Annex 14: Learning Strategy & Plan

Prosperity Fund - Evaluation and Learning

March 2018

HM Government

Prosperity Fund

Evaluation & Learning services delivered by:

wyg

LTS INTERNATIONAL

INTEGRITY

Table of Contents

Learning Strategy and Plan			
	WYGEL14-INC-17-02	Revision	1
Revision	Written By	Checked By	Approved By
Revision 0	Carl Jackson, Joe Savage, and Will Lowrie	Toby Pragasam and Fionn O'Sullivan	PFMO
Revision 1	Carl Jackson, Joe Savage, Will Lowrie, and Hemma Kocher	Toby Pragasam, Joel Burman and Fionn O'Sullivan	PFMO
Revision 2			
Revision 3			
Revision 4			
Revision 5			

This report was prepared during the inception phase of the Prosperity Fund Evaluation and Learning contract. It forms an annex to the main Inception Report.

It was 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 this annex and the main Inception Report and Workplan, the main Inception Report and Workplan provides the agreed position.

Acronyms

AAR	After Action Review
AI	Appreciative Interview
BEIS	Department for Business, Energy & Industrial Strategy
CSSF	Conflict, Security & Stabilisation Fund
DFID	Department for International Development
ELT	Evaluation & Learning Team
E&L	Evaluation and Learning (contractor / team)
EQs	Evaluation Questions
FCO	Foreign and Commonwealth Office
FOI	Freedom of Information
HMG	Her Majesty's Government
ICAI	The Independent Commission for Aid Impact
IT	Information Technology
LS&P	Learning Strategy and Plan
M&R	Monitoring and Reporting (contractor / team)
MREL	Monitoring, Reporting, Evaluation and Learning
NSGI	National School of Government International
PLG	Peer Learning Group
PF	Prosperity Fund
PFMO	Prosperity Fund Management Office
PTs	Programme Teams
QA	Quality Assurance
RMs	Relationship Managers
SRO	Senior Responsible Owner
ToC	Theory of Change
VFM	Value for Money

Executive Summary

An evidence-based understanding of the priorities, preferences and plans of PF stakeholders guides our approach to learning (Section 2). An assessment of opportunities and constraints for organisational learning by PF stakeholders (Section 3), suggests that five qualities should be touchstones for the E&L team's approach in this area:

- **Responsive innovation** in supporting learning practices, recognising the patchwork of corporate cultures among PF stakeholders
- **Agility** to match learning to the changing tempo of PF management cycles
- **Ongoing engagement** to build trust in the learning facilitation role of E&L
- **Active support** for a culture of evaluation and learning
- **Curation** of conversations, collections and briefings around evaluative knowledge.

In line with the Evaluation and Learning Cycle, E&L recommended an **action orientated approach** where curated learning opportunities are provided within and alongside evaluation processes. PF stakeholders participate in ensuring the relevance of knowledge as it is generated, share their own experience and know-how, and take responsibility for action on learning (Section 3.2). The Prosperity Fund Management Office (PFMO) has agreed with this recommendation. This approach is informed by a **definition of organisational learning** for the PF that reflects its context, procedures, governance and ambition (Section 3.1). E&L recommended that the PF adopts the definition below. PFMO has agreed with this recommendation.

Organisational learning in the Prosperity Fund is the process and culture by which it acquires knowledge, shares this knowledge across its global network and uses this knowledge to actively manage strategy, plans and actions to improve performance.

From the perspective of a PF stakeholder, the multiple opportunities to participate in organisational learning as an evaluation subject, evaluation user, or both, is set out in Figure 1 below.

Figure 1. Organisational Learning from PF Stakeholder Perspective

A proactively curated E&L **Web Portal**, driven by user needs and with a high design standard, will provide access in one location to all evaluative knowledge and other organisational learning opportunities provided by E&L (Section 3.4). E&L recommended functionality for the

E&L Web Portal, to be developed as an early win for the implementation phase. PFMO agreed with this recommendation, which is set out in Table 1 below:

Table 1. E&L Web Portal Functionality

01	Login	Securely manage, monitor, and configure access
02	Overview Pages	Home, About E&L, Timeline, Contact, Site Search, T&Cs
03	E&L Knowledge Products Gallery	Features, Collections, Summaries, User Comments / Uploads, Search - linked to Prospero
04	News	Latest, Archive, Email Subscription
05	Peer Learning Groups	Coordinators, Membership, Moderation and Use Principles, Suggest a Group
06	Events	Face to Face / Virtual Workshops – Calendar, Registration, Past Event Highlights
07	Active Programme Management	Peer Assist and After Action Review Groups – Offer, Examples, Request
08	Prosperity Fund Network	Bios and Contact Details, Search, Update
09	Signposted Knowledge Services	Links, Collections, Summaries, Search

Other technologies will be linked to the E&L Web Portal to support facilitation of learning processes. Recommended options include: Email listserve; Email marketing platform; Event logistics; Webinar; and Video streaming. PFMO agreed with this recommendation.

A carefully selected number of **process methods** (soft / social) by which organisational learning opportunities will be curated by the E&L team are also envisaged (Section 3.3). The recommended options are set out in Table 2 below. PFMO agreed with this recommendation.

Table 2. Processes that Curate Organisational Learning Opportunities

1 Introduction

The evaluation of the Prosperity Fund (PF) by the Evaluation and Learning service provider (E&L) has a dual purpose: to support organisational learning and contribute to the accountability mechanisms of the Fund and its participating Departments. This dual purpose will be achieved both through the way the evaluation is conducted and the evidence it generates. The Learning Strategy and Plan (LS&P) sets out how the E&L will support PF stakeholders identified through the stakeholder mapping process to access, make sense of and use evidence to (a) support adaptation and course correction at programme level and (b) feed into adaptive management at the Fund level to improve performance of the Fund. Draft analysis and plans relating to an E&L knowledge management system have been incorporated into the LS&P following feedback from the Prosperity Fund Management Office (PFMO).

1.1 Purpose of the Learning Strategy and Plan

The LS&P articulates E&L's approach to supporting organisational learning in the PF. It is based on the preferences and priorities of PF stakeholder and aligns with the E&L's evaluation framework and approach (Sect. 2). It also incorporates elements of the E&L Communications Strategy and Plan. These elements complement learning activities by boosting the use of knowledge by stakeholders. This includes: packaging knowledge products in formats that meet the preferences of PF stakeholders; effective branding of knowledge products and the E&L Web Portal; and strategies for corporate messaging. The further reach of the Communications Strategy and Plan is particularly important for those stakeholders who are not in direct engagement with the E&L and for sustaining a wider conversation on the PF and what it delivers (Figure 2).

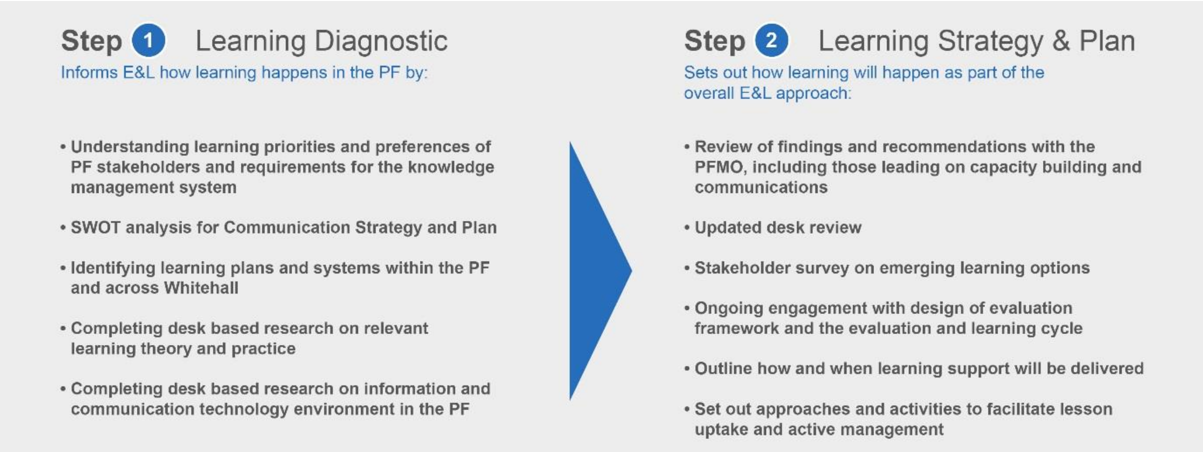
Figure 2. Intensity of Stakeholder Participation with Activities Undertaken by E&L

This means the E&L can move beyond a passive model of simply sharing completed knowledge products with stakeholders. Instead, the E&L will pursue both collaboration and curation - using insight, initiative and feedback to engage stakeholders in accessing the right knowledge in the right ways. This increases the likelihood that knowledge will be used to improve performance (Section 3).

1.2 Development of the LS&P

The E&L followed a two-step process to develop the LS&P (Figure 3). The first step was to develop an evidence-based Learning Diagnostic (see Deliverable PF-INC-17-01) which analysed the learning landscape in the PF including the priorities and preferences of stakeholders, existing processes for learning and requirements for an E&L knowledge management system. This Diagnostic was then used to design the LS&P which sets out how the E&L will support the PF in using evaluations to actively manage delivery and inform future business cases and strategy. This design process included incorporating PFMO feedback on the Diagnostic and knowledge management system, updating our understanding of PF stakeholders' priorities, preferences and plans, and drawing on latest thinking from the E&L evaluation, engagement and communications teams.

Figure 3. Learning activities during the E&L inception phase

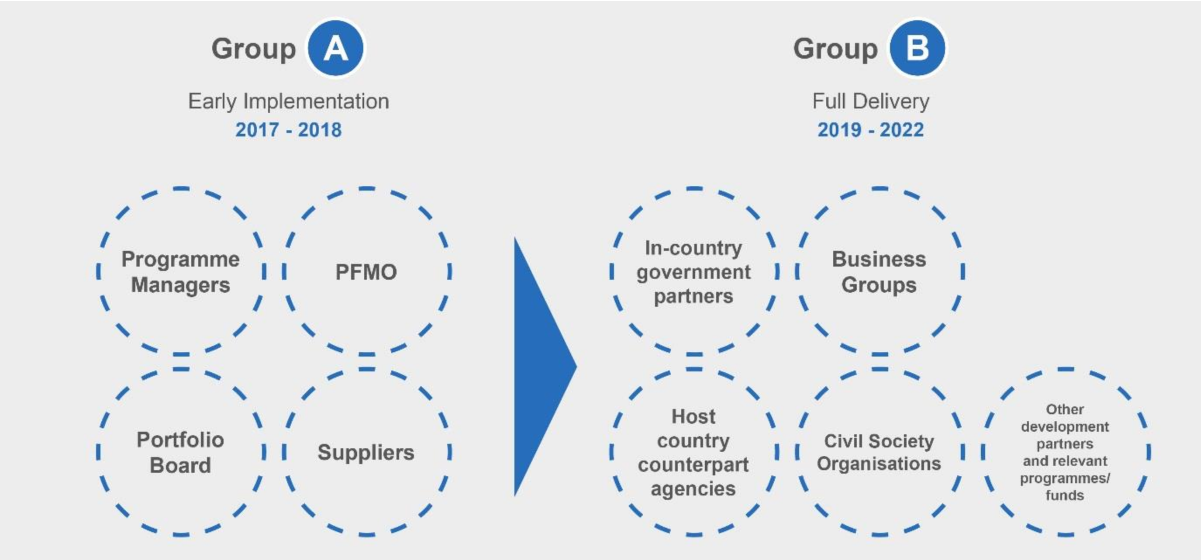


1.3 An Iterative Process

The LS&P draws on the priorities and preferences which stakeholders expressed during the E&L's inception phase (September 2017 to March 2018) and existing plans for learning across the PF. The E&L expect these priorities, preferences and plans to change as the Fund evolves and growth and turnover of its staff occurs. The E&L anticipates that new requirements will emerge as stakeholders move into implementation and the evaluation learning cycle begins. Furthermore, the culture of the PF (including how it learns) is still forming within the existing cultures of government departments and country posts. As a result, the Learning Diagnostic and LS&P should be reviewed annually.

The E&L anticipates additional stakeholders will emerge once the PF moves into full delivery (see Figure 4). The LS&P draws on the views and experiences of the smaller set of stakeholders in Group A (except suppliers as these are yet to be confirmed). Later iterations of the LS&P will incorporate the wider set of stakeholders outlined in Group B.

Figure 4. Staged Approach to Stakeholder Engagement



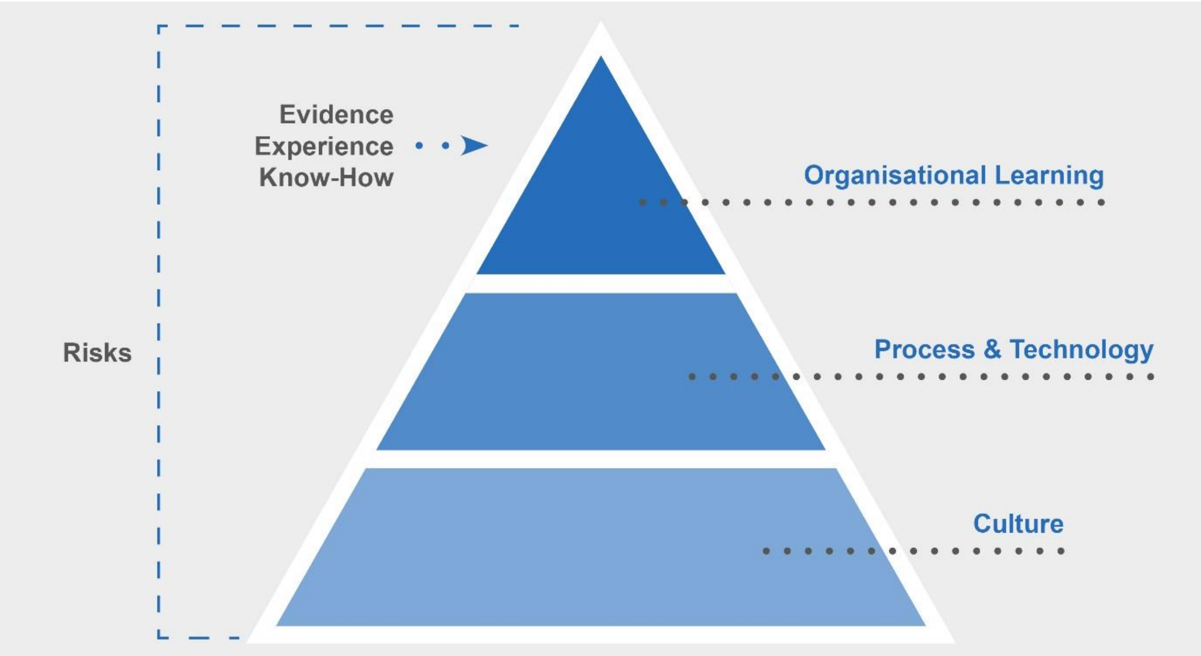
2 Situating the Learning Strategy & Plan

The Learning Strategy and Plan (LSP) is situated within the E&L's approach to evaluation. That in turn forms part of the PF Management Office's (PFMO) overall approach to Monitoring, Reporting, Evaluation and Learning (MREL).

2.1 Learning priorities, preferences and plans

The Learning Diagnostic (see Deliverable PF-INC-17-01) highlighted four dimensions that are central to enabling learning within the PF: Culture, Process, Technology, and Risks (Figure 5). The findings are set out below.

Figure 5. Learning Diagnostic Dimensions



Culture: The PF has its own emerging culture, informed by HMG departmental and geographic influences. This culture will evolve as stakeholders change over time and the E&L must engage with such developments. The Diagnostic found indications of a vibrant, largely informal and fast paced learning culture. This included examples of cross-portfolio learning by programme and Fund managers that are already occurring. The E&L should seek to learn from, cross-pollinate and facilitate such examples rather than duplicate or obstruct. The Diagnostic also found that stakeholders favour a curated learning process that is supported by a high-quality web-based portal. Stakeholders also prefer material led by narrative and context, so knowledge products and processes should prioritise top line messages about actionable learning, with evidence available on demand. The E&L should also facilitate access to knowledge relating to PF sectors that is already in the public domain.

