Inception Report

Prosperity Fund Evaluation and Learning

May 2018

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Table of Abbreviations

AIIB	Asian Infrastructure Investment Bank
AECF	Africa Enterprise Challenge Fund
BC	Business Case
BEIS	Department for Business, Energy & Industrial Strategy
BER	Business Environment Reform
BERF	Business Environment Reform Facility
CA	Contribution Analysis
CEFAS	Centre for Environment Fisheries and Aquaculture Science (DEFRA)
CIF	Climate Investment Fund
CSSF	Conflict, Stability and Security Fund
CO	Cabinet Office
DCMS	Department for Digital, Culture, Media and Sport
DEFRA	Department for Environment, Food and Rural Affairs
DfE	Department for Education
DFID	Department for International Development
DGGF	Dutch Good Growth Fund
DIT	Department for International Trade
E&L	Evaluation & Learning
EACDS	Expert Advisory Call Down Services
EcHo	UK Economic Horizons Programme
E&LC	Energy and Low Carbon
EQs	Evaluation Questions
FC	Future Cities
Fin. S.	Financial Services
FCO	Foreign and Commonwealth Office
FDI	Foreign Direct Investment
G&I	Gender & Inclusion
GCF	Green Climate Fund
GEA	Gender Equality Act
GDS	Government Digital Service
HMG	Her Majesty's Government
HMT	Her Majesty's Treasury
HR	Human Resources
ICAI	Independent Commission for Aid Impact
IDA	International Development Act
IDA/GE	International Development Act (Gender Equality)
IEG	World Bank Independent Evaluation Group
IO	Intermediate Outcome [of the fund ToC]
IPA	Infrastructure and Projects Authority

KII	Key Informant Interviews
KPI	Key Performance Indicator
M&R	Monitoring & Reporting
MDA	Multilateral Development Agency
MDB	Multilateral Development Bank
MoD	Ministry of Defence
MoU	Memorandum of Understanding
MREL	Monitoring, Reporting, Evaluation & Learning team of the PFMO
NAO	National Audit Office
NAMA	Nationally Appropriate Mitigation Actions Facility
NCA	National Crime Agency
NERC	Natural Environment Research Council
NGO	Non-Governmental Organisation
NOC	National Oceanography Centre
ODA	Official Development Assistance
ODI	Overseas Direct Investment
OECD-DAC	Organisation for Economic Cooperation & Development – Development Assistance Committee
Ofgem	Office of Gas and Electricity Markets
OGA	Oil and Gas Authority
PD	Project Director
PF	Prosperity Fund
PFDU	Prosperity Fund Delivery Unit
PFMO	Prosperity Fund Management Office
PIDG	Private Infrastructure Development Group
PM	Project Manager
Q&A	Questions and Answers
QA	Quality Assurance
QCA	Qualitative comparative analysis
SIFEM	Swiss Investment Fund for Emerging Markets
SOP	Standard Operating Procedures
SRO	Senior Responsible Owner
T&C	Transparency and Corruption
TAG	Technical Advisory Group
ToC	Theory of Change
VfM	Value for Money

Version History

Document Title	E&L Prosperity Fund Inception Report			
	WYGB22-INC-20-01		Revision	2
Revision	**Written By**		**Checked By**	**Approved By**
Revision 0	Michael Schultz and Fionn O'Sullivan, based on material provided by technical and engagement teams		Technical Leads	PFMO
Revision 1	Michael Schultz and Fionn O'Sullivan, based on material provided by technical and engagement teams		Technical Leads	PFMO
Revision 2	Michael Schultz and Fionn O'Sullivan, based on feedback from PFMO and support from E&L Team		E&L Team	PFMO

This report has been prepared during the inception phase of the Prosperity Fund Evaluation and Learning contract.

The annexes to this main report were produced and approved by the Prosperity Fund Management Office before the main Inception Report and Workplan were finalised and agreed.

If there is any inconsistency between the annexes and the main Inception Report and Workplan, the main Inception Report and Workplan provides the agreed position.

Executive Summary

The Prosperity Fund (PF) is a cross-government fund that aims to reduce poverty by supporting inclusive economic growth in middle-income countries. £1.2bn has been allocated from 2016/17 to 2021/22. The fund is managed by the Prosperity Fund Management Office (PFMO) which reports to the Cabinet Office (CO) and is hosted by the Foreign Office (FCO).

The primary purpose of the fund is to create opportunities for inclusive and sustainable growth that will reduce poverty and improve the welfare of poor people in partner countries. As well as contributing to a reduction in poverty in recipient countries, it is envisaged that a secondary benefit of the fund will be the creation of opportunities for international business, including UK companies.

Two contracts have been awarded to provide Monitoring and Reporting (M&R) and Evaluation and Learning (E&L) services to the fund. This is the inception report of the Evaluation and Learning (E&L) contract, which is being delivered by a consortium of three companies, WYG, Integrity and LTS. A combined consortium team has produced this report, which describes the management and delivery of a 4- year programme of evaluations. These evaluations will show what the Prosperity Fund (PF) is contributing towards:

i) Promoting growth that is likely to reduce poverty and promote gender equality.

ii) The creation of opportunities for international business including UK companies (secondary benefits).

iii) Value for Money (VfM) in the use of PF resources and the results achieved.

The E&L service will support organisational learning and contribute to the accountability mechanisms of the fund and the departments that use PF funds. An annual E&L cycle will provide the basis for an evidence-based review of progress on what has been achieved, how and why. It will enable the sharing and use of evidence from evaluations to support decision making at project, programme and Fund levels.

At first, we will emphasise learning for programme and fund managers, establish baselines and validate the theory of change (ToC). Later, we will assess progress towards outputs and intermediate outcomes and generate evidence for organisational learning and active portfolio management.

Key deliverables are set out in Table 1 (page 2). The year 1 deliverables will provide an input into the next spending review which is expected in 2019. For the spending review a consolidated review of evidence will be prepared, drawing on the year 1 deliverables.

We will deliver an integrated programme of four types of evaluations in an annual cycle. These will focus respectively on programmes, families of projects and programmes that target an intermediate outcome, cross-cutting themes and the fund itself. Organised to focus on the key elements of the fund ToC, together they will provide a cohesive picture of the performance of the projects and programmes, progress towards the intermediate outcomes and the overall performance of the fund. Table 2 (page 3) sets out these different types of evaluation, who they are for and what types of information they will yield. Figure 1 (page 3) shows how they are related to the ToC.

We will collect most of the data through the Programme Evaluations. Additional data may sometimes be needed to augment the information from the Programme Evaluations to complete the picture and enable conclusions to be drawn about progress towards the

intermediate outcomes and to inform the thematic and fund evaluations. We will maximise the engagement of the programmes with the evaluations. We will streamline the collection of data through an annual programme evaluation cycle. This will ensure that the case studies that are the building blocks of the programme evaluations provide as much information as possible for the other three types of evaluation. The Monitoring and Reporting system (Prospero) that will gather data against the key performance indicators (KPIs) will be an important source of raw material for the evaluations.

Table 1: Key E&L deliverables[1]

Year 1	Year 2	Year 3	Year 4
Programme Evaluation			
12 Initial Programme Evaluation Approach Papers 12 Initial Programme Evaluation Cycle Reports	12 Initial Programme Evaluation Approach Papers 12 Initial Programme Evaluation Cycle Reports 12 Interim Programme Evaluation Cycle Approach Papers* 12 Interim Programme Evaluation Cycle Reports	24 Interim Programme Evaluation Cycle Approach Papers* 24 Interim Programme Evaluation Cycle Reports	24 Programme Final Sumative Evaluation Approach Papers* 24 Programme Final Summative Evaluation Reports
Family Evaluation – synthesis of projects at family level			
1 Approach Paper 1 Final Report	1 Approach Paper 1 Final Report	1 Approach Paper 1 Final Report	1 Approach Paper 1 Final Report
Thematic Studies			
4 Thematic Studies papers, 2 Thematic Studies Final Reports Approach paper topics in Year 1 will be: 1) Value for Money 2) Secondary Benefits 3) Gender and Inclusion and 4) CSR EL Evidence Review.	2 Thematic Studies Approach Papers 2 Thematic Studies Final Reports	2 Thematic Studies Approach Papers 4 Thematic Studies Final Reports	1 Thematic Studies Approach Paper 1 Thematic Studies Final Report
Fund			
1 Fund Baseline Approach Paper 1 Fund Baseline Report 1 Fund Evaluation Approach Paper	1 Fund Level Evaluation Report	1 Fund Level Evaluation Report	1 Fund Level Evaluation Report
Annual Report			
1 EL Annual Report	1 EL Annual Report	1 EL Annual Report	1 EL Annual Report
Learning			
A Web Portal for learning established	Continual knowledge management and learning service provided to PF programmes	Continual knowledge management and learning service provided to PF programmes	Continual knowledge management and learning service provided to PF programmes

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[1] A detailed table of deliverables is at Table 14, page 66.

Table 2: Evaluation types

Evaluation Type	Who are they for?	Highlights
1. Programme evaluations	Programme Managers	Evidence of the programme's effectiveness, what results are being achieved, why and how.
2. Family evaluations	PFMO, Portfolio and Ministerial Boards	What contributions are being made by programmes towards the fund's intermediate outcomes and the strength of that contribution.
3. Thematic evaluations	PFMO, Portfolio and Ministerial Boards	What is the PF doing to support gender equality and women's economic empowerment? Are PF activities sustainable? Does the PF provide good value for money?
4. Fund evaluation	PFMO, Portfolio and Ministerial Boards	How and how much the PF is contributing to sustainable economic growth and development and secondary UK benefits from this growth.

Our approach will be based on the Fund's ToC. We will use evidence from the evaluations to test the assumptions and causal mechanisms linking the inputs to the intermediate outcomes and to assess the likelihood of contribution towards impact. We will use qualitative and quantitative evidence to assess the contribution that the PF interventions are making towards the intermediate outcomes.

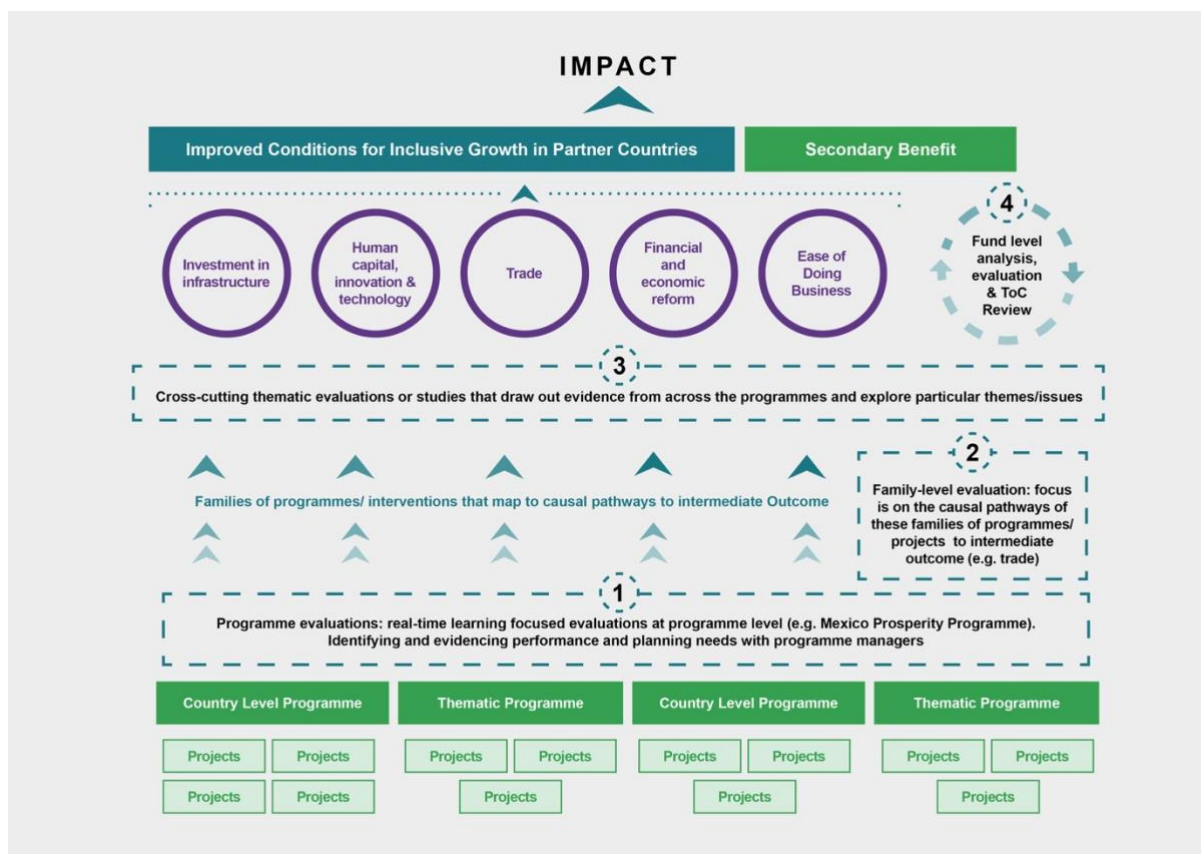*Figure 1: Evaluation types and the Theory of Change*

In the first three years of the E&L service the emphasis will be on learning how to improve performance. Summative evaluation will take place in year 4, when there is more likelihood of impacts emerging. As a result, the ability to answer some of the evaluation questions will depend on timing, with some only answered at the end of the evaluation period.

Programme Evaluations

Programme Managers will be closely involved in the prioritisation and design of Programme evaluations. The evaluations will assess evidence of progress towards outcomes at the programme level and produce learning that helps Programme Managers to adapt and improve their programmes.

In the first year, the focus will be on assessing the evaluability of the programme, establishing the evaluation baseline and supporting early learning needs for programme implementation. This will help ensure the Programme Evaluations produce relevant and useful evidence that supports the management of the programme.

Family Evaluations

Interventions or projects within different programmes that contribute to the same intermediate outcome will be evaluated as a 'family' of interventions. The synthesis of programme evidence around these families, supported by case studies, will be undertaken annually and focus on the contribution that the programmes are making towards the five intermediate outcomes at Fund level. This will enable joint (cross-programme) evaluations to take place and provide opportunities for cross-programme learning about what is working well and why.

In the first year the E&L team will confirm with programme managers and project strand leads the grouping of the programmes and projects into the designated families.

Family-level reference groups will be established. These reference groups will sense-check which projects belong to the family, be involved in the selection of which projects to sample, and discussing any proposed family Theory of Change. They will also be used to sense-check the synthesised findings to ensure they are representative and that relevant findings haven't been overlooked.[2] The family reference groups will also support learning and knowledge sharing through the family-level evaluations.

Thematic Evaluations

The PFMO will commission thematic evaluations. They will be cross-cutting and look at factors common to a range of programmes, including Fund management, strategy and design. Examples are: assessing the performance and likely impact of the fund on gender equality and inclusion, comparing experience in assessing Value for Money (VfM) and examining environmental sustainability.

Fund Level Evaluation

An evaluability assessment of the fund was undertaken during inception (Annex 13). The Fund evaluation will draw on the evaluation evidence produced by the E&L team, including learning from other relevant funds or programmes in assessing how likely the fund is to achieve its primary purpose, to deliver secondary benefits and to be good value for money. To do this the fund level evaluation will focus on evaluating the three core evaluation questions, namely: What has been or is likely to be achieved as a result of the Prosperity Fund? What factors

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[2]   Sense-making is an evaluation and social research structured process for helping users make sense of evidence and to make evaluative judgements of what the findings mean, for how they will use the evidence to inform decision-making. Patton M. Q. (2012) 'A Utilization-Focused Approach to Contribution Analysis', *Evaluation*, 18/3: 364–77.

have contributed to or hindered these achievements? and What can we learn from the Prosperity Fund experience to date to improve on-going and future programming?

The evaluation findings will contribute to an annual review and learning exercise between April and June each year that draws on the findings of the programme, family thematic and fund evaluations.

An impact evaluation is outside the scope of this evaluation programme, but is planned for 2025. The Fund level evaluation will however provide evidence around the contribution that the fund has made towards the achievement of the outcomes and the likelihood of maintaining progress towards fund impact.

Annual Cycle of Evaluations

An annual cycle of evaluation and learning will guide the programme, family and thematic evaluations (Figure 2, below). Planning will involve discussions with PF staff to choose the themes and projects to evaluate, and the timing. This will ensure that the evidence and lessons produced meet the needs of the Programme Managers and the PFMO. We will undertake an annual review of the ToC and of the evaluation questions (EQs).

Figure 2: The evaluation cycle

Learning and Knowledge Management

Learning is a priority for the E&L contractor and will be integrated into the management and delivery of the annual evaluation cycle. Programme Managers will be central to the prioritisation and design of the Programme Evaluations and will contribute their experience.

This will support the early use of the evaluation findings to adapt both the programmes and the fund.

Our approach provides curated learning opportunities within and alongside evaluation processes. Figure 3 (below) shows the integration of learning into the annual cycle of evaluations, with each stage of the cycle providing opportunities for learning by the programme teams as part of the evaluation process.

Alongside evaluation processes, an E&L web portal will provide the Programme and Fund Managers access to evaluation knowledge and learning opportunities such as peer learning groups (which may evolve into communities of practice) and workshops. We will ensure that the E&L communications and knowledge products are of high quality and have a clear and consistent identity.

Gender Equality and Inclusion

All programme and family evaluations will include an assessment of their contribution to gender equality, equity, women's economic empowerment and social inclusion. In the first year, we will review whether the design of the programmes has considered gender and inclusion (G&I). The priorities for thematic studies in years 2-4 will be decided at the end of year 1. These could include a thematic study to assess whether the implementation of the programmes has been in line with PFMO guidance on G&I.

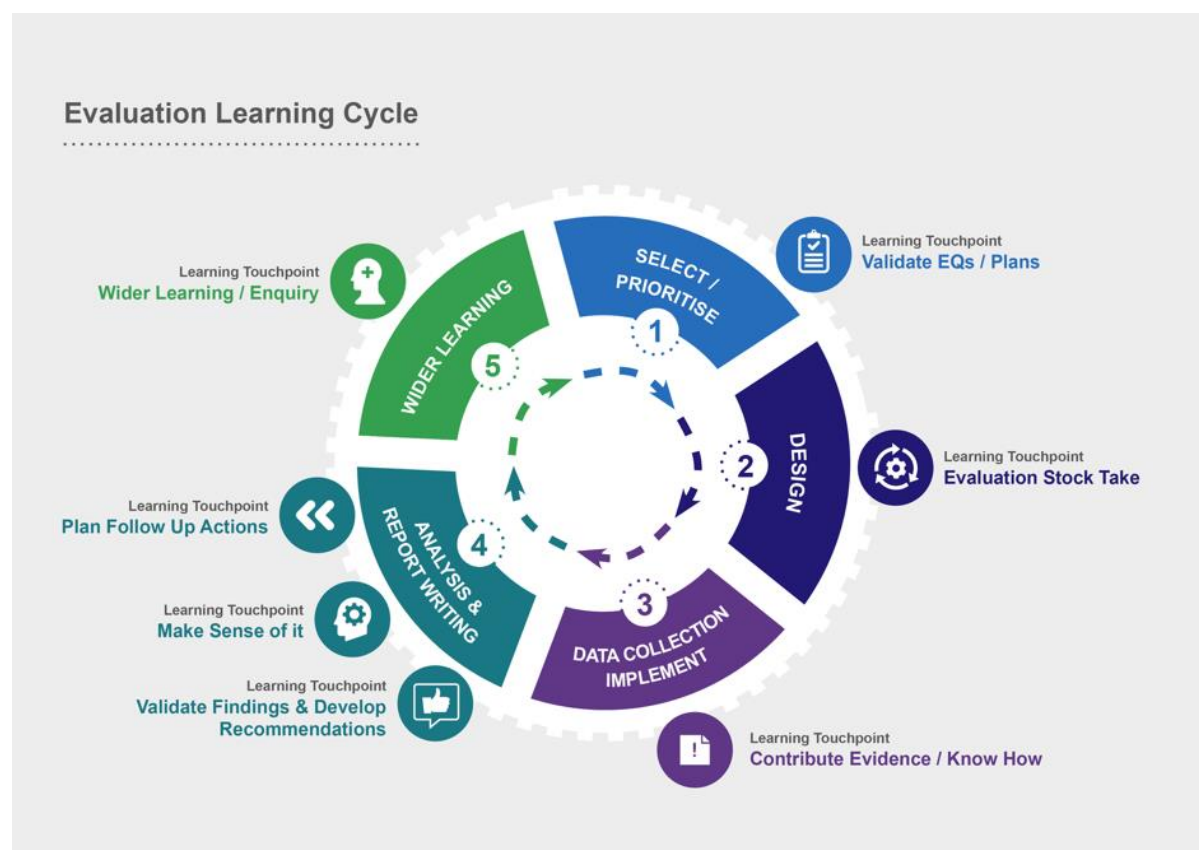*Figure 3: Evaluation learning cycle*

Secondary Benefits

The secondary benefits of the fund include 1) exports by the UK and other companies, 2) ODI and FDI, 3) the creation of longer-term market opportunities for the UK and other firms and 4)

the promotion of UK 'soft power' which helps UK companies realise commercial opportunities and are an innovative element of the fund. Given that there might be a time lag in producing the secondary benefits, we will first review the processes established to generate secondary benefits and cross-fund reviews of the causal pathways leading to the secondary benefits. Alongside this review of the involved processes, the baselines for the evaluation of the secondary benefits will be established for the programmes. From year 2, there will be rolling evaluations of the secondary benefits as part of the annual cycle of thematic evaluations.

Value for Money

VfM will be assessed against the four metrics or 'Es' of economy; efficiency, effectiveness and equity. In the first year, a baseline against which VfM will be evaluated will be established. We will undertake a thematic evaluation of VfM in Year 2 or 3.

We will assess VfM using a scorecard with criteria that include the presence of VfM indicators, VfM data collection, procurement and cost management procedures, the efficiency with which the outputs are delivered, whether the outcomes are likely to be sustainable and risk management procedures.

Coordination with the Monitoring and Reporting System (Prospero)

The E&L team will use data on the indicators from the M&R system for the evaluations. The E&L team will continue to collaborate with the M&R contractors using the MoU agreed during the inception phase to ensure that Prospero is providing what data it can to support the evaluations. We will ensure that the E&L and M&R services provide a coherent service to the PF programme teams.

Management

Each type of evaluation will require different input from different team members. We will use a combination of line management to manage the Programme Evaluations and a matrix management system to coordinate and manage the inputs in the Family, Thematic and Fund evaluations. The management organogram (Figure 20, page 70) shows how the programme and family evaluations will be line managed by the Technical Lead (programmes and families), to whom the family and programme leads report. In some instances, the Family Lead will also be a programme lead. For example, in the case of the Trade and Financial and Economic Reform family, the Family Lead will also lead the evaluation of the Global Trade Programme.

The principal source of data for the fund and thematic evaluations will be the programme and family evaluations. A process of synthesis will be used to distil information from them for the thematic and fund evaluations. This will ensure that programmes and projects are not burdened with successive data-collection exercises. For example, the gender and inclusion thematic studies will use data that will have been collected principally from the programme evaluations. The gender and inclusion lead will ensure that the programme evaluations include in their data collection and evaluation questions, ones that enable sufficient data to be collected to meet the needs of the gender and inclusion thematic review.

The E&L Programme and Family Technical Lead will supervise five teams that will undertake programme evaluations for the designated programmes. Each team is led by a Family Lead. Each Family Lead will oversee the management of a group of programme evaluations, each led by a Programme Evaluation Lead.

The Technical Lead (Thematic and Fund) will lead a team responsible for the thematic and fund evaluations. Each thematic evaluation will be led by the respective Thematic Lead. The fund evaluation will be led by the Principal Fund Evaluator. A team will be assembled for the fund evaluation and each thematic evaluation under the corresponding Fund or Thematic Lead.

The following principles will govern the management of the evaluations:

i) Each evaluation will have a Leader who will be responsible for the management of the evaluation team and the preparation of the evaluation approach paper and report. In some instances, the Family Lead will assume a Programme Evaluation Lead role.

ii) Programme evaluation teams will be made up of a range of experts reflecting the programmes that they are evaluating.

The evaluation team for implementation will be made up of two components; a core team to provide oversight and continuity and variable teams for individual evaluation studies. The variable element of the team will be a pool of experienced evaluators, thematic experts and in-country specialists who can be brought in as and when required to support the core team or to carry out discrete pieces of work.

1.   Context, Purpose, Scope and Objectives

1.1   Prosperity Fund: Background

Many developing countries, including middle-income countries where around 70% of the world's poor live, face challenges such as rapid urbanisation, climate change and high inequality, including gender inequality. Together, these constrain the prospects for long-term sustainable and inclusive growth.[3]

The Prosperity Fund (PF) is a cross-government fund that aims to reduce poverty by supporting inclusive economic growth in middle-income countries. £1.2bn has been allocated from 2016/17 to 2021/22. The fund is managed by the Prosperity Fund Management Office (PFMO) which reports to the Cabinet Office (CO) and is hosted by the Foreign Office (FCO).[4]

The primary purpose of the fund is to create opportunities for growth that will reduce poverty and improve the welfare of poor people in partner countries. As well as contributing to a reduction in poverty in recipient countries, it is envisaged that a secondary benefit of the fund will involve: exports by UK and other companies; ODI and FDI; the creation of longer-term market opportunities for UK and other firms; and the promotion of UK 'soft power' which helps UK companies to realise commercial opportunities.

The Fund Theory of Change identifies five main Intermediate Outcomes (IO), which aim to bring about the following kinds of change:

- **Investment in Infrastructure (IO1)** is intended to create the conditions for sustainable economic growth by "providing businesses with access to the services and resources they need to expand production and access markets." It aims to catalyse infrastructure projects through attracting more capital to the sector, increasing investment in higher quality infrastructure projects and strengthening infrastructure planning capacity to help countries effectively prioritise their infrastructure investment and to create project pipelines that incentivise the private sector. It covers the Infrastructure, Future Cities, Energy & Low Carbon and Technology / Digital Access sectors.

