MAKE AN IMPACT: THE 'I' AND THE 'D' OF MAKING IT HAPPEN

WORKSHOP REPORT

DFID

January 21st 2009

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Annexes

Acknowledgements

We are grateful to colleagues in the Department for International Development (DFID) and amongst the research and practitioner communities for their time and inputs to the 'Make it Happen' workshop. In particular our thanks go to Adrian Nembhard (Economist Evaluation Department) and colleagues in Evaluation Department and Jeremy Holland (Consultant) who contributed extensively to the planning and design of the workshop; to DFID colleagues who kindly made contributions to the workshop on the day: Sue Owen (Director General Corporate Performance), Sam Sharpe (Director Finance and Corporate Performance), Julia Compton (Deputy Head Evaluation Department), Jo Abbott (Social Development Adviser DFID DRC), Isabelle Cardinal (Social Development Adviser DFID Rwanda), Alison Kennedy (Equity and Rights Team), Rachel Turner (International Finance and Development Effectiveness Division) and Francis Harper (Senior Statistician). We would also like to thank our panel of experts: David Booth (Research Fellow ODI), Gil Yaron (Director, GY Associates), Carlos Barahona (Principal Statistician University of Reading), Joachem Nahem, (Manager Oslo Governance Centre) and David Peretz (Chair of the Independent Advisory Committee on Development Impact). We would also like to thank Fagoon Dave (EA to Heads of Profession Governance and Social Development) and Jackie Johnson (Knowledge Officer Professional Development Team) who were responsible for workshop logistics and John Larlham for making such an excellent job of managing complex VC connections through out the day.

Finally, we would like to thank all DFID staff, researchers and practitioners who participated and contributed to the success of the workshop on 21 January 2009.

Ellen Wratten (Interim Director Policy Head of Profession Social Development)

Sue Phillips (Director Social Development Direct)

"This report was funded by DFID however the view expressed in the report does not necessarily reflect that of official UK government policy".

1. Workshop Summary

This report provides a short summary of the recent workshop hosted jointly by DFID's Head of Profession, Social Development and Evaluation Department on January 21st 2009. The workshop was held in Palace Street and attended by DFID staff from Palace Street, East Kilbride and country offices in DRC, Rwanda, Afghanistan and Mozambique. External participants also attended from the United Nations Development Programme (UNDP) Oslo Governance Centre, Overseas Development Institute (ODI), University of Reading, Oxford Policy Management (OPM) and DFID's Independent Advisory Committee on Development Impact (IACDI). The workshop was designed primarily for DFID staff concerned with evaluating impact and measuring results. Participants covered a spectrum of DFID programme and advisory areas (Annex 4).

This report has been prepared for circulation to participants but is also intended as a resource for those interested in the workshop content but who were unable to attend.

2. Workshop Objectives and Programme

Background

The need for good analysis and sound evaluation to be at the heart of evidence-based policy making is key to increased donor harmonisation and the Paris Declaration. International donors can expect to face increased demands from a range of stakeholders to ensure that the impact of DFID's work can be measured. This includes demands that donors have more evidence to show the delivery of real benefits for poor people on the ground, to consolidate and strengthen the international development community's focus on poverty reduction. It also includes the need for more evidence that can be communicated to the tax paying public in the North on what is being achieved from aid money, building the case for international development assistance.

On-going work to deliver on this agenda covers the use of evaluations (in general) with reference to impact evaluations as one type of tool for evaluative work, cost benefit analyses and other tools to improve use of numbers, log frames and monitoring statistics. The staff of international agencies will increasingly be expected to equip themselves to respond to new demands for evidence of impact.

DFID's own draft policy statement on impact evaluation[1] recognises the value of such evaluations, which give a more nuanced understanding of what works in development and why. It recognises the importance of mixed methods. Similarly, work underway on 'measuring results' and 'using numbers' not only recognises the need to find standard indicators which are sensitive to social difference, such as gender, but also to supplement standard indicators with narrative that can capture those dimensions of poverty that are not easily amenable to quantification. These priorities are developed in the context of the commitment to increased measurement by the donor community as a global public good. It also points to the need to gather best practice in quantitative and qualitative methodologies for impact evaluation, which can guide the donor community in building capacity and drawing on world-class expertise. DFID's work on impact evaluation in particular recognises the importance of improved and harmonised donor efforts in this area, working through multi-donor initiatives; such as Network of Networks on Impact Evaluations[2] (NONIE) and International Initiative on Impact Evaluations[3] (3ie).

In recognition that increased knowledge is needed among staff in international organisations to help them navigate their way through this highly complex area, DFID commissioned a short piece of work in November 2008 to update thinking and build knowledge on issues related to the use of quantitative and qualitative methodologies drawing on previous 'knowledge' investments in the use of different methodologies. This work identified practical ways in which international approaches to impact evaluation can draw on a range of methods and skills to help DFID:

a) measure the impact of different donor interventions on different groups of people;

b) measure the different dimensions of poverty, particularly those that are not readily quantified but which poor people themselves identify as important, such as dignity, respect, security and power; and

c) use the research process itself as a way of increasing accountability and empowerment of the poor.