Process: The PF management cycle, turning at varying speeds across programmes and the Fund, will set the rhythm of learning opportunities. The E&L must keep up to date with each and have capacity to respond to emergent and parallel learning opportunities. The PF governance framework (such as Annual reviews and external reviews) and HMG spending rounds will also shape PF stakeholder demands for learning. As a result, the E&L must work with this governance framework to support transformational learning. The Diagnostic confirmed that the PF intends to use active / adaptive management approaches. Considering this, the E&L should define PF learning in terms of improvement and make sure learning support is iterative. The Diagnostic also found that PF Programme Managers learn from each other but opportunities for face-to-face learning are constrained. The E&L should support and amplify relationships to share staff expertise and know-how. Finally, the PFMO is already delivering or planning a range of capacity building activities and processes which the E&L can align with, including email bulletins, a capacity building portal, Programme Manager retreats, and training delivered by Red R.

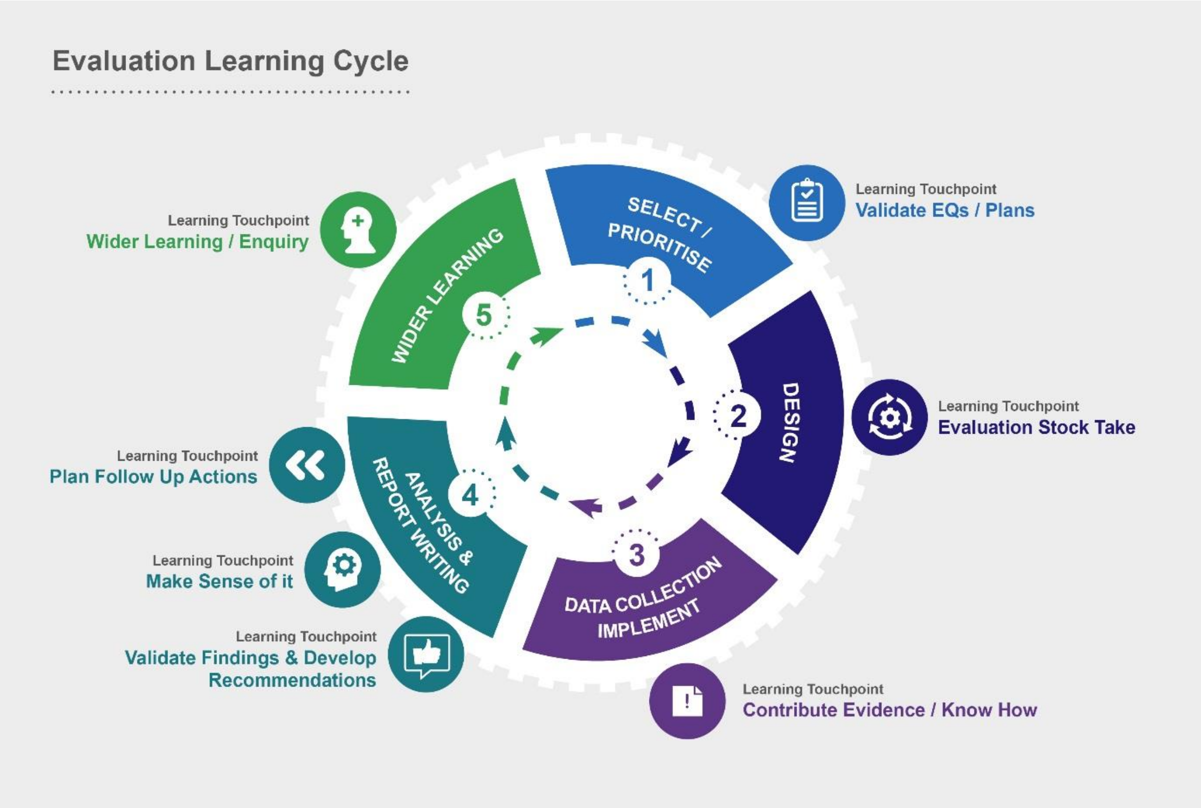
Technology: An E&L Web Portal should provide PF stakeholders with digital access to E&L products and signposts to public domain sectoral knowledge, as well as enhance the enabling conditions for PF learning. The E&L should build on this within facilitated learning processes to help PF stakeholders make sense of findings and plan follow-up actions. However, access to reports will be insufficient to support uptake of learning. The E&L must offer a curated approach to meet stakeholder requirements and ensure technology supports access to a range of learning options, including short briefs and webinars that present evaluative findings and recommendations in journalistic and actionable styles and support peer-to-peer learning. The Diagnostic also considered security requirements for web and other digital technologies, including the need to comply with cross-HMG IT security standards and accessibility within FCO's IT security infrastructure. The IT and data connectivity environment for PF stakeholders is diverse and dynamic. Therefore, technology options to support learning should be flexible and the E&L should have the capacity to facilitate multiple access points simultaneously for any real-time engagement for resilience and reliability.

Risks: Stakeholder demand to take up learning opportunities will be constrained by competing priorities that the E&L cannot influence. SROs and the Portfolio Board will only have narrow and infrequent windows in which to engage with evaluations and learning. The E&L should be realistic, demonstrate early gains, and stretch ambition with the support of learning champions. The Diagnostic found that some stakeholders equate learning and capacity development. The E&L must make this distinction, manage expectations of what the E&L can offer, and interface with the growing PFMO staffing and capacity building function. The Diagnostic also identified a risk that the E&L's UK base makes it remote from the programme contexts for learning and could appear tied to Whitehall. The E&L should continue the inception phase investment in building trust with stakeholders, particularly through face-to-face engagement / interaction.

2.2 Integration with Evaluation

The evaluation is applying a user and learning focused approach. This emphasises that evaluations are made more useful when PF stakeholders participate in their design, analysis and follow-up. This underpins the E&L's evaluation learning cycle (Figure 6). This cycle will drive evidence-based review of progress (on what has been achieved, how and why) and facilitate the sharing of, reflection on, and use of the evaluation evidence to support decision making at project, programme and Fund levels. This ensures that evaluation activities will be designed to facilitate a learning process which responds to Programme Teams' learning needs. The implementation of this cycle will be synchronised with the E&L Annual Evaluation Cycle and informed by ongoing engagement to ensure that learning for key stakeholders is tailored to decision points. Evaluation evidence itself draws on data from the PF Monitoring and Reporting (M&R) service, and as such the LS&P helps to support learning from M&R. Further information on the 'learning touch points' presented in the diagram is given in Section 3 below.

Figure 6. Evaluation Learning cycle



The cycle in year one will differ from subsequent years as programmes are coming on stream and the E&L develops relationships with Programme Teams (PTs) and builds their understanding of how to use evaluation information. The E&L will also review and gather baseline information on the evidence underpinning programme or project Theories of Change. Furthermore, the E&L will identify the early learning needs of PTs and seek to identify cross-programme learning opportunities by identifying programme 'families' and working through dedicated E&L Relationship Managers (RMs), as well as the Learning Lead and Engagement Adviser (see Sec. 4.2 Roles and Responsibilities). These RMs will be assigned to each programme and will be responsible for providing a consistent point of engagement and coordination for all E&L activities at that level. Programmes 'families' are based on how programmes (and individual projects) map onto the causal pathways to intermediates objectives outlined in the Fund Theory of Change, (e.g. Trade, Infrastructure, Health). The 'families' that have been proposed during inception will be validated during the first annual cycle and peer learning groups within these 'families' will be established. These peer learning groups may evolve into fully fledged communities of practice and any PF communities of practice that already exist will be supported by E&L. The learning touchpoints and peer learning will be supported by the RMs. The Learning Lead, with support from the Engagement Advisor, will be responsible for working alongside the RMs, though at a more strategic level, to understand stakeholder learning needs and ensure they are translated into E&L approaches, work plans and products.

2.3 Learning and Prospero

The Monitoring and Reporting Supplier is developing Prospero, an online tool for the PFMO and PTs, and to which the E&L will also have access. This will include core programme information, financial data and monitoring data which will be aligned to the programme and, where relevant, Fund theories of change. Users will be able to access knowledge products, including those produced by the E&L.

E&L is developing a proactively curated Web Portal, distinct from Prospero, to provide access in one location to all evaluative knowledge and other organisational learning opportunities provided by E&L, driven by user needs and meeting a high design standard. Whereas Prospero has not been designed as a curated or collaborative space, which means that users will not be directed towards potentially relevant E&L knowledge products as only finalised documents will be published on Prospero. The E&L Web Portal has been designed as a curated or collaborative space, and this is one of its distinctive and complementary benefits for PF stakeholders. Prospero will nevertheless form an important data source for the E&L and an additional space through which to make knowledge products available alongside an E&L Web Portal, which will emphasise curation and collaboration.

2.4 Integration with PFMO Staff and Capability Function

An important interface exists between the Staffing and Capability function within the PFMO and the LS&P. Both look to facilitate learning to improve performance. The Staffing and Capability function focuses on building the capability of individuals within Programme Teams while the LS&P supports organisational learning across the PF. We recommend a close working relationship between the PFMO Staffing and Capability Lead and the E&L Learning, Knowledge and Communication (LKC) Team. This could be achieved through regular meetings to share plans, lessons, and opportunities. For example, the PFMO Staffing and Capability Lead is well placed to advise the LKC Team on common learning needs, and PF network events they organise present an opportunity for the LKC Team to engage PF Programme Teams and reflect on lessons. These insights will help the LKC Team to deliver its curated approach. Similarly, the LKC Team can highlight good practices in cross-Fund learning to the Staffing and Capability Lead and share E&L knowledge products that may be used in training for Programme Teams.

Figure 7. Integration of Capability Strengthening and Organisational Learning

3 Learning Strategy

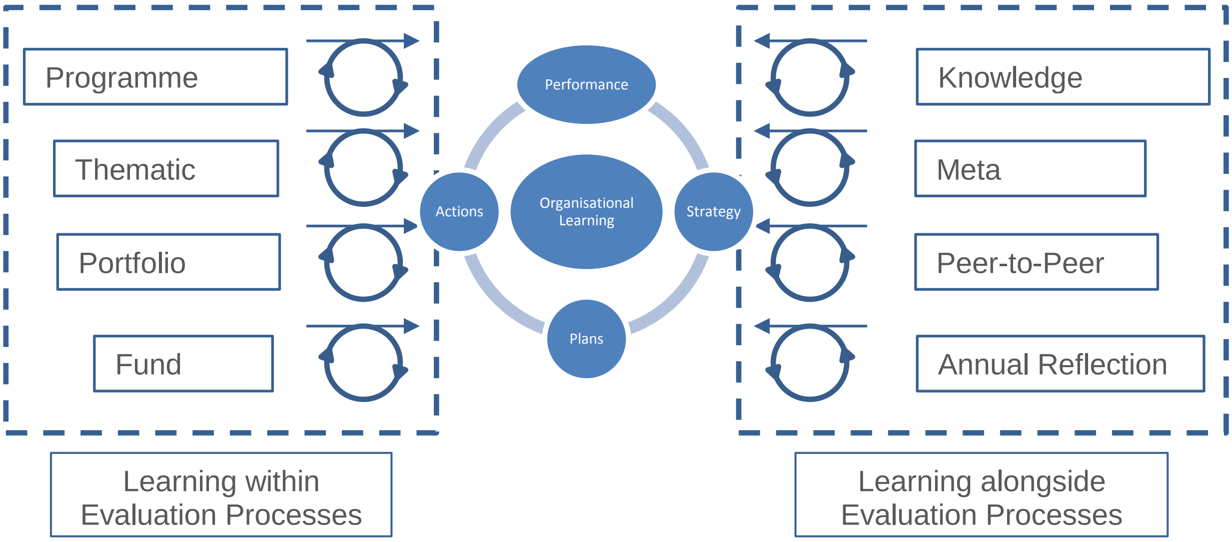
The Learning Strategy will support use of E&L evaluative evidence and PF stakeholders' experience and know-how. In doing this, the E&L proposes to take advantage of five strategic insights on emergent opportunities and constraints to organisational learning by PF stakeholders:

- The patchwork of corporate cultures gathered under the PF will not support very directive management of learning, but will permit **responsive innovation** in learning practices
- The common management cycles and governance frameworks cascaded across the PF will provide a rhythm and punctuation of demand for learning, but sensing and matching the changing tempo will require **agility** by the E&L
- The informality of relationships between PF stakeholders will provide a fertile ground for peer learning, but supporting and amplifying these will require careful **ongoing engagement** by the E&L to build trust in its role as facilitator
- The unfamiliarity of most PF stakeholders with evaluation and how to use it for active / adaptive management could lead to low levels of participation, but offers a window for **active support** by the E&L to an emerging evaluation and learning culture
- The preference of PF stakeholders for narrative and decision orientated communication will not support direct use of technical evaluation reports, but will permit the **curation** of conversations, collections, and briefings around the generation of evaluation findings, recommendations and lessons.

The resultant five qualities of responsive innovation, agility, ongoing engagement, active support and curation are the touchstones for the Learning Strategy. The E&L Learning Lead, supported by other specialists in the Learning Team (see Section 4.2 Roles and Responsibilities), will be key to ensuring that these qualities are translated into practical action.

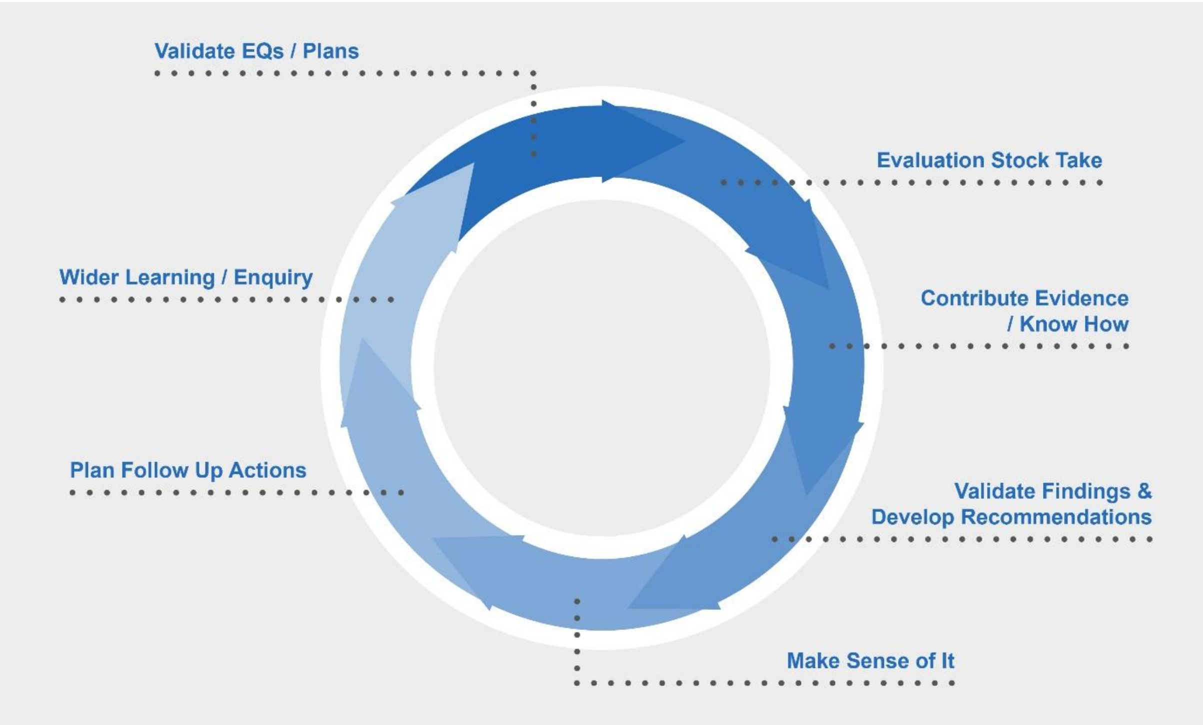
Our recommended options for E&L support to organisational learning would be available to PF stakeholders both within and alongside evaluation processes (see subsequent sections 3.1 – 3.5). These options have been informed by feedback from a small number of responses by PF stakeholders to a learning options survey conducted in February 2018 (see Annex A). From the perspective of a PF stakeholder, this relationship is set out in Figure 8 below. These two dimensions reflect the assumption that a PF stakeholder may be either an evaluation subject (their work is being evaluated), an evaluation user (using an evaluation of someone else's work / drawing on colleagues' knowledge), or both. The interaction of these two dimensions will be key to the central process of organisational learning that supports active management of strategy, plans and actions to improve performance.