- **Human Capital, Innovation and Technology (IO2)** covers the health and education sectors as well as projects across a range of sectors that develop, pilot, demonstrate, scale up and apply new technologies and promote knowledge spillovers. Reforms and interventions that promote innovation are intended to create the conditions for economic growth through "raising firms' and countries' competitiveness" and contribute to sustainability by addressing global challenges such as climate change.

- **Trade (IO3)** covers projects that aim to create high level support and political will for (1) openness to trade (with an emphasis on new free trade agreements) and (2) regulatory reforms (primarily the removal of non-tariff barriers to trade) to develop an open, rules-based, predictable and non-discriminatory trading system. Increases in governments' abilities to enact and implement successful trade policies and regulations are intended to support growth by increasing economic flows between the UK and PF priority countries.

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[3]   See: http://bit.ly/MIC_Poverty for World Bank data on poverty in middle income countries. Cited in Prosperity Fund Annual Report 2016-17 - http://bit.ly/2HstW5K.

[4]   More information is available at: http://bit.ly/PF_Update.

- **Financial and Economic Reform (IO4)** projects are intended to "create the conditions for sustainable growth by raising long-run supply potential, productivity and sustainability and raising aggregate demand." This sector covers policy and regulatory improvements through technical assistance, the innovative use of financial technologies and development of financial products, green finance and disaster risk management through insurance.

- **Ease of Doing Business (IO5)** covers projects that seek to make partner countries easier places to do business through improving the central regulatory capacity and policy making, fighting corruption and facilitating trade and access to justice. Improvements in the ease of doing business are intended to "improve market efficiency and increase incentives for domestic and international firms to invest by reducing uncertainty and creating a level playing field for firms."

The Fund's Ministerial Board has approved 21 concept notes. In its first year, 2016-17, it committed £55 million in Official Development Assistance (ODA) and £5 million in non-ODA funds to a series of smaller projects across 13 countries and in the South East Asian region. During that time, it began developing the structures and procedures required for programming a higher volume of funding over the remaining four years of the spending review period. When scaled up, the portfolio will comprise 24 programmes in 46 countries with inputs from 21 HMG Departments. Table 3 (page 11) sets out a summary of the programmes and the intermediate outcomes they target.

Two contracts have been awarded to provide Monitoring and Reporting (M&R) and Evaluation and Learning (E&L) services to the fund. This is the inception report of the Evaluation and Learning (E&L) contract, which is being delivered by a consortium of three companies; WYG, Integrity and LTS. A combined consortium team has produced this report, which describes the management and delivery of a 4- year programme of evaluations. These evaluations will show what the Prosperity Fund (PF) is contributing towards

i) Promoting growth that is likely to reduce poverty and promote gender equality.

ii) The creation of opportunities for international business including UK companies (secondary benefits).

iii) Value for Money (VfM) in the use of PF resources and the results achieved.

The Prosperity Fund Management Office (PFMO) has established a Monitoring, Reporting, Evaluation and Learning framework (MREL). This report describes the evaluation and learning (E&L) element. A separate report on monitoring and reporting (M&R) describes the collection and reporting of quantitative monitoring data. Put simply, the M&R work will concentrate on saying what has happened. The E&L work will focus on why and how it has happened.

Table 3: Table of PF Programmes

Programme Name	Region	Value	Sectors	Intermediate Outcome				
				IO1	IO2	IO3	IO4	IO5
Global Trade Programme	Global	£150,000,000	Trade			√		
Digital Access Programme	Global	£82,500,000	Technology	√	√			
Future Cities Global Programme	Global	£80,000,000	Future Cities (FC)	√	√			
Better Health Programme	Global	£75,000,000	Health		√			
Skills for Prosperity Programme	Global	£75,000,000	Education		√			
Investment Promotion Programme	Global	£50,100,000	Business Environment	√				
Global Anti-Corruption Programme	Global	£45,100,000	Transparency & Corruption (T&C)					√
Centre for Global Disaster Protection	Global	£30,000,000	Financial Services (Fin. S.)		√		√	
Global Business Environment Programme	Global	£30,000,000	Business Environment					√
Global Finance for Inclusive Growth	Global	£29,000,000	Financial Services		√		√	
Global Infrastructure Programme	Global	£25,000,000	Infrastructure (Infra.)	√	√			
UK/India Green Growth Equity Fund	Asia	£120,000,000	Infra.	√				
China Prosperity Programme Phase 1	Asia	£85,000,000	Rule of Law, Fin. S, Energy & Low Carbon (E&LC), Infra.	√	√		√	√
China Prosperity Programme Phase 2	Asia	£20,000,000	Health, Education and FC.		√			
India Economic Reform and Prosperity Programme	Asia	£60,000,000	Business Environment, Education, Fin S, E&LC, FC.	√	√		√	√
Asian Infrastructure Investment Bank Special Fund	Asia	£39,000,000	Fin. S.	√				
Turkey Financial Services Programme	Asia	£20,000,000	Financial Services				√	
Indonesia Renewable Energy and Regulatory Reform	Asia	£15,000,000	E&LC, Business Environment	√	√			√
SE Asia Trade and Economic Reform	SE Asia	£19,000,000	Business Environment, Fin S.				√	√
SE Asia Low Carbon Energy	SE Asia	£15,000,000	E&LC	√			√	
Mexico Prosperity Programme	L. America	£60,000,000	E&LC, FC, Financial Services, T&C.	√	√		√	√
Brazil Prosperity Programme	L. America	£56,000,000	Trade, Future Cities, E&LC, Fin. S.	√	√	√	√	
Colombia Prosperity Programme	L. America	£25,000,000	Infra. Business Environment, T&C, Fin S, technology	√	√		√	√
Unlocking Prosperity in the Horn of Africa	East Africa	£25,000,000	Infra.	√	√	√		
Total		£1,238,900,000	10 sectors					

1.2   Inception Phase

Approach to the Inception Phase

During the inception phase an engagement team took the lead for the E&L contractor in contacting the main stakeholders in the PF, including programmes. They attended regional workshops in Beijing, Miami, London and Singapore and met with stakeholders across government. This work produced two reports on the stakeholders and the wider context within which the PF is operating. These are included as Annex 16 and Annex 17.

A technical team led the preparation of the evaluation framework and questions and undertook an evaluability assessment of the fund, analysed the programmes and reviewed the relationship between them and the ToC. Approach papers were prepared on secondary benefits, VfM and gender. All the papers prepared during the inception phase are included in the 21 annexes to this report. A full list of the annexes is included in the Table of Contents and at the end of this report. A list of documents consulted is provided in Annex 21.

There were no changes in the evaluation approach during inception. However, there were changes between tendering and issuing of the E&L contract and other developments that influenced the approach to the evaluation:

    i)   The two TOR for fund and programme evaluation have now been merged in one contract.

    ii)   There are fewer programmes than originally envisaged but there are more individual projects or interventions.

    iii)   The pace of programme implementation has been slower than originally envisaged.

    iv)   The original evaluation questions have been reviewed and revised and the questions being used are as stated in the inception report.

The structure of the inception report has not changed fundamentally from the outline submitted during the inception phase. Some sections have been reordered and some content has been re-located. But everything that was included in the outline is to be found in the full report.

Coordination between the M&R and E&L Providers

During contracting the selected M&R and E&L providers were asked to establish joint working practices between themselves as part of the successful delivery of the separate M&R and E&L services as they depend on each other. No contractual relationship was established between the two providers. However, the M&R and E&L providers agreed on a Memorandum of Understanding (MoU). Through the MoU, both parties recognised that:

    i)   There are interdependencies between each contract.

    ii)   A successful project outcome requires a coherent and collaborative approach between the parties and respective consortia.

The M&R and E&L contractors held regular meetings:

    i)   Monthly co-ordination meetings between themselves and PFMO.

ii)   Fortnightly operational meetings between themselves. These meetings have been essential in sharing our work to date and collaborating between M&R and E&L activities.

iii)   Ad hoc meetings.

The MoU remains valid for the duration of the contract. Both the M&R and E&L teams will continue collaborating during implementation. If the two parties cannot resolve a problem themselves, PFMO will be asked to convene a meeting to do so.

Engagement Process and Stakeholder Mapping

Engagement with E&L stakeholders was an important component of the approach to the inception work and will continue during implementation.

E&L will use a user and learning focused approach to evaluation. The following have been considered:

i)   Interest in E&L: What does each stakeholder need from E&L? What expectations do they have? What appetite do they have to engage with E&L work to improve their programmes or the PF?

ii)   Influence over E&L: this relates to those who have influence over E&L work at a strategic and operational level; as well as those who will have wider influence over the PF.

Stakeholder mapping is the start of a process of understanding as to who the stakeholders are, their interests and their levels and types of influence. A general view of the stakeholder landscape is provided, along with the findings from the meetings with the stakeholders closest to PF delivery. This has included programme teams, members of the Portfolio Board and the Technical Advisory Group (TAG). The approach to stakeholder engagement is described in Figure 4 (below). In addition to meetings and telephone calls, the E&L team attended four regional PF workshops: in Beijing, Miami; Singapore and London. The map of key stakeholders will evolve as the evaluation programme is implemented.

The E&L team worked with the M&R provider to ensure that engagement was coherent and efficient and did not burden stakeholders. The engagement also helped to develop a mutual understanding of the respective roles of the E&L and M&R teams.

During the inception phase the E&L team conducted a survey of other programmes relevant to the E&L work. Programmes were chosen that were similar in scale and approach, cross-government in scope and aiming to achieve both primary and secondary benefits. The survey identified other HMG activities which will intersect with the PF E&L, including UK government oversight processes and the work of other departments. A summary is in Table 4 (page 14). More detail is provided in Annex 16.

Figure 4: Stakeholder engagement approach

Stage 1: Strategic Engagement

Introduce the E&L team and start to build rapport and understanding of and with the stakeholders.

Manage expectations about the next steps and follow up (particularly with Programme Managers).

Provide an early indication of stakeholder interest and levels of influence (feeding into the stakeholder map deliverable).

Provide clear points of contact.

Develop an understanding of the E&L context (to feed into the context mapping deliverable).

Support PFMO "roadshow" events with programme teams.

Stage 2: Detailed Technical Engagement

Enable a user-focused, theory-based approach in order to root fund and Programme Evaluations in relation to specific evidence and learning needs.

Review the readiness, awareness and understanding of the PF Programme Managers and owners to engage with the evaluation.

Build an understanding of the incentives Programme Managers face in using evaluation evidence in learning and performance improvement.

Act as a "critical friend" in reviewing theories of change at programme-level.

Stage 3: Ongoing Strategic Engagement

Provide ongoing opportunities for stakeholders to provide input into the design and delivery of E&L deliverables.

Ensure that E&L remains on track and retains stakeholder interest and engagement at all levels.

Table 4: HMG activities similar to the Prosperity Fund

Activity	Examples include
UK Government Departments, Agencies and Initiatives	Independent Commission for Aid Impact (ICAI), Department for International Development (DFID), Department for International Trade (DIT)
UK-led Funds and Programmes	Conflict, Stability and Security Fund (CSSF) NAMA facility UK Economic Horizons Programme (EcHo) Business Environment Reform Facility (BERF) Newton Fund
Other Bilateral-led Funds and Programmes	Dutch Good Growth Fund (DGGF) Danida Market Development Partnerships Swiss Investment Fund for Emerging Markets (SIFEM)
Multilateral Funds and Programmes	Africa Enterprise Challenge Fund (AECF) World Bank – Independent Evaluation Group (IEG) Private Infrastructure Development Group (PIDG) Green Climate Fund (GCF)

Findings from the study include:

i) Cross-government fund-based approaches to delivery exist across HMG. There are opportunities for learning between them.

ii) There are forthcoming evaluations that E&L can learn from. These include the Nationally Appropriate Mitigation Actions (NAMA) facility which will undertake a theory-based and user-focused evaluation of its programme.

iii)   There are other initiatives that overlap thematically, geographically and operationally with the PF. For example, the Business Environment Reform Facility (BERF), UK Economic Horizons Programme (EcHo) and Private Infrastructure Development Group (PIDG) are working in business environment reform, infrastructure, etc. and/or are seeking to achieve secondary benefits and to learn about promoting growth in specific sectors.

iv)   Several donors have funds to promote growth in emerging markets. The E&L team can learn from the results frameworks and approaches to evaluation that they use.

v)   Multilateral donors' fund and portfolio mechanisms offer lessons for the PF. For instance, the $8.3 billion Climate Investment Fund (CIF) is relevant given its scale and geographic range.

In mapping the programme context and ongoing practices around the PF, the E&L team will be better able to: support learning and build on existing knowledge, refine our evaluation methods; and support cross-HMG learning. Additionally, this process will help to mitigate E&L delivery risks including the duplication of efforts, stakeholder fatigue, the de-contextualised analysis of PF programmes and missed opportunities for learning across the development community.

As with other related deliverables such as the stakeholder map, the context mapping assessment is intended as a living document which will continue to grow as further evaluations of relevance are identified. It will be formally reviewed and refreshed on an annual basis by the E&L team. As inception moves to implementation and specific Programme Evaluations are undertaken, further detailed thematic and/or geographic context mapping will follow.

1.3   Evaluation Purpose

The E&L service will support organisational learning and contribute to the accountability mechanisms of the fund and the departments that use PF funds. An annual E&L cycle will provide the basis for an evidence-based review of progress on what has been achieved, how and why. It will enable the sharing and use of evidence from evaluations to support decision making at project, programme and Fund levels.

Learning about what works (or does not), why and how, will support the interpretation of the monitoring results. Through this the evaluation will support adaptive programming at the programme level. It will also feed into adaptive management at the fund level. By doing this the evaluation will deliver evaluation findings on the achievement of:

i)   Primary Purpose: promoting growth that is likely to reduce poverty and promote gender equality (a requirement of the UK International Development Acts 2002, 2014 (Gender) and 2015.

ii)   Secondary benefit through the creation of opportunities for international business including UK companies.

iii)   Value for Money (VfM) in the way that resources are planned, managed and used to achieve the results.

There were no changes to the purpose or scope of the evaluation during the inception phase.

1.4   Scope of the Evaluation

The E&L service will provide evidence and knowledge of what works, why and how, where and for whom, in achieving the goals of the PF. The evaluation will meet the evaluation needs of the different PF stakeholders (from PFMO to Programme Managers) by consulting them during the design and implementation of the evaluations.

The following principles underpin what lies within the scope of the evaluation and what is not within scope.

i)   Both accountability *and* learning are in scope.

ii)   Evaluations at both the fund- and programme-level are in scope.

iii)   The work of all programmes (and therefore all implementing departments) is in scope.

iv)   It is envisaged the programmes implemented in partnership with multilateral banks will be in scope, although the approach to this is still to be developed and agreed with the partner MDBs.

v)   It is not expected that all projects will be evaluated.

vi)   Formal assessment of impact is out of scope, as an impact evaluation is planned for 2025.

vii)   While organisational learning is in scope, individual training and capacity building is not in scope.

To the extent that the E&L service is successfully delivered, the evaluation results should have an impact at all levels of the PF, within individual programme management units and within those government departments working with the PF.

1.5   Evaluation Audiences

Through a "snowballing" approach that began with PFMO engagement, the E&L team has sought to: (1) identify and map stakeholders likely to contribute to, or use, the findings of the E&L service; and further to this (2) identify specific E&L needs and the interests of primary audiences.

This stakeholder analysis has informed our evaluation design, including our understanding of the key audiences for different E&L processes and products. Stakeholder analysis will continue to be refined and updated during implementation as part of our iterative, user-focused approach. Our inception phase stakeholder analysis is presented in detail in Annex 16 and Annex 17.

Figure 5 (page 18) summarises the first element of our approach above, by mapping the wide variety of stakeholders to the PF E&L in relation to their "proximity" – and therefore interest - in the E&L process. This summary hides a measure of overlap between groups, but aims to focus our delivery on stakeholders who will engage closest in the evaluation processes and those who will be the primary audiences for our evaluation and learning services. To this end, the main audiences have been grouped as follows:

- **Primary audiences for E&L**: (i) Programme Managers, Programme Teams and their Senior Responsible Owner (SROs); (ii) PFMO; (iii) Portfolio Board. It is anticipated that additional stakeholders will emerge once the PF moves into full delivery although the

primary audiences are unlikely to change. The TAG and Prosperity Fund Delivery Unit (PFDU) can be considered sub-sets of these three primary audiences.[5]

- **Stakeholders related to the PF E&L**: This group interacts with the PF implementation. For example, lending technical expertise or hosting programme delivery elements. This group includes: multilaterals, UK missions, host country counterpart Multilateral Development Agencies (MDAs) and cross-HMG departments.

- **Wider audiences**: This group, while not involved in PF delivery, is expected to maintain a defined interest in the PF and the E&L outputs. This group includes: public oversight bodies, research and policy organisations, UK Parliament, business groups and NGOs, among others.

In agreement with PFMO, during inception, E&L focused on identifying the specific evaluation needs and interests of the E&L primary audiences, as located within the central section of Figure 5 and outlined above. Table 5 (below) summarises the needs and interests of the primary E&L audiences. More detail is provided in Annex 17 in section 3.1 (page 14).

Table 5: Primary audiences, needs and interests

Audience	Area of Interest		
	Impact and results	**Management and adaptive planning**	**Relations within and beyond the PF**
Portfolio Board	• What is the impact of the PF on poverty? • What secondary benefits are being delivered?	• Is the PF providing VfM? • Maximizing links between PF and other efforts of HMG	• Inputs to spending reviews • How is the PF doing compared to other HMG funds? • What have we learned?
PFMO	• Is the PF more than the sum of its parts? • Improving the impact of programmes on poverty. • What evidence is there of secondary benefits?	• Ensuring evaluation and learning is shared across PF programmes and is used to improve performance.	• Working with influencers and informal networks within the PF
Programme Managers, Teams and SROs	• Access to evidence about impact relevant to the programme • Improving the Theory of Change of the Programme	• Sharing lessons and expertise between programmes • Sharing lessons about impact with external interested groups • Improving links with other centrally-managed programmes	• Demonstrating results to national governments and other partners • Learning lessons from MDB programmes and sharing them across PF programmes

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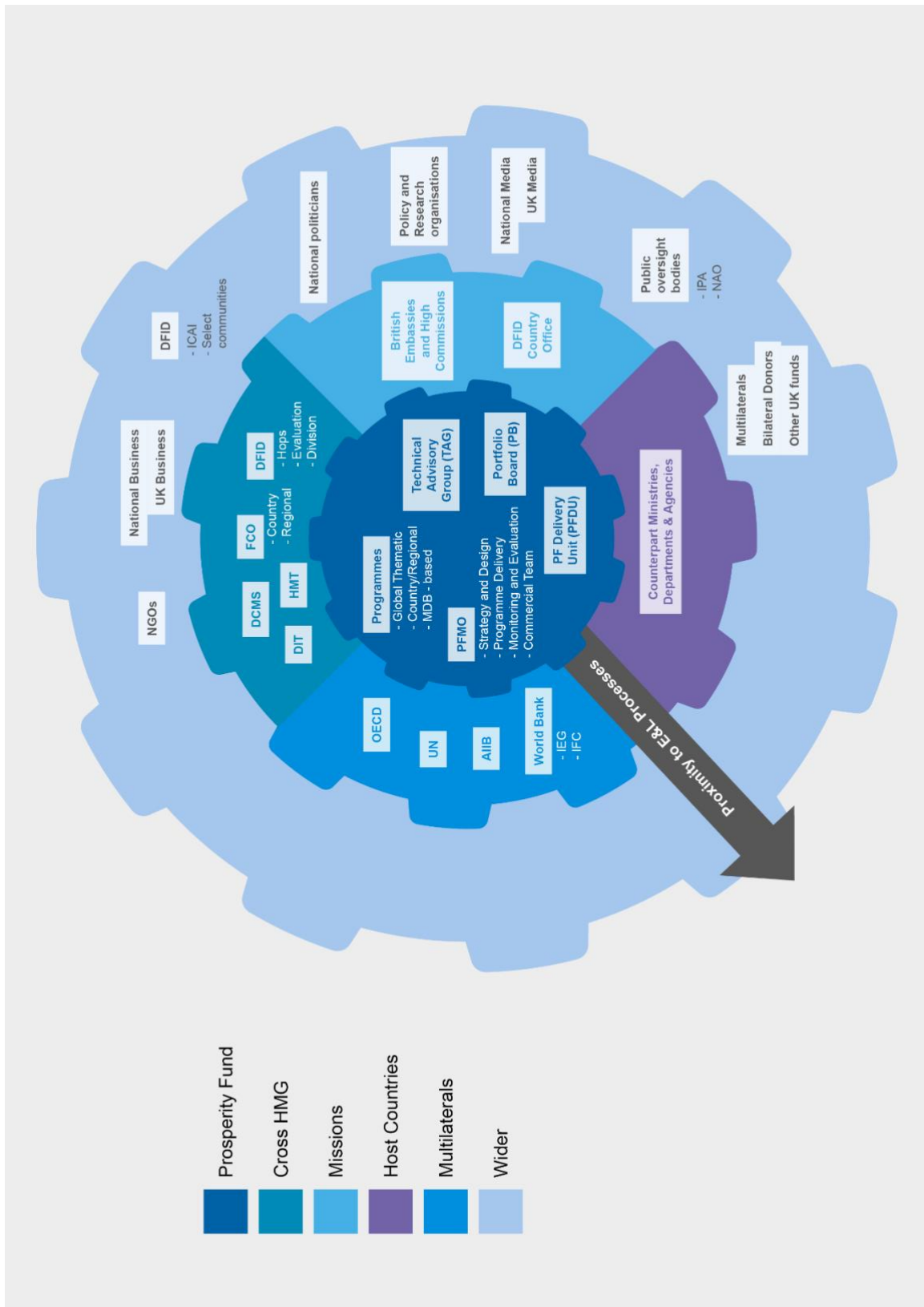[5] SRO responsibilities can be seen at: http://bit.ly/SRO_Duties

Figure 5: Stakeholder interests in E& L (abbreviations listed with contents)

2. Evaluation & Learning Approach

2.1 Overarching Evaluation Approach and Design Principles

The E&L service will use a theory-based approach that draws on evidence from evaluations to test the assumptions underlying the chain of causality that leads from inputs to intermediate outcomes, outcomes and contributions towards impact. The E&L service will use the ToC in a dynamic way, testing causal assumptions and making modifications where needed.

A theory-based approach is appropriate when an intervention or the context of implementation is complex. This is the case for the Prosperity Fund, which is working in a very broad range of geographies, sectors and contexts and where an experimental approach to evaluation is not feasible or appropriate.

For its approach, the E&L service will use the Prosperity Fund theory of change (fund-level ToC) as an organising framework for evaluations, guiding the:

- Choice of evaluation questions.

- Selection of programmes and projects for investigation in detail.

- Approach to synthesising evaluation findings from across the PF programmes.

- Selection of themes for investigation in each evaluation cycle.

To support the use of the fund-level ToC as a framework, the E&L service has, during inception, conducted an initial review of the fund-level ToC and has set out a methodology and process for further annual reviews (see page 36).

The main evaluation approach used will be contribution analysis. This uses a range of qualitative and quantitative evidence to make a plausible assessment of causality, identifying outcomes and then tracing the process through which interventions may have influenced these.

Experimental (e.g. Randomised Controlled Trials), quasi-experimental, or econometric methods are unlikely to work at the programme or Fund level. These methods have significant time and resource implications (e.g. they require systematic and large scale primary data collection) and could only therefore at best be applied to a limited number of projects. Therefore, it is not proposed that these should be used.

2.2 Theory of Change

The fund-level ToC will form the framework for this evaluation providing the basis for understanding the change and contributions made by PF (see Annex 4). The fund-level theory of change is at Figure 6 (page 22). Given its importance for the evaluation, review of the current fund-level ToC (last updated in 2016) was undertaken during the Inception Phase (see Annex 3). An evaluability assessment was also conducted, which also generated findings relevant for the ToC review (Annex 13).

The review compared the existing fund-level ToC with the latest information on Prosperity Fund (PF) programmes and PF strategy and objectives. It proposed two additions to the fund-level ToC (seven new assumptions and information on PF project 'families' – i.e. projects grouped together on a single causal pathway within the ToC). It is expected that the additions will strengthen the fund-level ToC as a programmatic tool *and* as an evaluation framework, as

they elaborate the causal pathways the PF is expected to follow from project / activity through to impact.

The E&L service will review the fund-level ToC at least annually, taking account of information on: changes in PF strategy and context, the profile and implementation of programmes, data from the PF monitoring and reporting (M&R) system, *Prospero*, evaluation findings and PF stakeholder perspectives and understanding of the fund-level ToC.

Findings of the Fund-level ToC Review and Evaluability Assessment

Strengths of the Current Fund-Level ToC

The fund-level ToC was developed by the PF Management Office (PFMO) as a tool with which to represent the needs and expectations of the different government stakeholders involved in the fund. It provided a way of presenting a complex, multi-interest cross-Whitehall Fund to a variety of stakeholders. It plays an important role in PF communication securing buy-in, engagement and internal cohesion.

The PFMO has used the fund-level ToC to inform programme selection and it has encouraged programmes to align programme ToCs with the fund-level ToC. The Evaluation and Learning (E&L) team's initial finding is that programmes, in their design, demonstrate relatively strong alignment to the fund-level ToC: while a few projects appear as outliers, most can be grouped along one or more pathway leading up to fund-level intermediate outcomes. This finding will be reviewed as more information on programmes (and their implementation) becomes available.

The current Fund level-TOC outlines expected PF impacts, outcomes and intermediate outcomes. It also provides information on the nature of expected outputs and how these will contribute to the intermediate outcomes. The causal chain is coherent.

Areas for further elaboration / modification

The fund-level ToC does not provide detail on activities and projects, nor on causal pathways from activity to intermediate outcome and there is only one assumption specified (that *the three-pillar understanding of sustainability runs through programming design – green, self-financing and inclusive*). The absence of assumptions and of clear causal pathways in the 'lower half' of the fund-level ToC makes it challenging to test contribution.