This work was undertaken by Jeremy Holland and Sabrine Garbarino (OPM Ltd). The title of the report is 'Quantitative and Qualitative Methods in Impact Evaluation and Measuring Results' and was finalised in February 2009. This report is available through the Governance and Social Development Resource Centre (GSDRC) and on the GSDRC web-site www.gsdrc, and is also being circulated with this workshop report as a key resource.

The January workshop 'Make an Impact: The 'I' and the 'D' of Making it Happen' was designed to disseminate and build on the Holland and Garbarino report and help familiarise DFID staff with the use of qualitative methods in impact evaluation and measuring results.

[1] See http://dfidinsight/Stellent/groups/quest/documents/document/pub_011375.pdf
[2] See http://www.worldbank.org/ieg/nonie/
[3] See http://www.3ieimpact.org/index.php

Objectives
The specific objectives of the workshop were:

> *1. To increase participants' understanding of the what, the when and the how of using combined quantitative and qualitative methods for better evaluation of development impacts across DFID's work*
>
> *2. To showcase innovative approaches to measuring and evaluating poverty impacts from within and beyond DFID.*
>
> *3. To help participants to integrate the measurement of results into DFID's work and to know where to go for support.*

Programme (Annex 1)

Sue Owen and Sam Sharpe set the context for the workshop by outlining why measuring results and evaluations in general, including impact evaluations, are important to DFID. Julia Compton (Deputy Head Evaluation Department) outlined the principles of DFID's new Evaluation Policy[4]. All highlighted the importance and complementarity of quantitative and qualitative methods in their presentations.

Jeremy Holland presented the main messages from his paper, setting the context for discussions about methodologies and tools available to bridge the gaps in impact evaluation methodologies. A series of innovative practice discussion groups with external experts (David Booth, Gil Yaron, Carlos Barahona and Joachim Nahem) exposed participants to a range of innovative examples of qualitative and mixed methods used in evaluation. These innovative practice workshops also provided opportunities for participants to question presenters and explore how these methods might be used in their own contexts. A 'surgery' with the experts, provided an opportunity for DFID staff in DRC, Rwanda and Policy and Research Division (Equity and Rights team) to put their own 'measurement' and evaluation dilemmas to the panel for discussion.

A 'Question Time' chaired by David Peretz, the Chair of DFID's Independent Advisory Committee on Development Impact[5] (IACDI) rounded off the day by providing participants the opportunity to question a DFID panel – Rachel Turner (Director of International Finance and Development Effectiveness), Ellen Wratten (Head of Profession Social Development), Frances Harper (Senior Statistician) and Julia Compton (Deputy Head Evaluation Department) – about operationalisation of the "measuring results", and the "DFID Evaluation Policy" agendas, particularly in relation to the issues raised during the workshop.

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[4] See http://www.dfid.gov.uk/consultations/draft-evaluation-policy.pdf
[5] See http://iacdi.independent.gov.uk/

3. Main messages

Options, choices and informed decisions

Sue Owen and Sam Sharpe stressed that DFID and the broader development community needs to get better at measuring its results and impact to know how to get the best use and value from aid money to maximise poverty reduction. It might be easy to do good things but it is much more difficult to know what are <u>the best</u> things that can be done.

The Making it Happen Agenda is about better results for poor people and the evidence to prove better decision making, better accountability and better communications.

Accountability to the UK public

Evidence of impact is also important for communicating to the UK public. But there is a challenge in reconciling a public obligation to report on results with the understanding that DFID contributes to development impacts via donor and governmental cooperation. Some amount of attribution is necessary, however, to demonstrate DFID's added value, but this may require a more subtle assessment of DFID's contribution which, in turn, will have implications for the methods used.

Quantitative and qualitative methods and evidence are complementary and mutually supportive

Whilst there is a strong emphasis on numbers in the 'Making it Happen' agenda, for example better statistics, using numbers in decision making, standard indicators and improved log frames at programme and country level, this does not preclude or mean less emphasis on qualitative information. More of both and more integration of methods is needed for better measurement and evaluation of results. This message was repeated throughout the day, from Sue Owen and Sam Sharpe in their context setting for the day, to the panel discussion at the end of the day.

Quantification of outcomes is necessary but not sufficient. In impact evaluation qualitative methods can provide evidence to help explain 'why' and 'how' final outcomes have occurred for poor people and offer insight into who the beneficiaries are (for example females compared to males). Qualitative and participatory methods: document the unexpected; illuminate the mechanisms underlying statistical associations and suggest directions of causality; exploit the ability to triangulate findings, seeking out information to check findings; tell stories; create images that bring data to life and attract politicians' attention.

Qualitative methods and frameworks need to be better understood and more confidently operationalised within DFID evaluations (whether centralised or decentralised)

Although there is a clear set of methodological precedents and statistical protocols for conducting impact evaluations, the added value –and comparative advantage- of qualitative methods and frameworks needs to be better understood and more confidently operationalised in DFID. Even where a classic randomised control trial (RCT) type evaluation is appropriate and achievable there are opportunities for combining and sequencing qualitative methods that need to be taken. There is a rich body of experience from Poverty Assessment, Poverty and Social Impact Analysis and Poverty Reduction Strategy (PRS) monitoring that we can draw on.