Figure 8. Organisational Learning from PF Stakeholder Perspective



At all four levels of evaluation (programme, thematic, family, and Fund) PF stakeholders whose work is being evaluated will have staged opportunities to learn through participation within evaluation processes as 'learning touchpoints' (Figure 9 below). Participation will also build stakeholder relationships, awareness and ownership of evaluation objectives and lay the ground for use.

Figure 9. Learning Touchpoints within Evaluation Processes



The purpose of each learning touchpoint in Figure 9 is as follows:

1. Validate Evaluation Questions (EQs) / Plans: to ensure relevance to own learning needs and opportunities
2. Evaluation Stock Take: to document their own knowledge related to the programme / Fund alongside previous evaluation / research findings
3. Contribute Evidence / Know How: to collaboratively build the evidence base to answer EQs
4. Validate Findings and Develop Recommendations: to ensure preliminary evaluation findings are robust and that evaluation recommendations are relevant
5. Make sense of it: to put evaluation findings and recommendations back into the current programme context and use them as a critical perspective to review assumptions and causal pathways
6. Plan Follow-Up Actions: to take responsibility for action on learning gains as part of active / adaptive management
7. Wider Learning / Enquiry: to ensure that E&L plans for sharing externally valid lessons from the evaluation or for commissioning further evaluations to address gaps in knowledge are appropriate to PF stakeholders own learning needs and opportunities.

Alongside evaluation processes, PF stakeholders who are using an evaluation of someone else's work / drawing on others' knowledge will be supported to learn through participation in a range of flexible opportunities as set out in Figure 10 below.

Figure 10. Learning Alongside Evaluation Processes

- **Knowledge Products:** to provide curated access to knowledge generated through evaluation. PF stakeholders can: review finalised findings, recommendations and lessons in a range of media / levels of detail according to their learning preferences; find and comment on E&L resources through a curated E&L Web Portal; and be appraised of E&L opportunities and plans through an email newsletter. To the extent that findings, recommendations and lessons are sufficiently robust for wider learning, some may be developed as guidance notes / templates / examples.
- **Meta Synthesis:** to ensure the relevance, robustness and utility of E&L Meta Synthesis of evidence from evaluations across the portfolio. PF stakeholders will have opportunities, as part of the E&L Meta Synthesis activities, to highlight their own learning needs, contribute to quality assurance, and contextualise and plan for action on learning gained.

- **Peer to Peer:** to contribute to and benefit from other PF stakeholders' experience and know-how through E&L facilitated group discussions. PF stakeholders can: join ongoing Peer Learning Groups (e.g. Infrastructure, VFM, Gender); request colleagues' help with a challenge through a one-off Peer Assist group; and generate their own lessons at key moments during implementation through team-based After Action Reviews. These peer learning groups may evolve into fully fledged communities of practice and any PF communities of practice that already exist will be supported by E&L.
- **Annual Reflection:** to reflect on existing experience using lessons from the suite of evaluations as a critical perspective to review assumptions and causal pathways. PF stakeholders can participate in facilitated events focusing on Fund and Programme ToCs, opportunities and gaps for adaptive programme and portfolio management, and plans for future evaluations (at programme, thematic, portfolio and Fund levels).

Audience engagement

Engagement of relevant audiences in the learning process will be tailored and curated to their individual needs and preferred frequency, level of detail, and types of communication tools and channels (see Figure 11 below). These have been identified through both the stakeholder engagement process and the Learning Diagnostic in inception.

Figure 11. Audience Engagement Types

3.1 Definition of Organisational Learning

The strategy assumes that a realistic definition of organisational learning is adopted by the PF, reflecting its context, procedures, governance and ambition. The Learning Diagnostic proposed a definition that focuses on improvement and flexible management and recognises that the PF is a highly distributed and multi-programme organisation. The refreshed Organisational Learning Desk Review (see Deliverable PF-INC-17-01) points to the need to also recognise the importance of developing an appropriate culture of learning. Two options are proposed:

A1. Organisational learning in the Prosperity Fund is the process and culture by which it acquires knowledge, shares this knowledge across its global network and uses this knowledge to actively manage strategy, plans and actions to improve performance.

A2. Organisational learning in the Prosperity Fund is the process and culture by which it acquires knowledge, shares this knowledge across its global network and uses this knowledge to support adaptive management of its strategy, plans and actions to improve performance and adjust its goals, targets and vision.

Recommendation: Option A1 which reflects the assumption that 'are we doing it right' (efficiency) will be the primary opportunity for learning feedback through active management of performance. Option A2 is not recommended because the ambition to use full blown adaptive management to also adjust goals, targets and vision (i.e. 'can we do it better (effectiveness) and 'are we asking the right questions' (strategy)) is too high. This definition would be more realistic towards the end of the current phase of the PF for next phase priorities and business cases. PFMO has agreed with the recommendation.

3.2 Organisational Learning Approach

An approach to organisational learning for the PF should be informed by two dimensions. Firstly, it should reflect the priorities, preferences and plans of PF stakeholders and contribute to enhancing their learning characteristics. Secondly, it should draw on good practice in use and learning focused evaluation (as embodied in the E&L evaluation approach), adaptive management, and knowledge management in the international development sector. Both of these dimensions have been analysed in the Learning Diagnostic and form the basis for the options set out below.

B1. A brokering approach where finalised evaluation knowledge products are selected for uptake by sub-groups of PF stakeholders based on analysis of their current learning needs. Dissemination is supported through curated communication channels and opportunities to contextualise evaluative knowledge in light of PF stakeholders' own experience and know-how.

B2. An action orientated approach where curated learning opportunities are provided within and alongside evaluation processes. PF stakeholders participate in ensuring the relevance of knowledge as it is generated, share their own experience and know how, and take responsibility for action on learning.

B3. A behavioural approach where desired changes in organisational performance inform the selection of evaluative knowledge to drive learning. The priorities and preferences of sub-groups of PF stakeholders best positioned to create the change guide the packaging of and engagement around knowledge products.

Recommendation: Option B2 which reflects PF stakeholders' interest in using learning for active management and their need for learning to be dynamic given the complex and innovative nature of the PF portfolio. It also draws on relevant good practice. Option B1 is not recommended because delaying substantive engagement with PF stakeholders is likely to reduce the relevance of evaluative knowledge and insufficiently lay the ground for use. Option B3 is not recommended because organisational performance areas in need of change will be difficult to identify for the first few years of the PF given the emergent nature of its culture and processes. PFMO has agreed with the recommendation.

3.3 Processes

The processes (soft / social methods) by which organisational learning opportunities are curated by the E&L are informed by our updated understanding of the priorities, preferences and plans of PF stakeholders and the proposed E&L evaluation framework. The ongoing use of these processes will be reviewed in light of experience and adapted and / or added to, so as to ensure ongoing relevance. The first table below (Table 3) presents recommended process options and the second (Table 4) those considered but not recommended. The rationale for each option is also given. PFMO has agreed with the recommendation.

Table 3. Recommended Process Options

Process Option	Rationale
C1. Validation workshops (for evaluation questions, plans, findings and development of recommendations). Facilitated by learning team between Programme / Fund and evaluation teams (including for meta-syntheses).	An independently facilitated participatory process aligns expectations and builds ownership. Also builds evaluative culture.
C2. Appreciative Interviews (to take stock of programme team's experience and contribute their evidence and know-how to evaluations). Design support by the learning team.	A positive orientation to harvesting evidence builds trust and supports innovation.
C3. Sense-making and action planning workshops (to contextualise evaluative knowledge, reflect on performance, and plan follow-up actions). Facilitated by learning team for programme / Fund teams (including for meta-syntheses).	A safe space to critically review assumptions and mechanisms and take responsibility for action. Also builds organisational learning culture.
C4. Annual reflection workshops (focusing on programme or Fund ToCs, opportunities and gaps for active management and plans for wider learning / future evaluative activity - using lessons from the suite of evaluations). Facilitation support by the learning team.	Use of design based / reflective methods creates holistic and actionable forward plans. Also links with common PF management cycles and governance frameworks and builds evaluative culture.
C5. Knowledge products (evaluative knowledge in full reports, briefs, info graphics, presentations, videos, Web Portal, newsletter). Knowledge management systems and communications services by the learning team informed by PF stakeholder needs and in collaboration with the evaluation team.	Access to evaluative knowledge in a range of media / detail, with clear narratives, high design values, robust version control, and curated in a private Web Portal.
C6. Proactive Curation of conversations, collections, and briefings for PF stakeholders around knowledge products and the lessons and insights arising.	Meeting the preference of PF stakeholders for narrative and decision orientated communication rather than the primary use of technical evaluation reports.

Process Option	Rationale
C7. Peer Learning Groups (to support peer-to-peer learning across the PF portfolio around own experience and know-how and relevant evaluative knowledge as it becomes available). Facilitated by the learning team for PF Programme Managers on an ongoing basis.	A safe space to network around topics of interest in particular PF thematic areas (e.g. 'ToC families' - infrastructure, financial services, as well as VFM, gender). Also builds organisational learning culture. These peer learning groups may evolve into fully fledged communities of practice and any PF communities of practice that already exist will be supported by E&L.
C8. Peer assists (to request colleagues' help with a challenge through one-off convened group discussions). Facilitated by the learning team for PF Programme Managers on request. Group composition checked in advance with PFMO to assure good level of competence.	Practical support to active programme management from trusted colleagues and specially invited technical experts if required. Also builds organisational learning culture.
C9. After action reviews (to generate own lessons at key moments during implementation through team-based reflection). Facilitated by the learning team for individual programme / Fund teams on request.	A light touch and rapid process that helps to surface and make sense of what is working more and less successfully and why. Also builds organisational learning culture.
C10. Signposted knowledge services (to highlight opportunities to access evidence services related to PF programmes already in the public domain or commissionable through services set up by HMG for its staff). Curated on the Web-Portal by learning team.	Access to external knowledge services through a centrally curated gateway is better VFM than efforts by individual PF stakeholders.
C11. Rolling Diagnostic Engagement with Programme Managers and other key PF stakeholders (to build awareness of evaluative learning, understand and anticipate evolving needs, the changing tempo of management cycles and governance frameworks, programmes' and the Fund's own communication and capacity building plans, and the usefulness of learning support). Collaboration by learning team with E&L Relationship Managers.	Ensures that learning support is agile and responsive and collaboration with E&L Relationship Managers ensures the burden on key PF stakeholders is reduced. An extension of the inception Learning Diagnostic process.

Table 4. Process Options Not Recommended

Process Option	Rationale
C12. Coaching on evaluation and learning practice (to help define and review programme's MREL activities). Technical advice by E&L.	Advisory role for E&L could blur lines of responsibility for learning.
C13. Lessons learned tracker (to monitor and account for the outcome of action on learning gains). Facilitated by learning team for programme and Fund teams.	Policing role for E&L could undermine trust in the learning function and duplicate possible 'Learning Thematic Evaluation'.
C14. Regular open agenda informal discussions (to create a safe space for networking and lay the ground for more ambitious peer to peer learning). Facilitated by E&L for PF stakeholders.	Potentially duplicative of Peer Learning Groups and not widely supported in feedback from Learning Options Survey.

The process options above will feed into the overall E&L Communications Strategy and Plan, which identifies the most appropriate timing and required quantity of products, events and feedback tools throughout the evaluation and learning cycle. The Learning Team will lead on the implementation of this work plan, ensuring a useful, tailored and effective user-experience. This plan will be regularly reviewed and adapted to further optimise the learning process. E&L will be trained and briefed on E&L communications principles and brand guidelines (both "look and feel" as well as language guidelines), including regular revisions as required.

Guidelines and templates for recommended processes that will be used by the E&L are highlighted in Annex D.

3.4 Technologies

The digital technologies to support organisational learning activities are informed by our updated understanding of the priorities, preferences and plans of PF stakeholders and coordinated with the Monitoring and Reporting (M&R) services provided to the PF. Options and recommendations in this area are grouped under four themes: Coordination with the M&R Prospero tool; E&L Web Portal; Process Facilitation; and Internal Coordination of the E&L Service Provider. The ongoing use of these technologies will be actively managed by the E&L, reviewed in light of experience, and iteratively adapted to ensure ongoing relevance, accessibility and security. Technology solutions and their management will also be governed by the PF E&L service provider Standard Operating Procedures Sec. 3.1 Data Protection and Use of Personal Information (see Annex H).

Coordination with the M&R Prospero tool

PF Stakeholders using the M&R Prospero tool will have E&L knowledge products available by default. This will encourage their use alongside M&R dashboards and provide a seamless user experience. Given the clear preference of PFMO for such functionality, one option is recommended.

Recommendation D: The E&L and M&R service providers should continue collaborating to enable the file repository within Prospero to contain approved E&L knowledge products. Protocols (either links out from Prospero or version control) will ensure there is no conflict between E&L knowledge products in the file repository and on the E&L Web Portal. A search function (free text and filtered) will enable PF stakeholders to identify relevant knowledge products. Each knowledge product will have a summary page indicating its relevance, as well as closely related knowledge products. Within the wider M&R Prospero dashboard, there will be links to take the user to knowledge products related to specific programmes, themes and portfolios. Access to the file repository would be open to all PF stakeholders already registered on Prospero. Access to the file repository would allow viewing and downloading of knowledge products files, but not editing or commenting. The finalised specification is included for reference in Annex G (NB this is a placeholder final submission of the LSP report). PFMO has agreed with the recommendation.

E&L Web Portal

The clear preference of PFMO is that PF stakeholders have access in one location (E&L Web Portal) to all organisational learning opportunities provided by E&L. The E&L Web Portal must: be driven by defined users' needs as revealed through the Learning Diagnostic; embody high design standards (intuitive, useful and visually appealing); be proactively curated (to grow communities of interest and target PF stakeholder sub-groups); and serve the dual function of disseminating knowledge and learning from across the Fund and informing active management decision-making (at programme and Fund levels). The content of the E&L Web Portal will be managed in accordance with the PF E&L service provider Standard Operating Procedures Sec. 1.1 Production of Deliverables and QA Process (See Annex H). The first table below (Table 5) presents recommended functionality options and the second (Table 6) those considered but not recommended. The rationale for each option is also given. PFMO has agreed with the recommendation.

Table 5. Recommended Functionality Options

Functionality Option	Rationale
E1. Login by email linked username and password (by invitation only of PFMO approved individuals and logged)	To securely control, manage, and monitor access to and use of the system. User configuration of content by expressing content preferences following registration.
E2. Overview pages (text, images, video) including: Home, About E&L, Evaluation Timeline, Contact (team and Evaluation Relationship Managers), Site Search, and Terms and Conditions of Use	To orientate and motivate users and to support the transparency of and feedback on all the services provided by the E&L.
E3. E&L Knowledge Products Gallery (linked or synced with M&R Prospero) with featured items, summaries, collections, user comments / uploads, and filtered search. This area could if needed include Prosperity Fund documents already in the public domain (e.g. PF Annual Reports, ICAI reviews, etc.)	To provide curated access to finalised knowledge products informed by current PF Stakeholder needs and opportunities. Proactive featuring, collection and discussion opportunities around knowledge products will support use over and above access through the file repository within the M&R Prospero tool. Enables viewing and download

Functionality Option	Rationale
	but not editing. User comments and uploads will be monitored and post-moderated if necessary.
E4. News (synced with E&L Email Newsletter and linking out to Email Marketing Platform) with latest, archive, and email subscription management. This area could if needed include an archive of PFMO Bulletins.	To build awareness of the pipeline and availability of E&L knowledge products, other organisational learning opportunities and evaluation activities.
E5. Peer Learning Groups (linking out to related listserve process facilitation tool – see below) with membership management, named coordinators, use principles, and new group suggestion form.	To enable management of and participation in communities of interest. These peer learning groups may evolve into fully fledged communities of practice and any PF communities of practice that already exist will be supported by E&L.
E6. Events – face to face / virtual workshops (linking out to related logistics process facilitation tool – see below) with calendar, registration management, and past event highlights (text, images, video)	To enable management of, participation in and review of past events (e.g. validation, sense making and action planning, and annual reflection workshops)
E7. Active Programme Management – face to face / virtual 'Peer Assist' and 'After Action Review' groups (linking out to related logistics process facilitation tool – see below) with offer, examples and request form.	To enable management of, participation in, and requests for, 'Peer Assist' and 'After Action Review' facilitation.
E8. Prosperity Fund Network – bios and contact details of PF stakeholders with filtered search and update form	To present the growing and changing shape of a nascent network and encourage stronger linkages.
E9. Signposted Knowledge Services – links out to evidence providers related to PF programmes already in the public domain or commissionable through services set up by HMG for its staff. With filtered search, collections, and summaries.	To provide a regular updated map of credible evidence providers external to the E&L.