There is scope to incorporate an analysis of the role that gender and other aspects of social inclusion and exclusion play in the chains of causality in the Theory of Change.

The Fund Theory of Change would benefit from a clear problem statement and a more explicit statement of the expected primary and secondary beneficiaries.

Possible Modifications to the Fund-Level ToC

In this Inception Phase, the E&L service proposes two additions to the current fund-level ToC. First, it proposes to make explicit (in the diagram and narrative) seven assumptions about how the fund is designed and how it will be implemented and managed, as follows:

- The three-pillar understanding of sustainability runs through programming design – green, self-financing and inclusive.

- The design of PF programmes and interventions has considered the economic empowerment of women and other excluded groups, in line with the UK's Gender

Equality Act and the Prosperity Fund Gender and Inclusion Policy, Guidance and Inclusion Framework.

- There is an appropriate balance between primary and secondary benefit.

- The Prosperity Fund will create benefits which are additional to what would otherwise occur and provides a unique programme offering to the countries and sectors in which it works.

- Human resource capacity and management needs at programme and fund level have been identified and measures have been put in place to support management.

- Evidence on Value for Money (VfM) is used to guide improvements to PF programmes and processes.

- The PF is learning lessons from its programmes and projects.

These assumptions will strengthen the testability and coherence of the ToC. The assumptions will be tested through the first *Annual Fund Evaluation* and through *Family-level Evaluations* during Year 1 of the PF Evaluation and Learning (E&L) assignment. Further information on the rationale for adding these seven specifically is provided in Annex 3.

Second, it proposes to add ten 'families' of projects, which represent projects sharing a common sectoral focus or a similar pathway to change, covering:

1. Physical Infrastructure,

2. Future Cities,

3. Energy and Low Carbon,

4. Technology / Digital Access,

5. Health and Education,

6. Innovation,

7. Trade,

8. Financial services,

9. Business Environment Reform (BER)

10. Transparency and Anti-Corruption.

The addition of families will provide more information on causal pathways from projects to intermediate outcomes and provide a more detailed framework through which to organise evaluations and the Contribution Analysis method (see page 34).

The E&L service also identified, as part of the review, eight 'activity types', which characterise the type of interventions that the PF provides. However, it does not recommend these activity types be included in the fund-level ToC until they have been validated through Year 1 evaluation activities. This is because project activities are likely to change over the coming year, as programmes move from design through Business Case approval to implementation.

Annex 3 provides a fuller analysis of the Theory of Change, including two proposed additions to the Theory of Change: the inclusion of assumptions and the 'families' of projects below the intermediate outcomes.
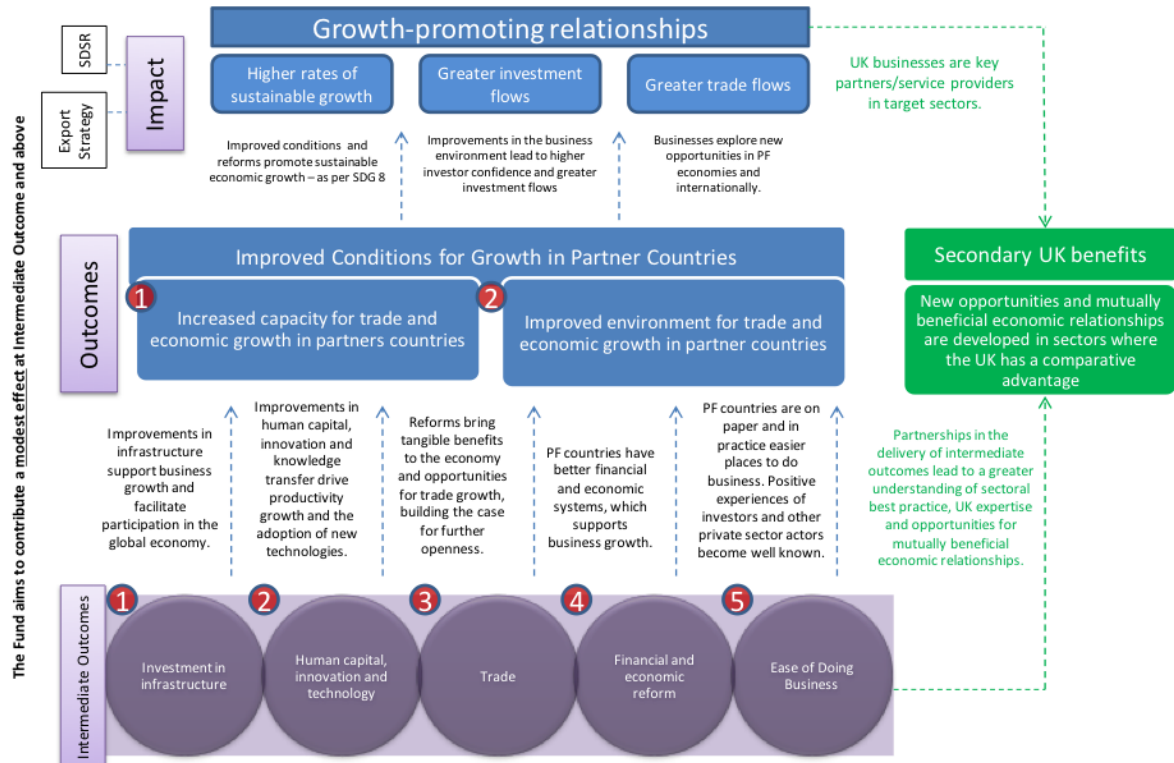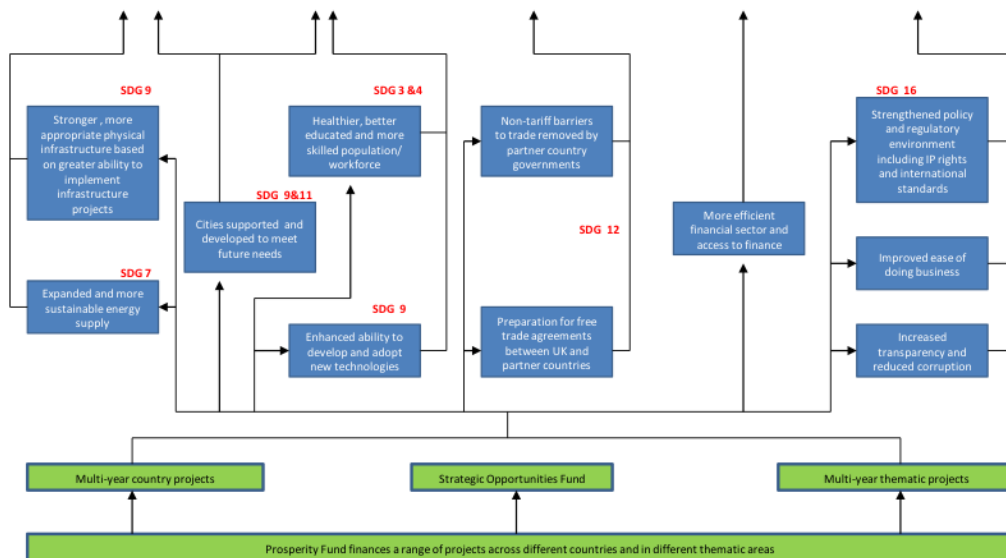
Figure 6: Fund theory of change

2.3   Focus on User Needs and Learning

To ensure the evaluation is relevant, useful and usable, the E&L service will employ a user- and learning-focused approach. Evaluation activities will promote learning by responding to users' learning and information needs at different levels of the fund. This will help the PFMO

and Programme Managers apply the findings and lessons from the evaluation to their work. Learning will be a focus at both the fund and programme level.

A focus on the users of the evaluation findings entails engaging PF managers throughout the evaluation, so that the evaluation is done "with" them, not "to" them. They will be more likely to use the findings of an evaluation as a result.

In a complex multi-stakeholder environment, such as the PF, it is important to have an approach to learning that strengthens stakeholder awareness and ownership of evaluation objectives. This will build their confidence in the evaluation results.

The E&L service will integrate Fund and programme level E&L activities into a single framework that fits with the ToC. The advantages of this are:

i) Ensuring that information collected at all levels can be used to answer the overarching Evaluation Questions guiding the E&L service.

ii) Establishing a unitary service and avoiding "evaluation fatigue" from multiple evaluations with different objectives, duplication and irrational use of data at the programme and Fund levels and having Fund evaluations being perceived as "extractive" by programme implementers and beneficiaries.

iii) Enabling the E&L service to have an approach to programme level investigation which takes account of the dual purposes of learning and accountability.

iv) Allowing E&L to "move up" the ToC over time as evidence is generated and assumptions tested. Initially the focus will be on formative processes; in later phases, evaluation work will use contribution analysis to assess how the PF has contributed to observed impact in a summative evaluation.

2.4 Evaluation Questions

The evaluation questions (EQs) are central in guiding the choice of evaluation methods, deciding what data to collect and how to analyse the results. We refined them during the inception phase. The original EQs are specified in the ToR for the E&L contract. We then:

i) Reviewed them against OECD-DAC principles (relevance, effectiveness, efficiency, sustainability and impact)

ii) Mapped them against the fund ToC (outputs to intermediate outcomes, assumptions, VfM)

iii) Revised and expanded them to cover areas where additional information is likely to be needed

iv) Discussed them with PFMO and the M&R contractor.

One result of this exercise was that the overarching EQ in the ToRs for the fund and Programme Evaluations was retained, namely "To what extent is the Prosperity Fund contributing to sustainable economic growth and development of partner countries and in doing so generating direct and indirect benefit for the UK?"

The following core questions from the ToR were also retained:

i) What has been achieved or is likely to be achieved as a result of the Prosperity Fund?

ii) What factors have contributed to or hindered these achievements?

iii)   What can be learnt from the Prosperity Fund experience to date to improve on-going and future programming?

In addition, a set of supplementary evaluation questions have been prepared that are derived from the core questions, as presented in Figure 8. For each evaluation study, the questions to be answered and the methodology for undertaking this will also be guided by an evaluation matrix, which outlines the following.

i)   Evaluation questions and sub-questions.

ii)   Evaluation activities for each of these questions.

iii)   Data sources.

iv)   Responsibility for data collection.

2.5   Sequencing the Evaluation Questions

In the first three years of the E&L service, the evaluation work will be formative, with an emphasis on learning how to improve performance. Summative evaluation will take place in year 4, when there is more likelihood of impacts emerging (see Text Box 1, below, for definitions). As a result, the ability to answer some of the EQs will depend on timing, with some only answered at the end of the evaluation period. This is illustrated in Table 6 (page 26). It is important to note that there is unlikely to be strong evidence to back up conclusions about results until the end of the current period of funding, given the short-time period for implementation. The ability to answer the evaluation questions will also be dependent on progress with programme implementation and the availability of data.

Text Box 1: Formative and summative evaluation

> Formative evaluation: programmes or projects are assessed during implementation and provide information on progress so far, often focusing on process and provide recommendations to revise design, improve implementation, undertake course corrections (where necessary), etc.
>
> Summative evaluation: programmes or projects are typically assessed at the end to determine whether a programme achieved its expected results, or not and learn lessons for future implementation (continuation of the existing programme/project and/or learning by other programmes/projects).
>
> *(definitions based on amalgamation of several sources, e.g. Dept. of Research and Evaluation, Austin Independent School District: http://bit.ly/2ERxOrx)*

Evaluation Questions

To what extent is the PF contributing to sustainable economic growth and development of partner countries and in doing so generating direct and indirect benefit for the UK?

What has been or is likely to be achieved as a result of the PF?

1. What evidence is there that the PF is likely to contribute to the intended outputs and outcomes in the TOC, as well as any unintended or unexpected effects?

2. Which types of interventions, sectors and country settings have been more or less successful in contributing to the achievement of primary benefits?

3. Which types of interventions, sectors and country settings have been more or less successful in contributing to the achievement of secondary benefits?

4. What evidence is there that the changes supported by the PF will be sustainable (environmental sustainability; self-financing; inclusive growth that reduces inequality)?

What factors have contributed to or hindered these achievements?

5. What factors have contributed to the achievement of primary and secondary benefit?

6. How has the balance and relationship between primary and secondary benefits across the portfolio influenced the achievement of results?

7. Which assumptions and causal pathways outlined in the TOC remain valid, which have been adapted and what refinements need to be made?

8. To what extent is the institutional governance set-up of the PF more or less effective in achieving i) primary benefits; ii) secondary benefits; iii) other results?

9. What types of programmes, approaches and governance and management arrangements have been more or less effective for achieving results and demonstrate good approaches to supporting inclusive growth and VFM?

What can be learned from the PF experience to date to improve ongoing and future programming?

10. To what extent have the PF interventions contributed to results that support gender equality, women's economic empowerment and social inclusion?

11. How is the PF learning and why is action on this learning happening more or less successfully?

12. Which PF lessons in translating outputs into intermediate outcomes are sufficiently robust for wider learning
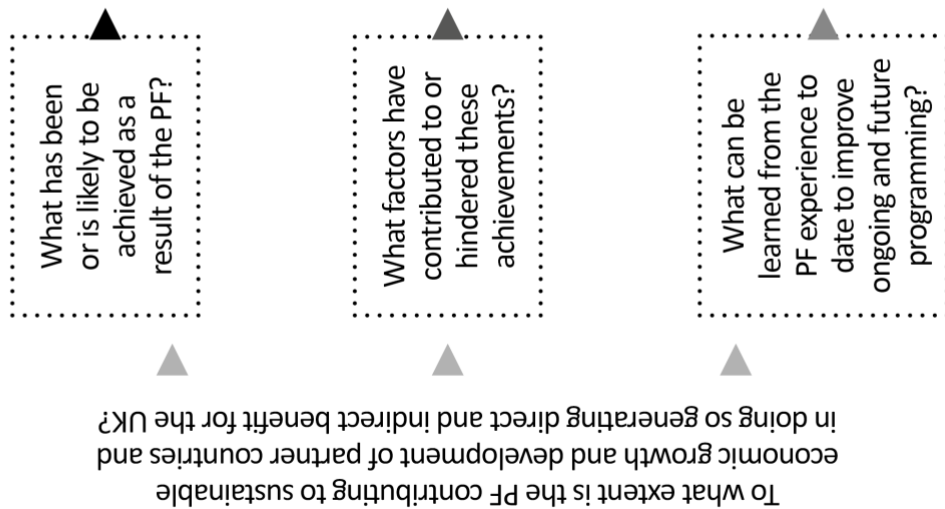
Figure 7: Evaluation questions

Table 6: Sequencing of evaluation questions

Evaluation Question	Years 2-3	Assumptions	Year 4	Assumptions
What has been or is likely to be achieved as a result of the PF?				
1. What evidence is there that the Prosperity Fund is likely to contribute to the intended outputs and intermediate outcomes in the ToC, as well as any unintended or unexpected effects?	Some evidence through annual ToC review to assess possible contributions.	Dependent on progress in programme tendering & implementation	Answered	Evidence on intermediate outcomes is available (may not be due to short time period)
2. Which types of interventions, sectors and country settings have been more and less successful in contributing to the achievement of primary benefits?	Limited evidence	n/a	Answered	May not be able to comment on all sectors and country settings, depending on programme progress
3. Which types of interventions, sectors and country settings have been more and less successful in contributing to the achievement of secondary benefits?	Limited evidence	n/a	Answered	May not be able to comment on all sectors and country settings, depending on programme progress
4. What evidence is there that Prosperity Fund interventions will be sustainable and ensure environmental sustainability, will be self-financing and lead to inclusive growth that reduces inequality?	Limited evidence	Thematic cross-cutting review should provide evidence on appropriateness of design	Partially answered (fully answered through impact evaluation)	Judgement on sustainability likely, but unlikely on link to inclusive growth
What factors have contributed to or hindered these achievements?				
5. What factors have contributed to the achievement of primary benefits and secondary benefits?	Limited evidence	n/a	Answered	Extent to which this is addressed again depends on programme progress
6. How has the balance and relationship between primary and secondary benefits across the portfolio influenced the achievement of results?	Limited evidence	Some evidence likely from assessing programme design and results frameworks	Answered	See assumptions for EQ 2 & 3

Evaluation Question	Years 2-3	Assumptions	Year 4	Assumptions
7. Which assumptions and the causal pathways outlined in the ToC remain valid, which have been adapted and what refinements need to be made?	Answered on an annual basis	Dependent on progress in programme tendering & implementation	Answered	Assuming there is robust evidence on all pathways. May not occur if some programmes delayed
8. To what extent is the institutional governance set-up of the Prosperity Fund more or less effective in achieving i) primary benefits; ii) secondary benefits; iii) other results?	Some initial evidence likely	Some evidence likely from assessing programme design and results frameworks	Answered	See assumptions for 2 & 3
9. What types of approaches, governance and management arrangements have been more and less effective for achieving results and demonstrate good approaches to supporting inclusive growth and VfM?	Little robust evidence likely, although some may emerge on VfM	Dependent on the extent to which VfM systems have been established by programmes	Answered for VfM Inclusive growth will be addressed in impact assessment	Dependent on the extent to which VfM systems have been established by programmes
10. To what extent have the Prosperity Fund interventions contributed to results that support gender equality, women's economic empowerment and social inclusion in line with the UK's Gender Equality Act and the Prosperity Fund Policy and Guidance and the Prosperity Fund Gender and Inclusion Framework?	Some initial evidence likely	Assuming sufficient information from the thematic evaluation	Answered	Gender disaggregated data is available and there is data collected on social inclusion
What can be learned from the PF experience to date to improve ongoing and future programming?				
11. How is the Prosperity Fund learning and why is action on this learning happening more and less successfully?	Evidence available	Dependent on progress in programme tendering & implementation	Answered	Cooperation on learning activities by programmes
12. Which Prosperity Fund lessons in translating outputs into intermediate outcomes are sufficiently robust for wider learning?	Limited evidence		Answered	Evidence on intermediate outcomes available

2.6   Annual Evaluation and Learning Cycle

Four types of evaluation will take place each year in a cohesive annual cycle, focusing respectively on programmes, families of programmes and projects, cross-cutting themes and the fund. Taken together, they will provide a picture of the performance of interventions, projects or programmes comprising of several projects, to progress towards intermediate outcomes and finally the overall performance of the fund. The evaluation architecture is illustrated in Figure 8 (below).
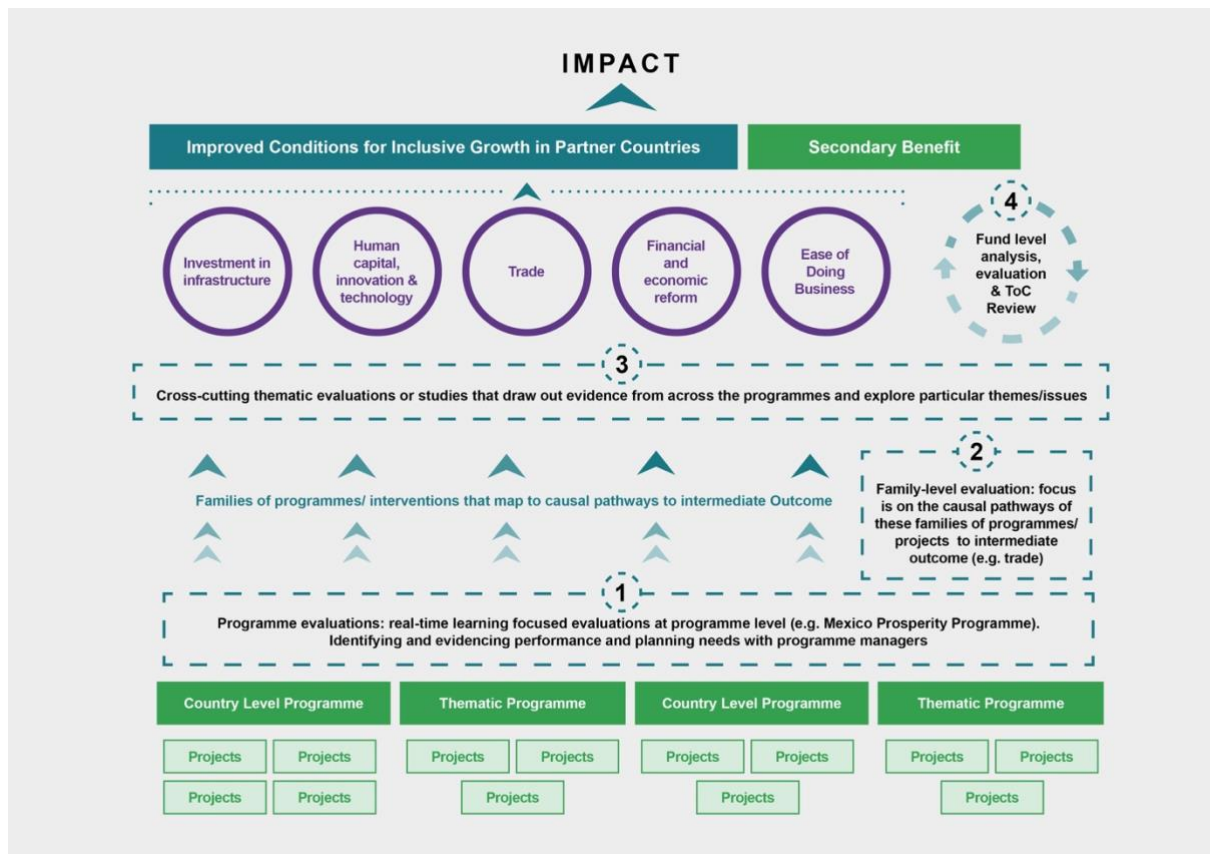
Figure 8: Evaluation architecture

Engagement with evaluation users at fund and programme level will inform the planning for the next annual cycle, including the selection of themes, the sampling strategy and timing. This will ensure that the evaluation findings and learning meet the needs of the Programme and Fund Managers.

To avoid evaluation fatigue and overlapping data collection exercises, most of the information for the evaluations will be collected during the Programme Evaluations and from the M&R system (Prospero) that collects data about programme performance. This information will then be assimilated in the thematic, "families" and fund evaluations.

An annual E&L cycle will guide the programme, family level and thematic evaluations (see Figure 10). Planning for each annual cycle will involve discussions with the PF staff at the fund and programme level. These discussions will guide the choice of themes, the sample of the projects to evaluate and the timing of the work. This will ensure that the evidence and lessons that are produced match the needs of the Programme Managers and the PFMO.
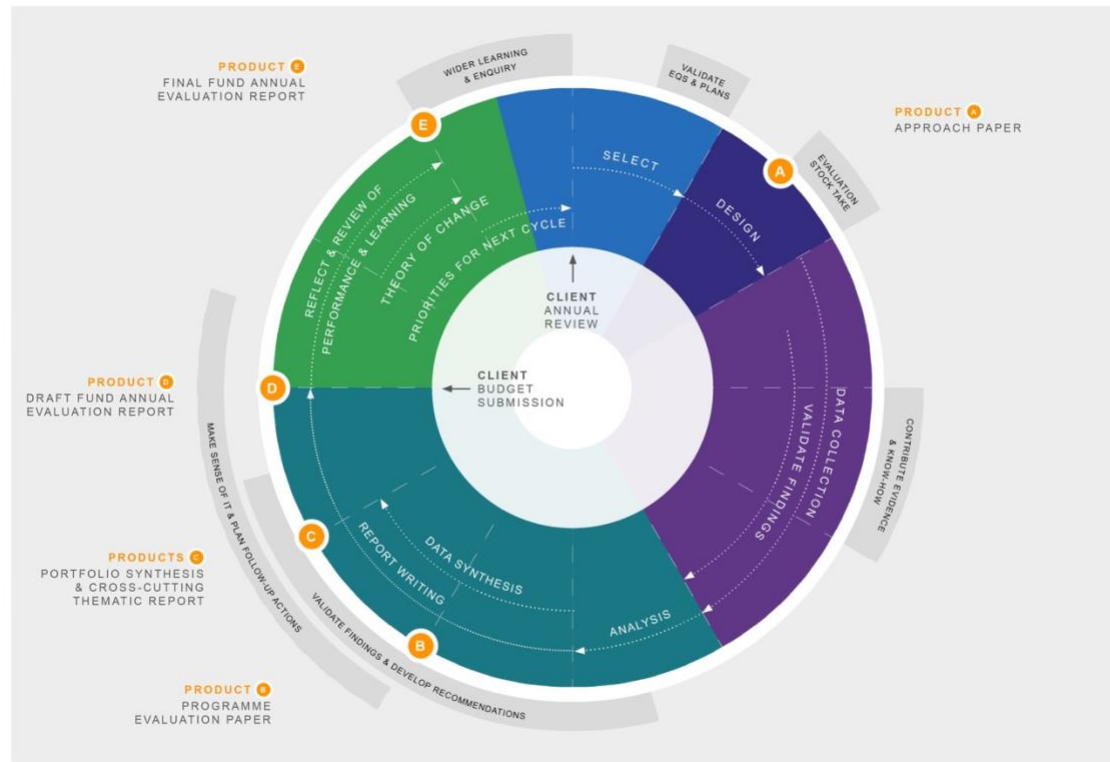
Figure 9: The evaluation cycle

Programme Evaluations

Programme evaluations will be developed together with the Programme Managers, who will be the principal customers for these studies. Performance or learning issues at a programme level, selected projects, or aspects of several projects within a programme may be selected for evaluation. The studies will provide evidence of progress towards the outcomes at programme level and help the Programme Managers to adapt and adjust their programmes.

Programme Managers will help decide what the evaluations will investigate, based on their management needs and priorities and they will integrate the findings into their management cycle. An early assessment of the evaluability of the programme will provide information on the strength of the design of the intervention or project. This will also inform the potential adaptation of the project design.

Programmes will be supported to engage with learning-focussed evaluation. A learning and knowledge management system will enable programmes to share lessons with each other. The learning generated through the Programme Evaluations will be brought together annually and used to inform annual review and planning. Table 3 (page 11) provides a list of PF programmes.