Don't get too boxed in with methods

There is no one size fits all and it is important to be flexible, use best judgement, make the best use of what exists and know when it is best to use different methods. The context for any evaluation will be a significant determinant in identifying and combining methods. The notion of 'fit for purpose methodology' suggests that there is rarely an ideal type of evaluation that can be rolled out in all contexts. Methods and approaches need to be designed to fit the context. They will also vary according to purpose. The point about context was brought home particularly forcefully in contributions from DFID colleagues in country offices describing the challenges they face when conducting research and generating data in fragile states. Examples from DRC, Afghanistan and Rwanda highlighted the paucity of data in conflict and post conflict contexts in particular.

Question Time with David Peretz

What are the biggest challenges for DFID in evaluating and measuring results? What incentives are there, even when the results may be negative?

Challenges: lack of time; competing priorities for DFID staff; lack of incentives, particularly for producing results that aren't positive; changing the mind set that evaluation is an optional add on; skewing what we do to achieve immediate outcomes at the cost of longer term processes; less emphasis on what DFID spends and more emphasis on what it achieves; taking risks; learning from mistakes.

How in evaluations can you attribute results to particular donors, especially with budget support?

What does the UK tax payer want to know? Are we sure the UK taxpayer wants to know DFID's specific contribution or are they more concerned with knowing that impact is occurring and that UK aid money is well spent?
Isn't it important to know how others perceive our impact? Are we producing results that poor people care about?
Irish Aid public opinion survey found that corruption and knowing whether money was reaching its destination was the public's main concern and whether improvements had been achieved in developing countries, not Irish Aids specific contribution.
We need to know what it is about our work that makes a difference; otherwise we could just give UK monies directly to EC. What instruments do we use that make a difference? We need to understand what works and why.
DFID is not an investment bank so we need to be very careful using the language of investment such as rates of return; a lot of what DFID spends against is non-capital (revenue) expenditure so our language needs to reflect that reality. .
Successful development is a co-operative business. Each player can say their role was essential but they need co-operation. DFID still needs to assess its contribution but this has to be more subtle than rigorous attribution.

Is managing results about more and better statistics? And who in DFID is responsible for managing results?

Not just about statistics but aligning everything DFID does towards results and changing DFID's culture across the organisation.
It's about public sector reform.
Statistics are important but they are not the be all and end all.
It's about assessing whether organisations are fit for purpose. An effective results based organisation will be judged on the basis of whether evaluation fed into decision making.
Who? Senior management, Results team but ultimately everybody.

How can the tension be resolved between needing to get results and building up long term capacity for evaluation?

Mustn't lose sight of long term capacity as this is very important.
The need for rapid results depends on what processes we are looking at – we sometimes need to know in real time whether we are on track.
These are political decisions which need to be made in country.
Real doubts about whether strengthening national systems is really important to donors.
Donors doing things for themselves stops governments increasing their capacity

What does the panel think the global development community ought to be doing to generate real time evidence on the impact of global crises to inform decision making?

Funding the 'Global Poverty Watch'.
Longitudinal studies.
Rapid snap shots from the ground from DFID country offices.
Views from anthropologists on the ground.
DFID should be on this side of the aid architecture to be able to provide early warnings of crisis.
Which voices does DFID privilege when it listens?
DFID must listen to and engage with alternative discourses out there.

Make the best use of what's available

At several points through out the day, the panel of experts reminded participants to search out and make use of the data available–so often over-looked or assumed not to be there.

Qualitative dimensions of poverty (non material) can be quantified

The Holland and Garbarino report identify a range of contexts and examples of where qualitative dimensions of poverty have been quantified; most specifically in the areas of governance, empowerment, social capital and social exclusion. Several tools are available. Examples of 'agile' tools include citizen report cards and community scorecards. It is important not to be reductionist when quantifying qualitative impacts however, and to drill down beneath the numbers. Qualitative methods have critical explanative power.

Impact evaluation is a political process and needs to be managed as such

Political economy analysis has a lot to add to impact evaluation, as well as evaluations more generally. Such analysis should look at the interplay of political and economic interests and incentives both around development interventions and in the process of the evaluation itself.

Working in partnership and building capacity for measuring and evaluating impact
Donor priorities for the manner in which evaluations are conducted include managing political interests and incentives; supporting a more inclusive process; building country level ownership; and strengthening national level evidence-based accountability. Evaluations need to be anchored in national institutions, technically embedded and support capacity building.

The importance of local ownership was driven home by an example provided by Joachim Nahem of UNDP. In Zambia in 2007 a total of nine different governance assessments were carried out resulting in over assessment fatigue and an observation by a Zambian that everybody in Zambia was assessing governance apart from Zambians themselves!

