Final Report

Learning from DFID's Governance and Transparency Fund (GTF):

Tools, methods and approaches

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4th June 2010

TRIPLELINE CONSULTING

in association with

KPMG

TABLE OF CONTENTS

Acronyms

Appendices:
1. A summary of changes to be achieved by GTF programmes in Kenya / East Africa
2. IPPF Advocacy Planning Methodology
3. The use of SMART indicators in GTF programmes
4. Transparency International's Partnership Scale
5. CAFOD's Partner Assessment Tool
6. Oxfam's Social network / new media strategy

Acknowledgements

I would like to thank all those who gave us their time and insights.

1. Executive Summary

This is the first in a series of papers aimed primarily at Governance and Transparency Fund (GTF) grant holders and their partners as well as others who are interested in learning from DFID's £131 million fund. The Fund aims to improve Governance and Transparency largely through strengthening civil society. This paper draws on examples from the 38 GTF programmes implementing a diverse range of activities in over 100 countries. Programmes have been up and running for between 12 and 18 months so that results and impacts will be the subject of future learning papers.

This paper's focus is how tools, methods and approaches have been applied to design better governance and transparency programmes around the world. The main audience for this paper are the GTF grant holders and their partners.

The learning paper brings together lessons which have come directly from GTF programmes (either from reports, email communication, meetings and seminars or a learning field visit to Kenya). This paper has been finalised following input from GTF grant holders, either in the form of specific comments made or from presentations they had prepared for the postponed GTF workshop which was to be held at the end of April 2010.

In many cases, the tools and methods do not come across clearly as 'new' or 'innovative', at least in terms of the governance sector. For individual GTF programmes they may consider the tools or methods to be innovative in how they are designed and applied (sometimes in a new partnership with a research, academic or media institution). It may also be the case that governance issues *per se* are new to the organisation and/or its partners which may lead to developing new strategies (e.g. GTF 301 Christian Aid's partners in Kenya), reviewing and targeting different audiences (e.g. GTF 142 ODI) or mainstreaming issues within an organisation (e.g. GTF 010 Water Aid). There are a number of examples of 'innovation' such as the use of citizen score cards to demand better governance in fragile states (e.g. GTF 141 Tiri), the production of a TV drama to promote governance and rights issues (e.g. GTF 170 Search for Common Ground) and the use of audio diaries to record experiences of engaging with political leaders (e.g. GTF 334 International Budget Partnership).

There is clearly rich diversity in the type of tools and methods being introduced and applied within the GTF. The following are some of the key learning points to come out of the GTF so far.

Contextual and political analysis

One of the most important learning points in developing a contextual or political analysis has been how the analysis has informed the baseline for programme interventions and even identified gaps or opportunities in the original plans (e.g. GTF 094 CAFOD, GTF 142 ODI, GTF 301 Christian Aid). GTF programmes have indicated this has resulted in identifying new governance issues and advocacy targets on which to focus, revising work plans and activity schedules, re-assessing risks and so on.

Contextual and political analysis has not only been used to provide a rationale for GTF programmes at the inception stage but some have indicated that their analyses are actively used to guide and adapt interventions during the course of the programme. This is particularly the case in fragile states. There is growing evidence that GTF programmes are re-visiting their analysis to respond to changing political circumstances (e.g. GTF 003 Conciliation Resources, GTF 312

Zimbabwe Human Rights NGO Forum). Tools have been developed to map political changes – and adapt accordingly - during the programme implementation (e.g. GTF 085 Transparency International, GTF 328 IPPF).

Theories of change need to be tested rigorously on the ground. GTF programmes need to be prepared to challenge their own assumptions and regularly re-visit these assumptions, and even the theory as a whole, if they do not appear to be relevant to a particular context.