Evaluations of Families of Projects

During the inception phase, the E&L team have made an initial clustering of projects and programmes into 'families' that align to the Intermediate Outcome causal pathways of the fund ToC. (The Mapping Paper in Annex 10 sets out the rationale for the allocation of programmes and projects to families.) To better describe the causal pathways from activities through to

the PF's intermediate outcomes, the family level evaluations will synthesise evidence from clusters of projects and programmes that contribute to the primary purpose and secondary benefit at the intermediate outcome level on an annual basis (see the Synthesis Approach in Annex 9). The family evaluations will synthesise evidence from the Programme Evaluations and other available sources (e.g. learning from evaluations of similar programmes) and case studies that evaluate specific aspects of the family's contribution to each intermediate outcome.

At the family level the synthesis will use contribution analysis to assess the PF's contribution to the respective intermediate outcome causal pathway; considering the role of context and whether the market, policy or other barriers have been resolved, in whole or in part, by the contributions of PF interventions and whether these investments have contributed to changing attitudes, approaches or policies in the target audiences. Evidence for evaluating the contribution claims will be drawn from the synthesis of evidence from the Programme Evaluations and the synthesis of case studies designed to provide more detailed evidence and learning on specific aspects of the causal pathway. We will aim to purposively select four to six cases per family to explore further (see section 3.3, page 37). This sample will not necessarily result in generalizable claims, but rather an understanding of PF contribution to the changes observed in specific contexts.

The principal customers for the family level work are the PFMO and the project strand leads and programme managers within each respective 'family'. The family synthesis work is planned alongside the Programme Evaluations to reduce the evaluation burden on Programme Managers and to strengthen the link between Programme Evaluations and the broader evaluation of Fund performance. Cross-programme knowledge exchange will be promoted between programmes within each family.

Thematic Cross-cutting Studies

The principal customer for these studies will be the PFMO with whom the themes will be agreed. The studies will answer evaluation questions that cannot be answered by programme and family evaluations on their own. The thematic studies will be managed at the fund level, covering factors common to most of the programmes or aspects that cover fund management, strategic focus or design.

The studies will cover cross-cutting issues that are not linked to a single sector, intermediate outcome or family of interventions. Cross-cutting examples are assessing the performance and likely impact of the fund on gender equality and inclusion and comparing experience with assessing Value for Money (VfM).

These evaluations will use information generated by the Programme Evaluations and the family syntheses and are likely to include case studies of projects with a high potential for learning and contribution evidence, from other funds and programmes where relevant. Whilst there may be opportunities to plan some data collection as part of the Programme Evaluations to reduce the evaluation burden on Programme Managers and their teams, additional consultation may be necessary.

Fund Level Evaluation

The principal customers for the fund evaluation are the PFMO, the fund Portfolio Board and ministers. The Fund level evaluation will focus on assessing how likely the fund is to achieve

its primary purpose, deliver secondary benefits and be good value for money. It will be undertaken annually.

It will draw on the programme, families of projects and programmes and thematic studies as well as meta-data from similar funds or programmes where relevant. It will bring together evidence on the overall performance and achievements of the fund and draw out areas for Fund wide learning and strategy.

An impact evaluation is outside of the scope of this evaluation programme. However, the fund level evaluation will provide evidence about the contribution that the fund has made towards the achievement of outcomes and the likelihood of maintaining progress towards the fund's impact. Strong evidence to support conclusions about the achievement of outcomes and results may not be available until the end, or after the end, of the current period of funding. For the first years, the emphasis will be on assessing progress and learning lessons that can be used to improve management and performance.

As part of the annual evaluation of the fund the ToC will be reviewed. This review will test the assumptions and causal pathways that underpin the ToC. This review will use the fund evaluation's findings, evidence generated by the suite of evaluation activities and the data provided by the Monitoring and Reporting system. This annual review will bring together the evidence on the overall performance and achievements of the fund and draw out areas for Fund-wide learning and strategy. The compiled evidence will be mapped to the fund ToC and recommendations for adaptations made where relevant. This review takes place each year between April and June and aligns with the management cycle of the fund.

The data supporting the fund review will come from the programme and family evaluations and Fund level thematic evaluations. This annual review will bring together the evidence on the overall performance and achievements of the fund and draw out areas for Fund wide learning and strategy. The compiled evidence will be mapped to the fund ToC and recommendations for adaptations will be made where relevant.

However, in Year 1, the fund evaluation will focus on establishing a baseline for measuring performance, developed for each of the evaluation questions to enable the monitoring of performance and to address context questions which explore the influence of differing contexts on the performance of interventions.

2.7 Sequencing of Evaluation Activities

The focus in the early years will be formative, with more summative evaluation being undertaken in the later years, when programmes are being fully implemented and are achieving identifiable results (see Text Box 1, page 24). In year 1, activities will primarily be focused on creating a baseline and establishing the evidence base, with years 2 to 4 following an established annual evaluation cycle.[6] There will also be an emphasis on learning in the early years to allow real time learning to improve performance, with assessing performance and results becoming more prominent in the later stages of the evaluation. Therefore, the focus on specific EQs or emphasis on addressing different parts of EQs will change over time.

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[6] In year 1 some activities will provide information for the HMG Spending Review expected in 2019. E.g. an assessment of extent to which the cross-cutting factors (3-pillar understanding of sustainability, G&I, VfM) are incorporated into design and a baseline assessment of likely contribution (i.e. contribution claims) across the fund.

This is shown in Table 6 (page 26) and indicates that there is unlikely to be robust evidence available on results until the end line, given the short-time period for implementation.

3. Methods

3.1 Overarching Evaluation Methodology

There are challenges to testing attribution in the Prosperity Fund because its outcomes and impact reflect policy and process changes involving complex interconnections between activities and observed outcomes.[7] The assessment of contribution within a theory-based approach can credibly assess cause and effect relationships in circumstances when impacts result from a complex interplay of actions by multiple players and a variety of contextual factors.[8]

By taking into consideration the PF EQs we can identify which methodologies are best suited to answering each of the EQs. Questions such as 'how much', 'what', 'how' and 'why' require different methodologies, as statistical approaches are good at answering 'how much' questions but not 'how' and 'why'. Contribution analysis approaches are good at answering 'what', 'how' and 'why', whereas realist evaluation approaches are particularly good at exploring 'how' and 'why' questions.

We propose that contribution analysis be our overarching evaluation methodology at the fund level. This is based on its ability to answer a series of the core EQs, its fit with our theory-based approach, its ability to draw on a range of evidence sources and enable an engagement of the key evaluation users in the review of evidence and assessment of findings. Contribution analysis can use evidence drawn from the data and results generated by the E&L programme, family and thematic evaluations and from external research or academic literature available to provide wider contextual evidence.

Together with contribution analysis (described in more detail in Table 7, page 33, and in the section on contribution analysis on page 34), the main methodologies that will support our evaluation and are appropriate are realist evaluation, process tracing and qualitative comparative analysis. The methodologies selected then inform the data collection, analytical and synthesis methods and tools that will be applied for each EQ. Whether there are any other areas of interest beyond just looking at the EQs will be explored with the programme managers and the PFMO which also may influence the methodologies proposed and methods that may be considered. The steps in evaluation methodology and method design that we will follow are illustrated in Figure 10 (page 33).

Some methods such as using random control trials or quasi-experimental methods have been ruled out as they are not considered appropriate for the attributes of the fund, the requirements of the evaluation or the context within which the fund operates. The strengths and weaknesses of different methodologies considered by the team, as well as a description of proposed methodologies are presented in Annex 5. A description of the techniques chosen is given in Table 7 (page 33).

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[7] Patton M. Q. (2012) 'A Utilization-Focused Approach to Contribution Analysis', *Evaluation*, 18/3: 364 –77.

[8] Mayne J. (2008) 'Contribution Analysis: An Approach to Exploring Cause and Effect', The Institutional Learning and Change (ILAC) Initiative. ILAC Brief 16.
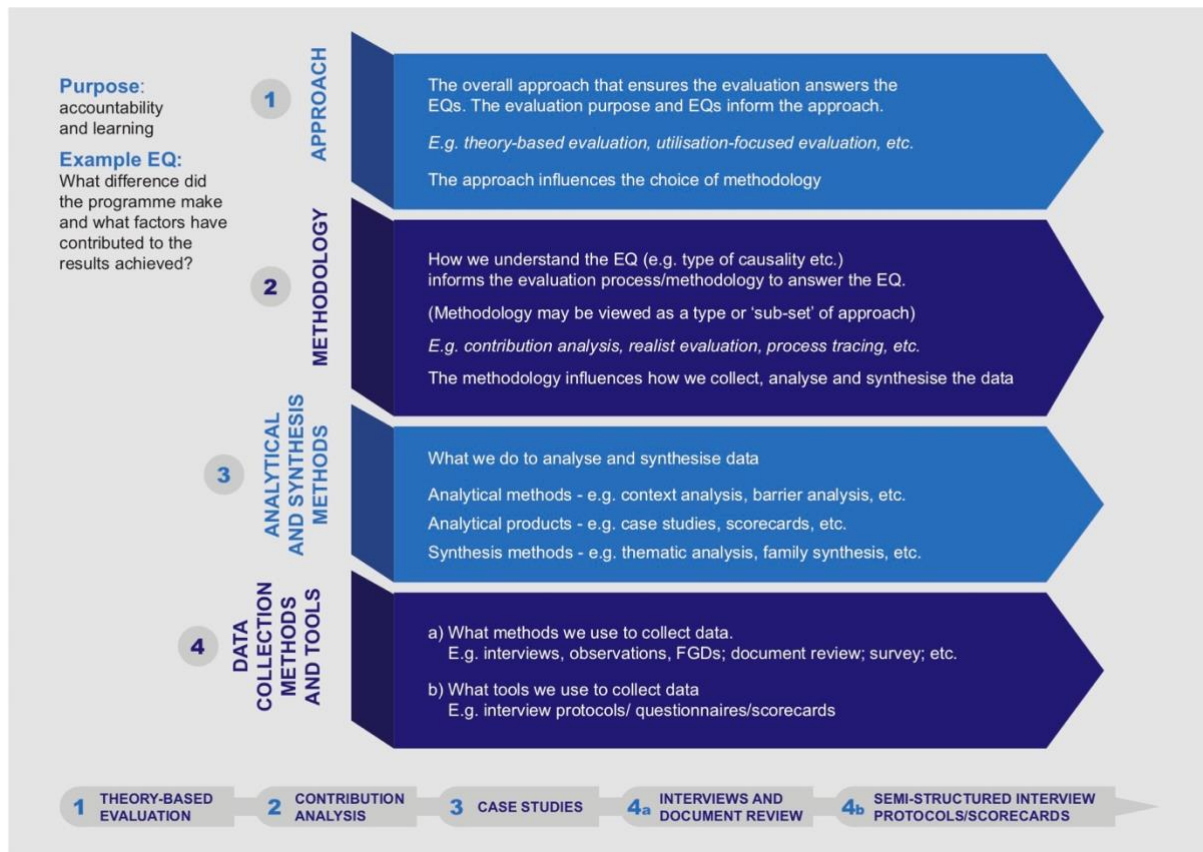
Figure 10: Evaluation design steps

Table 7: Main evaluation methodologies

Methodology	Brief description
Contribution analysis	The notion of a 'contributory' cause, recognizes that effects are produced by several causes at the same time, none of which might be necessary nor sufficient for impact. A development intervention along with other factors produce an impact, as part of a causal package; but they need not and sometimes the impact is 'caused' by a quite different mix of causes in which the intervention plays no part. The causal package is sufficient but can also be unnecessary: i.e. there are other 'paths' to impact, which may or may not include the intervention. The intervention is a contributory cause of the impact if: the causal package with the intervention was sufficient to bring about the impact and the intervention was a necessary part of that causal package. See Mayne, J. (2008). *Contribution Analysis: an approach to exploring cause and effect*. ILAC Brief 16. Institutional Learning and Change (ILAC) Initiative (CGIAR).
Realist evaluation	Realist approaches assume that nothing works everywhere or for everyone and that context really does make a difference to programme outcomes. Consequently, policy-makers and practitioners need to understand how and why programmes work and don't work in different contexts, so that they are better equipped to make decisions about which programmes or policies to use and how to adapt them to local contexts. Realist evaluation asks not 'what works?' or 'does this programme work?' but asks instead 'what works for whom in what circumstances and in what respects and how?' A realist question contains some or all of the elements of 'how and why does this work and/or not work, for whom, to what extent, in what respects, in what circumstances and over what duration?'

Methodology	Brief description
	See *Gill Westhorp (2014) Realist Evaluation: An Introduction. Methods Lab Overseas Development Institute London*
Process tracing	Process tracing dissects causation through causal mechanisms between the observed variables, primarily in case studies. The focus of process tracing is on establishing the causal mechanism, by examining the fit of a theory to the intervening causal steps. Theorists using process tracing ask: *'how does "X" produce a series of conditions that come together in some way (or do not) to produce "Y"?'* By emphasising that the causal process leads to certain outcomes, process tracing lends itself to validating theoretical predictions and hypotheses.
	Befani, B. and J. Mayne (2014) *Process Tracing and Contribution Analysis: A Combined Approach to Generative Causal Inference for Impact Evaluation*
QCA	Qualitative comparative analysis (QCA) is an approach to systematic cross-case comparison. It establishes what factors, common across cases, can explain similar outcomes; or what factors could explain different outcomes. Unlike most methods intended to draw generalised lessons across cases, QCA does not look at variables in isolation. It focuses on combinations or configurations of factors within single cases; and allows generalisation only to the extent that these holistic combinations are preserved.
	QCA is appropriate to identify the preconditions and make sense of the diversity in results across small numbers of cases when there are several but not many causal factors. It is not appropriate when the explanation is only one case.
	See Befani, B. (2013). *Multiple Pathways to Policy Impact: Testing an Uptake Theory with QCA*. CDI Practice Paper 5. Institute of Development Studies

Contribution Analysis

The core evaluation methodology that will be used in the evaluation is Contribution Analysis (CA). This will be important particularly for the synthesis methodology (see Annex 9). CA refers to a theory-based approach that aims to confirm that an intervention is a contributory cause to a given outcome. It is used to assess cause and effect relationships in circumstances when impacts result from a complex interplay of actions by multiple players and a variety of contextual factors.[9]

Fund level contribution analysis will be used to generate findings of a strategic nature that may inform active management of the fund's portfolio: the identification of factors inhibiting or supporting performance and the role of context in enabling contribution will be relevant for the users. The analysis will generate a series of contribution stories for any observed outcomes, including alternative causal pathways that contributed to these outcomes. In evaluating these contribution stories, available evidence will be mapped against these theories, evidence weaknesses and gaps identified

To apply contribution analysis, the evaluation team will follow six iterative steps (Figure 11, page 35) which use the theory of ToC to guide the analytical process.[10]

The first step involves identifying the attribution problem(s), or evaluation EQs, while the second step involves elaborating the theory of change, which are both steps that have been completed during the inception phase. As a result, we have identified what is likely to be the contribution of the PF programmes to the achievement of primary benefits and identified key

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[9] Mayne J. (2008) 'Contribution Analysis: An Approach to Exploring Cause and Effect', Institutional Learning and Change (ILAC) Initiative, ILAC Brief 16.

[10] Mayne, J. (2012) Contribution analysis: coming of age? Evaluation vol. 18 no. 3, pp. 270-280.

contexts where the PF is likely to have an influence and the necessary conditions for contributing to changes.

Steps 3-6 will be undertaken in the implementation phase and are iterative, identifying hypotheses on contribution claims to be explored during subsequent iterations and evidence gaps to be addressed. Step 3 involves review of existing data related to key contexts where PF is likely to contribute to changes through existing case-studies, family analysis and secondary data. The contribution from PF will be identified and the role of other contributing factors. Step 4 focuses on the different sources of data assembled at each step of the causal pathway in the fund ToC. Where a change story is strong, the team will engage stakeholders to provide feedback on the contribution evidence. In step 5 additional evidence will be collected where there are gaps in the evidence or stakeholders express considerable uncertainty over the contribution story, leading to step 6 where the contribution story is revised and strengthened to generate lessons and insights for the PF.
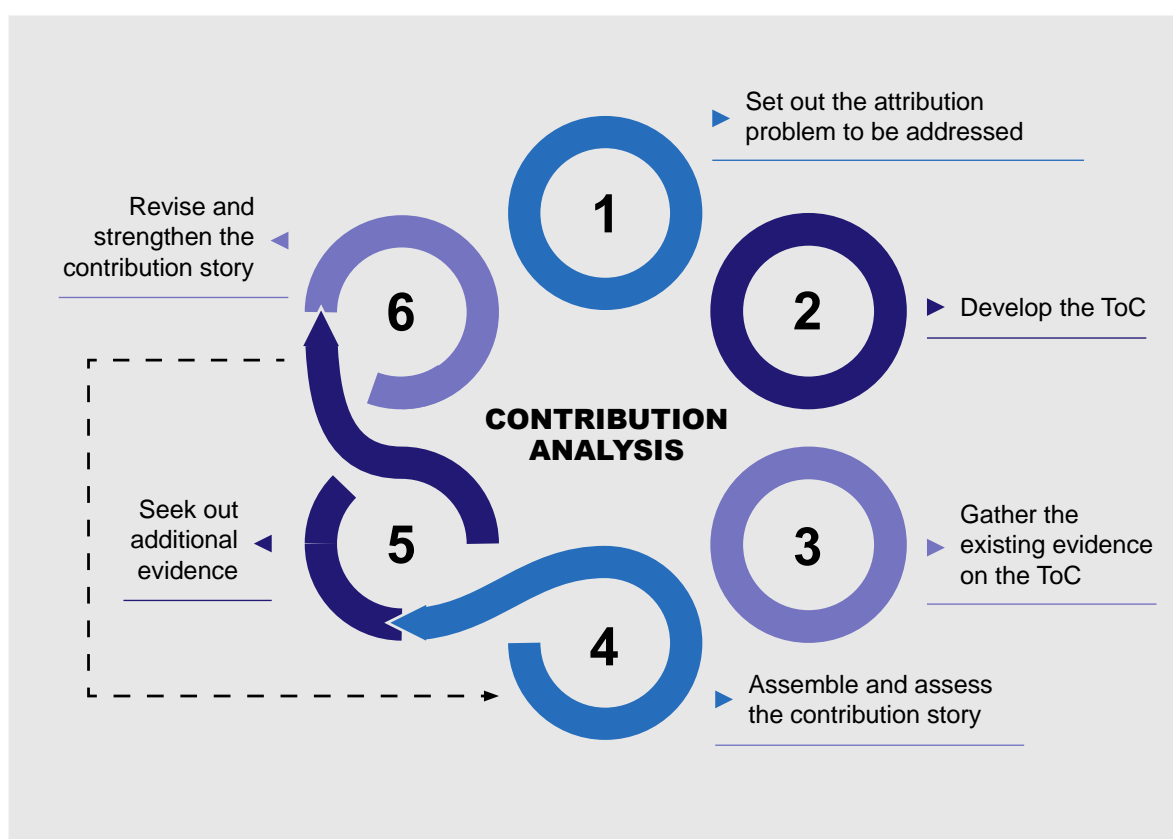
Figure 11: Six step contribution analysis

3.2 Selection of Evaluation Methods

In order to systematise the selection of appropriate methods that contribute to the selected methodologies and guide how evidence is analysed across the different evaluations and – in line with our approach to learning within evaluation processes – the key evaluation users should understand why particular methods are to be used. E&L service will consult with the programme teams to set out each method's: [11]

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[11] Annex 14: Learning Strategy and Plan

i) Ability to answer a series of specific evaluation questions

ii) General ability to fulfil a series of tasks or reach specific goals

iii) Demands on the capacity of the Programme Manager and the evaluation team to accommodate its specific requirements.

This process will enable the evaluation stakeholders and the E&L service to jointly refine, clarify and articulate the reasoning behind the choice of methods in a logical and structured way.

The selection of evaluation methods will depend on context, the EQs that we are answering and the relative importance of each question. The selected methods and the justification for their use will be outlined in each approach paper, along with their data requirements. The features of the projects and interventions will guide choices on methodology and methods at the Programme level. As for some interventions, the attributes of the intervention may make it difficult or impossible to use some methodologies or method: each programme will receive an evaluability assessment to guide methodological choices. A table comparing different evaluation approaches, methodologies and their relevance to the PF is at Table 8 (page 38).

Methodology for Theory of Change Review Activities

The ToC review for this Inception phase drew upon an in-depth review of fund-level documentation, programme Business Cases (portfolio analysis) and comparator interventions; and consultation with stakeholders. Full details are provided in Annex 3.

The initial analysis of causal pathways and of the nature of PF activities and results is based on an analysis of 16 Business Cases that were available to the E&L team in December 2017 (some of which were only available in draft form). In view of this, the findings on the ToC's causal pathways, activities and results are only emerging and may be subject to change once they have been validated with programme teams (this activity is ongoing) and 'tested' in a live environment (once programmes start to be implemented).

The E&L team propose that a review of the ToC process is undertaken annually from April to June, to support adaptive programming and to track whether the ToC is still relevant to the fund's strategy and is measurable.

The annual ToC review will focus on causal pathways and assumptions. During the first year of evaluation, the 'families' of projects will be reviewed, through interaction with the programme managers and review of programme evaluability assessments. As programme results emerge, evaluations that focus on different 'families' will be undertaken, providing evaluative learning for the fund-level ToC, as well as opportunities for programmes to learn from each other. The *Annual Fund Evaluation* will make recommendations for any updates to the ToC.

The process will be coordinated with the monitoring and reporting (M&R) contractor. This is to allow the E&L team to see how programme teams have 'tagged' their M&R indicators, which will review how they think their projects will feed into the fund-level ToC. (For more information see the M&R contractor's *Theory of Change Review Paper)*.

3.3 Family-level Synthesis Methodology

To make effective use of the contribution analysis methodology, the pathways to the fund's intermediate outcomes will need to be further elaborated to a point where plausible contribution claims can be developed and verified through evidence which can also account for the role of other relevant causal factors. Under our theory-based approach, the clustering of families of projects and programmes along causal pathways leading to these intermediate outcomes allows us to break down the anticipated and observed changes within the ToC; bringing them 'closer' to the programme-level users. It should inform the development of more evaluable ToCs at the programme and family levels which consider context and political economy factors. It also means that the E&L Team has a basis for using contribution analysis as an approach for family-level evidence synthesis.

The family-level synthesis methodology will also try to address how change happens, not merely whether change has happened. By assessing how, the synthesis approach recognises that the change mechanisms that work in one project or programme may not act in the same way in a new context.[12] By mapping the observed contextual influences onto the causal change mechanisms for each family causal pathway(s) the contribution analysis can include an assessment of contextual factors along and across the pathways.[13]

This approach to synthesis at Family-level supports our user and learning focus, by providing an evidential basis for engagement and discussion with Portfolio Fund managers (whether at Fund or Programme levels) on whether the lessons learnt could be applied elsewhere.

For the purpose of evaluation synthesis, the following processes will be included in the management of the syntheses:

i) Involving the evaluation stakeholders in the identification of cross-programme learning and evidence needs to guide design and focus.

ii) The use of common evaluators across evaluations to be synthesised where practical

iii) The use of common data collection and analysis instruments for answering evaluation questions.

iv) Clear guidance – group training if necessary – on how evidence is collected, analysed, written-up, including facilitated knowledge sharing.

v) Coordination and management of the synthesis exercises to minimise duplication and evaluation fatigue.

vi) Involving the evaluation stakeholders in sense-making of the synthesis findings.

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[12] Williams, M. (2017) External validity and policy adaptation: From impact evaluation to policy design. BSG-WP-2017/019 *BSG Working Paper Series*, University of Oxford

[13] Using a structure such as Pawson's four categories of contextual factors: Pawson, R. (2013) The Science of Evaluation: A Realist Manifesto. Thousand Oaks, CA: Sage.

Table 8: Comparison of evaluation approaches and methodologies applied to PF

Causal Inference	Methodology	Advantages in relation to the PF	Disadvantages in relation to the PF
Approach: Experimental/ Statistical Approach			
Experimental randomised control	Randomised control trial (RCT)	• "Gold standard". Can demonstrate causality and attribute impact.	• Logistically challenging, expensive, needs a control group, needs to be built into programme design.
Quasi-experimental	Difference and difference, propensity matching, pipeline approach.	• Better than RCT for complex programmes; produces reliable and valid findings.	• Level of evidence available challenging to assess impact of PF; unable to answer 'how' and 'why' of PF effectiveness.
Theory-Based Design Approach			
Generative logic - Identification of causal processes ('chains') or supporting factors/ mechanisms in context.	Process Tracing	• Can identify linkages and causal pathways; if programme is ineffective, can identify why; generates learning which can be tested.	• Lacks the rigour of experimental approaches.
	Contribution Analysis	• Advantages as for process tracing.	• Lacks the rigour of experimental approaches; does not consider type and strength of evidence.
	Realist evaluation	• Considers context, useful to understand how to adapt interventions; can result in generalizable findings; involves stakeholders, good for learning.	• Requires theoretical understanding to explore and articulate programme theory; may fail to be comprehensive; requires significant amount of data.
	Organisational Review/Systems review	• Provides information on that can be done to improve performance; can help understand how implementation quality has influenced delivery	• Limited generalizable comments about the PF portfolio, may not generate information on the change generated by the PF.
Case-Based Designs			
Comparison across and within cases of causal factors	QCA	• Can identify causal patterns across programmes.	• Difficult to apply to small numbers of programmes, the number of variables to be explored.
Participatory Designs			
Participants/ stakeholders (as co-creators of knowledge and information) provide validation of causal links.	Collaborative/ Quasi-collaborative evaluation	• Improved PF performance by, building capacity and organisational learning, enhances the use of evaluation results; supports inclusion.	• Increased burden for participants; dependant on evaluation skills of participants; potential for positive bias and subjectivity.
N/A	VfM	• Useful to understand performance and improve implementation; can consider a large number of outcomes.	• Relies on benchmarks which may be challenging to gather, context may make comparison difficult, requires common benefits to be generated across the programmes; can lead to a focus on outcomes that are easy to measure.