But there are tensions. ….
In practice, there are tensions between the demand for quick and early results and building sustainable capacity in country. The UNDP backed Governance Assessments provide useful insights into how tensions have been managed. This tension should be made more explicit.

And so should the tension between the emphasis on immediate results and longer term impacts.
The results agenda is in danger of skewing measurement to shorter term outputs and outcomes rather than longer term impacts, some of which are more complex (e.g. empowerment). Participants felt that this was an important tension for senior management and IACDI to resolve. There is an opportunity –with Heads of Profession for example –to build in time for longer term and more challenging evaluations, which would include impact evaluations.

The example of measuring progress on DFID's Gender Equality Action Plan highlighted very clearly the tension between delivering information on results and the need for good quality evaluation and learning of what does and doesn't work.

Capacity building for national statistics offices is a must
There is a consensus that 'smash and grab' evaluation needs to be avoided in favour of budgeted capacity building with in-country partners. National statistics offices will require quite considerable capacity building to take on measuring the more non material dimensions of poverty e.g. governance, social development and environment.

The cost of capacity building of national statistics offices is a fraction of the funding spent on external consultants commissioned to undertake donor evaluations.

DFID's own capacity is limited
DFID's approach is to mainstream measuring results and evaluation but questions were raised by DFID staff about whether this is feasible. It was considered by some to be such an important area of work that dedicated staff might be needed to lead in country programmes.

And where are the incentives for DFID staff?
DFID staff need support, time and incentives. A shift in emphasis from measuring success in terms of what DFID achieves rather than what it spends - emanating from DFID leadership – will help incentivise staff, particularly when faced with competing demands on their time.

There is also a strong disincentive for DFID staff to invest time in evaluations that are critical. A steer from the top is needed to reinforce that (a) evaluation is not an optional add on; and (b) that it is OK to be criticised in evaluations. David Peretz stressed that aid is a risky business and if every intervention works, you're not taking risks and innovating. DFID must learn from its mistakes as well as its successes[6].

And finally… language and shared understanding
Carlos Barahona highlighted some of the barriers to collaboration between qualitative and quantitative researchers. One of the most important is recognition that qualitative tools have often been designed for different purposes (e.g. advocacy) and that trade-offs have to be made between the insights they offer and statistical rigour. The lack of a shared language between quantitative and qualitative researchers is a major barrier – a common understanding of methodology is required.

4. Evaluation

Feedback from Evaluation forms was extremely positive. The presentation of the background paper and the range of contributions from external experts were particularly valued. Participants also enjoyed the opportunity of being able to share and discuss practical issues with the experts.

The resources provided were especially valued and therefore these (and further resource material) will now be made more widely available on the GSDRC web-site and InSight.

[6] For example the National Audit Office published a report 'Helping Governments Learn', February 2009, http://www.nao.org.uk/publications/0809/helping_government_learn.aspx.. It stated that Central Government Departments should be more systematic in the lessons learned from success and failure.

Workshop
Make an Impact: The 'I' and the 'D' of Making it Happen

January 21st 2009

DFID, 1 Palace Street, Room 3W11

Programme

9.00	**Registration and coffee**
9.30 – 9.45	**Welcomes** Ellen Wratten, Head of Profession Social Development, DFID and Julia Compton, Deputy Head of Evaluation Department, DFID
9.45 -10.15	**The I and the D of Making it Happen** Presentations: **Measuring Impact and the Making it Happen Agenda**: Sue Owen, Director General of Corporate Performance, DFID **Results Action Plan Priorities:** Sam Sharpe, DFID's Results Champion, Director Finance and Corporate Performance Division, DFID **The Principles of DFID's Evaluation Policy**: Julia Compton, Deputy Head of Evaluation Department, DFID
10.15 – 11.00	**Tackling the Challenges of Measuring Impact: Learning from Innovative Practice** Presentation of the main messages from '**The Use of Quantitative and Qualitative Methods in Impact Evaluation and Measuring Results**' Jeremy Holland, OPM Ltd
11.00 – 11.15	**Coffee**

11.15 – 12.00	**Sharing DFID Experience: Challenges and Questions for the Experts** Structured session with a small number of DFID offices or departments sharing emerging work on impact evaluation and other results focused work with a panel of experts **Panel:** Carlos Barahona, Senior Statistician, Statistical Services Centre, University of Reading David Booth, Research Fellow, Overseas Development Institute Gil Yaron, Director, GY Associates Ltd Joachim Nahem, Manager Global Programme Democratic Governance Assessments, Oslo Governance Centre
12.00 – 13.00	**Innovative Practice Workshop 1- Case Studies using Mixed Quantitative and Qualitative Methods** **Discussion groups:** 1. **Participatory numbers and going to scale in Malawi** Carlos Barahona, Senior Statistician, University of Reading 2. **Measuring Empowerment using Mixed Methods in Bangladesh** Gil Yaron, Director, GY Associates Ltd 3. **Poverty Monitoring and Analysis in Uganda** David Booth, Research Fellow, Overseas Development Institute
13.00 -14.00	**Lunch**
14.00 -15.00	**Innovative Practice Workshop 2: Case studies on Political Economy and Process** **Discussion groups:** 1. **Joint Governance Assessments** Joachim Nahem, Manager Global Programme Democratic Governance Assessments, Oslo Governance Centre 2. **Political Economy Analysis in Impact Evaluation** David Booth
15.00 – 15.15	**Tea**