Table 6. Functionality Options Not Recommended

Functionality Option	Rationale
E10. Discussion Board – an open discussion space for comments, queries, feedback. With moderated posts, file upload, likes.	Unstructured discussions are likely to be hard for users to dip in and out of and difficult for the E&L to moderate. The lack of focus may

Functionality Option	Rationale
	also lead to low level of sustained participation.
E11. External Documents Library – a growing collection of public domain research, evaluation, and good practice reports. With filtered search, featured collections and summaries.	The identification, quality review and curation of the large global pool of such documents would require a large investment of specialist E&L staff time to offer value addition over Google searches by individual PF stakeholders. External documents can still be accessed via option E9 above.

Following feedback on the Draft Learning Strategy and Plan E&L are developing a detailed Web-Portal Design to include: Detailed User Profiles; Product Specification Document; Work Plan including procurement/outsourcing, development and testing phases; and Supplier TORs (for any outsourcing of development). The design will support completion of the FCO IT Security Assurance Case (see Annex F) and Change Request process (in progress). The operation of the Web-Portal would be reviewed annually drawing on evidence from user feedback (e.g. survey) and use metrics captured on an ongoing basis.

Process Facilitation

Effective facilitation of organisational learning processes by the E&L will be supported by a suite of commercially supported technologies (listed below) linked to the E&L Web Portal that will be configured to meet the needs of PF stakeholders. The suite of technologies will provide the capability to offer multiple channels for participation to reflect the diverse learning preferences and internet connectivity levels of PF stakeholders. Licencing of commercially supported technologies will likely offer better value for money, faster deployment and a more reliable service than the development of bespoke tools as part of the E&L Web Portal. The first table below (Table 7) presents recommended commercial technology options and the second (Table 8) those considered but not recommended. The rationale for each option is also given. PFMO has agreed with the recommendation. The decision to use these tools is also subject to feedback from the FCO IT Security Assurance Case and Change Request process already begun by the E&L, and further refinement during the remainder of inception.

Table 7. Recommended Commercial Technology Options

Commercial Technology Option	Rationale
F1. Listserve – private email discussion (for Peer Learning Groups). Each group has approved members, threaded discussions, ability to participate by email only or via web interface, and user managed notification levels (immediate, daily digest, weekly digest, silent).	Peer Learning Groups will have ongoing discussions and a growing number of members. Listserves are suited to asynchronous discussions (threading and archiving) and members whose participation varies over time (from passive reading, to contribution, to group leadership, and back)

Commercial Technology Option	Rationale
F2. Email marketing platform (for E&L Email Newsletter). With management of subscriber lists, formatting and scheduling of communications, detailed analysis of level of engagement by recipients, and subscription management by recipients.	The E&L Email Newsletter will be a primary entry point to E&L services for many users. Cloud based email marketing platforms enable a higher quality of design, dissemination and configuration than regular email systems. Detailed analytics enable engagement to be refined and iteratively improved
0F3. Event logistics (for face to face / virtual workshops and groups). With scheduling, registration, agendas, online / in person venue details, pre-event queries, and attendance metrics.	E&L will host and facilitate a considerable number of workshop and group events for globally distributed PF stakeholders – often simultaneously. Cloud based event logistics platforms enable a more seamless registration process for participants and a centralised management functionality for E&L compared to regular calendar / email invitations.
F4. Webinar (for virtual workshop / group participation). With video or voice only user participation (by internet or phone dial-in), screen sharing, commenting and recording for those unable to attend live. Can also be used in blended face to face and virtual events.	E&L workshop and group events should be open to virtual participation and facilitation given the global distribution of PF stakeholders and the E&L. Webinars help to manage logistical and travel constraints.
F5. Video Streaming (for video knowledge products, recordings of webinars). A private channel to enable on demand access to a collection of videos produced by the E&L. Access can be controlled by password or user roles.	E&L videos shared as downloadable files would be cumbersome to access, require multiple formats and be difficult to control access to. A private video streaming channel resolves these difficulties and offers a higher quality curated space.

Table 8. Commercial Technology Options Not Recommended

Commercial Technology Option	Rationale
F6. Phone Conferencing (for virtual Peer Learning Group participation). Voice based group discussions (via internet or dial-in), with access control, and recording.	Not suited to asynchronous discussions as participation is either live or via recordings that must be listened to in their entirety to assess relevance. Also duplicative of recommended webinar functionality if needed by Peer Learning Groups.
F7. Private Messaging (for virtual Peer Learning Group participation). Text based group discussions, with image sharing.	Most private messaging platforms rely on end-to-end encryption. This functionality means that they are increasingly blocked by state and organisational firewalls (e.g. China). Already used in a few PF programmes so no need to replicate.

Internal Coordination of the E&L Service Provider

To enable coordinated working within the E&L, especially as it grows and becomes more globally distributed during implementation, the consortium will use proven commercial technologies. It will continue to use Dropbox for Business for internal file sharing and Podio for collaborative working.

The existing shared **Dropbox** for Business folder (PF Evals) will be maintained for the core team. Additional shared Dropbox folders at the same level[1] will be created for each evaluation for use by additional team members working on that evaluation, plus related technical leads in the core team. Access to the folders is by invitation based on an initial and thereafter updated log of approved persons and their email addresses maintained by the E&L Project Manager. This will include suspension of access when team members are out of contract. Access to the folders will allow users to upload, download, edit (including collaboratively online), comment and view files. Further guidance and support will be provided to E&L members to ensure effective uptake and use of file sharing, safe handling and archiving of content and data on Dropbox.

The existing **Podio** collaboration area (PF E&L Workspace) will be maintained for the core team, with user-led modification of functionality as needed to reflect evolving practices and team/programme requirements. Additional Podio collaboration areas will be created below this level for each evaluation for use by additional team members working on that evaluation, plus related technical leads in the core team. Access to the collaboration area / sub-areas is by invitation based on an initial and thereafter updated log of approved persons and their email

[1] Additional shared Dropbox folders need to be at the same level to avoid overly long file paths. It is also necessary to avoid sharing folders that have a large total file size. Both issues can cause problems with use of Dropbox.

addresses maintained by the E&L Project Manager. This will include suspension of access when team members are out of contract. Access to the collaboration spaces will allow coordination around stakeholders (individual and organisational), meetings, tasks, activities, deliverables, calendars, glossary terms, and team membership. Commenting, messaging, file sharing and activity monitoring are supported. Further guidance and support will be provided to E&L members to ensure effective uptake and use of collaboration tools, and for safe handling and archiving of content and data on Podio.

3.5 Risk Mitigation

The implementation of the Learning Strategy involves a wide range of processes and technologies with a diverse set of PF stakeholders. Table 9 below sets out anticipated risks and mitigation measures and will need to be refined and monitored as the workplan is firmed up.

Table 9. Risk Mitigation

No.	Activity	Risk	Mitigation
1	Build of file repository on M&R Prospero tool	Requirements delayed due to cost / time overrun.	Coordinated decision making between M&R, E&L and PFMO.
		Duplication / divergence of E&L Web Portal Knowledge Products Gallery.	Value added through proactive curation and robust version control to prevent divergence of content.
2	E&L Web Portal functionality and process facilitation technologies design and build	Choice delayed due to cross government digital approval process.	Once preferred option is agreed, PFMO support to E&L in navigating approvals.
		Prototyping delayed due to availability of cross government test users.	PFMO support to E&L in prioritising availability of test users.
		Delayed platform delivery – due to changes to requirements (e.g. integration) and availability of client stakeholders.	Early in-depth conversations with suppliers and stakeholders. Log availability of key stakeholders for meetings four weeks in advance. Agree change control mechanism beyond third sprint. Regular email progress updates every two-weeks / when needed (e.g. before Technical Tuesday meetings).
		Content creation work / copywriting starts too late and suitable content is not available for the launch.	Ensure content creation process starts on time with assigned responsibility in E&L team.
3	Access to E&L Web Portal and associated process facilitation technologies	PF Stakeholder access delayed or declines due to low awareness of / fatigue with login and functionality processes.	High quality user guide (document and video walk through) and ongoing User Support. Unified login to process facilitation technologies.
4	Use of E&L Web Portal	PF Stakeholder user experience in Year 1 degraded due to	Expectations clearly set. Launch timed appropriately. Prioritise peer-learning in Year 1. Tailor

		insufficient relevant content and / or inappropriate volume and timing of notifications.	notifications to different PF stakeholder segment interests.
5	Participation in organisational learning opportunities within and alongside Evaluation Processes	Low levels of participation due to competing priorities of PF stakeholders. Unsustainable levels of participation due to PF stakeholder turn over.	Demonstrate benefits through early wins. Design in co-benefits for everyday business practice. Coordinate with PFMO learning and capacity building activities, and ally with HMG learning champions. Rolling on-boarding / exit engagement to explain opportunities and bridge gaps.
6	Usefulness of Knowledge Products	Knowledge Products not fit for purpose or tailored to individual stakeholder needs.	Extensive learning diagnostic and stakeholder engagement throughout inception. Focus on variety of products users can engage with, regular review of knowledge product uptake and ongoing stakeholder dialogue.
7	Presentational Quality of Knowledge Products	Messy or unaligned look and feel of products and/or unprecise use of language affecting user experience and professionalism of outputs.	Learning Lead and Content Editor to oversee and manage the design quality and brand alignment of all Knowledge Products.
8	Web Portal Community	Poor quality of peer-to-peer dialogue on the E&L Web Portal. Dialogue not aligned with best practice or desired learning outcomes.	Careful community management through dedicated Digital Communities Manager. Aiming to keep interventions into community dialogue to a minimum whilst still playing a facilitative role.
9	Internal File Sharing and Internal Coordination	E&L team use sub-optimal due to low awareness (especially among additional evaluation contractors) of advanced functionalities and Standard Operating Procedures.	High quality E&L user guide (document and video walk through) and User Support Contact.

4 Learning Plan

This section sets out the recommended work plan and team roles and responsibilities to deliver the Learning Strategy in line with the recommended options above. Upon feedback on the first draft of this report from PFMO regarding preferred options, adjustments and / or more detail can be added.

4.1 Work Plans

This section sets out draft detailed work plans for Year 1 of E&L implementation (2018/19) and high-level work plans for the subsequent three years (2019/20 – 2021/22). They set out by activity / sub-activity the time frame, milestones and ongoing operation. The time frames are coordinated with the overall draft implementation plans for E&L, which themselves contain significant assumptions and will be subject to revision in consultation with PFMO.

The first work plan covers the design, development and operation of Technologies Supporting Organisational Learning. The second work plan covers the implementation of Organisational Learning Processes Within and Alongside Evaluation Processes.

Key	
Milestone	
Operation	

Technologies Supporting Organisational Learning

Year 1 (includes one month of Inception and all of 2018/19)

No.	Activity	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
	File Repository within Prospero M&R Tool													
1	M&R User / Admin Testing of Prototype													
2	M&R Finalisation													
3	M&R Ready to Go Live													
4	M&R User Guidance and Support													
5	M&R Ongoing Technical Management (incl. user feedback and iterative development)													
	E&L Web Portal & Technologies Supporting Process Facilitation													
6	Final LSP Report Delivered to PFMO													

No.	Activity	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
7	High Level Design: Detailed User Profiles; Product Specification Document; Work Plan including procurement/outsourcing, development and testing phases; Supplier TORs; Proposed Content Pipeline													
8	PFMO Approval including Assurance Case and Change Request													
9	Procurement of Supplier													
10	Prototyping (with sample of users)													
11	Content Pre-Production													
12	User / Admin Testing													
13	IT Health Check / PEN Test and Remediation													
14	Finalisation													
15	Accreditation													
16	Ready to Go Live													
17	User Guidance and Support													
18	Ongoing Technical Management (incl. user feedback and iterative development)													
	Internal Coordination of the E&L Service Provider													
24	Re-Configuration of Dropbox and Podio													
25	User Guidance and Support													
26	Ongoing Technical Management (incl. user feedback and iterative development)													

Years 2-4 (2019/20 – 2021/22)

No.	Activity	2019/20	2020/21	2021/22
	All Supporting Technologies			
27	Light Annual Review of Relevance, Accessibility, and Security of Technology Options			
28	Reconfiguration and / or Additional Technologies			
29	PEN Test (3 Yearly)			
30	User Guidance and Support			
31	Ongoing Technical Management (incl. user feedback and iterative development)			

Organisational Learning Processes Within and Alongside Evaluation Processes

The work plan for Year 1 assumes that evaluation activities begin in April, with staggered implementation reflecting the assumed differing start dates of PF programmes that year. The work plan for Years 2-4 follows the standard annual evaluation cycle which runs from June to May (as set out in the E&L Evaluation plan).

Year 1 2018/19

No.	Activity	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
	Within Evaluation Processes												
32	Plan Validation Workshops for Fund, Family and Programme Baselines												
33	Plan Validation Workshops for Thematic Evaluations												
34	Plan and EQ Validation Workshops for Programme Formative Evaluations												
35	Evaluation Stock Take Appreciative Interviews with Fund and Programme Managers												
36	Contribute Evidence / Know How to Fund, Family and Programme Baselines, Thematic Evaluations, and Programme Formative Evaluations												
37	Findings Validation / Recommendation Development Workshops for Fund, Family and Programme Baselines												
38	Findings Validation / Recommendation Development Workshops for Thematic Evaluations												
39	Findings Validation / Recommendation Development Workshops for Programme Formative Evaluations												
40	Sense Making and Action Planning Workshops for Fund, Family and Programme Baselines												
41	Sense Making and Action Planning Workshops for Thematic Evaluations												

No.	Activity	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
42	Sense Making and Action Planning Workshops for Programme Formative Evaluations												
	Alongside Evaluation Processes												
43	Plan Validation Workshop for Meta Synthesis												
44	Annual Reflection Workshop for the Fund												
45	Rolling Diagnostic Engagement with Programme Managers and other Key PF Stakeholders												
46	Production and Curation of Knowledge Products												
47	Signposting of Knowledge Services												
48	Facilitation of Peer Learning Groups												
49	Facilitation of Peer Assists												
50	Facilitation of After Action Reviews												
51	Annual Review of Learning Diagnostic and Learning Strategy and Plan												

Year 2-4 (2019/20 - 2021/22)

No.	Activity	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
	Within Evaluation Processes												
52	Sense Making and Action Planning Workshops for Fund, Family and Programme Baselines (2019/20 only - run over from Year 1)												
53	Sense Making and Action Planning Workshops for Thematic Evaluations (2019/20 only - run over from Year 1)												

No.	Activity	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
54	Sense Making and Action Planning Workshops for Programme Formative Evaluations (2019/20 only - run over from Year 1)												
55	Plan and EQ Validation Workshops for Fund, Family, Thematic, and Programme Evaluations												
56	Evaluation Stock Take Appreciative Interviews with Fund and Programme Managers												
57	Contribute Evidence / Know How to Fund, Family and Programme Baselines, Thematic Evaluations, and Programme Formative Evaluations												
58	Findings Validation / Recommendation Development Workshops for Fund, Family, Thematic, and Programme Evaluations.												
59	Sense Making and Action Planning Workshops for Fund, Family, Thematic and Programme Evaluations												
	Alongside Evaluation Processes												
60	Annual Reflection Workshops Programmes												
61	Annual Reflection Workshop for the Fund												
62	Findings and Narrative Validation Workshops for Meta Synthesis												
63	Sense Making and Action Planning Workshops for Meta Synthesis												
64	EQ and Purpose Validation Workshops for Meta Synthesis												
65	Rolling Diagnostic Engagement with Programme Managers and other Key PF Stakeholders												
66	Production and Curation of Knowledge Products												
67	Signposting of Knowledge Services												
68	Facilitation of Peer Learning Groups												

No.	Activity	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
69	Facilitation of Peer Assists												
70	Facilitation of After Action Reviews												
71	Annual Review of Learning Diagnostic and Learning Strategy and Plan												

4.2 Roles and Responsibilities

The implementation of the Learning Strategy and Plan will be a shared responsibility across E&L, supported by four core roles and short-term technical assistance within a Learning Team. The team will have a mix of relevant skills and experience in areas including organisational learning, stakeholder engagement, content production, web and digital technologies management, strategic communications, facilitation and international development. The proposed roles and responsibilities are as follows:

Learning Lead

The Learning Lead is the owner of the Learning Strategy and Plan. The Learning lead will be responsible for:

- Understanding and anticipating changing stakeholder (organisational) learning and communication needs and opportunities at programme, Fund and HMG levels.
- Ensuring organisational learning is built into the overall delivery of the use and learning focused evaluation programme.
- Delivering the design, facilitation and management of organisational learning processes (workshops, peer learning, annual reflection).
- Overseeing development of the E&L Web Portal, other technologies supporting organisational learning and E&L internal coordination, and coordination with M&R on the file repository within the Prospero tool.
- Defining and overseeing the delivery of knowledge products.
- Curating conversations, collections and briefings through the E&L Web Portal and other communication channels.
- Overseeing strategic communication with key stakeholders to ensure shared and consistent messages, action on feedback, and risk management.
- Team leadership and management of associated specialist roles.