3.4   Sampling

Project Sampling in Programme Evaluations

The Programme evaluations are a service for programme managers and their SROs. All Programmes will be included in the annual evaluation cycle. Whilst there are core programme EQs that all of the Programme Evaluations will cover, the scope and nature of each programme evaluation will be developed with the Programme Manager and their team during the prioritisation and selection stage of each annual cycle. This may include the evaluation of specific projects that have been selected (for example due to performance or learning attributes). The Programme Manager and their team may be interested in using the E&L team to evaluate programme-wide issues (e.g. how effective has the Programme's provision of training been). Alternatively, the Programme Manager may wish the E&L service to investigate specific projects (e.g. that are demonstrating particularly useful learning that may be of value to the programme as a whole). The sampling plan for each annual cycle will therefore be developed as part of the design phase and presented in the approach paper.

The Use of Project Case Studies at Family Level

Projects will be sampled to act as case studies in the family-level synthesis evaluations to complement the assessment of the evidence generated from the Programme Evaluations, secondary data and research and the MR data sets. Case studies can be vulnerable to criticism as to their generalizability. However, in the case of our synthesis approach that incorporates realist principles, we may select case studies that analyse how PF interventions work within each family and in which conditions.

The sampling of projects for case studies under the family-level evaluation will be purposive. The criteria used to select the samples are likely to vary between families, depending on the key design attributes and contextual factors of the programmes and projects in that family. The criteria will be agreed with the PFMO and respective Programme Managers for that family prior to the selection of the cases as part of the initial prioritisation and selection stage of the evaluation. The types of criteria likely to be considered are:

- Learning Potential: in line with our learning focus, the selected cases should have potential for providing useful learning to the programme teams participating in the family. Those that have a strong demonstration effect (such as early start or particularly successful projects) can provide useful lessons for other projects in the family.

- Policy Environment: PF may operate in countries with either strong or weak regulatory and policy environments supporting the target sector. Private investment will be more challenging in countries with weak or limited policies and regulatory contexts. Cases that reflect different policy context settings will allow a broader assessment of the contextual factors affecting the causal pathway.

- Coverage: Full representativeness is not expected; the case studies should capture the range of different contexts and mechanisms observed within the causal pathway for that family.

- Quality of evidence: an obvious criterion: those projects that will not be able to provide data that are plausible and verifiable will be less useful to the contribution analysis and less likely to be selected as case studies.

Based on the resources available to the E&L Service, it is expected that 4 to 6 project case studies will be purposively selected per family grouping. The selection of case studies and the detailed data collection and case study synthesis methodology will be prepared in the approach paper for each family-level evaluation.

Worked example of sampling of case studies for a family evaluation

This is a summary example of how the family case study sampling may be carried out, using "Ease of doing business" programme as the illustration.

The case study sampling would use the following principles:

i)	Purposive sampling – ensuring specific characteristics under investigation are represented within the sample
ii)	Sampling will be systematic in terms of selection and thoroughly documented to mitigate risks in terms of bias.
iii)	Synthesis approach is based on realist principles – selecting case studies that analyse how PF interventions work within each family and in which conditions.
iv)	Selection will be undertaken jointly with the E&L Thematic Leads to make sure the work is joined up.

Practically, the sampling will need to consider:

i)	User focus –The reference groups of Programme Managers for a family need to be involved to ensure their information and learning needs are taken into consideration in the selection process.
ii)	Longitudinal vs annual sampling – Results evidence may emerge from different programmes/ projects at different times over the duration of the Fund. The sampling should retain the flexibility to identify cases that help to fill information gaps that develop as the evaluation progresses through its annual cycles.
iii)	Coherence – It needs to be tied into the selection processes for other families and across themes.
iv)	Theory-based evaluation - Needs to be grounded in the analysis of the causal pathways for the Family and the programmes – that is undertaken as part of the baseline work and reviewed annually.
v)	Rationale - Needs to be grounded in a rigorous methodology with rationale for the interventions selected for case study assessment.
vi)	Practical Aspects - needs also to be cognisant of the timelines for intervention implementation, as well as burden of data collection and resource issues.

Possible criteria for sample selection include learning potential, coverage, policy environment, and quality of evidence. However, it is possible that particular families have other specific criteria; if so, this will emerge from the baseline engagement with PFMO and Programme managers regarding particular interests or evidence needs for certain families. Nevertheless,

we expect a three step sampling process based on the guiding principles and approach set out in Figure 12.

Figure 12: 3 stage process for selection of case studies
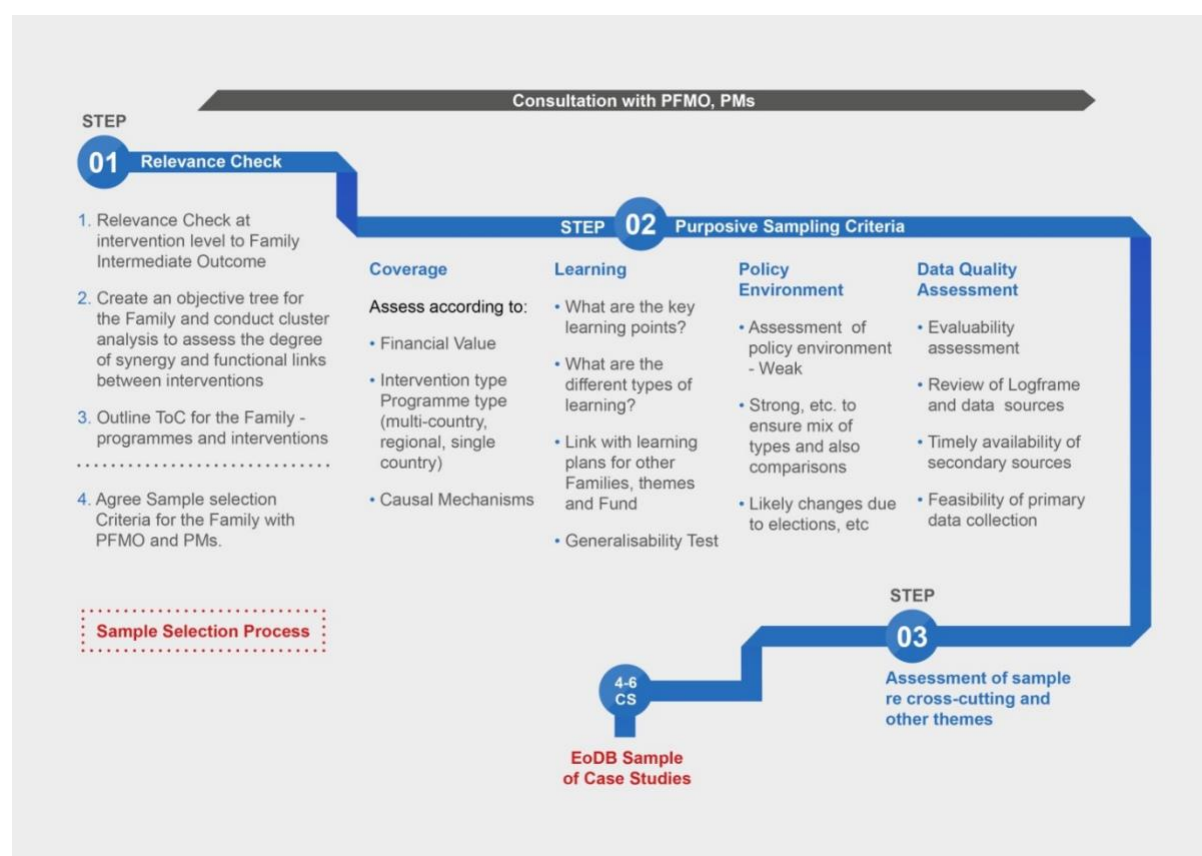
Step 1: Relevance check

The purpose of the relevance check is to validate the programmes and interventions to be included within a family. This step will be completed as part of the family mapping assessment and verification with Programme Managers across the Fund portfolio (the early work of which is presented in Annex 10).

Step 2: Application of criteria

The selection criteria would then be applied to those relevant projects (Table 9, page 44).

Coverage: The case studies should capture the range of different contexts and mechanisms observed within the causal pathway for that family. It would consider projects' coverage of the types of interventions most prevalent in a Family and the relative proportion of budget that it consumes. This criterion will require, as part of the programme baseline and initial formative evaluation work, to

i) Define the main mechanisms used by the project to influence change e.g. The Global anti-corruption programme is using a mixture including citizen action, sanctions, etc.

ii) Define key assumptions surrounding behaviour change.

iii) Define which interventions provide optimal scope for testing the range of key assumptions critical to success.

iv)   Define which interventions allow us to compare different mechanism to engineer change.

Learning is an important criterion since the evaluation is applying a user and learning focused approach. In line with our learning focus the cases would ideally provide a strong demonstration effect; provide the opportunity for learning within the programme, across other programmes in the Family and across the Fund more generally; and learning to promote active management and programme decision making.

A facilitated engagement with the programme managers in the family reference groups to determine the key dimensions/learning opportunities that feature in the different interventions/programmes and then to assess/test their usefulness (transferability and value in terms of strengthening impact) to other programmes and at Fund level. Some examples from the Ease of doing business family include: Implementation modalities, scale of programme, coherence and coordination across a variety of types of action, multi-country action versus single country action.

Policy environment criterion will draw on the programme context and stakeholder analyses undertaken as part of the baseline assessments. Cases that reflect different policy context settings will allow a broader assessment of the contextual factors affecting the causal pathway.

By assessing the policy environment of interventions, we can then ensure a mix of policy context settings, which will be insightful in understanding how different PF interventions, programmes, families and themes are working to positively influence the claimed outcomes and what works in different settings.

This criterion will be applied through a mapping of the policy environment /context of different interventions within a family in a matrix to present a rating of the context and how challenging/ friendly it is to the anticipated change.

Data quality criterion will be used to identify those programmes that are most likely to provide plausible and verifiable data that is useful to the family-level contribution analysis. In the first year, it will draw on each programme's first formative and baseline analysis. The data quality assessment (see Annex 7 and Annex 9) will be used to help identify evidence sources to be included in the sample of case studies.

Through the annual evaluation cycles, those projects generating strong evidence for the family-level analysis may evolve: those that we anticipate at the beginning may be superseded by others as the projects mature. Secondly, the evidence needs for the contribution analysis may evolve over time (for example, if there is sufficient evidence from across the portfolio to infer a particular cause-effect link, then the investment in case studies should be to focus on other aspects of the causal pathways where evidence remains weak). Therefore, the planning for each annual cycle of family evaluations will consider the focus on evidence needs for that year.

Step 3: Assessment of sample for cross-cutting themes

Each year there will be one or more thematic evaluations that cut across the Fund's portfolio of programmes and projects. In a bid to be as efficient as possible, and to minimise the burden on programme teams, any emerging case study projects should be assessed in terms of feasibility of coverage for the thematic areas. Thematic Leads would assess the potential for the sample to generate evaluative evidence that can usefully feed into evaluations on thematic and cross cutting issues.

The completed sampling matrix and proposal for selection will be shared with the PFMO and ease of doing business family reference group. A review of the proposed selection will be facilitated by the E&L Family Lead with the aim of reaching agreement on the projects to be the subject of case study.

Sampling for Cross-Cutting Thematic Studies

Projects may also be selected as part of thematic studies. The thematic focus of these cross-cutting studies will be identified each year together with the PFMO, related to the annual ToC review or emerging strategic priorities for the fund. The nature of the sampling will be determined as part of the design phase of each thematic evaluation and presented in its approach paper. Nevertheless, the illustrative criteria described above are also likely to be relevant here (*i.e.* Learning Potential; Representativeness; Policy Environment; Quality of evidence).

Thematic case studies may be undertaken as part of Programme evaluations, in which case thematic experts will be embedded in those Programme Evaluations to support the data collection and analysis with guidance from the respective Thematic Lead. Where this is not feasible or appropriate, a separate thematic evaluation field mission will be organised with the programme teams, through the respective Programme Evaluation Lead. In both cases these should be built into the annual programme evaluation approach paper, so that the expectations of the E&L team and the programme teams are clear and agreed by all parties in advance.

In year 1 the thematic studies are more design and baseline in nature (see later Section 4) and will work with those programmes that come 'on stream' during the first E&L year. The sample in this case is restricted to those early programmes. Later starting programmes (e.g. from later PF funding windows) will be sampled in year 2 once they start.

Table 9: The 'Relevant' projects for the "Ease of Doing Business" illustrative example

Programmes	Project(s)	Coverage		Learning	Policy Environment		Quality of evidence	
		Size	Intervention type*	Learning point	Strong	Weak	Access	Quality of evidence
Colombia	Capacity Building (addressing barriers to inclusive growth and anti-corruption)	Small	B		Programme context analysis at baseline will inform the assessment		Tbd	Tbd
India	Ease of Doing Business (covers central government support and state level assistance)	Med	A, B		Programme context analysis at baseline will inform the assessment		Tbd	Tbd
China	Rule of Law for Business	Large	B, C, D	Hugely significant internationalised economy – UK's 5th largest trade partner Focus on legal environment offers positive opps for learning Commercial contracts Designed to fill gaps in assistance	Programme context analysis at baseline will inform the assessment		Tbd	Tbd
Global Business Environment	Entire programme	V large	C	Country specific activities Implemented by WB Trust Fund Gender aspect important in some programmes e.g. SA Strong synergies with trade, AC and infrastructure support Strong potential in terms of UK benefit Different barriers to business in different countries – interesting to assess effectiveness of PF in different contexts and different barriers	Highly variable as global programme. Target countries Brazil, Indonesia, Nigeria, Pakistan, RSA, Turkey		Tbd	Tbd

Programmes	Project(s)	Coverage		Learning	Policy Environment		Quality of evidence	
		Size	Intervention type*	Learning point	Strong	Weak	Access	Quality of evidence
Mexico	Business Environment (Anti-Corruption and Security & Justice)	Med	A, B		Programme context analysis at baseline will inform the assessment		Tbd	Tbd
Global Anti-Corruption	Entire programme	V small	C, D	Whole of Govt approach Multi-pronged approach - drawing on all UK Government tools Collaboration with partner countries Gap filling programme Involves working with many partners – international, national, partners	Highly variable as global programme. Target countries Brazil, Indonesia, Nigeria, Colombia, Mexico, Kenya, Pakistan,		Tbd	Tbd
Indonesia	Regulatory Reform	V small	A, B			Significant corruption risks to reform but strong political drive for improving business environ-ment	Tbd	Tbd
SE Asia Trade and Economic Reform	Entire programme (covers Better Intellectual Property, Strengthening Regulatory Frameworks and Processes, Advising Business and Government Transparency and Integrity, Improving Professional and Business Service Capability)	Large	A, B, C, D	Multi-country approach Small and Large countries Regional focus - ASEAN	ASEAN 6 seen as faster reformers than global average		Tbd	Tbd
Total		£116.4m						

* A = Technical Assistance, B=Capacity Building, C=Research & Advocacy, D=Convening. TBD=To be determined (during baseline and reviewed annually).

3.5 Evaluation Matrix

The questions to be answered and at what level of the evaluation this will be undertaken, will be guided by an evaluation matrix. This matrix is provided in Annex 5. It outlines the following in relation to each of the EQs:

- EQs and sub-questions

- Evaluative activities and level of evaluation

- Information sources

- Responsibility for information and data collection

The evaluation matrix provides an overview of how the E&L team will address each evaluation question in terms of data requirements, methodology and who is responsible. At the same time, the questions and sub-questions will cascade down to programme and intervention levels to ensure that a consistent set of questions will be answered in each evaluation at programme level (See Annex 6).

3.6 Data Collection

Primary Data:

The primary data requirements will depend on the evaluation questions and methods chosen. It is not expected that large scale quantitative primary data collection will be conducted by the E&L contractor. The evaluations are expected to involve a certain amount of qualitative data collection through methods such as key informant interviews to validate or triangulate the secondary data or to fill any information gaps. These will be defined by each evaluation team.

Secondary Data

Secondary data sets, accessed through desk research, will be a key resource for the evaluation. An assessment conducted during the inception phase (Annex 7) indicates that secondary data sources provide overarching views of the context, usually at the national level. Triangulation of the data sets supported by more detailed context specific analysis will be necessary in analysing any observed or reported changes apportioned to the PF.

Programme baseline assessments will include a more detailed assessment of available secondary data for answering the core programme evaluation questions. This will be undertaken closely with the M&R contractor as the evidence base grows and the utility of secondary data sets is tested. Data from programmes and projects that can be used include documentation outlining the programme design, approval and business case stages and programme delivery stages. The latter will include quarterly progress reports, annual reviews and programme completion reviews, while financial reporting will be useful for information on budgets and expenditure. Individual project documents will be drawn on such as inception reports, quarterly progress reports, annual reports and project completion reviews.

Contextual Data

Contextual data is important from the perspective of a theory based evaluation (programmes will be subject to the wider context in which the change they contribute to might occur) and is directly necessary to answer core evaluation questions. Baseline contextual data will be collected in Year 1 for each programme and more broadly for the fund covering the following:

i) Programme and project level operating context

ii) Country-specific socio-political and economic context

M&R Data

Through the Inception Phase, the E&L team and M&R contractor have held fortnightly coordination meetings and undertaken joint missions to meet with Programmes. Each has been consulted on and reviewed each other's inception outputs.

The Prospero M&R portal, developed and supported by the M&R contractor, will be the main source of monitoring data that will be used by the E&L team. Programmes will report on common indicators at the fund ToC level (at intermediate outcome, outcome and impact levels). The E&L team and M&R contractors will work closely, during Year 1, to establish programme level indicators that are reflective of the results framework and that are measurable (according to the criteria set by the M&R contractor). Common indicators will be adopted where possible, to allow for comparative analysis between programmes. Where appropriate, simple and consistent measures of progress that are generated by the evaluations will be provided to the M&R to load onto Prospero. Year 1 collaboration between the M&R and the E&L teams will establish the presentational options for these.

Strength of Data and Triangulation

All pieces of evidence that are collected including secondary data and from stakeholder interviews will be assessed for the "strength of evidence" following the categories listed in the rubric below. This will generate a score for each piece of evidence. This will enable an assessment of the strength of evidence of each finding to be clearly presented based on the aggregated results of the strength of evidence supporting that finding. Each evaluation will identify plausible evidence sources which will mean the syntheses rely on triangulation across multiple plausible evidence sources to have greater confidence in the synthesised findings. In cases where some evidence is less robust than others, we will provide greater weight to more verifiable sources and flag the potential limitations in our analysis.

Table 10: Assessment of strength of evidence

"Strength of Evidence" Assessment for each evidence collected		
2	Verifiable evidence	Refers to data that are both plausible and possible to verify. Such evidence generally describes quantifiable measures that can be physically counted. For example, the MW rating of installed energy capacity or the number of jobs in a company at a given time.

"Strength of Evidence" Assessment for each evidence collected		
1	Plausible evidence	This includes evidence which may make a plausible claim but may draw heavily on assumptions from secondary literature, for example data used to calculate greenhouse gas emissions would be avoided. Alternatively, it may refer to evidence which is the plausible conclusion drawn by an expert stakeholder or observer. There may be evidence presented to justify this view but no methodology against which the validity of the conclusion can be verified.
0	Minimal evidence	Some documents may simply claim an outcome but there may be no information about the data or methodology used to evidence this claim.

To facilitate the triangulation of primary and secondary data, we will ensure coordination in the design of family, programme and thematic evaluations by generating and agreeing those aspects which will feature across all evaluations, in particular:

- Standardised topics / questions for Key Informant Interviews (KIIs) and focus group discussions;
- Common guidance for document review;
- Established terminology (aligned with the MR-EL glossary) for key concepts and terms;
- Templates for recording primary data collected and reporting.

The Technical Lead (Programme and Family) and Technical Lead (Fund and Thematic) will provide guidance on data sources to allow for meta-analysis at Fund level. This will draw on inputs from the Secondary Benefits, VfM and Gender Experts, given the cross-cutting nature of those fields.

3.7 Methodological Limitations

There are a range of limitations to the proposed methodological approach. These are described in more detail in Annex 5 and Annex 9.

The complexity and context-dependency of the fund's casual pathways may limit theory-based evaluation. The desk-based analysis of project families suggests a set of nested causal pathways is plausible, but further empirical assessment may disprove this. It may be necessary to establish several causal pathways to accommodate programmes within families, whilst the inclusion of context-mechanism configurations will improve the explanatory power of the methodology. The use of case studies in family syntheses, to test assumptions and causal linkages and to strengthen the evidence base, will also be used to manage this.

It is likely that in some programmes, the contribution claims being made for the projects are not plausible; too far removed from or too high a level from which to construct a credible causal link. To manage this, the E&L team will work with the M&R contractor and respective programme teams to test the evaluability of programme and project designs as part of the baseline work. We will advise on contribution claims that are measurable and contribute to the identification of indicators that are appropriate and match to the ToC.

Programme life cycles and reporting cycles are not aligned to the E&L annual evaluation cycles. This is particularly an issue in the first, possibly second years as start-ups will be staggered. The first annual syntheses and fund-level review will accommodate those

programmes and projects that have already been started and be transparent about areas of evidence weakness as a result, identifying clearly evaluation needs in following years to consolidate the evidence base.

Data limitations are highly likely, particularly in relation to questions and hypotheses about change and impact. Data disaggregation (e.g. by sex, age and wealth/income quintiles) in secondary data may also be a challenge. The data limitations will be highlighted in the baselining process and/or the annual report to allow systems to be established to collect alternative data or to adapt the questions. The project data that the evaluation teams will use have an inherent bias risk as they are the result of self-reporting. The evaluations will be expected to triangulate data, agree and use a transparent data strength protocol so that only reliable data is used. This will reduce the risk of findings being contested. However, where different opinions are presented to the E&L team, this range of views will be reflected in the reporting along with how the range of views have been used.

Given the breadth and scale of the fund, aggregation to enable fund-level assessment and interpretation of findings may be limited by the comparability of evaluation. The programmes and projects of the fund are not starting simultaneously which means assessment of evidence cannot be made in a linear fashion. These challenges will be mitigated by using a core set of evaluation questions across programmes, similar data collection methods amenable to synthesis, evaluation teams that work on evaluations within a given family. During each annual evaluation design phase the comparability of programmes will be assessed, so that the project-cycle stage is taken into consideration for sampling and processing data for the respective synthesis.

Adaptive programming means projects may evolve over their lifetime and with them, their ToCs; this will affect their contribution claims and broader learning value. Therefore project ToCs and respective family grouping will be reviewed annually as part of the 'review' phase of the annual cycle.

4.   Cross-Cutting Issues

A number of cross-cutting issues feature in the fund ToC and evaluation questions and will be covered in all evaluations.

i)   **Reducing poverty** underpins the primary purpose of the fund and is articulated in the outcome statements: "increased capacity for trade and economic growth in partner countries", "improved environment for trade and economic growth in partner countries". The E&L service will work with programme teams to articulate programme and project outcomes and their contribution to the primary purpose and to implement evaluations which assess contributions to these results. This will be assessed in each annual evaluation cycle.

ii)   **Gender equality**: The PF is required to comply with the International Development (Gender Equality) Act 2014 (IDA 2014) and projects should comply with the PF Policy and Guidance and the Gender and Inclusion Framework. The E&L service has an evaluation question to explore this. The VfM assessment will also consider equity.

iii)   **Inclusiveness** is an underlying pillar of the PF outcomes and is explored in two of the E&L evaluation questions. E&L activities will assess how inclusion

has been considered during design and how the projects funded through the programmes consider inclusion in their delivery.

iv) **Environmental sustainability** is explored in one of the evaluation questions and will be reviewed in programmes which took this issue into account in their design.

v) **Ethics** principles will be applied by the E&L team throughout the delivery of E&L processes and activities, based on the ethics policy developed by the E&L team. This covers the requirement for the evaluation teams to work with independence and without interference in their assessments, to use independently verifiable evidence and to be transparent in reporting potential conflicts of interest and divergence of views.

4.1 Gender and inclusion

A conceptual framework for Gender and Inclusion (G&I) has been developed for MREL along with a more practical gender approach paper (Annex 8). These:

- Enable EQ 10 to be answered ("To what extent have the Prosperity Fund interventions contributed to results that support gender equality, women's economic empowerment and social inclusion in line with the UK's Gender Equality Act (GEA) and the Prosperity Fund Policy and Guidance and the Prosperity Fund Gender and Inclusion Framework?")

- Contribute to assessing whether the design and delivery of PF programmes takes account of gender equality and inclusion and complies with IDA/GEA 2014 and PF policies and guidance.

This conceptual framework focuses on four areas for evaluation: due diligence, risk mitigation, empowerment and transformation.

Three options for evaluating PF performance in G&I were considered during inception, three of these presented in the Conceptual G&I Approach Paper and two in detail in the G&I Approach Paper. The PFMO chose Option 2 'Empowerment', which focuses on assessing compliance with the GEA and women's economic empowerment (and where relevant, will also harvest examples of transformation, such as changes in institutions, policy, laws and social norms). More detail on the options is provided in Annex 8.

Table 11: Options for evaluating gender equality

Option	Focus
Empowerment	Assessing due diligence, risk mitigation and benefit flows to women and other excluded groups. This option includes monitoring, reporting, evaluation and learning. The evaluation would provide evidence of whether the fund is compliant with the IDA/GEA 2014. A thematic evaluation of selected programmes would assess their performance in the achievement of gender equality results. This option would require long-term G&I expertise on the E&L team, synthesis of G&I learning to be integrated into learning products and processes.
Transformation	Assessing due diligence, benefits to women and other excluded groups *and* institutional and societal changes in power relations (i.e. changes in attitudes, behaviours and norms, the formal and informal rules of the game) to support gender equality and women's economic empowerment.

Option	Focus
	This option also includes monitoring, reporting, evaluation and learning. It would include a larger-scale thematic evaluation and distinctive gender and inclusion learning instruments (such as a learning platform, peer learning groups and thematic studies). This option would require more G&I expertise on the E&L team.

Organisation of G&I expertise and inputs

G&I expertise will be incorporated into the design and implementation of each evaluation in the following ways:

i) G&I questions will be integrated into all evaluation plans.

ii) Minimum standards and guidance on G&I will be developed for all evaluations.

iii) G&I specialists will contribute to design of the methodology and research instruments.

iv) Training, induction and briefing on G&I will be given to evaluation teams and country-based research teams for each evaluation.