15.15 – 16.00	**Question Time: Making it Happen – What next?** **Chair:** David Peretz, Chair of the Independent Advisory Committee on Development Impact **Panel** Rachel Turner, Director, International Finance and Development Effectiveness Division, DFID Julia Compton, Deputy Head of Evaluation Department, DFID Ellen Wratten, Head of Profession, Social Development, DFID Frances Harper, Senior Statistician, DFID
16.00	**Close**

ANNEXE 2: WORKSHOP CASE STUDIES

1. Participatory numbers and going to scale in Malawi

Carlos Barahona, Principal Statistician, University of Reading

2. Measuring Empowerment: A Mixed Method Diagnostic Tool for Measuring Empowerment in the Context of Social Safety Net Provision in Bangladesh

Gil Yaron, Gil Yaron Associates and Nora Dudwick, World Bank

3. Poverty Monitoring and Analysis in Uganda

David Booth, Research Fellow, Overseas Development Institute

4. Joint Governance Assessments

Joachim Nahem, Manager Global Programme Democratic Governance Assessments, Oslo Governance Centre,

5. Political Economy Analysis in Impact Evaluation

David Booth, Research Fellow, Overseas Development Institute

Participatory numbers and going to scale in Malawi

Carlos Barahona, Principal Statistician, University of Reading,
c.e.barahona@reading.ac.uk

Context

There is an increasing openness to methodological innovations in using different methods, including participatory methods for applied research. In this case participatory methods generating quantitative data as part of a project evaluation were utilised to generate robust population estimates. This presentation describes our experience with combining statistical principles and participatory methods to generate national statistics. The methodology was developed in Malawi between 1999 and 2002. The studies were commissioned as part of the evaluation of A DFID-funded Starter Pack, a program of the Government of Malawi (with support from multiple donors) that distributed small amounts of free seed and fertilizer to all smallholder farmers in the 1998-99 and 1999-2000 main agricultural seasons.

Research methodology

The challenge of integrating statistical methods, which allow the estimation of population parameters, with participatory approaches which allow the exploration of complex questions, became the key research topic for this project. The search for acceptable trade-offs was the focus of the research innovation. The resulting research methodology incorporates statistical sampling, the use of participatory tools followed by statistical estimation of the population characteristics of interest.

Lessons learned

In Malawi in 1999-2002 we conducted research studies using participatory methods to generate population estimates; estimates of the proportion of people in a population with certain characteristics (e.g. the very food insecure); and estimates of the proportion of people in a population that should be targeted by an intervention. We claim that the statistics generated in these studies are at least as reliable as statistics obtained from traditional methods such as surveys. A key requirement is to produce results from a representative sample, which can be generalised in order to reach conclusions for the population of interest. This implies working in a larger number of sites than is common for most studies that use participatory methods. However, we argue that the Malawi experience shows that it is possible to organise such studies at a reasonable cost.

Other key requirements are for the study design to incorporate statistical principles; and for PRA tools to be adapted to meet the demands of standardisation and comparability of data produced across sites. We argue that this can be done without undermining participatory approaches, behaviours and methods. If research studies using participatory methods follow this approach, the data generated will be suitable for standard statistical analysis. The statistics produced by such studies should be capable of informing policy at national level. However, there are some concerns about empowerment and ethical issues, which present challenges for the future.

The methods developed as well as the lessons learnt in Malawi were used again in 2006 in Uganda to design and implement a qualitative study of the dimensions of poverty that was linked by design to the sampling process of the Uganda National Household Survey (UNHS III). The experience demonstrates that the methodology proposed can be adapted to be part of the operations of National Statistical Systems, but that the challenges of integration of statistical methods and participatory approaches also face institutional constraints.

Further resources and internet links

Barahona, C. and S. Levy. (2005) '*The best of both worlds: Producing national statistics using participatory methods*'. Working Paper No. 11. Q-Squared. Toronto, Canada. http://www.q-squared.ca/papers11.html

http://www.rdg.ac.uk/ssc/workareas/development/mala_fip.html
http://www.ssc.rdg.ac.uk/workareas/participation.html

Measuring Empowerment: A Mixed Method Diagnostic Tool for Measuring Empowerment in the Context of Social Safety Net Provision in Bangladesh - Summary

Gil Yaron, gil_yaron@gya.co.uk and Nora Dudwick, World Bank

Background & context

Empowerment is recognized as an important outcome of development, but monitoring the link between interventions and empowerment remains a challenge. This summary describes a World Bank study that attempts to measure the empowerment impacts of seven social safety net programs (SSNP) in Bangladesh using a rich model of empowerment and an innovative combination of qualitative and quantitative methods. It forms part of a multi-country study that uses combinations of qualitative and quantitative methods to measure empowerment in a range of policy contexts.