Approaches to engagement and advocacy

The GTF was set up to focus on the demand side of governance. At the same time a number of GTF programmes have emphasised the need to get the balance right between the demand side (e.g. raising awareness on people's rights, mobilising groups to demand better access to services) and the supply side (e.g. national government ability to pass legislation, local government capacity to deliver). Some GTF programmes have understood the risk of raising expectations on the demand side which cannot be met on the supply side due to insufficient financial resources, mismanagement of public funds and/or lack of commitment (as evidenced in the Kenya learning visit, Feb 2010).

In general GTF programmes recognise a need for constructive engagement with government and other political leaders. Some GTF programmes have expressed the importance of engaging national and local political leadership in a transparent and accountable manner, informing them what a new method or tool is for, why it is being introduced and what added value it can bring (e.g. GTF 112 NICRO, GTF 245 CGD, GTF 309 LEF).

Experience from Kenya has demonstrated a need to identify comparative advantages to strengthen advocacy and engagement with government. There is clear added value of utilising partnership approaches to make advocacy more effective within existing GTF programmes, or building partnerships across GTF programmes to strengthen advocacy potential (e.g. GTF 170 Search for Common Ground).

Tools and methods to measure performance and changes in governance

Scoring systems (e.g. report cards, ranking surveys) are seen to be an effective tool in publicising governance issues at the national level. Some GTF programmes have been attuned to the opportunities they present but also to the risks of scoring or rating government performance especially in less open political environments (e.g. GTF 334 International Budget Partnership). In other cases, scoring systems may be seen to be more effective when they engage with politicians or government officials and respond to their criticism before publication (e.g. GTF 245 CGD, GTF 174 Gender Links).

Several GTF programmes with a strong media focus have led the way in incorporating standard media tools within their activities such as opinion polling, focus groups, perception surveys) For a number of other GTF programmes the media is seen as a key player in governance and not only a tool to use to promote governance issues (e.g. GTF 077 BBC World Service Trust, GTF 158 Oxfam). There is also a growing recognition that mainstream civil society needs to learn more about the media and develop models of engagement.

Tools and methods for measuring progress within GTF programmes

Lessons from technical reviews of existing M&E plans indicates a need for GTF programmes to develop further robust M&E plans which are seen as integral to

programme management and producing evidence of results and impact, since they can actually help to shape and change ongoing programmes or work plans.

A learning point from the inception phase (first six to twelve months of programme implementation) has been that SMART indicators can be more easily developed for country-level logframes than for global logframes. Some organisations have struggled to incorporate specific country-level indicators into their global logframes although there are some good examples where this has been achieved (e.g. GTF 158 Oxfam).

A further learning point is that some GTF programmes have carried out qualitative surveys or research with focus groups, for example, to design and structure questions for more quantitative type of surveys (e.g. GTF 077 BBC WST). In some cases baseline surveys has produced strong quantifiable baseline values against which SMART indicators can be measured (e.g. GTF 095 Ma'an).

Sharing lessons learned

Based on several in-country learning events held to date (mainly hosted by DFID offices), it is clear that coordination is most effective when DFID governance advisors view the GTF as integral to their wider governance portfolio (and not as something funded separately from DFID in the UK). By coming together in forums there can be considerable mileage in sharing lessons, identifying comparative advantages, and seeking opportunities for joint collaboration in the future action.

One clear concluding lesson is that the GTF has an in-built responsibility to share experiences and learn across what is a wide and diverse range of approaches to governance and transparency.

2. Context of learning in the GTF

Initial learning from the GTF has identified a wide range of tools and methods to promote better governance and transparency. It is clear that a number of GTF programmes are making important contributions to the implementation of DFID's CAR framework[1], essentially focussing on increasing governments' accountability and responsiveness to their citizens. At the same time their experience has the potential to feed into DFID and other donors' lesson learning and improved practice. The GTF presents a special opportunity for practical field based research in vital areas of governance.

Lesson learning is a major focus of the overall GTF programme. This is reflected in aspects of the *GTF logframe,* in particular output 6 and specific indicators of the logframe (as noted in *box 1*). These may be re-visited from June 2010. The audience for learning from the GTF includes civil society organisations and their local partners, national governments, DFID and other development agencies.