Two thematic G&I studies will also be carried out.

Year 1: Thematic G&I Study

The study will assess the extent to which G&I have been considered in programme design. One of the core aims is to assess the level of GEA compliance (i.e. how intervention choice and design have considered the differentiated impact on women and men, boys and girls and other excluded groups) to ensure no harm is done. Programmes will also be assessed on their level of compliance with internal PFMO G&I policies and guidance. Additionally, the study could review whether G&I is considered when suppliers and implementing partners are selected.

The study could include an analysis of the scores and evidence against the PFMO G&I Process Indicator that programme staff will assess their programmes against.

The sample would cover all programmes and is likely to commence in the fourth quarter of 2018/19, completing by June 2019. This scheduling, towards the end of Year 1, is to allow time for the E&L team to develop a working understanding of a number of programmes before commencing the study.

Years 2-4: Thematic G&I studies

Priorities for all thematic studies in years 2-4 will be decided at the end of year 1. Subsequent G&I studies could include an assessment of the extent to which programmes and implementing partners have taken account of G&I issues, for example, the extent to which programme management, monitoring and implementation mechanisms meet PFMO G&I requirements. Case study data from the programme evaluations will be used to inform these thematic studies.

G&I in Programme Evaluations and family syntheses

The thematic G&I studies planned for Years 3-4 and the fund level evaluations will draw on programme and family evaluations, all of which will include G&I questions.

i) Programme evaluations will answer EQs 2-3, 5-7, 9 and 11, including those relevant to G&I (question 10). Programme evaluations will focus on the most relevant G&I issues in the programme context.

ii) Evaluations of families of projects and programmes will synthesise the Programme Evaluations through families of projects, to learn how change happens for women and other excluded groups and how different Fund interventions contribute to these changes. This will enable an assessment of how progress towards achieving the intermediate outcomes is likely to have positive or negative G&I effects.

Learning

G&I perspectives will also be integrated into other learning products and processes through:

i) Mainstreaming: G&I perspectives will be built into all E&L learning products.

ii) The creation of a specific G&I online peer learning group (which may evolve into a community of practice), to enable programmes to learn from each other.

iii) The production of training plans to ensure the E&L team has a consistent approach to G&I. These will include induction materials and guidelines on G&I-responsive evaluation.

4.2   Research Ethics

All companies in the E&L consortium take pride in aligning with industry best practice in the field of evaluation and learning. In our Standard Operating Procedures (SOPs) we have set out a code of ethics which aligns with the UK Evaluation Society Guidelines for Good Practice and a commitment to uphold the DFID Ethics Principles for Research. We also strive to adhere to the principle of Do No Harm and to maintain a cross-cutting focus on gender and inclusion in all our work and ensuring meaningful participation from women and socially excluded groups (or the organisations representing them). We also take our Duty of Care responsibilities very seriously. As lead partner in the consortium, WYG has Duty of Care terms for associate experts and holds its consortium partners to the same high standards

The consortium ensures that ethical standards and principles are adhered to during the evaluation through the following measures:

i) The E&L consortium vets associates and sub-contractors materials/ mechanisms for ensuring that their policies and procedures comply with the E&L Consortium's policies and that sub-contractors understand the requirements of the project in relation to ethics and safeguarding.

ii) Materials will be produced on our ethical and safeguarding policies and procedures and what these require staff, associates and sub-contractors to do at different stages in the research process. These are communicated both on e-mail and in a face-to-face or telephone briefing at the start of a contract and before any research processes will take place in country.

iii) The policy and procedures will be communicated to research/evaluation participants before, during and after interviews. For instance, before any meetings, participants will know:

- The purpose of the interview and the use of interview findings;

- Who they will meet (attempts will be made to match female interviewers with female respondents in case of interviews with ultimate beneficiaries);

iv) If participants require translation, this will be provided. In addition, informed consent will be sought at the interview. Participants will be made aware of their right to withdraw from the process at any time. Steps will be taken to ensure the anonymity of interview data. Respondents will be entitled to see interview transcripts and evaluation outputs. They will also be provided with a contact person in the event they have any questions or concerns.

This information will be reiterated to the participants at the start of the interviews. After the interview, a member of the team will also send an email to the participant, thanking them for their time and checking that the correct procedures were adhered to and providing the participant with an additional chance to report any issues of concern.

Storing and recording data

The E&L Consortium has a password protected drop box site, where data is stored. All interview notes and transcripts will be anonymised, so as not to reveal the respondent's identity. Associates and sub-contractors will be briefed on the E&L team's data storage and recording policies and mechanisms.

It is not anticipated that the evaluation will collecting primary data through surveys with beneficiaries. Respondents will be able to see notes or transcripts of their interviews and where possible and feasible results/reports will also be shared with the respondents and every effort will be taken to also involve external respondents in validation/sense-making of findings sessions. Evaluation reports will be published as per PFMO guidelines.

A statement on safeguarding is included in Section 6.10.

4.3   Secondary Benefits

Secondary benefits include 1) exports by UK and other companies, 2) ODI and FDI, 3) the creation of longer-term market opportunities for UK and other firms and 4) the promotion of UK 'soft power' which helps UK companies realise commercial opportunities.

Suggested Approach to Evaluating Secondary Benefits

Annex 11 sets out the proposed secondary benefits evaluation methodology and envisaged data sources in greater detail. In summary, the fund and programme level secondary benefits evaluation and learning activities will be integrated into one approach including:

i) a theory-based approach that focuses on understanding key secondary benefits changes and processes in the fund-level Theory of Change, rather than looking at all secondary benefits-relevant activities undertaken at programme levels

ii) a user-focused learning approach, which responds to Programme Managers' learning and information needs relating to secondary benefits.

In the first three years the focus will be on processes and anticipated benefits and in Year 4, the focus will be on impact assessment through contribution analysis ('moving up' the ToC over time as evidence is generated and assumptions are tested).

Methods Proposed to be Used in Evaluating Secondary benefits

A five-pronged methodology is proposed, based on the following activities:

i) A process evaluation of secondary benefits (Year 1), looking at processes used by PF teams to estimate secondary benefits. This will provide an input in to answering EQ8 ("to what extent is the institutional governance set-up of Fund likely to be effective in achieving secondary benefits?").

ii) Draw up a baseline for evaluating the realisation of the four main 'types' of secondary benefits. This will be undertaken for formative evaluations of programmes in Year 1. The baseline methodology will be reviewed once this exercise is complete and adapted, if necessary, for subsequent reviews.

iii) An initial exploration and validation of the secondary benefit causal pathways and assumptions at the fund ToC level (focusing initially on secondary benefit pathways below intermediate outcomes). This validation study will commence in the latter stages of Year 1 and be completed by June 2019. It will draw on the team's detailed mapping of secondary benefits within PF programmes and initial views regarding strong or weak evidence for secondary benefit change pathways. It will provide an early opportunity to deliver recommendations for course correction in relation to secondary benefits.

iv) Conduct rolling evaluations of the nature and range of secondary benefits being realised (Years 2-4) including through: [14]

- Annual learning-focused evaluations of PF programmes

- An assessment of the realisation of secondary benefits in families of PF projects

- A fund level thematic evaluation of the realisation of secondary benefits. Given the likely delay in realising secondary benefits, this will be undertaken in Year 4.

v) An annual fund-level secondary benefits analysis and ToC review, bringing together evidence on the overall secondary benefits performance and achievements of the fund and drawing out areas for Fund-wide secondary benefits learning and strategy.

The E&L team expects to use a range of data sources, both internal and external to the fund, in its assessments of the realisation of secondary benefits, including:

i) Fund-level M&R data collected in the Prospero database

ii) Data uploaded by PF programmes, providing data at output level;

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[14] See Section 2.4 of the E&L PF Fund Evaluation Framework Paper (Annex 4) for more details.

iii)   Bespoke primary data collection e.g. through company questionnaires to supplement the above two sources. Secondary data sources will be used where possible.

4.4   Value for Money

Value for Money (VfM) will be assessed at programme- and fund-level, by reviewing the way that the PF resources are planned, managed and used to achieve the desired results. The methodology for doing this is set out in detail in Annex 12.

The proposed approach draws heavily on the guidance proposed by the NAO, namely that VfM encompasses the concepts of both the delivery of 'value', i.e. results or benefits, as well as optimising the 'expenditure of money' or costs related to the delivery of the PF results. VfM for PF activities therefore implies the realisation of both the primary and secondary benefits at a reasonable cost.

Approach to Evaluating Value for Money

The proposed approach to assessing VfM is through a multi-dimensional scorecard, encompassing DFID's 4 'E's'. The VFM scorecard will assess 3 Es (economy, efficiency and effectiveness), with equity being covered by assessments focused on gender and inclusion.

Evaluation scorecards outline clearly defined criteria for making evaluative judgements explicit, in order to ensure consistency in their use.[15] Scorecards also help to compare results between different cases in order to identify key themes and support areas for deeper analysis. This provides the basis for a more nuanced judgement of VfM, allowing both shorter-term economy and efficiency considerations to be balanced by longer-term effectiveness and sustainability considerations (as recommended in ICAI's latest review of DFID's Approach to VfM).

The scorecard will be evaluated based on evidence of compliance with criteria using a 1 to 5 point scoring system (1 is 'low' and 5 is 'high') and an assessment of the direction of travel using a 'traffic light' indicator. This will allow both compliance and progress / intent to be assessed. The proposed components of the scorecard are summarised in Table 12 (page 56).

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[15] For example. the approach set out in: *Measuring the Impact and Value for Money of Conflict and Governance Programmes*, Final Report, ITAD, December 2010. http://bit.ly/ITAD_VFM

Table 12: Proposed VfM scorecard structure

Scorecard Element	Rationale	Methodology for Assessment
1. Existence, relevance and robustness of VfM measures	To examine whether the PF programmes have measures in place to measure VfM and that these are likely to be useful in practice	Mapping and analysis of results and indicators of VfM (by sector, programme approach, governance and management arrangement)
2. Approach to procurement and cost containment	Addresses the economy aspect of VfM (1st 'E' in NAO VfM framework). Examines the range of measures in place to benchmark, assess and report on the economy of PF interventions	Review of Business Case, tender documents; analysis of fund and programme level data; family and thematic studies; case studies and KIIs (on procurement)
3. Efficient use of inputs (resources) by PF interventions	Addresses the efficiency aspect of VfM (2nd 'E' in NAO VfM framework). To assess the extent to which intervention outputs are cost-efficient (costs are minimised and outputs maximised) and timely	Analysis of fund and programme data on outputs and inputs; Literature review / benchmarking to identify good VfM practices (external to PF); Case studies and data from KIIs; Data derived from Family and Thematic studies, Budget data
4. Validation of PF ToC causal pathways for generating primary and secondary benefits	To assess whether activities and outputs are consistent with the overall PF goals and objectives. Contributes to an assessment of PF effectiveness	ToC analysis; Annual ToC review (critical analysis, identification of supporting evidence, adaptations); Contribution Analysis; Family analysis of key factors generating PF Programme benefits
5. Sustainability of Fund activities	To examine whether PF outcomes are likely to continue to be realised after the ending of PF interventions. Contributes to an assessment of PF effectiveness	Textual analysis (for mentions of key words); Literature review / benchmarking to identify good VfM practices (external to PF); ToC analysis; Comparative analysis of the results identified and discussed through answers to EQs 1-5 & 10, including EQ 4 on sustainability
6. Review of Programme level leadership, management & governance arrangements to deliver VfM	To examine the existence of leadership at the programme level regarding VfM and whether management and governance arrangements exist to promote the delivery of VfM	Case studies and data from KIIs with programme and intervention managers; data from Family and Thematic studies
7. Strategies and measures adopted to enhance delivery and mitigate risk	To review the efforts made by programmes to ensure on-time, effective delivery of results and to manage risks. Contributes to an assessment of PF efficiency and effectiveness	Case studies; Family and Thematic studies; Meta-analysis of Fund and programme data

In addition to these 7 criteria focused on processes and the 3 "E"'s of economy, efficiency and effectiveness, an assessment of equity will be incorporated in to the assessment of VfM through incorporating the finding of the gender and inclusion assessments.

EL work will produce a short "worked example" of how the VfM scorecard including an assessment of equity of PF activities will be applied in practice as an "early win", in the first quarter of Year 1.

VfM Evaluation Methodology

Evaluating the value for money of the PF activities will include:

i) A VfM process evaluation, looking at processes and arrangements that have been used by PF teams to estimate, collect, manage, generate and report on the VfM of interventions (including an assessment of the 4th "E" of equity derived from an initial gender and inclusion assessment) in the first year of programme implementation.

ii) Drawing up a baseline for evaluating value for money. Initial baselines will be drawn up for programmes selected for review in the first phase of evaluations. The baseline methodology will be reviewed after the first year.

iii) Undertaking a relatively early fund-level VfM thematic evaluation, drawing on programme level evaluations being undertaken, as well as VfM assessments of other portfolio funds and programmes. This will include consideration of commercial matters. The PFMO commercial adviser will be involved in developing the approach to this.

iv) Investigating VfM considerations in the rolling Programme Evaluations and evaluations of families of projects.

v) Incorporating VfM considerations in the annual fund-level secondary benefits analysis and ToC review, bringing together evidence on the overall performance and achievements of the fund relating to VfM.

Data Sources and Indicators for VfM

The E&L team will use a range of data sources, both internal and external to the fund, including a) fund-level M&R data (indicators); b) Data uploaded by the PF programmes at ToC output level; c) E&L team primary data collection, including interviews with Fund/programme implementers; d) data from other interventions and a wider evidence base. We will rely on secondary data sources where possible to avoid burdening the PF stakeholders.

4.5   Learning and Knowledge Management

Approach to Learning

Learning activities will focus on organisational learning i.e. the process by which knowledge is acquired, shared and used to improve organisational performance. Individual training and capacity building will be PFMO's responsibility. Five principles will underpin the approach (see Annex 14 for details):

i)   Responsive and innovative learning practices

ii)   Agility to match learning to PF management cycles and governance

iii)   Ongoing engagement to build trust in the learning facilitation role of the E&L provider

iv)   Active support to promote a culture of learning within the PF

v)   Curation of conversations and briefings about evaluation findings.

'Learning touchpoints' will be integrated into the annual evaluation cycle (Figure 13, below).
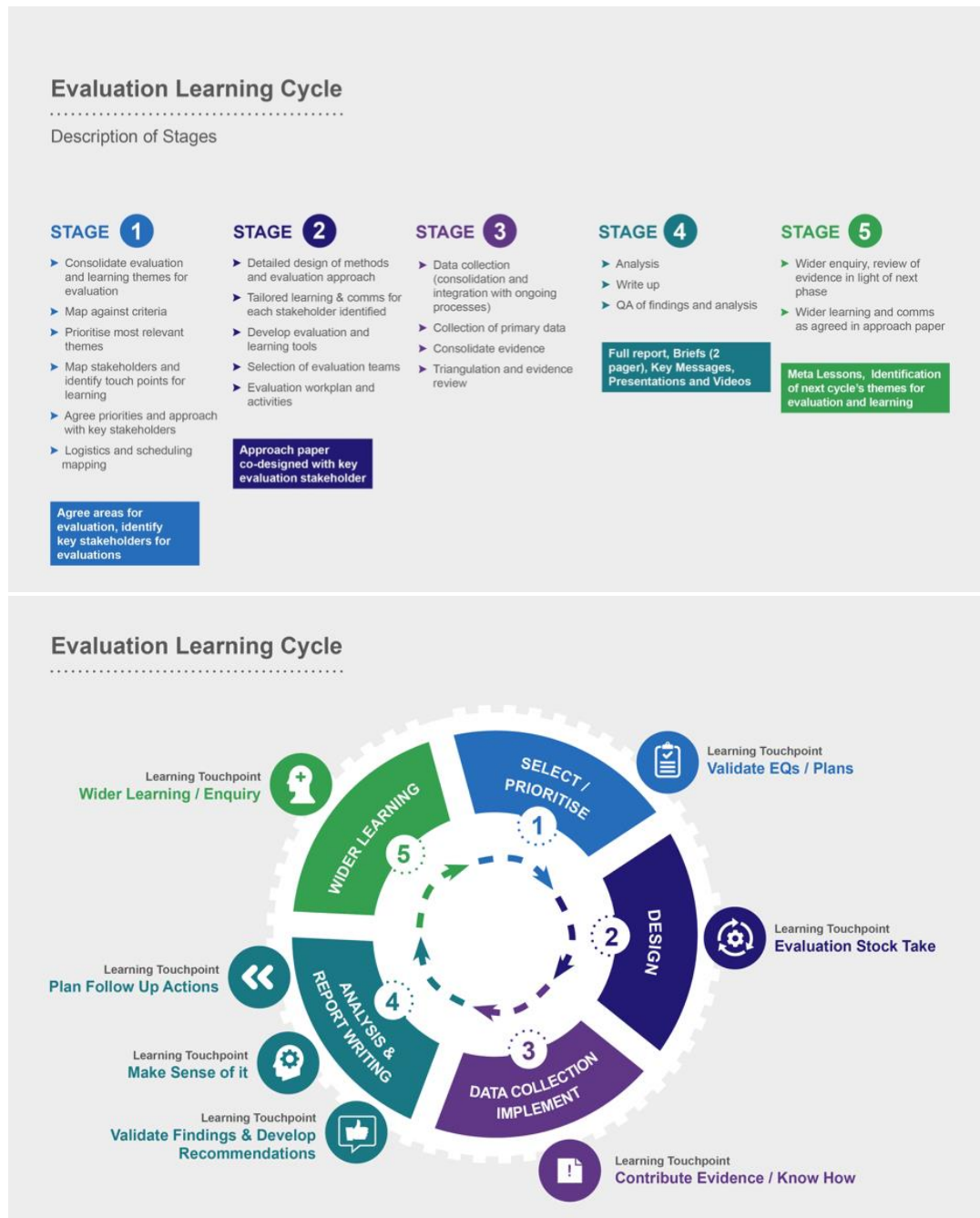
Figure 13: Evaluation and learning cycle

PF stakeholders will be closely involved in Programme Evaluations during the annual evaluation cycle. By involving Programme Managers in commissioning evaluations and allowing them to contribute their own knowledge, evaluations should be more relevant and Programme Managers will be more likely to act on findings. Figure 14 illustrates opportunities for PF stakeholders to take part in organisational learning.

Figure 14: Evaluation and learning from a stakeholder perspective

An E&L web portal will provide access to E&L evaluation findings and other learning opportunities provided. The structure is set out in Figure 15 (page 60). In addition to being a source of data, analysis and reports, the portal will include links to other sources of support for organisational learning. These will include email list subscriptions; email marketing platform; event logistics; webinars and video streaming.

Figure 15: E&L Web portal functionality

A number of ways in which organisational learning opportunities will be managed by E&L are also envisaged. These are set out in Figure 16 (below).

Figure 16: Processes that support organisational learning

Communications

The communications strategy will help the E&L team to engage and communicate with core stakeholders at the right time and through appropriate and accessible communication channels. The Communications Strategy and Plan are provided in Annex 15.

The overarching objectives of the strategy are:

i) Supporting effective and efficient engagement of the E&L team with stakeholders across the Prosperity Fund, in host countries and across HMG throughout the learning and evaluation cycle.

ii) Supporting the learning function of the E&L team to disseminate findings and messages to key audiences, including (i) Programme Managers and their SROs; (ii) PFMO; (iii) Portfolio Board.

iii) Facilitating and maintaining strong working relationships between the E&L team and the PFMO by developing, managing and coordinating clear and straightforward communication processes and protocols.

iv) Managing internal E&L team communications as a bedrock for coherent external communications.

v) Ensuring that the independence of the E&L team is maintained by developing clear communication principles and escalation protocols with the PFMO communications team.

vi) Managing the external perception of the E&L function through the management of external (media) enquiries and the development of a crisis communications protocol (both in coordination with the PFMO communications team).

The audiences for the communications strategy are aligned with its objectives, as illustrated in Figure 17 (below).

| **Prosperity Fund Management & Board** | Clear communication channels, timings and sign off procedures, engagement guidelines to ensure independence |

| **Programme Managers, SROs and implementing partners** | Development of tailored communications approaches including timing, channels, processes and key contacts, implemented throughout evaluation and learning cycle including knowledge |

| **The E&L Team** | Key message and Q&A development, establishing communications channels and protocols, brand guidelines, sign off procedures |

| **External stakeholder groups** | Clear protocols with PF communications team on reactive audience engagement including crisis communications protocol, signoff procedures and guidance to non E&L team members |

Figure 17: Audiences for communication products

Based on the learning diagnostic and stakeholder engagement, a comprehensive list of knowledge products and suitable distribution channels has been identified, with a detailed

work plan included in the draft communications strategy and plan. Communications tools are listed in Table 13 (below).

Table 13: Communication tools

Communication Tool	i)
Web Portal: Access to knowledge products and peer-to-peer learning	Curated online platform which will facilitate access to all knowledge and learning products as well as peer-to-peer learning through web community.
Briefs	Top-line information briefs for Ministers, PFMO and the Portfolio Board.
Reports	In-depth information on evaluations for PFMO, wider HMG and programme teams. Available publicly.
Videos	Video summaries of workshops, interviews, animated visualisations and/or orated summaries of findings.
Info Graphics	Info graphics as easily digestible "info bites" that have the added potential of being used for a range of materials and platforms
Presentations	Easily digestible summaries on evaluations and learning topics that can be utilised for workshops, meetings etc.
Newsletters	Opportunity to highlight new learning and knowledge products available as well as top-line messaging
Bulletins	Dissemination to wider HMG audience, top line information sharing on evaluation results
Summaries	Condensed information on specific evaluations or topics relevant to programmes or families.
Events Calendar	Utilisation of existing HMG events as well as potential tailored workshops with programme teams.
Virtual Workshops	Virtual workshops allowing for wide range of global stakeholder engagement.

Communications protocols and procedures have been developed and will guide the communications with the PFMO and the PF communications team. This will ensure coordination as well as the right balance between transparency and dialogue while maintaining the E&L team's independence.

The learning team will be the brand and presentational quality guardian of all communications and knowledge products.

The E&L web portal will contribute to effective communications by providing a single point of access to all organisational learning opportunities and knowledge products. The portal will have a distinct brand identity and a high design standard. The format of other published materials will align with the brand identity of the portal.

5.   Work Plan

A detailed workplan and budget is provided in Annex 2.

The key uncertainty in preparing this workplan relates to the timing of programmes to engage in the first cycle of evaluation in Year 1. Another is the length and intensity of E&L engagement work with programmes prior to starting the Year 1 cycle. The programme of work is flexible in certain respects to allow a user-focused approach to programmes. For example, thematic studies or case studies within 'families' of programmes are purposely left undefined beyond Year 1 to provide this flexible deployment of resource.

Figure 18 presents the outline workplan for Years 1-4 (43 months from May 2018) of the E&L service ending November 2021. It illustrates how different work streams are aligned with each other, and how programme, project families and thematic evaluation studies contribute to an overall Fund-level evaluation.
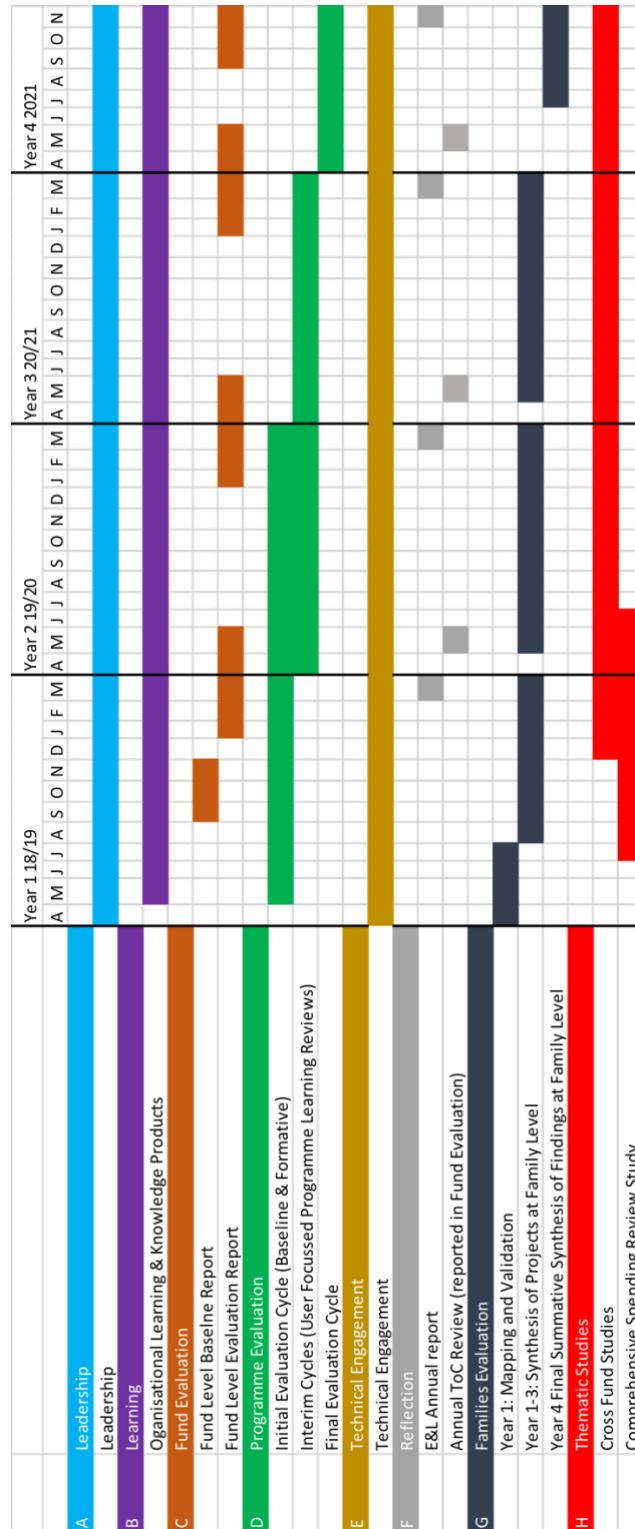
Figure 18: Outline E&L workplan Years 1-4

The workplan consists of eight work streams:

1. **Leadership** and client liaison includes strategic direction and oversight of the E&L programme, as well as project management and administration.