Approach

Alsop, Bertelsen and Holland (2006) propose viewing empowerment as the interaction of asset-based agency and institution-based opportunity structure. We use this analytic framework to develop the questions in the research instruments. The research involved: adding an empowerment module to an existing national survey of 2,040 beneficiary and 701 non-beneficiary households to evaluate the most important SSNP; adding a short women's questionnaire administered by female enumerators to the wife or female household head; using community questionnaires, which asked questions about local facilities as well as social norms and practices; and undertaking 72 focus group discussions (FGD) to investigate SSNP impacts in more depth.

Two econometric methods were used to analyze the data. Ordered logit analysis was used to analyze findings from the household survey's empowerment module, while propensity score matching (PSM) was used to analyze a data set drawn from those parts of the household survey asked to female beneficiaries and non-beneficiaries, a community survey and the women's questionnaire. Results were triangulated with FGD findings to understand the empowerment impacts of the SSNP in the economic, social and civic domains of empowerment.

Lessons learned

Combining data from all four instruments (the household, women's and community questionnaires and the focus group discussions) revealed that the SSNP help to address extreme poverty, but do not help those women who receive program benefits in terms of social or civic empowerment. Women gain assets but find that conservative norms either prevent them from changing their behavior or from successfully transforming their choices into desired outcomes.

Expanding the Food for Work and Money for Work schemes were the most frequently voiced request to policy makers from the focus groups as these do not have the stigma of "accepting charity". However, the econometric results show these schemes are least effective in achieving economic outcomes (such as children in school, access to credit, clean water, etc.) – probably because heavy manual work uses up calories and substitutes for productive work in the home. Policy makers therefore face a challenge in designing workfare programs that deliver more effective benefits for women.

The empowerment indicators proved useful for revealing differences between the SSNP, as well as different impacts on different groups of beneficiaries, depending on a number of characteristics including marital status, age, education, and level of poverty. Complementing the quantitative survey, which used a nationally representative sample of beneficiary and non-beneficiary households, with a significant number of focus groups nuanced the findings. It would have been preferable to sequence the methods so that the FGDs could have informed the design of the questionnaire, circumstances did not allow for this. Nevertheless, the FGDs proved particularly important for getting at the less observable but potentially important social impacts of the SSNP, particularly on female beneficiaries' self-confidence.

Poverty Monitoring and Analysis in Uganda

David Booth, d.booth@odi.org.uk

1) Why is a no-longer-recent experience in poverty monitoring relevant to the new discussion about evaluation and impact?

"Evaluations … ask questions about: why and how results are achieved; how the programmes are working; who benefits/loses, effects on poverty …; whether the policies and objectives are relevant to the ultimate aims of reducing poverty. … Impact evaluation [focuses on] whether a policy, programme or project has actually changed people's lives and whether outcomes are directly attributable to the interventions" (DFID, Building the Evidence to Reduce Poverty, Consultation Draft, Box 2).

This experience in Uganda was at the leading edge of poverty-monitoring practice at the time. As well as being focused on final outcomes for people, it relied upon a) a good *panel* survey of household expenditure, and b) a cutting edge Participatory Poverty Assessment (PPA), plus, at least in principle, c) linkages between the two via a well-run Ministry of Finance. This combination permitted the asking of some of the "why?" and "how?" questions that distinguish evaluation from mere monitoring, and the results have been used for evaluation purposes … by the government of the country.

2) What particular learning is relevant?

- Especially on the "why?" and "how?" questions a good PPA or equivalent adds value to even the best household survey.
- There are important uses for "participatory numbers" (Barahona) as well as for mixed methods for measuring what household surveys can't or don't (Yaron).
- **But** the more *general* experience is that the best payoff from combined methods is a form of linkage that lets surveys and qualitative studies each **play to their strengths** (Appleton and Booth, drawing on Carvalho and White, box below).
- Qualitative is strong on causes and unanticipated consequences, on the ability to triangulate information internally and on telling stories which carry political weight. It is *not* strong at directly confirming or challenging what surveys suggest.

3

Strengths and weaknesses of survey-based and participatory approaches
Survey-based: Strengths: (i) making aggregation possible; (ii) providing results whose reliability is measurable; (iii) allowing simulation of effects of different policy options. Weaknesses: (i) sampling and non-sampling errors; (ii) missing what is not easily quantifiable; (iii) failure to capture intra-household dynamics.
Participatory approaches**:** Strengths: (i) richer definition of poverty; (ii) more insight into causal processes; (iii) accuracy and depth of information. Weaknesses: (i) lack of generalisability; (ii) difficulties in verifying information.

methodological combination from being realised in Uganda?