Digital Communities Manager

The Digital Communities Manager supports the delivery of the Learning Strategy and Plan under the supervision of the Learning Lead. The Digital Communities Manager will be responsible for:

- Liaising with digital services and security staff within PF HMG departments to ensure formal requirements and standards are assured.
- Supervising the work of outsourced IT / web / graphic design / video suppliers.
- Developing and administering the E&L Web Portal, other technologies supporting organisational learning and E&L internal coordination, and technical liaison with M&R on the file repository within the Prospero tool.
- Managing the content of the E&L Web Portal, including uploading finalised knowledge products in sync with the file repository within the Prospero tool, moderating and approving user profiles, comments and uploads.
- Managing subscriptions and user metrics for the email marketing platform delivering the E&L Newsletter.
- Moderating and approving user profiles and comments for the listserve tool supporting Peer Learning Groups, the webinar tool supporting virtual workshop / group participation, and the event logistics tool.

- Provision of user support and guidance for the E&L Web Portal and other technologies supporting organisational learning and E&L internal coordination.

Content Editor

The Content Editor supports the delivery of the Learning Strategy and Plan under the supervision of the Learning Lead. The Content Editor will be responsible for:

- Sub-editing evaluation reports produced by the various technical evaluation teams.
- Producing knowledge products (briefs, key messages, videos, presentations, newsletters).
- Commissioning knowledge products (e.g. blog articles) from the technical evaluation experts, and sub-editing their outputs.
- Mapping credible evidence providers related to PF programmes external to the E&L.
- Working with the Digital Communities Manager to ensure that finalised knowledge products are uploaded to the E&L Web Portal in sync with the file repository within the M&R Prospero tool.
- Supporting the Learning Lead in understanding and anticipating changing stakeholder organisational learning needs and opportunities at programme, Fund and HMG levels to develop appropriate knowledge products.
- Supporting the Learning Lead in the generation of materials and the harvesting of knowledge for organisational learning processes (workshops, peer learning, annual reflection).
- Monitoring uptake of knowledge products, and stakeholder feedback, and using this to adjust the editorial programme accordingly.

Engagement Advisor

The Engagement Advisor supports the delivery of the Learning Strategy and Plan under the supervision of the Learning Lead. The Engagement Advisor will be responsible for supporting the Learning Lead in:

- Designing and facilitating Rolling Diagnostic Engagement for stakeholder needs and opportunities assessment.
- Overseeing and backstopping programme-level engagement by evaluation teams, acting as first point of escalation on relationship issues with a responsibility to resolve any conflicts, escalating to Team Leader/Deputy Team Leader/Technical Lead/Learning Lead as appropriate.
- Ensuring strategic communication with key stakeholders to ensure shared and consistent messages, action on feedback, and risk management.
- Developing greater awareness of, and stronger linkages within, the nascent network of PF staff globally, building on investment in relationships during inception.
- Designing, facilitating and managing organisational learning processes (workshops, peer learning, annual reflection).

Short-Term Technical Assistance

The delivery of the Learning Strategy and Plan by the above four posts will be supported by Short-Term Technical Assistance roles in three areas:

- Organisational Learning Advisor providing specialist skills and experience in process design and facilitation, knowledge curation, and evaluation use.
- Knowledge Management Systems Advisor(s) providing specialist skills and experience in the design, procurement and delivery of outsourced web / IT services.

5 Annexes

Annex A: Learning Support Options Survey

A light touch survey on E&L learning support options was sent to a purposive sample of PF Stakeholders (Programme Managers, PFMO / DU, Technical Advisory Group, FCO Diplomatic Academy). The sample was constructed around those PF Stakeholders who, through E&L engagement, had previously shown an interest in PF organisational learning issues. The survey was emailed to 14 people on 23 Jan and 9 responses were received (3 Programme Managers, 3 PFMO / DU, 1 TAG, 2 Other). The following is a summary of the results which have been fed into the development of the Learning Strategy and Plan.

At which stages within an evaluation of your work would you welcome opportunities to learn?	Count	Percentage
Validation of evaluation questions and plans during design	6	67%
Creating a baseline of existing experience and know-how (including your own, previous evaluations, research) related to the programme / fund	6	67%
Validation of emerging findings and development of recommendations from the evaluation	5	56%
When you are making sense of recommendations and planning follow-up actions as part of adaptive management	5	56%
Commissioning any follow-up evaluation to address gaps in knowledge	5	56%
Deciding on wider dissemination of findings and lessons (e.g. across the portfolio, to external stakeholders)	3	33%
Other (please describe in text box)		
I can't comment on the above as I am not in any of those roles but I would have thought that most people in PPD roles will be reviewing and taking stock of their progress and identifying learning needs throughout the programme. At the very least there should be an L&D opportunity following the project close down, linked to lesson learned.		
It would be good to have a bit more detail on what would is intended under option 2 - Creating a baseline - this sounds very broad		

How would you like to learn from evaluations of other PF programmes and the fund portfolio?

	Count	Percentage
E&L facilitated discussions to make sense of relevant findings and recommendations from individual evaluations and plan follow-up actions	7	78%
E&L facilitated discussions using lessons from the suite of evaluations to support reflection on your programme / the fund	6	67%
E&L facilitated annual review of the fund Theory of Change	4	44%
Briefing on opportunities and gaps for adaptive portfolio management	3	33%
Access to Evaluation & Learning knowledge products (full reports, briefs / key messages, info graphics, presentations)	6	67%
Receipt of Evaluation & Learning newsletter (signposting knowledge products, ongoing evaluations, learning opportunities, forward plans, relevant research / analysis)	6	67%
Private E&L Web Portal (featuring all Evaluation & Learning knowledge products, learning opportunities, evaluation workplan, contact details, etc.)	5	56%
Other (please describe in text box)		
In my experience, learning from peer groups, communities of practice and experts is particularly valued.		
A E&L Web Portal would be most useful if it were linked in some way to the monitoring and reporting dashboard		

How would you like to learn from your PF colleagues' experience and know-how?

	Count	Percentage
Regular E&L facilitated conference calls for Programme Managers (open agenda informal discussion)	2	22%
Thematic E&L facilitated support groups (e.g. infrastructure, financial services, gender and inclusion)	7	78%
E&L facilitated Peer Assists (colleagues with relevant experience gather virtually to help you with a challenge)	5	56%
E&L facilitated After Action Reviews (programme / project teams generate their own lessons at key moments during implementation)	6	67%
Other (please describe in text box)		

How else could the Evaluation & Learning service provider support your learning from the evaluation?

Plus, would be great to capture learning within the future cities programme and actively share across the programme i.e. across the 19 cities
Perhaps record some of the stories, top tips and guidance as talking heads videos or podcasts on GLO. bite sized learning seems to go down well
We've schedule a workshop with the MREL team on logframes and M&E for the week of February the 12. We are also interested in M&E for gender and inclusion, and ways to communicate more effectively

Annex B: Key Informants

Name	Title	Organisation
Alison Pollard	Evaluation Advisor	DFID
Amanda Harris	Joint Programme Hub	CSSF
Andrew Millar	Head of M&E	PFMO
Anna Holt	TBC	PFMO
Greg Power	Director	Global Partners Governance
Imogen Wiles	Head of Capability and Staffing	PFMO
Jago Atkinson	Future Cities Programme	FCO
Joe Dawson	Digital Access	DFID
Julia Reybould	Results Advisor	BEIS
Karen Smith	Diplomatic Academy	FCO
Leidy Heredia	Colombia Programme	FCO
Megan Cooper	Prosperity Fund Portfolio Manager	PFMO
Nicola Smith	Chief Executive	NSGI
Peter Bentley	Global Insurance and Risk Facility	DFID
Phillip Collin	International Climate Fund	BEIS
Roger Drew	Evaluation Adviser	PFMO
Sehr Syed	International Climate Fund	DFID
William Cook	Prosperity Fund Portfolio Manager	PFMO

Annex C: Key Informant Interview Tool

#	Question
1.	How could we help you to learn from the forthcoming evaluation findings on the Prosperity Fund?
2.	What do you think will be the areas of greatest interest for learning from the Prosperity Fund evaluation?
3.	How do you expect lessons from the Prosperity Fund evaluation to be used?
4.	Who can amplify and champion learning from the Prosperity Fund evaluation?
5.	What existing internal learning processes and systems should we be complementing and who should we speak to about these?
6.	Where have you seen everyday use of evidence and critical reflection taking hold?
7.	Is there any formal guidance / requirements for learning in the department we should refer to?
8.	What should E&L do if we wanted to spectacularly fail in our objective of supporting learning from the Prosperity Fund evaluation?
9.	What else should the E&L contractor be paying attention to regarding learning?
10.	Can we answer or field any questions about the E&L contract for you?

Annex D: Process Guidelines and Templates

This annex sets out guidelines and templates for four facilitation processes recommended in the LS&P that will be used by E&L to support organisational learning for the PF: After Action Review; Peer Assist; Peer Learning Groups; and Appreciative Interviews.

After-Action Review

Overview

An After-Action Review (AAR) is a light touch process for teams to reflect on recently completed activities, events or projects, capture the lessons learned and agree actions with the goal of improving performance. The AAR may be completed as a group exercise in real-time, including remote participation, or over time with stakeholders contributing to a document or online discussion. A facilitator is required to coordinate the process.

An AAR may be an internal-led process or externally facilitated. With guidelines from E&L, teams may be comfortable in running their own AAR process, especially when quick reflection and learning is required. When a deeper or more challenging reflection and learning process is envisaged, the E&L team can help to design and facilitate an AAR for teams.

What value can an AAR add to the E&L Team's approach?

- The AAR is a simple methodology with low resource requirements. Light touch support from the E&L Team should enable Programmes to run their own informal AAR processes according to their preferences. This encourages ownership at the programme level and may support the emergence of a learning culture in the PF.
- The AAR complements the E&L Team's overall evaluation and learning approach. Documented AARs may, with the team's agreement, contribute to the evidence base for ongoing evaluations, particularly if they demonstrate how programmes have applied lessons.
- The AAR is an opportunity for stakeholders to reflect upon related knowledge products generated by the E&L Team.
- Sharing individual AARs or a summary of lessons from all AARs, with teams' agreement and potentially anonymised, could support wider learning within the PF.
- Emerging lessons may be useful to the PFMO.

How can the E&L Team support the AAR process?

- Provide guidance on how to run an AAR process.
- Design and facilitate formal AAR processes when required.
- Consolidate lessons from AARs across the PF and share in an easy-to-read format with other PF stakeholders.

Key steps in an AAR process

1. Hold the AAR as soon as possible so that stakeholders are available to participate, and their reflections are fresh.
2. Appoint a facilitator to coordinate the AAR, maintain an open environment, encourage participation of junior and senior participants, emphasise the commitment to learning and draw out key lessons.
3. Agree as a group 'what was supposed to happen?'
4. Reflect as a group on 'what actually happened?'

5. Compare the plan with reality and explore why there were differences and what has been learned. While the AAR is useful for identifying lessons and improving performance, an appreciative approach may also help stakeholders to identify and share what worked well and why.
6. Agree what actions should be taken as a result to improve performance.
7. Record the key points so that learning can be shared across the PF, including through the PF Web Portal, if the team wishes to do so.

When could an AAR be used?

An AAR is held at the end of an activity, event or project. Stakeholders can determine when an AAR is useful, but this may range from an ad hoc reflection on a key meeting with the national Government to the completion of the programme. It is expected that the majority of AARs conducted within the PF will be internal and led by programmes. Others may be externally facilitated by the E&L team.

Templates

No template is required. Should programmes wish to upload AARs to the E&L Web Portal, a simple online template could be designed to capture 'what was planned', 'what happened in practice', 'why were there differences', 'what has been learned', and 'what actions should we take'.

Peer Assist

Overview

A Peer Assist session brings together a group of peers to share experience and know-how related to a challenge or opportunity presented by the person who has requested the Peer Assist. This encourages learning, by asking those with experience in certain activities to assist those wishing to benefit from their knowledge. Depending on the point in the programme cycle at which the Peer Assist takes place, it can support better initial design, adaptation during delivery, and improved performance.

The Peer Assist can take place in-person (for example, on the side-lines of a PF network meeting or training event) or on a remote basis using video conference. The latter option has a better chance of being successful if participants have an existing relationship and rapport.

When could Peer Assist be used?

- Following post rotation, new Programme Managers may benefit from the advice of more experienced colleagues across the PF.
- Programme Managers are facing problems which have been overcome in other areas of the PF.
- Programme Managers are planning to respond to an opportunity similar to those which other programmes have pursued.
- When fresh perspectives are being sought from outside the team.

What value can Peer Assist add to the E&L Team's approach?

- The Peer Assist methodology is aligned with the preference of PF stakeholders to learn from their peers and draw on experiences from the wider PF.

- The Peer Assist meeting is an opportunity for stakeholders to reflect upon other knowledge products generated by the E&L Team.
- Sharing individual Peer Assist summaries or a summary of lessons from all Peer Assists, with participants' agreement and potentially anonymised, could support wider learning within the PF.
- Emerging lessons may be useful to the PFMO.

How can the E&L Team support the Peer Assist process?

- Raising awareness of the Peer Assist method and responding to requests from Programme Teams to help arrange and facilitate the process and supporting them to define the objectives of the Peer Assist session.
- Connecting stakeholders that require support with those individuals across the PF who have the relevant knowledge and experience, and potentially involving external experts.
- Facilitating Peer Assist sessions so that the stakeholders seeking the Peer Assist can actively participate and listen while the E&L Team facilitator summarises and records lessons.
- Documenting Peer Assist lessons and sharing across the PF.

Key steps in a Peer Assist process

1. Develop a clear definition of the challenge or opportunity.
2. Identify the relevant participants with the necessary knowledge and expertise.
3. Share relevant materials in advance of the Peer Asist meeting.
4. Run the Peer Assist meeting with the support of the E&L Team.
5. Develop a set of lessons.
6. Share lessons across the PF, with participants' agreement and potentially anonymised, including targeted sharing with any stakeholders who are considered most likely to benefit.