2. The **learning** work stream will deliver an ongoing cycle of organisational learning activities, including discussion and validation of evaluation findings with programme staff and stakeholders, and production of knowledge products such as newsletters, briefing notes, and webinars.

3. **Fund Level**: Findings from all the above will contribute towards an annual Fund level evaluation report which will include a review of the Fund's Theory of Change. These reports in May each year will provide insights for the annual review process in June.

4. **Programme evaluations** will be user focussed and learning focussed, comprising several annual cycles. Year 1 will establish baselines and follow a formative evaluation process, followed by learning and evidence reviews in Years 2 and 3. In year 4 each programme evaluation will be concluded with a summative focus.

5. **Technical engagement** with programmes will commence prior to their formal start and during intervening periods between annual cycles. E&L will focus on raising awareness and understanding of the role of evaluation. E&L will encourage programmes to invest in evidence gathering (via surveys, studies and assessments) which E&L will assist to contextualise and interpret.

6. **Reflection**: an annual Evaluation & Learning report will also be produced at the end of each financial year, summarising E&L work undertaken.

7. **Family evaluation** focusing on families of projects and programmes that work in similar sectors or contribute to the same Fund-level Intermediate Outcome. As with the programme work stream, in Years 1-3 these will be formative in nature, and summative in Year 4. Desk-based synthesis may be complemented by deeper case studies for larger programmes.

8. **Thematic studies** focusing on common cross-Fund issues. In Year 1 these will focus on gender, VfM, secondary benefits and evidence for the comprehensive spending review. Themes in future years will be determined on a demand basis.

5.1   Outputs Years 1-4 and detailed workplan Year 1

Table 14 overleaf presents E&L outputs for Years 1-4, including a summary description and the deliverables for each output.

Workplan

A schedule for delivering these outputs is presented in Figure 19.

Description	Year 1 Outputs	Year 2 Outputs	Year 3 Outputs	Year 4 Outputs
1. Programme Evaluation				
Programme evaluations run in annual cycles. The Initial cycle is preceded by an Approach Paper followed by an Initial Programme Evaluation Cycle Report which includes a programme baseline assessment and first formative evaluation, based on learning needs of programme managers. These Interim Cycle Reports include the approach for the following cycle.	12 Initial Programme Evaluation Approach Papers 12 Initial Programme Evaluation Cycle Reports	12 Initial Programme Evaluation Approach Papers 12 Initial Programme Evaluation Cycle Reports 12 Interim Programme Evaluation Cycle Approach Papers* 12 Interim Programme Evaluation Cycle Reports	24 Interim Programme Evaluation Cycle Approach Papers* 24 Interim Programme Evaluation Cycle Reports	24 Programme Final Sumative Evaluation Approach Papers* 24 Programme Final Summative Evaluation Reports
*Programme Approach Papers in Years 2 and 3 will be "light touch", updating the detailed Year 1 Approach Paper where required. Updated details may be included as a short annex to the Year 1 paper.				
2. Family Evaluation				
Project Families Mapping & Validation - building on inception families work, including to classify/ describe pathways to change within each family	1 Approach Paper 1 Final report	-	-	-
Synthesis of Projects at Family level. The approach paper will have a specific chapter for each of the ten families identified, namely: 1. Infrastructure, 2. Future Cities, 3. Energy and Low Carbon, 4. Technology/Digital Access, 5. Human Capital (Health and Education), 6. Innovation. 7. Trade, 8. Financial Services, 9. Business Environment and 10. Transparency and Corruption. These chapters will explain how each family evaluation will be approached including identifying which projects fall within the family; what a theory of change for the family might look like and details of the processes followed to develop this; which projects will be sampled within the family evaluation and why; what the project evaluations look like and how they fit with particular programme evaluations; and what the reference group for the particular family might look like and what involvement there has been in developing the approach. Similarly, the report will have a specific chapter to report methods, findings, analysis and conclusions for each of the ten family evaluations separately.	1 Approach Paper 1 Final Report	1 Approach Paper 1 Final Report	1 Approach Paper 1 Final Report	1 Approach Paper 1 Final Report
3. Thematic Studies				
Approach paper topics in Year 1 will be: 1) Value for Money 2) Secondary Benefits 3) Gender and Inclusion and 4) CSR EL Evidence Review. Two of these will report in final form in Year 1 and two will report in Year 2. Thereafter, subsequent thematic priorities will be determined with PFMO on an annual basis.	4 Thematic Studies Approach Papers 2 Thematic Studies Final Reports	2 Thematic Studies Approach Papers 2 Thematic Studies Final Reports	2 Thematic Studies Approach Papers 4 Thematic Studies Final Reports	1 Thematic Studies Approach Paper 1 Thematic Studies Final Report

Description		Year 1 Outputs	Year 2 Outputs	Year 3 Outputs	Year 4 Outputs
4. Fund Evaluation					
Year 1 will include a short Baseline Approach Paper and Baseline Report. Also, a Fund Level Evaluation Approach Paper will set out the approach for annual Fund Level Evaluation Reports (the first of which will be delivered in May 2019). Each annual report will set the approach for the coming year. There will be an annual review of the Fund Theory of Change within the annual Fund level Evaluation Report.		1 Fund Baseline Approach Paper 1 Fund Baseline Report 1 Fund Evaluation Approach Paper	1 Fund Level Evaluation Report	1 Fund Level Evaluation Report	1 Fund Level Evaluation Report
5. Reflection					
Annual E&L Report	Summary of E&L work in the preceding year, including assessment against objectives and KPIs.	1 EL Annual Report	1 EL Annual Report	1 EL Annual Report	1 EL Annual Report
6. Learning					
Web portal	As confirmed in formal product specification	Web portal as specified	Ongoing service	Ongoing service	Ongoing service
Knowledge products	Variety of outputs through year, see Section 4.5 of the Inception Report	Ongoing	Ongoing	Ongoing	Ongoing

Figure 19: Schedule for delivery of outputs (year 1)

Legend (Task colour key):
- Approach Paper = orange
- Ongoing Work = green
- Draft and Final Report = yellow

Schedule cells below use: O = Approach Paper (orange), G = Ongoing Work (green), Y = Draft and Final Report (yellow).

Identifier	Description	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J
		2018/19												2019/20		
A1	**Leadership**															
A1		G	G	G	G	G	G	G	G	G	G	G	G			
B	**Learning**															
B1	Development of EL Web Portal	G	G	Y												
B2	Delivery of Learning Products			Y	Y	Y	Y	Y	Y	Y	Y	Y	Y			
B3	Web Portal Licensing and Maintenance			G	G	G	G	G	G	G	G	G	G			
C	**Fund Evaluation**															
C1	Fund Evaluation Baseline						O	G	Y							
C2	Fund Level Evaluation Report									G	O	G	G	G	Y	
D	**Programme Evaluation**															
D1	2. Insurance & Risk		G	G	O	G	Y									
D2	6. Business Environment		G	G	O	G	Y									
D3	1. Colombia		G	G	O	G	G	Y								
D4	11. UK India Green Growth Equity Fund		G	G	O	G	G	Y								
D7	18. SE Asia - Low Carbon		G	G	O	G	G	G	G	G	Y					
D8	19. SE Asia - Economic Reform		G	G	O	G	G	G	G	G	Y					
D9	4. India		G	G	O	G	G	G	G	G	Y					
D10	8. Digital		G	G	O	G	G	G	Y	G						
D11	9. Anti-corruption						O	G	G	G	G	O				
D12	12. Brazil															
D13	16. Infrastructure															
D14	21. Health				G	G	O	G	G	G	Y	G	G			
D15	5. China Phase 1															
D16	7. Mexico															
D17	15. Indonesia															
D18	17. Trade				G	G	O	G	G	G	Y	G	G			
D19	20. Future Cities				G	G	O	G	G	G	Y	G	G			
D20	5. China Phase 2															
D21	14. Education															
D22	10. Commonwealth Marine Econ															
D23	21. Global Infrastucture															
D24	22. Global Finance for Inclusive Growth															
D25	3. Asia Infrastructure Investment Bank															
D26	23. IPA															
E	**Technical Engagement**															
E1	Technical Engagement	G	G	G	G	G	G	G	G	G	G	G	G			
F	**Reflection**															
F1	E&L Annual report											Y				
F2	Annual ToC Review (reported in Fund Evaluation)													G	G	Y
G	**Families Evaluation**															
G1	Project Families Mapping & Validation	O	G	Y												
G2	Synthesis of Projects at Family Level					O	G	G	G	G	G	Y				
H	**Thematic Studies**															
H1	i) Gender & Inclusion In-Depth Review				G	G	G	O	G	G						
H2	ii) VFM									O	G	G		G	G	Y
H3	iii) Secondary benefits				G	O	G	G	G	G	G	Y				
H4	iv) CSR EL Review				G	G	G	G	O	G	G	Y		G		Y

The timing of the first cycle of programme evaluation work is based on currently available information about the progress of programmes, and assumptions about their state of readiness to receive evaluation teams.

The plan assumes that evaluation work starts when each programme is well advanced through the process of tendering for implementing partners. It is assumed that at this point programmes will have high confidence about their go-live date and also that programme managers will have time to engage with evaluators. The assumptions around start dates will be kept under review and updated through engagement with programmes and PFMO.

Figure 19 (based on information from the M&R contractor and MREL) shows blocks of four or five programme evaluations beginning every two months. It is assumed that the process will be as follows:

Programme evaluations: these will mostly be delivered through a concentrated seven-month period in each of the annual cycles. Outside these periods, a lower level of engagement will be maintained. Activities in the Year 1 cycle are outlined in in Table 15 (below). Second and third year cycles will comprise user-focussed programme learning reviews reported in Interim Programme Evaluation Cycle Reports, followed by a final evaluation cycle in Year 4.

Table 15: Main Programme Evaluation Activities Year 1

Timeline	Main Programme Evaluation Activities
Weeks 1-2	Mobilisation and hand-over from the Inception Engagement Team to the designated programme relationship manager. Introductions and timings for Y1 evaluation and the first engagement with the evaluation team agreed.
Weeks 3-5	Programme Evaluation Lead and the Programme Relationship Manager discuss with the PM the programme's early learning and information needs and early evaluative assessments for year 1. Context mapping, stakeholder mapping and secondary data assessments initiated.
Weeks 6-9	Context mapping, stakeholder mapping and secondary data assessments completed Programme EQs prioritised, agreed and evaluation methods designed
Weeks 10-14	Approach paper completed and consulted
Weeks 15-19	Data collection and analysis for 1st formative assessment and baseline
Weeks 20-24	Data validation and sense making exercises - Interactive ToC evaluability assessment - Programme results baseline assessment - Inter-programme family groupings for learning and synthesis agreed
Weeks 25-30	Completion of Year 1 programme evaluation report and lesson learning exercise

Family evaluations: Lines of enquiry to enable analysis at family level will be integrated into individual programme evaluations, with synthesis presented in a single report with chapters per family. In year 1, when many programmes will not be at implementation stage and evaluative evidence will be low, we will test the concept of measuring change at the 10 families level and sense check this approach with Programme Managers/SROs in terms of usefulness for lesson learning. We will present families synthesis information, harvested from available programmes and take stock on the best ways forward at the end of Year 1. The first report will be produced by March 2019 following an approach paper and baseline work earlier in Year 1. Accordingly, the specific projects to be covered in these reports will be defined in the design

of each programme evaluation.[16] The baseline will cover context, sampling (as discussed in the Families Mapping paper), data sources and analysis of each evaluation question per intermediate outcome. Later reports will harvest information from sampled projects, programmes, case studies and other relevant sources.

Thematic evaluations. All studies will commence with initial scoping and project definition work, culminating in the production of an Approach Paper defining the scope of the study, approach and methodology, workplan, staffing etc. Generally, these will be produced in month 2, or in certain cases where a larger body of evidence or extended consultation is required, more initial work will be undertaken before preparing the approach paper.

Fund-level evaluation: Findings from programme, thematic, and family evaluations will be used to answer evaluation questions and assess whether the assumptions in the Fund Theory of Change are correct. The final version of the first annual fund level report will be delivered in May 2019 in time to provide inputs for the 2019 Annual Review.

5.2   Team

The team to deliver the workplan is presented in organograms in Figure 20 and Figure 21 (pages 70 and 71). It includes core team members, as well as consultants hired for specific projects – Short Term Technical Assistance (STTA). The GEFA banded evaluator positions will be a mix of core team members deployed across workstreams and non-core pool evaluators (both international and national). The rationale behind the core approach is to harbour synergies in the EL team and has the following benefits:

i)   Continuity amongst team members allowing shared knowledge and the agglomeration of best practices amongst evaluation teams.

ii)   Continuity for PFMO and programme teams with key contacts remaining in place for the life of the project.

iii)   Retention of key knowledge amongst team members.

iv)   Lowering of the on boarding and transactional costs inherent in a more fluid and evolving team.

Table 20 (page 74) provides a breakdown of the expected Level of Effort (LOE) from each team role. The LOE for leadership, coordination and management is provided although these functions support all technical workstreams. It is envisaged that these roles will remain stable through the life of the contract and as such are core positions. Certain internal functions such as IT support, legal and contracting support, HR, finance and administration are not costed to the EL contract and are therefore not listed in the workplan.

Annex 2 provides further named details of the Y1 implementation team for individual programme evaluations, thematic studies and key STTA staff and associates. As E&L transitions into implementation and build both core and wider team capacity, some existing positions which are currently un-filled will be backstopped by a combination of Family Lead inputs and interim functions from other Team members.

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[16]   For details of the families of Programmes please see Annex 10.
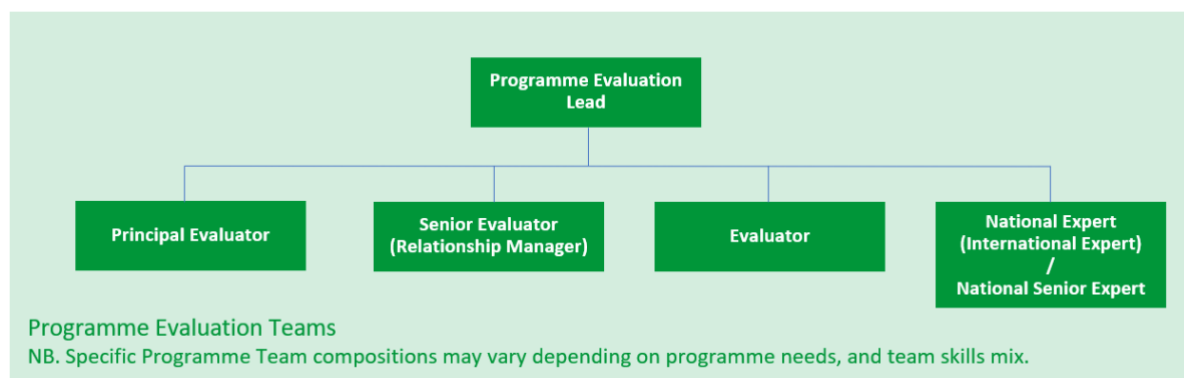
Figure 20: Organogram
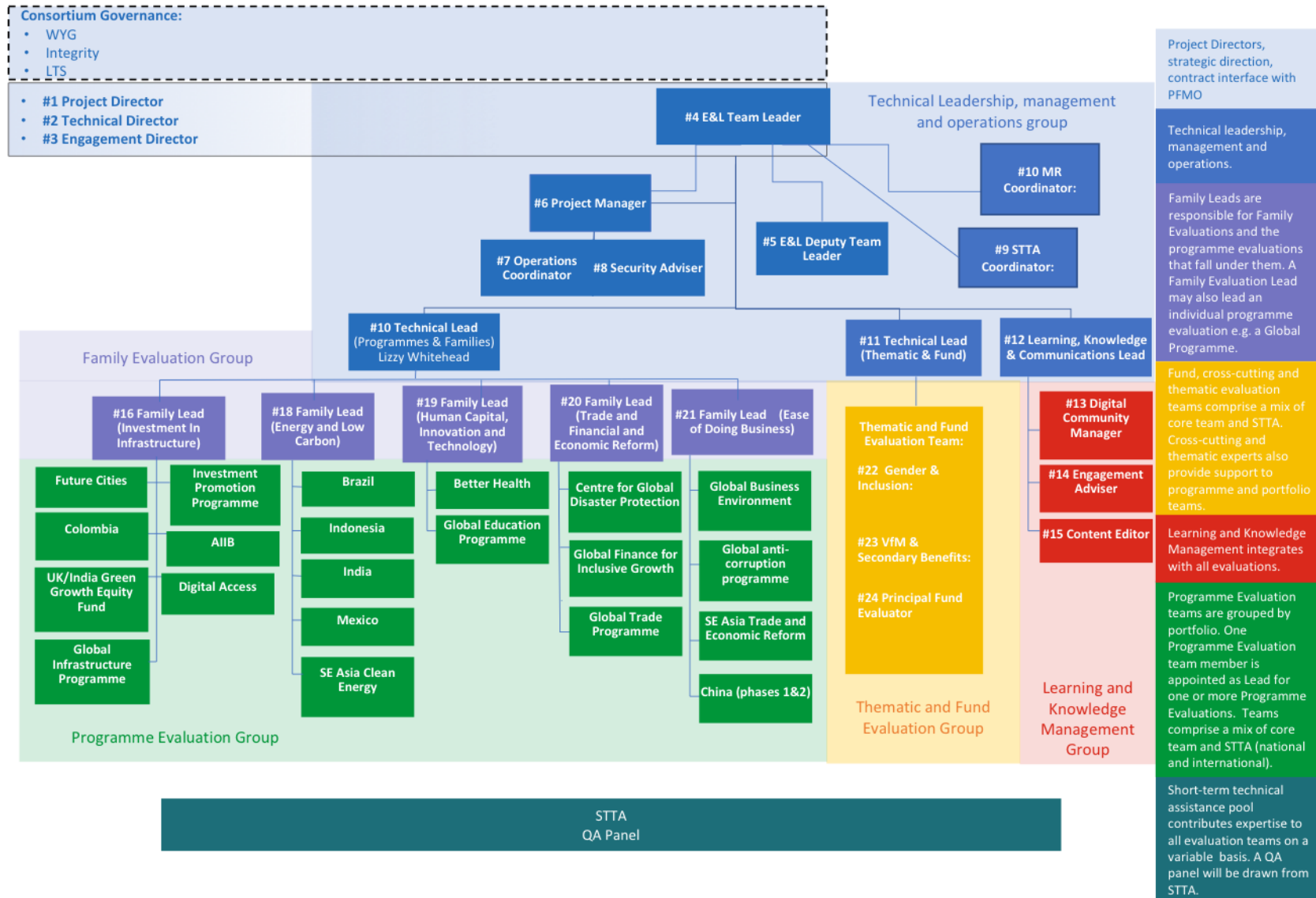
Figure 21: Programme team organogram

Table 16: Summary of roles

Position	Summary of role	Year 1 Days
Programme Evaluation Lead	Leads production of the Programme Evaluation Report, and supervises the Programme Evaluation Team	875
Principal Evaluator	Provide senior thematic and or evaluation expertise into Programme Evaluations	497
Senior Evaluator	Support the development of the Programme Evaluation Report, and serves as Relationship Manager to the PF Programme Teams ensuring coordinated engagement with E&L.	1024
Evaluator	Support the development of the Programme Evaluation Report	977
National Expert (International Expert)	Provides local contextual expertise, thematic and evaluation inputs to the production of the Programme Evaluation Report.	215
National Senior Expert	Provides local contextual expertise, thematic and evaluation inputs to the production of the Programme Evaluation Report.	125.5

5.3   Costs

Table 17 provides a summary of costs which incorporates the GEFA discount on inputs.

Table 17: Summary of costs by work stream and year (£ '000)

Workstream	Year 0	Year 1	Year 2	Year 3	Year 4	Total
Inception	£1,009,999	£0	£0	£0	£0	£1,009,999
Leadership	£0	£929,628	£929,628	£929,628	£619,752	£3,408,635
Web Development	£0	£140,000	£0	£0	£0	£140,000
Learning	£0	£457,314	£457,314	£457,314	£304,876	£1,676,817
Web Portal Licensing & Maintenance	£0	£50,000	£50,000	£50,000	£50,000	£200,000
Fund Evaluation	£0	£183,613	£257,059	£220,336	£220,336	£881,344
Programme Evaluations	£0	£2,314,882	£3,977,773	£2,938,376	£3,610,428	£12,841,458
Technical Engagement	£0	£436,000	£226,720	£226,720	£226,720	£1,116,160
Reflection & TOC	£0	£75,302	£110,998	£93,150	£93,150	£372,600
Families Evaluation	£0	£285,812	£241,684	£241,684	£241,684	£1,010,864
Thematic Studies	£0	£582,252	£485,086	£382,140	£191,070	£1,640,549
GEFA Discounts	n/a	n/a	-£114,116	-£114,116	-£114,116	-£342,348
Total	**£1,009,999**	**£5,454,802**	**£6,622,145**	**£5,425,232**	**£5,443,899**	**£23,957,362**

6. Governance and Management

6.1 Consortium governance

The E&L consortium is governed by sub-contracts between WYG and two principal consortium members Integrity Research & Consultancy Ltd and LTS International. The three companies respectively provide the Project Director (WYG), Technical Director (LTS) and Engagement Director (Integrity). Together, these Directors form a Management Committee which convenes at least monthly meetings.

The Management Committee is overseen by a Steering Committee which meets to provide a mechanism for dispute resolution within the consortium if this is required (this did not prove to be necessary in the Inception Phase). The Steering Committee comprises a board level representative from each company: Jesper Damgaard, Managing Director International Development at WYG; Andrew Cleary, Director of Services at Integrity and John Mayhew, Operations Director at LTS.

6.2 Intellectual property, ownership and copyright

The PFMO will retain ownership of any intellectual property produced during the evaluation work and will also own the copyright of any reports produced by the E&L service under the E&L contract.

If any of the members of the E&L team prepare academic papers for presentation at conferences or for publication in academic journals that draw on work undertaken during the

contract, permission to publish will be sought from PFMO and due recognition of the contribution of the PFMO to the work will be made in the acknowledgments.

6.3 Management arrangements

Coordination arrangements with MREL

As the lead partner in the E&L consortium, WYG will continue to engage with the MREL management function within PFMO. There will be three regular meetings throughout the Implementation phase as set out in Table 18 (below).

Table 18: Client meetings during implementation

Meeting	Participants	Purpose	Regularity and format
Operations meeting	Team Leader, Deputy Team Leader, MREL team	Review progress against the workplan and discuss any concerns regarding day to day delivery	Weekly in early implementation period, moving to fortnightly or monthly when circumstances permit. Face to face, with dial-in participation by the Project Director
Contract Review Meeting	Project Director, Project Manager, Head of MREL, Deputy MREL Manager and a representative from Cabinet Office Finance	Discuss delivery of contracted outputs, risk and finance on an ongoing basis	Monthly. Face to face
Tripartite Meeting	MREL, E&L Project Director, M&R Project Director	Discuss issues pertinent to the interactions of both contractors	Monthly, with the option to reduce the frequency of meetings if required. Face to face
Consortium Client Meeting	Project Director, Technical Director, Engagement Director, Team Leader and/or Deputy Team Leader, Head of MREL	Discuss high-level delivery issues across the consortium.	Aligned to Contract Review Meeting (before/after)

This schedule of meetings may be revised as required.

Internal management and coordination

Internal management and coordination arrangements within the E&L service are set out in Table 19 (below).

Table 19: Internal meetings during implementation

Meeting	Participants	Purpose	Regularity and format
E&L Consortium Management Committee	Directors, Team Leader and Deputy Team Leader	Strategic direction and oversight	Monthly

Meeting	Participants	Purpose	Regularity and format
E&L Leadership Team	Team Leader, Deputy Team Leader, both Technical Leads (Family & Programme; Fund and Thematic), Learning, Knowledge & Communications Lead; MR Coordinator; Project Manager	Day to day team leadership and management; client engagement; work flow planning and implementation; quality control.	Weekly, face to face with dial-in for off-site participants
Learning Team	Learning, Knowledge & Communications Lead, Engagement Advisor, Content Editor, Digital Communities work	Plan and deliver learning activities	Weekly. Format to be confirmed when geographical location of team members is known
E&L Consortium Steering Committee	Board level representation from three consortium partners	Escalation for client and consortium contract-related matters, including dispute resolution	Ad hoc

The technical leads will coordinate with their respective team members on an individual basis, with bespoke face to face meetings organised as required.

6.4   Team roles and structure

The evaluation team for implementation will be made up of two components; a core team which oversees E&L work as a whole and variable teams for individual evaluation studies and short-term inputs. Having a core team is imperative to ensure familiarity with the evaluation methods, programmes and PFMO teams throughout the project lifecycle and continuity for key stakeholders. It will include management, operation function, team leads and a core team of evaluators at various levels.

The variable element of the team will be a pool of experienced evaluators, thematic experts and in-country specialists who can be brought in as and when required to support the core team or carry out discrete pieces of work.