Links

http://www.dfid.gov.uk/consultations/draft-evaluation-policy.pdf
http://www.odi.org.uk/pppg/cape/publications/db_Uganda_me_background_paper.pdf
http://www.opml.co.uk/services/monitoring_and_evaluation/evaluation/evaluation_peap.html

Joint Governance Assessments

Joachim Nahem, Manager Global Programme Democratic Governance Assessments, Oslo Governance Centre, Joachim.Nahem@undp.org

Donor perspective on governance assessments

- Governance has gained prominence within donor agencies and has evolved from narrow concerns with public-sector management to encompass a broad set of interconnected issues, including the role of institutions, human rights, and corruption.
- Donor-initiated governance assessments have become increasingly important tools for planning, due diligence, risk management and impact evaluation in agencies.
- There are over 45 such methodologies (generally a mix of quantitative and qualitative) currently being used with only a few allowing for input from partner countries
- Several donors (e.g. Sweden, DFID, Netherlands) are increasingly making use of 'political economy' methods placing a premium on power analysis and generally the political 'process' (both formal and informal)in a country and how this may impact aid
- A 2008 OECD DAC GOVNET study on donor approaches to governance assessments found that there is a risk of frequent duplication and overlap between assessment tools, as well as the need to improve practice with regard to greater reliance on partner country assessment processes. The study also shows why and how donors make their own assessments and the possibility of harmonising donor approaches to assessing governance (Rwanda currently the only example of this)

UNDP approach to Democratic Governance Assessments

- For UNDP a democratic governance assessment provides a critical accountability mechanism for government and for citizens to engage on governance issues and voice their opinions. Through a Global Programme coordinated by the Oslo Governance Centre, UNDP assists developing countries produce disaggregated and non-ranking governance indicators to enable national stakeholders to better monitor performance in democratic governance reforms. The programme aims to provide cutting edge knowledge on methods, country experiences, good practices as well as a network of partners in the field.
- Although nationally owned, country-led governance assessments often face common challenges of capacity deficits, a lack of political commitment, competing [assessment] interests, poor coordination, indicator fatigue and unsustainable resources.

Further resources and internet links

- http://www.undp.org/oslocentre/flagship/democratic_governance_assessments.html
- www.oecd.org/dac/governance/govassessment

10 Central Features of an Effective Democratic Governance Assessment

1. The governance assessment system should be anchored in the national development plan or a national political commitment such as the Poverty Reduction Strategy Paper (PRSP), African Peer Review Mechanism or national governance/anti-corruption strategy.
2. The assessment should be country-contextualised and focus on national governance priorities.
3. A methodology should be used that conforms to global standards in terms of technical and scientific rigour.
4. Indicators for the assessment should be selected and generated through a transparent, participatory and inclusive process and the assessment process should form part of a wider social dialogue.
5. An institutionalized procedure should exist to collect data from a variety of sources (surveys, administrative data, national statistics), as well as a national database for storing this information and making it publicly accessible.
6. The assessment should be poverty- and gender- sensitive along with sensitive to other vulnerable groups in the country.
7. A targeted approach should be employed to develop the capacities of national stakeholders, including government policymakers, civil society, academia, the media, parliament and political parties. In particular, the national statistics agency or office in charge of governance data collection, storage and analysis should be targeted.
8. The assessment should be cost-effective and timely.
9. The results of the governance assessment should be widely disseminated and communicated to stakeholders, including vulnerable groups, and should be used by a broad range of stakeholders to inform governance policy reform.

10. Resources should be available to ensure repetition of the assessment to enable monitoring of improvement/deterioration in the quality of democratic governance.

- Governance Assessment Portal: www.gaportal.org [forthcoming]

Political Economy Analysis in Impact Evaluation

David Booth, d.booth@odi.org.uk

1) Why is political economy analysis relevant to the new discussion about evaluation and impact?

"Evaluations … ask questions about: why and how results are achieved; how the programmes are working; who benefits/loses, effects on poverty …; whether the policies and objectives are relevant to the ultimate aims of reducing poverty. … Impact evaluation [focuses on] whether a policy, programme or project has actually changed people's lives and whether outcomes are directly attributable to the interventions" (DFID, Building the Evidence to Reduce Poverty, Consultation Draft, Box 2).

To put the same thing in different language, impact evaluation differs from mere monitoring of outcomes by being centrally concerned with a) *attribution* (to an intervention, not necessarily or usually to a particular donor's contribution), and b) the *mechanisms* by which the intervention is *or is not* working to produce the desired results. In other words, is the "programme theory" right? Are the expectations and assumptions in the Logframe, if any, borne out by the actual experience, and if not, what needs to change?

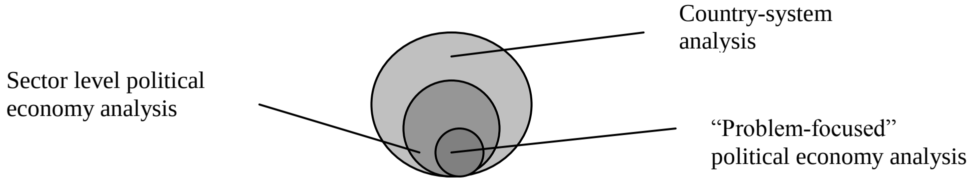
Political economy factors (the interplay of political and economic interests and incentives) are nearly always central to the "mechanisms" that programmes assume. For this reason, political economy analysis ought to be central to both (ex ante) programme appraisal and (ex post) evaluation.