Templates

A standard template for running a Peer Assist session is set out below:

1. Introduce the session (10 minutes)
2. Facilitator explains process and roles (5 minutes)
3. The stakeholder seeking the Peer Assist presents the case (5-10 minutes)
4. Discussion and facilitation (45 minutes)
5. Validate notes and plan follow-up (5 minutes)
6. Plenary debriefing (15 minutes)
7. Close the session (5 minutes).

Peer Learning Group

Overview

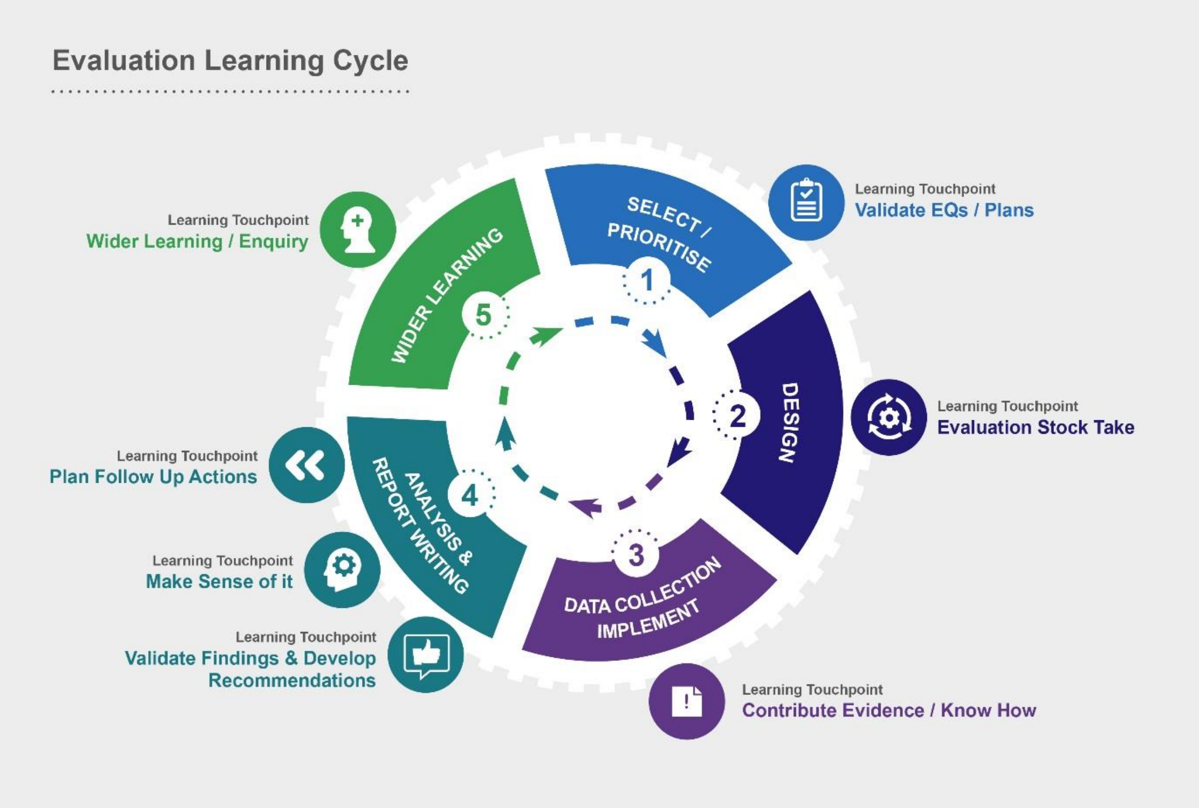
A Peer Learning Group (PLG) is formed when staff from different Programme Teams across the PF portfolio recognise a shared interest in something they do and want to interact regularly to learn to do it better. Once formed, a PLG exists for as long as it continues to serve the learning needs of its members. PLGs may evolve into fully fledged communities of practice and any PF communities of practice that already exist will be supported by E&L. Given its cross-portfolio nature, PLG discussions are most likely to be on a remote basis (e.g. via a private email listserve), with infrequent but valuable face to face meetings (e.g. in the wings of an annual PF event), and a space to store knowledge acquired (e.g. on the E&L Web-Portal). The benefit of a PLG arises from staff having a safe space to compare their own experience and know-how, supported by relevant evaluative knowledge as it becomes available. In the context of the PF evaluations, the Theory of Change 'families' (i.e. Investment in Infrastructure, Ease of Doing Business, Energy & Low Carbon, Financial & Economic Reform, Human Capital Innovation & Technology, and Trade) may offer areas of interest. Priority topics for PF performance may also feature (e.g. Value for Money, Gender and Inclusion). By supporting self-directed learning across teams and geographies, PLGs can also strengthen and amplify the PF's emerging organisational learning culture.

What value can a PLG add to the E&L Team's approach?

The E&L Evaluation Learning Cycle has seven learning touchpoints corresponding to five stages of evaluation (see Figure 1 below).

1. Validate Evaluation Questions (EQs) / Plans: to ensure relevance to own learning needs and opportunities
2. Evaluation Stock Take: to document their own knowledge related to the programme / Fund alongside previous evaluation / research findings
3. Contribute Evidence / Know How: to collaboratively build the evidence base to answer EQs
4. Validate Findings and Develop Recommendations: to ensure preliminary evaluation findings are robust and that evaluation recommendations are relevant
5. Make sense of it: to put evaluation findings and recommendations back into the current programme context and use them as a critical perspective to review assumptions and causal pathways
6. Plan Follow-Up Actions: to take responsibility for action on learning gains as part of active / adaptive management
7. Wider Learning / Enquiry: to ensure that E&L plans for sharing externally valid lessons from the evaluation or for commissioning further evaluations to address gaps in knowledge are appropriate to PF stakeholders own learning needs and opportunities.

Figure 1. Evaluation Learning Cycle



The Family Synthesis of findings from programme evaluations envisages using four learning touch points in the latter two stages (Analysis and Report Writing, Wider Learning). Where a PLG has been formed around a TOC 'family', the E&L evaluation approach envisages that a PLG would be the best forum for progressing these learning touch points for Family Synthesis.

The Fund Thematic Evaluations envisage using all seven learning touch points of the E&L Evaluation Learning Cycle. Where a PLG has been formed around a corresponding theme (e.g. Value for Money, Gender and Inclusion), the E&L evaluation approach envisages that a PLG would be the best forum for progressing these learning touch points for Fund Thematic Evaluations.

In both of these instances it should not be assumed that a PLG will exist corresponding to each TOC 'family' or theme covered by PF evaluations. The formation of PLGs will be voluntary and the start and duration of a PLG may not overlap neatly with the workplan for PF evaluations. Where a PLG is not yet formed or has stopped functioning, as an alternative mechanism to progress learning touchpoints formal Reference Groups may be convened for Family Synthesis and Fund Thematic Evaluations.

How can the E&L Team support the PLG process?

- Raise awareness about the benefits and purpose of forming PLGs
- Build trust in the E&L role as facilitator of PLGs through careful ongoing engagement
- Establish the technologies (E&L Web-Portal and supporting technologies) and facilitation competencies to support regular interaction within a PLG
- Facilitate the formation, ongoing interaction and ultimately closure of each PLG

Key steps in a PLG process

1. Through ongoing E&L engagement, PF staff become aware of the benefits and purpose of PLGs and the facilitation and technology support available from E&L
2. PF staff with a shared interest in a TOC 'family', Theme, or other area and a desire to start interacting regularly to learn how to do it better are mapped through ongoing E&L engagement.
3. E&L conduct light touch interviews with a sample of PF staff within a prospective PLG to understand some key issues in the area of interest and identify those ready to lead formation of the PLG.
4. E&L names a facilitator who works with PF staff leaders to launch the PLG (including description of PLG area of interest, introductions, ways of working, initial focus for interaction, role of E&L facilitator, responsibility of members for stewarding their knowledge, links to a related E&L TOC 'family' or theme, senior PF sponsor, invitation to attend launch event).
5. Hold a launch event (e.g. live webinar – probably twice to span time zones, or a day or email discussion).
6. E&L ongoing facilitation of regular interaction (e.g. via private email listserve), on-boarding of new members, addition of staff leaders, seeking feedback on process (e.g. via informal phone calls / emails) and iteration of E&L support
7. PF staff leaders with support from E&L facilitator conduct a monthly round up of interaction to recognise the value of activity, summarise key points of learning, store knowledge assets (files, links, events), and highlight any forthcoming focus for interaction (including any related E&L TOC 'family' or theme evaluation learning touchpoints).
8. PF staff leaders with support from E&L facilitator seek annual opportunity for a face to face meeting (e.g. in the wings of an annual PF event) or failing that a live webinar and plan to deliver this.
9. PF staff leaders with support from E&L facilitator conduct annual PLG health check to assess whether it continues to serve the learning needs of its members, celebrate its successes (ideally with validation from the senior PF sponsor), and plan for continuation or closure.

When should a PLG be used?

- When there is evidence of a critical mass of PF staff (8 or more) with a shared interest in a TOC 'family', Theme, or other area and a desire to start interacting regularly to learn how to do it better. A PLG should not be mandated into existence from above and then start seeking members as this is rarely a route to sustained participation.
- When there are PF staff within the prospective PLG who are ready to lead its formation (2 or more) with support from the E&L facilitator, and there is a senior PF sponsor. Launching a PLG without staff leaders and a senior PF sponsor is likely to give a faltering start.
- When a group of PF staff are already interacting around an area of shared interest and request facilitation support from E&L to sustain and amplify this. Another option would be to offer support to the group in terms of facilitating After Action Review and or Peer Assist processes.

Templates

No template is required to form a PLG. However, the interactions within a PLG should:

- Be guided by the E&L Web-Portal Terms and Conditions of Use (including code of conduct).
- Use the E&L Web-Portal and supporting technologies

- Be private to the members of the PLG and not cross-posted to other PF stakeholders without having first given an opportunity of 10 working days for any PLG member to object to such cross-posting.
- Any non-objected cross-posting or harvesting of opinions by the E&L team resulting from learning touchpoints on Family Synthesis or Thematic evaluations should be made anonymous to any individual or PF team.

Appreciative Interview

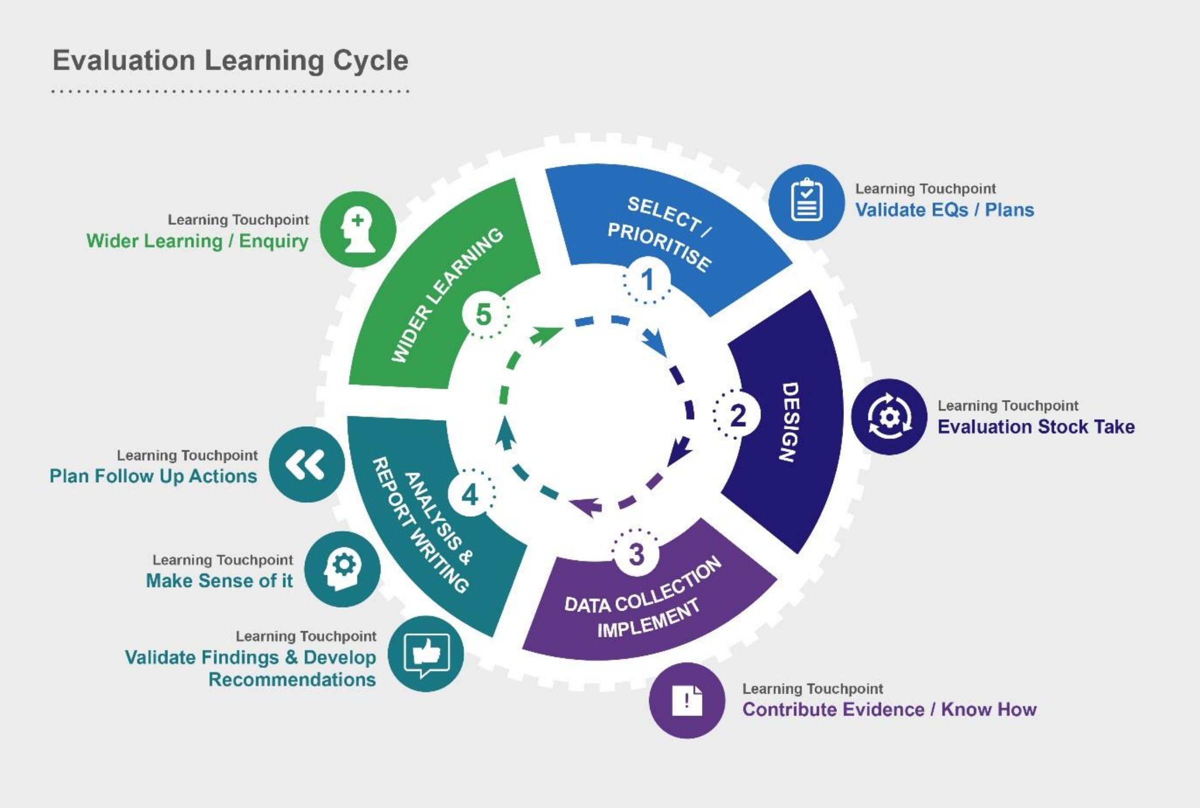
Overview

An Appreciative Interview (AI) is an empathic process through which PF stakeholders can make explicit their existing experience and know-how and contribute this to PF evaluations. The AI would be conducted by the E&L team with individuals or a team / cross-portfolio focus group. The AI process is conducted in real time, either face to face or remotely via phone or in a webinar. The benefit of an AI comes from taking an unconditionally positive stance to forming and asking interview questions. In this it draws on the 'discovery' stage of Appreciative Enquiry / Positive Thinking approaches to evaluation that seek to mitigate biases towards highlighting deficits or failures in capacities and performance (c.f. Stame, N (2014) 'Positive Thinking Approaches to Evaluation and Program Perspectives). This positive orientation to harvesting evidence can also build trust in the evaluation process and supports innovation.

What value can Appreciative Interviews add to the E&L Team's approach?

The E&L Evaluation Learning Cycle has seven learning touchpoints corresponding to five stages of evaluation. The second of these, Evaluation Stock Take, aims to document PF stakeholders' own knowledge related to the programme / Fund being evaluated alongside previous evaluation / research findings. This corresponds to the Design stage of the evaluation (see Figure 1 below).

Figure 1. Evaluation Learning Cycle



Where an E&L evaluation team is seeking to document PF stakeholders' own knowledge as part of an Evaluation Stock Take, AI can be used to make existing experience and know-how explicit. Typically, what practitioners know is not well documented. Rather, it is held as implicit knowledge that is regularly shared and updated through learning by doing and conversations with peers.

How can the E&L Team support an Appreciative Interview process?

- Raise awareness about the benefit of PF stakeholders' contributing their own knowledge related to the programme / Fund being evaluated during the design stage. An evaluation design informed in this way is more likely to produce findings and recommendations that are of more use to PF stakeholders. Evidence gathering can build on what they already know about the programme / fund context, stakeholder relationships, opportunities, etc. and the insights that drove its design. Analysis and explanation building can factor how their existing knowledge contributes to why observed performance happened as it did.
- Build trust in the Evaluation Stock Take learning touchpoint by emphasising how the AI process is non-judgemental and takes a positive stance towards the value of PF stakeholders existing knowledge.
- Establish the technologies (phone and webinar) and interviewing competencies to support AI processes.
- Conduct AI as part of Evaluation Stock Take to inform the evaluation's design stage.

Key Steps in an Appreciative Interview Process

The following key steps are generic to both programme and fund level evaluations, but should be adapted in light of the specific scope of each evaluation.

