliary Nurse Midwives

Two female auxiliary nurse midwives

Barefoot auditors

Chhoti Lank village:

- Gyarsi, female aged 25, and Kailash, male aged 27

Lalpura village:

- Nagu Lal and husband and wife team

Beneficiaries

- Accredited Social Health Activists (ASHAs), approximately 20 female ASHAs from the surrounding area
- Anganwadi Workers (AWWs), approximately 10 female AWWs from the surrounding area

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- Pregnant and lactating women, Chhoti Lank, approximately 35 women
- Pregnant and lactating women, Lalpura, approximately 25 women
- Adolescent girls, Chhoti Lank, approximately 35 girls in grades 5 to 11
- Adolescent girls, Lalpura, approximately 15 girls
- Village Health and Sanitation Committee (VHSC) Members, Chhoti Lank, four men and four women
- Village Health and Sanitation Committee (VHSC) Members, Lalpura, six women and one man

TAO/Kulika Uganda (3/9/2013 – 6/9/2013)

Kulika staff

- Christina Sempewba (Executive Director)
- Magdalene Amujal Ogwang (Head of Programmes)
- Joseph Kassibante (Head of Finance)
- Harriet Ndagire Sempewba (Community Development Manager)
- Joseph Mugagga (Agribusiness Field Officer)
- Mark Nyeko (Oram- Loro Extension Field Officer)
- Alex Ojera (Apac-Chegere Extension Field Officer)
- Monica Adongo (Administrative Officer)

Advisory Committee members

- Two from Oyam, together with the Oyam Chief Administrative Officer and Deputy Chief Administrative Officer
- One from Lira
- Four from Apac

Buyers

- Robert Adwel, Field Operations manager, Mukwano Mills)
- Jimmy Owiny (Extension coordinator, Mukwano Mills)
- Surjit Singh (Managing director, Guru Nanak oil mills)
- Robert Ekwaro (chairman, Oyam United Grain Producers Association)

Beneficiaries

- 10 women farmers from Apac
- 27 men farmers from Apac

MRDF/VAD Uganda (9/9/2013 – 13/9/2013)

VAD staff

- Benedict Male, Executive Director
- Mabel Agnes Mirembe, Programme Director
- Sarah Nalubombwe, Finance
- Charles Mudhumba, Monitoring and Evaluation Officer
- Asuman Kaggwa, Water Engineer
- Johnnie Wasswa, Water Engineer
- Rita Namukasa, Field Staff
- Paul Ssempijja, Field staff
- Deliah Mabulya, Hygiene Promoter
- Dorothy Mubiru, Hygiene Promoter

Beneficiaries

Kyajanzi village, Bussi Island:

- Mixed group of five and five women from the Community Monitoring Team, the Water Users' Committee and the Village Health Team and
- Bussi Modern School. School Health Club, seven girls and three boys.

Kachanga village, Kava Island:

- Mixed group of 11 men and two women from the joint Water Users' Committee and Community Monitoring Team of Kachanga and KaviTwazi.

BRAC Tanzania (23/9/2013 – 27/9/2013)

BRAC staff

- Md A Saleque, Adviser. Agriculture and Livestock, BRAC International
- Rakibul Bari Khan, Country Rep
- Md Marnuhur Rashid, Head of Finance
- Md Abdus Salam, Program Manager GPAF
- Dr Muhammad Abdul Barek, Livestock Coordinator
- Walid Ahmed, Communications and Liaison Manager
- Venus Yam, Research team, Dodoma (by Skype)
- Patrick Olobo, Research team, Dodoma (by Skype)
- Paschalo John Area Coordinator
- Emmanuel Naugyabuso, Livestock Program Organiser, Usa River Branch
- Honesty Mboya, Area Livestock Coordinator, Usa River Branch
- Sophia Gabriel, Extension Officer, Usa River Branch

Beneficiaries

Kambara, Bomangombe Branch:

- 17 Women Agriculture Farmers
- 1 Community Agricultural Promoter
- 4 Men Agriculture Farmers

Usa River Branch:

- 8 Women Livestock Farmers
- 4 Community Livestock Promoters and Artificial Inseminator
- 3 Men Livestock Farmers

ANNEX J: KEY LIST OF DOCUMENTS CONSULTED

Key consulted documents
Extract from original GPAF 'Frequently Asked Questions' for Innovation 01 & Impact 01 (October 2010) on DFID Website.
Fund Manager presentation to the GPAF Board on 26/11/2013
GPAF Annual Review Reports of sampled projects (33) from 2013
GPAF financial reports of sampled projects (33) from 2014
GPAF logframes of sampled projects (33) from 2013
GPAF and PPA Evaluation Manager Terms of Reference.
Original project proposals of sampled projects (33) from 2011/2013
TripleLine excel document: GPAF IMP & INN projects main info (January 2013)
World Development Report: Uganda 2012. http://www.worldbank.org/en/country/uganda (accessed 10 November 2014).

ANNEX K: EVALUATION TEAM DETAILS

Project Director – Simon Griffiths (Coffey)

Team Leader – Dr. Neil MacDonald

Evaluation Manager – Peter Mayers (Coffey)

Evaluation consultant – Jessica Perrin (Coffey)

Civil Society Advisor – Juliet Walton (Coffey)