2) Why "political economy"? The Drivers of Change agenda has moved on

We have made headway on this! Ten years ago, evaluators used to complain that inconvenient political facts were "buried" in programme Logframes. But then we got Drivers of Change. Now it is time for evaluation to catch up. But how?

With Drivers of Change, DFID offices started doing political economy analysis routinely when preparing country plans. Some offices have also been using it to prepare specific interventions. Increasingly sector support reflects a political economy assessment, and there is "problem focused" analysis too. A forthcoming DFID How To Note provides an overview.

A hierarchy of political economy tools



Problem-focused political economy has recently been piloted on growth-policy options in Uganda. A second phase of this work will feed into the design of new DFID support to the roads sector in Uganda and to growth policies in Ethiopia (ODI Note). Several PSIA exercises by the World Bank have incorporated a strong element of political economy.

Evaluation work has been catching up, but unevenly. The Uganda PEAP evaluation by Oxford Policy Management has a full Theme Paper on the political economy of the PEAP process. A recent evaluation of Norwegian aid to Zambia deployed PE tools. Budget support evaluations, in contrast, have typically done much less PE analysis than they should.

Links

http://www.dfid.gov.uk/consultations/draft-evaluation-policy.pdf
http://www.opml.co.uk/services/monitoring_and_evaluation/evaluation/evaluation_peap.html
http://www.opml.co.uk/publications/briefing_notes/index.html

ANNEX 3: EXTERNAL SPEAKERS BIOGRAPHIES

Make an Impact: The 'I' and the 'D' of Making it Happen Workshop
January 21st 2009
DFID, 1 Palace Street, Room 3W11

Short Biographies of External Speakers

Carlos Barahona
Carlos Barahona is the Principal Statistician at the Statistical Services Centre, University of Reading. His main professional expertise is in the design, analysis and communication of applied research and monitoring and evaluation. He uses his training in statistics as the basis for planning research projects and programmes, but the experience of working in applied research and as a consultant over 17 years has widened the range of approaches that he uses to include social research and participatory methods. His experience includes working in developing countries on issues related to food production, food security, vulnerability, the link between evidence and decision making, how to collect reliable statistics, and how to influence policies by using reliable information generated by good research processes. From a professional point of view, Carlos is interested in bringing together statistical principles and innovative approaches in order to tackle challenging information problems and obtain robust and reliable results. His work involves sharing information and knowledge with scientists, development workers, decision makers and the resource-poor people who are directly affected by the results of research processes.
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David Booth
David Booth is a Research Fellow in the Politics and Governance Programme at the Overseas Development Institute. A sociologist by background, he has done research, advisory work and programme evaluations in Latin America and Africa. He is currently Director of the Africa Power and Politics Programme, a five-year consortium research undertaking, and interested in the application of political economy perspectives to various areas of development work.
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Joachim Nahem
Joachim Nahem is a governance specialist and programme manager at the UNDP Oslo Governance Centre. He previously worked with UNDP in New York at the Democratic Governance Group of the Bureau for Development Policy. Prior to this Joachim was International Technical Adviser at UNDP Country Office in Mongolia where he was supporting the Government and a national team of researchers with developing democracy assessment tools. From 2003-2005, Joachim worked as a researcher on justice and human rights at the UNDP Oslo Governance Centre. He has also held positions with the French NGO La Chaine de l'Espoir and the Council on Foreign Relations in Washington, DC. Joachim holds degrees from the London School of Economics (Msc Human Rights) and the Walsh School of Foreign Service at Georgetown University (Bsc International Affairs).
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David Peretz
David Peretz is an independent consultant and senior adviser to the IMF Independent Evaluation Office, the World Bank, the Commonwealth Secretariat, and other international organisations. Mr Peretz was formerly Under Secretary for Monetary Policy at the UK Treasury. From 1990-1994 he served as UK Executive Director of the IMF and World Bank, and from 1994-1998 as UK Financial sherpa for G7/G8 economic summits.
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Gil Yaron
Gil Yaron founded GYA after working in economic consultancy (for NERA and London Economics) and in research (for Oxford University). His academic background is in economics and applied econometrics with a doctorate from Oxford University. Over the past 20 years he has worked on sustainable development issues and has a particular interest in combining qualitative and quantitative methods for impact evaluation. Gil's work experience includes designing and implementing household surveys and qualitative case studies to advise on social protection in the water, energy, mining and forestry sectors in a number of Asian and African countries through to a three-year project to establish a participatory monitoring and evaluation system for many rural communities in Mexico.
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Jeremy Holland
Jeremy Holland is a social development consultant with 15 years experience in research and advisory work in the Caribbean, Eastern Europe, Asia, Africa and the Middle East. He works on poverty and policy analysis; monitoring and evaluation; gender analysis; rights-based approaches; participatory governance; political economy; and participatory and combined research methods. He is the author of the World Bank/DFID PSIA TIPS sourcebook *Tools for Institutional, Political and Social Analysis of Policy Reform.*
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