1. Draw on stakeholder mapping for the evaluation to identify PF staff most closely related to the programme / fund being evaluated (e.g. the programme / fund team members). This sub-sampling may have already been done during the initial Select / Prioritise stage of the evaluation (see Figure 1 above), and if so maintain this sample.
2. Decide if the AI will be conducted with individuals or a focus group. Issues to consider include:
    a. Focus groups are harder to schedule,
    b. Individual AIs will be able to dig deeper but take more time in total,
    c. Focus groups can validate individual answers in real time,
    d. Individual AIs can be more democratic if there are significant known power imbalances / tensions in programme / fund team.
3. Finalise the AI questions, adapting language to suit the context, based on the AI Question Template (see below).
4. Brief potential interviewees on the purpose of the Evaluation Stock Take, the approach and benefits of AI process, how knowledge gathered will be anonymised and used in the evaluation Design stage and invite them to be interviewed.
5. Conduct the AIs and systematically record the knowledge shared.
6. Analyse the knowledge shared by question to produce summaries reflecting patterns of most prevalent answers and any significant outliers. These summaries should anonymise the interview participants.
7. Write up the findings of the AI process and feed this into Evaluation Stock Take (which will also include a document review of related prior evaluations / research) and evaluation Design.
8. Share the Evaluation Stock Take report with those interviewed.

When should Appreciative Interviews be used?

- For a programme / fund level evaluation at the Design stage as part of the Evaluation Stock Take learning touchpoint.

AI Question Template

The language used should be adapted to reflect the context of each programme / fund level evaluation.

No.	Question	Prompt
0	Preamble: This appreciative interview seeks to help the evaluation design build on your and other key stakeholders previous experience and know-how in the area of [add programme / Fund outcome area / theme]. Our starting assumption is that you have valuable knowledge that is already informing and will continue to positively influence the programme. We'll anonymise your answers in the write up.	

No.	Question	Prompt
1	Can you tell me about a time or place where you were most inspired about [add programme / Fund outcome area / theme] or an aspect of it?	Or an organisation or person who most inspired you about [add programme / Fund outcome area / theme]
2	In the examples you just gave, what are the memorable moments when your perspective changed or was challenged for the better?	This often occurs when we have the opportunity to step back from day to day business or trust a critical friend.
3	Thinking about any example of [add programme / Fund outcome area / theme] you know, what do you believe worked well there?	This could be a good way of organising inputs, an effective tool or approach, the timing or sequencing of activities for example?
4	What for you have been the most useful or surprising insights you have gained about doing [add programme / Fund outcome area / theme]?	Perhaps you had a conversation with someone who had tried something similar that resonated with you.
5	In the context within which this [programme / Fund] will operate, what factors do you feel will most influence the positive outcome you imagine?	This might be in terms of relationships, opportunities to innovate, political environment?
6	What tips for success would you give someone who had to step into your shoes in this [programme / fund]?	To put it another way, the best way to achieve what you are responsible for?
7	What else should we understand about the experience and know-how you are bringing to this [programme / fund]?	For example, knowledge from a different sphere or stage of your life that is shaping how and why you do what you do here?

Annex E: Requirements for File Repository in M&R Prospero

The following table sets out the requirements for storage of E&L knowledge products within the file repository of the Prospero tool being developed by the M&R service provider. These are being taken forward by M&R in coordination with E&L as part of the development and testing of Prospero.

DRAFT PF E&L Prospero File Repository feature requests Agreed between E&L and M&R service providers 12th December 2017			
Feature	**#**	**Sub-feature(s)**	**Detail**
Users / Access	1	Supported file types	In accordance with HMG standards, the file repository will need to accept documents in: PDF/A-1 or PDF/A-2, video format (to be confirmed in consultation with M&R service provider), audio format (likely to be MP3 and WMA), image format (JPG, PNG - and possibly TIF). It is not necessary to include Open Document Formats Extended Document, Text Document, Formula Document, or Database Front End Document
	2	File Repository E&L user page	Simple landing page for the requirements here listed below in rows below ('Functionalities for E&L users' / 'Meta-data / document upload template form')
	3	E&L 'role'	E&L users will have access to all areas of the file repository, and will be able to request for new users to be added by M&R system administrators. E&L users will have a clear and defined line of communication to request user management and E&L audit log information.
	4	PF stakeholder users	Regular PF stakeholder users can: - view and extract all published files and associated meta-data records View-only PF stakeholder users can: - access nothing by default, but can view any published files and associated meta-data records as provisioned.

	5	E&L user role: Functionalities	- Upload File (via meta-data upload template) - Delete File (M&R system administrators only) - Overwrite/Update records - Add / Edit Meta Data - Publish and Un-Publish File and Associated Meta Data - Search, View, Export
Infrastructure	9	Template form for uploading information associated with each E&L Knowledge Product	Meta Data to be associated with and searchable for any uploaded file: (* denotes mandatory field) - Short Document Title (character-limited text field)* - Long Document Title (unlimited text field)* - Content Description (text field – character limit TBC) - Document Type (Evaluation and Learning)* - Year of File Finalisation - YYYY (not necessarily same as year uploaded and published to file repository)* - Date file published on file repository (system-generated time-stamp)* Author(s) Name (limited text field) - Organisational Affiliation(s) (M&R list category field)- Responsible person contact Information (email address field, picking from list of E&L file repository users) - PF Programme (list category field, including a 'not programme specific' category, triggering the appearance of a 'E&L Theme' category) - PF Fund - PF Country(ies) (list category field) - PF Region (list category field) - E&L Theme (as above under 'Programme' - list category field)* - File Type (system generated)
	10	File volume	Low volume file repository - anticipated to manage 250-400 docs

	11	Storage capacity	Due to need to include video content in the file repository (TBC), a 50GB+ storage capacity is required
	12	Search / filter functionality	Depending on role type (see rows 5 & 6), users should be able to search at each file repository landing page / 'folder' level by: keyword(s) in any meta data items (inc. file name) keyword(s) in any file (e.g. file content) Depending on role type, users should be able to filter all files by: meta-data (e.g. date-based tags; published status keyword(s))
	13	Unique identifiers & file relationships	Each record in file repository to have a unique identifier (e.g. REP001), and functionality to associate files / records with one another. Decision pending on exact format of Unique IDs
Auditing	14	Audit logs	Database logs to be created from engagement by PF Stakeholder file repository users: - file views (# of views per file by date) - file exports (#, date, users) - aggregation of searches conducted (by month, year, user role) - Landing page views (by month, year, user role) - Simple on-page report capability
	15	Audit capability	E&L users may need to make occasional, ad-hoc requests for system audit logs
Display	16	File Repository landing page widgets / display options	Search; Contact Administrator; Contact E&L Team; Featured File(s); Latest Files; List All Files; Title; Sub-Title; Short Description; Long Description; Background Image; Thumbnail Image
	17	File Repository Record Display Page	Display Meta-Data; Search; Contact Administrator; Contact E&L Team; Related Files

Annex F: Draft Assurance Case for E&L Web Portal and Supporting Technologies

The following second Draft Assurance Case (following the FCO standard template supplied to E&L) for the proposed E&L Web Portal and Supporting Technologies was submitted to the FCO IT Security Advisor (Risk & Assurance, Knowledge & Technology Directorate) on 2 February 2018. It was subsequently discussed with them on 6 and 13 March 2018. The purpose of the submission is to support continued coordination between E&L and FCO on security compliance and options. This is a working document at the moment and will be part of the documentation needed for platform health check and accreditation and will be submitted in its full version separately.

Table of Contents

2. Document Control

Overview

Version	Date	Details	Author / Reviewed By
1	13 12 2017	1st draft	Prosperity Fund Evaluation & Learning
2	01 02 2018	Agreed revisions to 1st draft	PFEL

Table 5-1: Version Control.

Abbreviations and Acronyms

Abbreviation	Expansion
PF	Prosperity Fund
E&L	Evaluation and Learning
MR	Monitoring and Reporting

Table 5-2: Abbreviations and Acronyms.

Links and Dependencies

Ref	Document Title	Version

Table 5-3: Links and Dependencies.

3. Assurance Case

Basic Information

Project Detail	Description
Project/System/Application Name	TBC: Digital access to Prosperity Fund Evaluation & Learning (E&L)
Relevant change numbers	<Enter relevant change numbers>
Supporting design documentation	<Enter supporting design and security documentation references>
Brief business justification and objective of the system	The Evaluation and Learning service provider ('E&L') is responsible for delivering the E&L component of the Prosperity Fund ('PF') Monitoring, Reporting, Evaluation and Learning ('MREL') programme. A key requirement of our work is to create a web-based system ('E&L Tool') to provide E&L stakeholders with digital access to E&L knowledge products (reports, supporting documents, possibly webinar-type videos, process / guidance materials, other products), and a space for interaction and learning between users. Note that the E&L Tool is a separate system to the one being developed by the Monitoring & Reporting ('MR') service provider, which is developing a comprehensive

	web-based IT solution ('MR Tool'), that draws on a range of PF and external data sources Although the two systems are distinct, E&L and MR have collaborated to ensure that the MR Tool will include a simple document file repository for E&L Knowledge products so that stakeholders engaging with PF MRE&L have multiple access points to E&L materials, but only ever one version of the materials / documents themselves. In addition to simply hosting / displaying E&L knowledge products, PFMO have requested that PF Stakeholders should have the functionality to make comments and engage in dialogue with the content, content curators, and with other E&L Tool users from a range of HMG departmental IT security systems. Ultimately, we will design a collaboration and engagement platform with a simple, customised interface to store and communicate E&L knowledge products by PF programme, theme and fund. For information security purposes, and to help E&L to understand and improve the quality of the E&L Tool, audit logs on usage of the externally-accessible system will be captured, monitored and analysed, and all user accounts will require PFMO approval (see section below 'User base').

Table 5-4: Project Details.

Contact Detail	Description
Project lead	Andrew Millar, Deputy Head (MREL)
IA contact	TBC
Information Asset Owner	Dan Garbutt, IT Security Advisor
Assurance status	<Managed; Unmanaged; Interim>

Table 5-5: Contact Details.

Basic Detail	Description
Location of equipment / endpoints	<Enter location(s)>

What type of data is held	E&L-curated documents in following formats: PDF (A1, A2), Open Document Formats E&L curated videos in following formats: .MOV, .AVI, .WNV, .QT E&L curated images in following formats: .JPEG, .TIF E&L curated audio in following formats: .MP3, .WAV, .WMA User-uploaded comments, documents (subject to approval process before being published to the E&L Tool)
Classification(s) of data	The E&L Tool will host E&L-curated content in the formats listed above. All information stored in the Tool will be subject to Freedom of Information requests, and will therefore a) ensure any materials are appropriate for public consumption should an FoI request be received; and b) be limited to 'Official' sensitivity at maximum. To mitigate the sensitivity risks associated with allowing stakeholders to make comments / user-led posts using the Tool, all comments and user interactions will be subject to approval by E&L administrators.

User base (access to system within the organisation)	Access to the E&L Tool will be restricted by email-linked username and password, and by invitation only. All proposed users to be approved by PFMO, and E&L Tool administrators will maintain an accurate log of all users' names, email addresses, job titles, organisations and usage statistics. The user management log will be available to PFMO/appointed IT personnel as required. E&L will implement good user management practices. For example, accounts will have an automatic 'lock out' if they been inactive for X months (TBC), and will require two-step verification via email when creating a user account or resetting an account password. To maximise value from the E&L Tool, it is proposed with a flat user hierarchy: all non-administrator users will have the same level of access to curated content curated E&L knowledge products. This is in response to content being a) Official sensitivity at maximum; subject to FoI request; subject to approval and; of wide value to entire user base, Phase 1 (2018-19): HMG email address holders (e.g. .gov.uk) + PF MREL service provider only - including: PFMO, PFDU, SROs, PF Programme Managers / programme personnel, FCO, including at-post / Ambassadorial, other HMG departments (DFID, DIT, CO, BEIS), PF E&L & MR service providers (est. 200-300 users). Phase 2 (2019-22): Access may be extended to business groups, host country counterpart agencies, civil society organisations, other development partners and relevant programmes / funds (predominantly non-.gov.uk email address holders).
Support Provider(s)	E&L service provider, with support from appropriate, security-accredited technology specialist(s) organisations / consultants, using agile development principles, and in line with the Digital Principles for Digital Development

Support provider(s)' certification	<ISO27001; Cyber Essentials; Cyber Essentials Plus> (To be confirmed and communicated on selection of appropriate provider(s))
Privacy Impact Assessment registered?	<Yes / No / No personal information>

Table 5-6: Basic Details.

Business Impact – To be completed by the Business

Basic Detail	Description
Business impact to data	Description stating the overall business impact level for the confidentiality, integrity and availability of the data and system. Confidentiality (unauthorised disclosure): Mitigations against unauthorised disclosure include: - PFMO-approved user accounts - Auto-lock out after time-bound period of user activity - User expectations and guidance clearly communicated, and audit logs / accountability mechanisms in place. Integrity (intentional/accidental modification): - E&L knowledge products only uploaded / removed by E&L administrators, with backups and audit logs maintained for entire database. - All user-added content moderated by E&L administrators prior to being accessible by other users to prevent intentional/accidental non-compliance with expectations of users. Availability (Short-term and long-term unavailability): - E&L products also stored in MR Tool as an additional gateway to E&L products, and a comprehensive back up of all user-added content maintained by E&L administrators. - SLAs to be in place with digital service providers, and mitigations against system failure to be defined and communicated as part of the technical specification.

System Detail

System Detail	Description
Nature / scope of the system	Web-based application, hosting a range of E&L curated documents (reports, slide packs, images (e.g. data visualisations, videos) and comments / interactions by and between users (as defined above) on the documents. User functionality to download content enabled via Role-Based Access Contol, and audit logs captured broken down by user. To alert people to curated content in the E&L Tool (rather than expecting users to check back for updates) an automated email service is proposed in addition to the web-based system (e.g. MailGun). This will increase user engagement, and allow users to tailor the communications they receive. For example, rules like the following can be applied: *"IF a new document is added and tagged with 'Governance' THEN email pre-defined email template XX to all users with 'Governance' selected as a notification trigger."* If possible, it would be advantageous for the E&L Tool to have a .gov.uk email address associated with it in order that it is perceived by recipients (and information security filters) as an internal message from a legitimate source.
Operating System	N/A
Virtualisation used?	N/A
Which environment is it hosted on?	<Firecrest Universal / Upper tier / Standalone / Other>
Interacts with other systems?	Stand-alone web-based application, and proposal to integrate an automated email service as noted above. Additional services to be included in the E&L Tool: a tool for creating events and invites to events (e.g. EventBrite), embedded videos for E&L-curated visual media products (e.g. Vimeo), and the functionality to host webinars directly via the E&L Tool interface (e.g. Adobe Connect).

	Requirement to link to URLs hosted in the MR Tool ('Prospero') expected, but to be confirmed.
External connections (or standalone)?	As above
Is data exchanged with other systems?	No data transfer is expected – only notifications that include URLs

Table 5-7: System Details.

Description

PFMO have requested a dynamic, engaging and user-friendly web-based E&L Tool to facilitate organisational learning across the PF stakeholder network, and to facilitate best practice identification and communication. It will be a central component of the PF MREL work, needs to be attractive, accessible, and must promote engagement by all users. The Tool will incorporate curated E&L knowledge products and also serve as a platform with which stakeholders can add comments and share opinions in an administrator-moderated environment, governed by documented user expectation. In addition, it requires users to be 'brought in' to the latest developments in the system, and automated email notifications are proposed for this purpose.

Key Security Risks

<Enter a brief description of the system/ application function using a consistent risk methodology in line with NCSC guidance on risk methods>

Key Security Controls

Security Controls Detail	Description
User clearance	<Enter clearance level requirement>
Support staff clearance	<Enter clearance level requirement>
Traffic Encryption	Commercial
Data Encryption	TBC
Monitoring	• The proposed E&L Tool will be monitored by dedicated, specialist personnel • Comprehensive audit logs will be captured, analysed, and submitted as required by the Project Lead / IAO • A governance structure and process for responding to Information Security incidents will be produced as part of refining the scope of the E&L Tool design • Analytics and user management reports will be factored in to the design of the Tool
Physical security	A top-level physical information security protocol is included in section 3.1 '*Data protection and use of personal information'* in the PF E&L Standard Operating Procedures. More specific standards will be developed when refining E&L Tool scope
TEMPEST Equipment	<Yes / No>
Test Environment	<Enter development/ test environment used>
Anti-Virus deployed	<Enter Anti-Virus details on servers/endpoints>
Patching arrangements/ schedule	<Enter security patching details on servers/endpoints>
System-specific Security Operating Procedures (SOPs)	<Yes / No, and provide a copy of SOPs>
Business Continuity (BC) & Disaster Recover (DR)	<Enter BC/DR arrangements, and provide copy of BC/DR plans>

Table 5-8: Security Controls.