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[1] CAR = Capability, Accountability, Responsiveness.

Box 1: Learning aspects from overall GTF logframe

Output 6: M&E, reporting, learning and dissemination: GTF grant holders have increased capacity to effectively monitor their own impact, learn lessons and disseminate evidence-based findings to different audiences.

6.1 M&E framework is designed with clear baseline to measure outcomes and impact of GTF grant by end of March 2009.

6.2 Grantees are able to draw on experience to learn lessons and disseminate them to a wider audience of development partners by Feb 2010.

6.3 38 grantees are able to demonstrate progress towards impact as a result of GTF funding by the end of June 2010.

6.4 End of June 2010 grantees are able to generate initial findings and useful case study material to publish with minimal external support.

There will be different phases of learning from the GTF. The first stage of learning from the GTF recognises that it may be too soon to measure the true impact of most programmes. There are, however, a number of innovative methods and tools, some of which have shown early signs of success. A primary objective of first stage learning is to help strengthen the approaches of all GTF programmes through sharing of lessons learned on a wide range of tools and methods and how they are applied in governance work.

The GTF learning paper has been informed by **a desk study** looking at initial learning from the following sources: GTF programme inception reports and annual reports; additional materials submitted by GTF grant holders (e.g. case studies, tools, baseline studies); and feedback from country-level meetings held amongst GTF grant holders (e.g. Zimbabwe, South Africa, Sierra Leone, Tanzania, UK); a learning visit to **Kenya** in February 2010 which included a number of specific programme visits and a workshop with GTF grant holders and their key partners based in Kenya; and specific comments and inputs on earlier drafts by GTF grant holders and a number of presentations for the postponed UK-based workshop.

For the purpose of this paper, an identified **lesson** is defined as an observation and conclusion that can be applied to improve performance and shared amongst others. A **lesson learned** is defined as an improvement made within an organisation in terms of structure, resource, process, approach, policy or strategy, based on one or more of the lessons identified.[2] The paper makes a number of **learning points** which are considered to be important for learning for GTF grant holders and their partners, and DFID, at this stage.

What the paper will do? This paper focuses on methods and tools currently used by GTF programmes to share amongst the grant holders and their partner organisations to understand better the practices of others and aid their performance as they face difficulties in their programmes. It is also designed to inform DFID of a range of tools and methods that are being used within the GTF. Where possible case studies highlight good practice and also identify areas of common or particular weaknesses. As the GTF is very much about experimentation and piloting, the paper aims to identify what is new and innovative and has potential for replication. The paper is designed to be accessible, relevant and usable at the field level.

What the paper will not do? The paper is not designed to be a research paper. It will not identify areas of impact and effectiveness of the GTF. It is not an

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[2] Adapted from "Learning Lessons for Conflict and Stabilisation: Report for UK Stabilisation Unit", Libra Advisory Group Ltd, 18 December 2009.

evaluation of GTF programmes. It is too soon to identify and learn lessons from emerging impact although attention has been given to tools and methods which are being applied to demonstrate impacts and results. Lessons on impact and results will be a focus for future learning papers.

3. Main Findings

This section brings together a wide range of tools, methods and approaches under a number of common headings as agreed between DFID and Triple Line / KPMG. Each section is illustrated by a number of examples and case studies. Where possible the paper has highlighted key learning points.

3.1 Contextual and political analysis

3.1.1 Approaches towards contextual analysis at the start of a programme

During the inception stage and first year of the GTF all programmes were required to develop a political or contextual analysis in the countries in which they are working to underpin their programmes.[3] GTF programmes were asked to consider a number of areas for their context statement, including political and institutional frameworks, key features of the main actors, social and political landscape, and recent events shaping opportunities, constraints and entry points. Oxfam (GTF 158) has identified the following useful lessons in relation to the contextual analysis that can be useful for future project design (*see box 2*).