6.5   Summary of roles

Table 20: Summary descriptions of team roles

Position	Summary of role	Year 1 Days
Project Director	Provides strategic management of E&L service, monitoring project performance and providing technical and commercial advice and review	160
Technical Director	Oversees the technical approach for all evaluations, ensuring methodologies reflect the approach agreed at inception, and resolving technical issues	60
Engagement Director	Oversees the E&L team's liaison with the client and stakeholders, as well as the Learning function	60
Project Manager	Plans and monitors project delivery, including efficient allocation and use of resources	220
Team Leader	Leads and supervises delivery of the workplan, producing contractual deliverables to high quality standards	200

Position	Summary of role	Year 1 Days
Deputy Team Leader	Works alongside Team Leader to ensure sufficient oversight and coordination for across all workstreams	216
Operations Coordinator	Organises logistics for multiple evaluation studies including travel and accommodation, and other general support	200
Security Adviser	Ensures risks to staff while overseas are identified and mitigated, and oversees Duty of Care	50
Technical Lead (Programme & Families of Projects)	Supervises the Families Leads teams, provides additional technical expertise for the design and implementation of individual evaluation studies	158
Technical Lead (Fund & Thematic)	Supervises the thematic and fund evaluations.	129
Family Lead (5 positions)	Leads production of the Family Evaluation Report, and supervises the Programme Evaluation Leads (may also be a Programme Evaluation Lead for some evaluations)	420
Principal Fund Evaluator	Leads the Fund Evaluation	185
Gender & Inclusion Advisor	Oversees the gender component of programme, families, thematic and Fund-level evaluations, plus integration of G&I approach throughout the E&L team	169
VfM & Secondary Benefits Advisor	Oversees the assessment of VfM and Secondary benefits in programme, families, thematic evaluations and Fund-level evaluations	116
Learning Lead	Curates a learning programme based around evaluation findings and manages the Learning team	200
Digital Community Manager	Manages the web portal and promotes active engagement by PF stakeholders	200
Content Editor	Produces knowledge products (briefing notes, short articles etc.) and sub-edits evaluation reports and web content	200
Engagement Adviser	Undertakes strategic engagement work with PF stakeholders	132
STTA Coordinator	Identifying, selecting, briefing and on-boarding STTA	80

6.6 Core Team

The core team is overseen by the Management Committee (Project Director, Technical Director and Engagement Director). While the Project Director works almost full time on the project (95% - see below), the Technical Director and Engagement Director are engaged at a 25% level of effort (i.e. it is expected they will devote approximately 1.25 working days of time per week to the project):

- The Technical Director oversees the technical approach for all evaluations, ensuring that methodologies reflect the approach agreed at inception.

- The Engagement Director oversees the E&L team's liaison with stakeholders and provides oversight of the Learning function, also ensuring it reflects the approach agreed at inception.

The core team for implementation comprises an inner core, in four areas, as follows:

Team Leadership

The Team Leader is responsible for leading, supervising and guiding the E&L team to produce contractual deliverables to quality standards, on time and within budget, communicating any

deadlines to the team to ensure a shared vision. A full-time Deputy Team Leader supports the Team Leader and together they oversee all workstreams.

The Team Leader and Deputy Team Leader are complemented by the following positions:

- The Technical Lead (Programmes and Families) oversees five Family Leads, ensuring a consistent evaluation approach is adopted across Programme and Family evaluations and providing additional technical expertise for the design and implementation of individual evaluation studies.

- The Thematic and Fund Lead supervises the Thematic and Fund evaluation team members (Gender Advisor; VfM and Secondary Benefits Advisor, Principal Fund Evaluator) ensuring that thematic elements are incorporated in all evaluation studies and also that these studies collectively provide the material to answer overall Fund level evaluation questions.

- MR Co-ordinator provides a single point of contact with the MR provider and ensures that evaluation and learning activities are coordinated with the work of the MR provider. Additionally, this role ensures that any data or functionality requirements identified though the E&L process are effectively shared with the Prospero team.

- STTA Coordinator is responsible for identifying, recruiting and inducting new staff into the team.

- The Learning, Knowledge & Communications Lead curates a learning programme based on the evaluation needs of stakeholders and the findings of evaluation studies and also manages Learning team members.

Operations

This consists of the following roles:

- The Project Director is responsible for management of the head contract with Cabinet Office, strategic direction for E&L, ongoing monitoring of project performance and providing technical and commercial advice and review.

- The Project Manager is works in conjunction with the directors and team leadership to develop project plans and work packages as well as ensuring that the project is delivered on time, to budget and to the required standard quality.

- The operations hub is supported by an Operations Coordinator, who organises logistics for multiple evaluation studies, including travel and accommodation and a Security Advisor, who ensures risks to staff while overseas are mitigated and oversees Duty of Care.

Learning

The Learning, Knowledge & Communications Lead is responsible for overseeing implementation of the learning and communications strategies and work plans, including: developing and curating a learning programme based on evaluation findings; overseeing the E&L web portal; managing a small team including Engagement Lead, Content Editor and

Digital Communities Manager; and overseeing E&L communications to ensure shared and consistent messages, action on feedback and risk management.

Stakeholder engagement will initially be overseen in the implementation phase by the Engagement Adviser within the E&L team, with the expectation that this role will become integrated into the delivery of evaluation studies (as these are planned and begin to be delivered during Year 1). In practice, this will provide each programme with a named Programme Relationship Manager who will be the point of contact for all Year 1 evaluation work at programme level and for Fund level work involving programme interaction. Cross government stakeholder engagement will continue to be overseen by the Engagement Lead

Family Leads

Family Leads supervise the Programme Evaluation Leads, ensuring that individual programme evaluation designs provide the information for family evaluations. They also lead production of the Family Evaluation Reports. Family Leads are loosely organised according to the PF's five Intermediate Outcomes (see Table 21, page 78).[17] However, the infrastructure intermediate outcome has been split into two (infrastructure and energy and low carbon), and the separate Trade and Financial and Economic Reform intermediate outcomes have been combined into one family lead. The reason for this is to balance the management span of the Family Leads.

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[17]   Each Intermediate Outcome may cover one or more families. See Annex 10, Table 2 (p.8) for details.

Table 21: Allocation of programmes to Family Evaluation Leads

Family Evaluation Lead	Family Responsibilities	Programmes
Investment in Infrastructure	Infrastructure Future Cities Technology and digital access	Future Cities Colombia Global Infrastructure Programme Asian Infrastructure Investment Bank UK/India Green Growth Equity Fund Digital Access[18]
Energy & Low Carbon	Energy and low carbon	Brazil Indonesia India Mexico SE Asia Clean Energy / Low Carbon
Human Capital Innovation and Technology	Health and Education Innovation	Better Health Skills for Prosperity Programme
Trade, Financial & Economic Reform	Trade Financial services	Global Finance for Inclusive Growth Global Trade Programme Global Insurance and Risk Facility
Ease of Doing Business	Business environment Transparency and anti-corruption	Global Business Environment Programme Global Anti-Corruption Programme Investment Promotion Programme SE Asia Trade and Economic Reform China (phases 1 & 2)
Unallocated (at an early stage of preparation)		Turkey Horn of Africa

Notes

For global programmes the allocation to Family Leads is reasonably straightforward (e.g. Global Business Environment, to Ease of Doing Business; Global Infrastructure to Investment in Infrastructure etc).

Country programmes (which cut across several Intermediate Outcomes) have been allocated to a Family Lead based on the largest component within them (e.g. Business Environment projects account for 64% of SE Asia Trade and Economic Reform programme spend, so is allocated to Ease of Doing Business).

The allocation will be reviewed once revised or new Business Case documents become available.

Due to the large number or programmes contributing to the Investment in Infrastructure Intermediate Outcome, the group is sub-divided, with a separate Lead for the Energy & Low Carbon family.

The two intermediate outcomes of trade and financial and economic reform have been combined into one for the purposes of allocating responsibility to a family lead.

6.7 Variable teams for delivering evaluation studies

While PF programmes are diverse from a geographical and sectoral point of view, it will be important to take a consistent approach in both evaluation design and analysis of results, in order to draw conclusions at the level of families of projects and programmes and for the Fund as a whole.

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[18] The allocation of this programme to Investment in Infrastructure will be reviewed at the start of implementation, as the programme manager has suggested it may not fit well here.

Programme Evaluation

Each programme evaluation will be led by a Programme Evaluation Lead, who is an experienced evaluation specialist.

The **Programme Evaluation Lead** will be tasked with:

- Team Leadership duties for an individual evaluation, including leading evaluation design

- Responsibility for delivery of evaluation products at programme level

- Primary responsibility for programme engagement

Each programme evaluation team will comprise a range of members offering the following skills between them:

- Evaluation Lead with at least 10 and possibly 15 or more years of evaluation experience.

- Sectoral or subject matter experts in the areas covered by the programme evaluation.

- Economic expertise, to cover economic elements of programmes (trade, business environment reform etc.) and to provide analysis of VfM and achievement of results.

- Gender and inclusion expertise (plus other specialisms if required, e.g. social development).

- Regional/Local contextual expertise as necessary.

In-country (national) consultants will be included in evaluation teams of all country programmes (and possibly of global programmes, depending on the location of projects selected for evaluation). These may include consultants who are nationals of the country, but have equivalent experience and skills of international staff (GEFA band 2, or above) who will provide expert advice on topics including e.g. the programme context, stakeholder analysis, political economy analysis, gender analysis. They will also undertake field research (e.g. undertaking key informant interviews with programme staff, implementing partners and/or stakeholders and contribute to overall evaluation conclusions. Other national consultants (at a senior level, but without the status of international experts) could also be employed in supporting roles e.g. identification and analysis of data sets, beneficiary interviews etc.

In order to retain knowledge of PF programmes, evaluation teams will be arranged where possible to maximise continuity of staffing so that the same team members revisit the programmes annually.

For efficiency and internal management coherence the Family Lead is likely to also be a Programme Evaluation Lead in most instances. The Family Lead role will:

- i) Oversee the design of programmes, to ensure consistency in approach across families, with Programme Evaluation Leads reporting into them.

- ii) Engage with Programme Evaluation Leads within their group to develop a detailed understanding of findings.

- iii) Coordinate effectively with the other Family Leads to develop a combined understanding of evaluation findings across the programmes in order to i) contribute to family synthesis, thematic and fund-level evaluation findings ii)

identify potential case studies for supporting family synthesis and thematic evaluations.

iv) Manage the synthesis at family level for their designated intermediate outcome pathway.

v) Produce synthesis products at Family level.

vi) Coordinate with the Learning, Knowledge & Communications Lead, to ensure effective delivery of the Learning Plan.

Management and Leadership of the Family Leads will be the responsibility of the Technical Lead who will be closely supported by the Team Leader and Deputy Team Leader, who may also perform discrete programme evaluation tasks as team members from time to time.

Management of the Family Synthesis

Evaluations of families of projects comprise a synthesis of evaluation findings across families of projects and programmes and project strands that align to the Fund intermediate outcome pathways. The locating of project strands into appropriate families that was done in the inception phase will be reviewed and updated during year 1 in consultation with the Programmes. This will allow planning for family synthesis in the programme evaluation design for each annual evaluation cycle thereafter.

The Family Leads will manage the family synthesis exercises. It will require close coordination among the Family Leads because it will involve evaluators and project strand leads from programmes across the Fund. For their respective intermediate outcome, Leads will convene family synthesis teams from across programme evaluations and coordinate the involvement of the corresponding project strand leads in the analysis and sense-making of the synthesis findings.

Thematic and Fund Evaluations

Each Thematic evaluation will be led by the respective Thematic Lead and the Fund Evaluation will be led by the Fund Evaluation Lead with a team being assembled for each evaluation under the corresponding Lead.

It is the responsibility of the Principal Fund Evaluator to ensure that all fund-level evaluation questions are adequately addressed in the Fund Evaluation Report.

6.8   Quality assurance

A full description of the approach to quality assurance (QA) is in Annex 18.

There will be four stages of quality assurance for internal team work and deliverables for the PFMO. Internal team work can include data collection tools, meeting minutes, templates, matrices and papers intended for internal use by the team. External deliverables include outputs agreed between the PFMO and WYG and are part of the contract with the consortium. It is the team's responsibility to produce these to the satisfaction of the PFMO.

Table 22 (page 81) summarises QA procedures and allocation of responsibilities.

Table 22: QA Procedures

QA Stage	Responsible Team Member	E&L Deliverables	Description
1	Programme Evaluation Lead	All deliverables	Each Programme Evaluation Lead oversees and quality assures the work of respective team members throughout the project, to ensure that deliverables meet the technical requirements of the terms of reference.
2	QA Reviewer	Evaluation reports	The QA Reviewer subjects draft written evaluation reports to review, making comments in the QA template and the report document itself.
3	Programme Evaluation Lead	Deliverables for PFMO and external audiences (reports, presentations)	The Programme Evaluation Lead reviews the evaluation product independently of the QA Reviewer at both draft and final stage. The Programme Evaluation Lead and Technical Reviewer then compare scoring and notes to form one consolidated set of comments which they feed back to the evaluation team.
4	QA Reviewer	Deliverables for PFMO and external audiences	Once the QA Reviewer is satisfied that all the outstanding actions have been addressed, the evaluation product is then submitted to the PFMO for review, comment and QA. If there are any outstanding issues, these may be escalated to the Team Leader, Technical Lead, or E&L directors.
5	PFMO	All deliverables submitted to the PFMO	The PFMO reviews and comments on submitted deliverables. Upon receipt of the PFMO comments, stages 1 to 4 are repeated as necessary.

A clear change and variation control process is in place for any alterations to the scope of work, the time scale in which work is completed, quality, cost or; contractual change which might have financial implications for the project. The PM manages this process ensuring it is applied in a timely manner, liaising with the project team and the PFMO in the event of any change or variation. As part of this a decision log is maintained and reviewed monthly with the PD, PM and PFMO.

The E&L 'HR (Human Resources) Management Strategy' ensures consistency across the project implementation and development of products by identifying and addressing underperformance, supporting improved performance and, if necessary, replacing team members where performance is continually sub-standard. Team performance will be managed by ensuring a clear understanding of each team member's role, contribution to deliverables and place within the wider team. Given the likely cyclical nature of the E&L workstreams, the core plus variable team provides continuity of expertise with the ability to call down technical experts for the duration of the project implementation. All the proposed experts will have been vetted by the E&L team and the PFMO and if not already familiar with the PF interventions will receive an induction pack to facilitate engagement with the project and the workstream in question.

6.9   Consortium values

All companies in the E&L consortium take pride in aligning with industry best practice in the field of evaluation and learning. In our Standard Operating Procedures (SOPs) we have set out a code of ethics which aligns with the UK Evaluation Society Guidelines for Good Practice and a commitment to uphold the DFID Ethics Principles for Research. We also strive to adhere

to the principle of Do No Harm and to maintain a cross-cutting focus on gender and inclusion in all our work. We also take our Duty of Care responsibilities very seriously. As lead partner in the consortium, WYG has Duty of Care terms for associate experts and holds its consortium partners to the same high standards.

Further details can be found in section 2 of the SOPs (Annex 19).

6.10 Safeguarding

The consortium does not currently have a dedicated policy and accompanying processes to guard against the possibility of sexual exploitation and abuse by E&L members (whether on staff, or sub-contracted). Each consortium member has existing provisions that cover the behaviour of their staff and contractors.

A consortium policy will be developed and put in place as soon as possible during the implementation phase and at the latest by the end of June 2018. The policy and guidelines will be submitted to the PFMO for approval.

This policy will cover the following areas:

- Effective vetting and training of staff and volunteers

- Robust reporting, investigation and resolution procedures

- Survivor protection and support

- Facilitating and protecting whistle blowers

In March 2018, DFID announced that it will put in place new enhanced safeguarding standards for the organisations it works with. The E&L policy will be updated and aligned with these standards once they are published.

6.11 Conflicts of interest

All consortium staff are required to declare any actual or potential conflict of interest with their work in delivering E&L services.

The following clause, recently introduced by WYG in response to the new (October 2017) DFID Supplier Code of Conduct, will be inserted into the contract of all sub-contractors and associates employed during the implementation phase:

"You do not have any actual or potential conflict of interest (whether financial, personal or professional) in accepting or undertaking this Engagement. You will notify the Company immediately if you have or become aware of any such conflict".

The Project Manager will maintain a register recording any conflict of interest declaration and will inform the Project Director. A decision will be made on whether the team member can continue in their work and recorded in the register.

6.12 Risk

Approach to Risk

The aim of risk management is to understand risks, reduce the likelihood of them occurring and reduce their impact if they do arise.

The E&L team has established a process for the management of risks which is built on regular reviews of the risk register which, as a live document is reviewed and updated continuously. Each risk is assigned an owner in the consortium or PFMO team to be responsible for the monitoring, mitigation and closure of the risk. The owner is recorded in the risk register.

Risk register

As the prime contractor to HMG, WYG maintains the risk register for the E&L contract. This is actively maintained by the Project Manager with inputs from the Project Director and other team members when required. The matrix is discussed bilaterally on a monthly basis by WYG and PFMO at the contract review meetings. This review allows PFMO to advise on risks and ensures there is no divergence between contractor and client. An additional section of the register details joint risks which are shared with the M&R contractor.

Risk management strategy

There are four stages to the E&L team's risk management process:

i)   **Identification.** An initial scoping of potential risks was completed during the inception phase.

ii)   **Assessment.** The impact and probability of individual risks emerging were assessed using the template supplied by PFMO, resulting in presenting colour-coded risk scores which determine the level of response required.

iii)   **Plan responses.** Assess whether to deal with the risks either by accepting them as occupational hazards or by taking measures to mitigate them. The applied approach is determined according to the severity of the risk identified. During this stage, the mitigation part of the risk register is populated.

iv)   **Implement responses**. Mitigation actions will be implemented and ongoing monitoring will occur throughout the lifetime of the project until the risk is considered closed (either by occurring or by the chance of it occurring having passed).

Risks are given concise definitions and provide specific and tangible information about the exact risk which serve to quickly identify and describe each risk. Risks are defined in such a way to allow mitigating actions to be clearly aligned with the risk. Four mitigating actions are assigned to the different risks:

i)   **Avoidance:** Altering original plans to remove a risky element of the project

ii)   **Reduction:** This is the reduction of the risk by putting in place additional controls in order to make it less likely to occur or have less of an impact if it does occur

    iii)   **Transfer:** Removing the ownership of the risk by transferring it onto another party, often through contractual mechanisms.

    iv)   **Acceptance:** Not all risks will be able to be dealt with by the above three methods so it may be necessary to accept a degree of risk on the project which can be assigned with financial or time contingency.

Risks are monitored and reviewed and assessed internally during regular internal coordination meetings. The risk register will then be presented on a monthly basis in advance of the contract review meeting with PFMO for review and discussion.

A risk table is at Table 23 (page 85).

Table 23: Risk table

No.	RISK	TYPE OF RISK	MITIGATION STRATEGY	RESIDUAL RISK	
				L	I
1	A delay in EL team mobilisation for a work stream impacts negatively on output delivery	Operational	A model where the team is split into core and flexible components allows EL to adapt quickly to changes in circumstances. The core team has breadth of capacity to match baseload requirements from April 2018, including the Programme liaison Managers. Mobilisation of geographic and sectoral reach is achieved also through draw-down of flexible pool resource according to workplan schedules and is an ongoing function.	Minor	Moderate
2	Evaluation Stakeholder Mobilisation delay impacts output delivery timescales	Operational	The EL implementation workplan takes account of best available forecasts for when individual programmes go live and subsequent progress of programme implementation. The EL engagement function now incorporates a Liaison Manager per programme with 360-degree liaison and reporting responsibilities (i.e. with the programme, EL & MR teams, PFMO).	Minor	Moderate
3	EL team unable to deliver high quality outputs	Operational	EL retains a highly-experienced core team, augmented by internationally recognised experts and partners. Regular communication with the team and PFMO will ensure that evaluation products are in line with PFMO's expectations and relevant external QA standards. EL has procedures in place to replace team members. Each team member has individual terms of reference which are embedded in sub-contract or associate contract as appropriate. Additionally, KPIs shall be agreed between PFMO and WYG for the implementation phase. External QA will be used by PFMO to review certain products using a modified EQUALS template.	Minor	Minor
4	Lack of agreement between EL and programmes on appropriate approach	Operational	Generally, our evaluation approach is based on a core offering of four evaluation types and is flexible to adapt to context of individual programmes. Year 1 programme evaluation involves early baseline activities with PMs to establish learning need and to interpret/tailor EL's programme evaluation TORs for each programme. The Approach Paper, shared with the programme and PFMO is a key check-point within each programme evaluation. The MREL Operating Model provides the wider framework by which risk of low programme 'buy-in' is minimised.	Minor	Moderate

No.	RISK	TYPE OF RISK	MITIGATION STRATEGY	RESIDUAL RISK	
				L	I
5	Low MEL capacity at programme level.		We will work with FCO posts and Government departments, as well as organisations implementing PF programmes, to raise awareness of the evaluation and encourage engagement. First Formative evaluations will assess capacity at programme level. We will discuss solutions with PFMO to improve capacity (e.g. TA procured through EACDS (Expert Advisory Call Down Services)). The EL Learning portal can also be used as a programme capacity building tool by matching programme managers to enable expertise and experience sharing.	Moderate	Moderate
6	Unable to draw conclusive evaluation findings in some areas owing to finite contractual timeframe of individual programme evaluations	Operational	The design of the EQs recognises this common evaluation challenge. EL expects this issue to be recurrent through the QA process (EQUALS). EL will adhere to certain principles to mitigate and manage this risk: •Adhere to the utilisation focussed approach • Use recognised 'best practice' evaluation approaches • Use a mixed methods theory based approach to establish contribution of PF to observed outcomes • Be flexible in our approach, adapting to address any issues that emerge through our work • Provide open and transparent feedback and updates to stakeholders	Moderate	Minor
7	Project team do not act in accordance with professional and ethical standards	Reputational	EL Consortium adheres to all professional and ethical standards appropriate to the MEL profession. Our code of practice (endorsed by all Partners and Associates) ensures that our evaluators operate with due awareness and sensitivity to the different cultures, customs, religious beliefs and practices of all stakeholders and that the impact of gender roles, ethnicity, age, language and other differences are considered in the design and delivery of evaluation activity.	Minor	Moderate

No.	RISK	TYPE OF RISK	MITIGATION STRATEGY	RESIDUAL RISK	
				L	I
8	Changes in team members	Operational	Our core team are either employees of the three consortium companies or close associates on contract. In a multi-year contract, it is not possible to guarantee that staff will not change, although we endeavour to minimise this for the disruption it can cause. Should changes in the staff team be necessary (for unforeseen reasons) we will ensure a smooth transition by: Adhering to the implementation workplan which governs the sequencing of tasks, responsibilities, delivery milestones and processes for recording and storing all information relating to the evaluation. New team members are submitted to PFMO for prior approval.	Moderate	Minor
9	Changes in key stakeholder teams	Operational	During implementation, the EL team will retain an over-arching engagement function, but at programme level engagement will be devolved to programme teams, each of which will have a nominated Liaison Manager (responsibilities cover external relations with the programme, plus internal EL & MR teams plus PFMO). Additionally, WYG hold a monthly contract review meeting with PFMO which will serve as a forum to discuss issues regarding relationships with stakeholders.	Moderate	Minor
10	Risk of bias in programme monitoring and reporting as the system is based on self-reporting	Operational	Mitigated by E&L programme evaluations and thematic reviews which will verify data	Moderate	Major
11	EQs may not be able to be addressed due to data limitations i.e. disaggregation by sex, age and socioeconomic group	Operational	Any data limitations will be highlighted in the baselining process and/or the annual report to allow systems to be established to collect data or to adapt the questions	Moderate	Moderate
12	Annual Evaluation cycles are not aligned with programme reporting cycles	Operational	Close coordination with Programme Managers by Family Evaluation Leads to ensure annual cycles fit as closely as possible to those of programmes	Moderate	Moderate
13	Delays in programme implementation may mean few results emerge before the end line or beyond this point	Operational	The development of a baseline allows the further evaluation of performance after 2022 or for an impact evaluation in 2025	Moderate	Major
14	M&R fund level indicators are too high level to allow analysis of PF contribution to achieving indicators	Operational	E&L will work with M&R to ensure that indicators are appropriate and match to the ToC, which will be reviewed annually in the ToC review	Major	Major

No.	RISK	TYPE OF RISK	MITIGATION STRATEGY	RESIDUAL RISK	
				L	I
15	Complexity and uncertainty over programme pathways	Operational	A dispute mechanism will be established to mediate between E&L and programme managers. E&L products will be tailored to provide useful lessons to programme managers.	Major	Major
16	Programmes decline to be involved in evaluation activities	Operational	A dispute mechanism will be established to mediate between E&L and programme managers. E&L products will be tailored to provide useful lessons to programme managers.	Moderate	Moderate
17	The high number of evaluation activities causes a heavy burden on Programme Managers	Operational	There will be close coordination between the members of the core evaluation team to ensure that all activities are coordinated without duplication of evaluation activities	Moderate	Major
18	E & L Evaluation teams are unable to deliver high quality inputs	Operational	E&L retains a highly-experienced core team, augmented by internationally recognised experts and partners. Regular communication with the team and PFMO will ensure that evaluation products are in line with PFMO's expectations and relevant external QA standards.	Minor	Major
19	Lack of agreement between E&L and programmes on appropriate approach	Operational	The evaluation approach is based on a core offering of four evaluation types and is flexible to adapt to context of individual programmes. Early baseline activities are with PMs to establish learning need and to interpret/tailor EL's programme evaluation TORs for each programme	Moderate	Moderate
20	Changes in political context which affects EL's ability to operate or the PF to be implemented.	Context – political	The consortium will maintain key relationships within country posts and PFMO allowing open dialogue on possible changes. WYG also operates a live security service through ISOS in case of sudden changes. However, it should be noted that the PF does not intend to operate in fragile and conflict affected states.	Moderate	Minor

List of Annexes

Annex 1: Terms of Reference

Annex 2: Detailed Workplan

Annex 3: Theory of Change

Annex 4: Evaluation Framework

Annex 5: Fund Methodology Paper

Annex 6: Generic Terms of Reference for Programme Evaluations

Annex 7: Secondary Data Quality

Annex 8: Gender Approach Paper

Annex 9: Synthesis Strategy

Annex 10: Initial Analysis of Families of Projects

Annex 11: Approach to Evaluating Secondary Benefits

Annex 12: Value for Money

Annex 13: Evaluability Assessment

Annex 14: Learning Strategy and Plan

Annex 15: Communications Strategy and Plan

Annex 16: Context Mapping Report

Annex 17: Stakeholder Mapping Briefing Note

Annex 18: Quality Assurance Paper

Annex 19: Standard Operating Procedures (SOPs)

Annex 20: List of People Consulted

Annex 21: Bibliography