Bulk Data Controls

The Cabinet Office requires ministerial Departments to make an assessment of the security of bulk data holdings in government services. Complete the Bulk Data Service table below **with a justification for the RAG chosen against each control**.

The RAG is defined in the Good Practice Measures for Protecting Bulk Data.

Early-stage response / mitigations listed in table overleaf.

Control	Response / mitigations		
1. You have a well-defined catalogue of the data your service holds. You know why the data is held and understand the impact of theft or loss of integrity of that data.	Clearly documented definition of what an E&L 'Knowledge Product' is (and what it isn't) Conduct an information risk assessment with PFMO		
2. You know that only necessary data is captured and held by the service.	Dedicated E&L administrators PFMO-approved access Time-based access control (e.g. accounts closed after determined period of inactivity) Regular user / content audits Key risk: Challenge that whilst document flow can be controlled, user comments are harder to moderate, and moderation can stifle user engagement, if there are delays between posts being submitted and published.		
3. You have an accurate understanding of unmitigated vulnerabilities present	TBC		

in the service and can show what is being done about them			
4. All users with access to data in your service are individually known and referenced. Users only have the access to data that they need to perform their job. Access and privileges are removed as soon as they are no longer required.	Detailed user management log and user auditing by administrators Time-based access control (e.g. accounts closed after determined period of inactivity) PFMO-approval for new users	NA	
5. All users with administrative access to your service are known. Strong authentication and access control is in place for them	Detailed administrator log, transparency and administrator accountability Minimum-possible administrators		
6. All external dependencies (e.g. third-party contractors) which the security of your service relies upon are known. Your security requirements from any third parties are well-managed through their contracts	Clear, documented, trusted supply chain and contractual terms, including SLAs and business continuity measures		
7. You have an audit trail of access to data	Comprehensive audit logs across all aspects of the Tool	NA	

8. No known vulnerable surfaces are exposed at the edges of your service. Vulnerabilities in third-party software are mitigated. Custom software, such as web applications, is subject to testing for common vulnerabilities before handling live data.	TBC		
9. No unsupported software is present in your service and its underlying infrastructure	TBC		
10. Basic attacks against your service would be noticed through proactive measures in reasonable time and acted upon	Penetration testing during Beta and periodically Administrator security monitoring process		
11. Unusual queries or attempted large scale exports of data from your service would be noticed through proactive measures in reasonable time	Granular, role-based limitations on user export functionality Audit log tracking		
12. All interfaces to your service are well-defined; none allows arbitrary queries of the data.	Simple web interface, limited queries	NA	
13. User access to data in your service is rate limited	TBC	NA	

14. A spear-phishing attack against an administrator's email account, or an attack through their web browser, would not yield administrative access to the service using a single exploit.	2-factor authentication for administrators and optional across user base		
15. All backups or copies of your data are held securely	Backup process using HMG-trusted digital and physical information security service	NA	

6. Assurance Outcome – FCO Accreditor to complete

Key Conditions for Approval

<Enter the key conditions for approval>

FCO Accreditor Approval

Approval Details	Description
Risk Balanced Cases	<Yes / No, list those that apply>
Supporting Documentation	<Enter assurance documentation reviewed>
Risk Owner	<Enter name>
FCO Accreditor Name	<Enter name>
FCO Accreditor Signature	<Enter signature>
Date Approved	<dd/mm/yyyy>

Table 5-9: Approval.

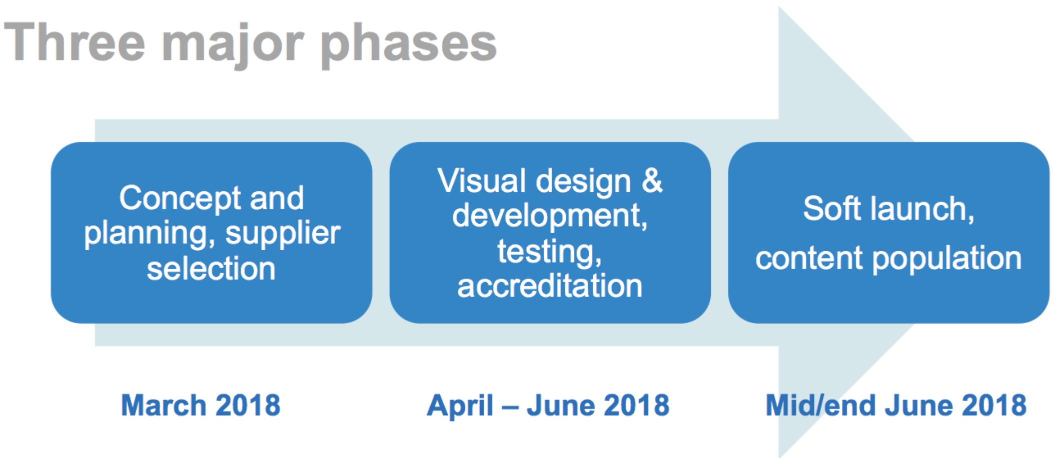
Annex G: Draft Requirements Specification for E&L Web Portal

This annex sets out the high-level draft requirements specification for the E&L Web Portal. These are being developed on an ongoing basis by E&L in collaboration with PFMO and the FCO IT Security Adviser in preparation for early implementation. As such they are subject to change, which will be managed in consultation with the client. They were last discussed on 13 March 2018.

Approach to implementation

- Configuration and customisation of off-the-shelf software with the benefits of:
    - Being less time-consuming than a bespoke solution,
    - Not re-inventing the wheel,
    - Required functionalities are already built in,
    - Maintainability (e.g. upgrades),
    - Cost-effectiveness.
- Adding visual identity to the software
- Agile way of working (review-based)
- Close collaboration with FCO IT Security Adviser and PFMO

Timeline



Functional Requirements

The Web-Portal will be required to support behaviours and tasks of different user groups as set out below.

PF Programme and Fund Team Members User Group (incl. PFMO)

a. Login with ease; receive password reminders,
b. View updates from across PF (info, events, evaluations, what's going on? etc.),
c. Access knowledge products (view and download; one-stop shop),
d. Receive notifications (push and pull – news, newsletters, updates) and respond to notifications,
e. Choose/personalise content,
f. Join a learning event (offline or online); suggest a learning event (e.g. After Action Review, Peer Assist, Peer Learning Group, etc.),

g. Find PF people (e.g. peers who are in a similar situation with similar challenges, expertise etc.),
h. Search (including inside docs), browse for E&L information, products, people,
i. Contribute to shared learning (e.g. comment, upload files).

PF Senior Responsible Officer User Group

a. Receive selected notifications, news (push)
b. Login to search, browse for E&L information, products, people,
c. View updates from across PFE&L (info, events etc.).

E&L Team User Group

a. Publish content and document products (incl. videos),
b. Set up learning events and invite people. Hold a learning event online (webinar),
c. Push notifications out (a 'marketing' newsletter),
d. Set user permissions and give access (with PFMO approval),
e. Structure the site and scale it (without technical knowledge) and apply templates,
f. Facilitate peer-to-peer interactions (e.g. discussions, Peer Learning Group forums or lists),
g. Manage Web-Portal users,
h. Search, browse for E&L information, products, and people,
i. Access and analyse platform stats & analytics, logs. Qualitative audit trail (document history),
j. Market the E&L team and how it can help.

Outline Table of Contents for High Level Design Document

1. Introduction
   1.1. Document purpose
   1.2. Document audience
   1.3. Document evolution
2. Aims and objectives for new system
   2.1. Project purpose
   2.2. Aims and Objectives
   2.3. Proposed system
   2.4. High-level functional requirements
   2.5. High-level non-functional requirements
3. Factors influencing technical design
   3.1. Relevant standards
   3.2. Assumptions and dependencies
   3.3. Technical design constraints
   3.4. Design goals
4. High-level technical architecture
   4.1. Application architecture
   4.2. Information architecture
   4.3. Interface architecture
   4.4. Technology architecture
   4.5. Security and privacy architecture
5. Impact analysis
   5.1. Operation impact

Annex H: Excerpt from E&L Standard Operating Procedures

This excerpt is from the draft E&L Standard Operating Procedures, which are still subject to development, including incorporation of the full Quality Assurance process agreed with PFMO.

Section 1.1 Production of Deliverables and QA Process

The E&L team operates a five-stage approach to the quality assurance (QA) of both internal team work and contractual deliverables for the PFMO. Internal team work can include data collection tools, meeting minutes, templates, matrices and papers intended for the internal use by the team. External deliverables include all those defined outputs (agreed between the PFMO and WYG) which are captured as contractual deliverables. It is the team's responsibility to produce these to the satisfaction of the PFMO. Table 1.1 below presents the QA process for different types of deliverables and the responsible team members involved.

Table 1.1 – QA Process

QA Stage	Responsible Team Member	E&L Deliverables	Description
1	Responsible Workstream Director	All deliverables	Each workstream director oversees and quality assures the work of respective team members to ensure that deliverables meets the technical requirements of the terms of reference.
2	Technical Reviewer	Evaluation reports	The technical reviewer subjects draft written evaluation reports to review using the EQUALS QA template for an entry level or exit level evaluation product. The reviewer scores the evaluation product in the same way as a EQUALS review would, making comments on the template and within the report document itself.
3	Team Leader	Deliverables for PFMO and external audiences (reports, presentations)	The Team Leader reviews the evaluation product independently of the Technical Reviewer at both draft and final stage. Upon completion, the Team Leader and Technical Review compare scoring and notes to form one consolidated set of comments which they feed back to the responsible Workstream Director and Lead Expert.
4	Project Director	Deliverables for PFMO and external audiences	Once the Project Director is satisfied that all of the outstanding actions have been addressed, the evaluation product is then submitted to the PFMO for review, comment and QA.
5	PFMO/ EQUALS	All deliverables submitted to the PFMO	The PFMO reviews and comments on submitted deliverables. This may involve the feedback of a peer reviewer from EQUALS. Upon receipt of the PFMO / EQUALS comments, Stages 1 to 4 are repeated as necessary.

Section 3.1 Data protection and use of personal information

Responsibilities for storage, management and transmission of data

This Data & Information Security Protocol defines the roles and security requirements for users of information services (including IT) for the E&L team and how it complies with the Digital Service Standard, Security Policy Framework and Data Protection Act. It outlines our approach to the appropriate storage, management and transmission of Prosperity Fund evaluation-related information.

HMG is responsible for ensuring that all information shared with the E&L team is done in accordance with internal HMG policies and standards. WYG as the E&L prime contractor is responsible for ensuring that all information gathered by the E&L team is stored and accessed in compliance with HMG standards. Users accessing PF information will be required to demonstrate compliance with this policy, and can be held personally liable for its breach.

> Box 1: Government Security Classifications, 2014
>
> "Everyone who works with government has a duty to respect the confidentiality and integrity of any HMG information and data that they access, and is personally accountable for safeguarding assets in line with this policy"

Table 3.1 sets out the responsibilities for organisations and individuals to adhere to the agreed protocols.

Table 3.1 – Responsibilities for data management

Role	Responsibilities
HMG sources	• Follow HMG and specific departmental policies and standards • Help define appropriate level of access / privileges
WYG	• Accountable for E&L programme data and information security
Organisations responsible for contracting E&L team members (WYG and its sub-contractors)	• IT infrastructure security • Security Policy deployment (including mobile devices) • User training, guidance, information security best practice • Respond to emergency IT security incidents
Individual users	• Attend user inductions, refresher training • Comply with all policies and guidance • Report known or suspected information security breaches / risks

HMG classification policy and security clearance

HMG operates a Classification Policy to identify and value information according to its sensitivity and to drive the right protections. It comprises three levels: OFFICIAL (most day-to-day business of government), SECRET and TOP SECRET (typically requires bespoke sovereign protection). Information with an OFFICIAL classification can be managed by commercial solutions that mitigates the data and information risks faced.[2]

These levels of classification are outlined in Table 3.2, overleaf.

Table 3.2 - HMG Security Classifications

OFFICIAL	SECRET	TOP SECRET
Most information created or processed by the public sector. This includes routine business operations and services, some of which could have damaging consequences if lost, stolen or published in the media, but are not subject to a heightened threat profile. Does not require sovereign protection.	Sensitive information that justifies heightened protective measures to defend against determined and highly capable threat actors. For example, where compromise could seriously damage military capabilities, international relations or the investigation of serious organised crime. Requires sovereign protection.	HMG's most sensitive information requiring the highest levels of protection from the most serious threats. For example, where compromise could cause widespread loss of life or else threaten the security or economic wellbeing of the country or friendly nations. Requires sovereign protection.

There are four levels of UK Government security clearance: Baseline Personnel Security Standard (BPSS), the Counter-Terrorism Check (CTC), Security Check (SC) and Developed Vetting (DV). The PFMO should confirm if the E&L team need a level of clearance to be able to receive / access relevant documents.

Information storage and security

The E&L team accesses HMG documents and files in five ways:

- from public domain repositories (e.g., DevTracker, Results for Development (R4D), HMG department websites);
- when HMG departments share them directly with us;
- when PFMO or PF Project Managers shares them with us;
- when shared by and between E&L team members;
- when we access information held by the M&R service provider.

To maximise availability of information to approved users, assured, commercially available products will be used to store electronic programme information that are compliant with a) The Data Protection Act and b) the ISO/IEC 27000 family.[3] Security policies and ISO compliance can be accessed for the products we are using for project management (Podio[4]) and for file storage (Dropbox for Business[5]).

[2] HMG Security Policy Framework, 2014 - link
[3] ISO 27001: Information security management systems - link
[4] Podio security information, and Security White Paper can be accessed here - link
[5] Dropbox security and compliance information - link

Whilst these controls cannot absolutely assure against the most sophisticated threats, they provide robust and effective protections that make it very difficult and expensive to illegally access OFFICIAL/sensitive information.[6]

In addition to using compliant systems, and providing training and support to team members, we also add a layer of security to computers with access to large volumes of programme documents using encryption, conditional access,[7] configuration policies, remote administrator access, and mobile device security policies. Devices that meet these criteria can access approved systems. WYG has included confidentiality clauses in all contracts with sub-contractors and associates.

Physical data and information security measures adopted by the E&L team are fourfold:

- physical destruction of copies of personal information – paper documents should be shredded and memory devices (e.g. USB sticks) must be rendered permanently unreadable;
- a 'clear desk policy' to avoid accidental information leakage;
- controlled access to any premise(s) used to carry out E&L work; and
- system-level password requirement when devices are left unattended.

Information sharing between E&L and M&R teams

The E&L team collaborates with the Prosperity Fund Monitoring and Reporting (M&R) service provider to deliver the PFMO contract. The M&R team manages a web-based solution (Prospero) to store HMG data and information relating to the Prosperity Fund. Prospero is being designed to be compliant with PFMO, HMG, Communications-Electronics Security Group (CESG) policies, standards and principles.[8]

The E&L team has role-based access[9] to Prospero, and is responsible for safeguarding access within the E&L team, who transfer them to E&L systems. E&L hold accountability for all information and documents in its systems. To minimise risk, access is provided in a limited way to ensure users only have access to the information necessary for carrying out their duties.

Information shared with the E&L team will be treated in accordance with its classification, and stored using the programme's approved systems (Dropbox for Business, Podio). Approval from E&L is required on a case-by-case basis to store PF materials outside these storage and communication systems. Using alternative storage or communication systems without approval is considered a breach of contract and E&L policy.

[6] p.14 Government Security Classification, Apr 2014 - link
[7] minimum system-level requirements for documents or email to be accessible.
[8] As advised by PA Consulting, the M&R service provider.
[9] Role-based access control (RBAC) is a method of regulating access to computer or network resources based on the information needs of individual users (e.g. access is to perform a specific task, such as view, create, or modify a file).