Box 2: Oxfam's practical lessons to help in future contextual analysis

- It is important to be flexible and react quickly to opportunities.
- Good quality and shared power analysis at every level is and will continue to be critical.
- The reality of local cultures needs to be actively considered.
- Changing perceptions is a slow, complex process and using the media effectively will be key.
- The media is key. We need to learn more about the media and develop models of meaningful engagement over time and not treat it as a tool to be used and discarded.
- Understand the local context and what "burning" issues are as these can be entry points for the projects.
- Understand how the state works in a given context.
- Link project work to specific state budget plans and allocations.
- Engage with donors to ensure continuation of funding at local level.

While some of these lessons are considered in later sections of the paper, it is important to pick up on the second lesson about shared power analysis. The GTF has seen the development of a number of in-depth political and contextual analyses which have been used to inform the direction of individual GTF programmes. Some of these have acted as baseline studies such as the study on 'Good Governance through strengthened media in Liberia' (GTF 036 JHR). More detailed examples are contained within the two case studies below. These both demonstrate how the contextual analysis has informed and changed the programme intervention at the outset. A lesson not yet captured in the GTF is whether individual GTF programmes have systematically shared their analysis;

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[3] The GTF Inception Report guidelines state: "A thorough analysis of the context should reinforce the rationale for your programme and provide an important starting point from which change can be measured."

others too have developed in-depth contextual analysis (e.g. Transparency International's National Integrity System).

Case studies

GTF 142: Overseas Development Institute (ODI)
http://www.odi.org.uk/programmes/politics-governance/
ODI has introduced a stocktaking exercise to create a database of organisations, projects and approaches on governance in each country from which GTF can both learn and input into. It has also adapted its existing World Governance Assessment (WGA) to generate perceptions of governance across key political societies – seen as "*a capacity development tool for local governance actors*" (in non-fragile states). These tools are designed to help ODI prioritise pivotal governance issues as they conduct multi-stakeholder

> **Box 3: The importance of sound context analysis**
> "*…Understanding the political context is all the more crucial when it comes to interventions aimed at improving governance: without a sound context analysis projects risk to fall back on technical/off the shelf/pre packaged definitions of 'good governance' which can (or have been proven to) undermine national processes and ownership. Furthermore, a programme like GTF which aims to involve a multitude of different actors - with the explicit objective of improving/transforming the relations among them - will benefit from a governance analysis/assessment which provides insights on these actors' different perceptions and experiences.*"
> Marta Foresti, Fletcher Tembo, GTF Baseline Context Analysis: Concept Note ODI, Dec 2008

dialogue meetings to focus their interventions in each country). Outputs from the WGAs and stocktaking exercises feed into their country plans. ODI has highlighted the importance of conducting sound context analysis which identifies key governance issues on which to focus in their country plans (*see Box 3*). The WGA is not cheap; ODI estimates the average cost of a WGA to be £20,000.

At a recent peer review meeting in which partners discussed WGA as a methodology, results from Malawi, Zambia and Uganda were regarded as very useful in designing the country plans and sharing with other stakeholders. An example of this from Malawi Can be seen in box 4 (*opposite*).

ODI considers its WGA as unique in that "*it tries to avoid assuming that 'good' governance is the standards adopted by liberal democracies in the West…[It] relies on six principles that are not country or region-specific but reflect universal human values (1) participation, (2) fairness, (3) decency,*

> **Box 4: Contextual analysis informing programme interventions in Malawi**
>
> "(ODI) Malawi sent out a call for proposals for providing grants for pilot projects based on the three identified governance issues including: - improved transparency and accountability of elected leaders (parliamentarians and councillors) to their constituents; enhanced ordinary citizen participation in policy making, implementation, and monitoring, including the national budget processes; and improving citizens' access to justice…It is envisaged that around 10 coalition projects (media, CSOs and elected representatives) will be formed and supported to work on specific issues in six of the 27 districts in Malawi selected on the basis of regional and political party spread, among other criteria.
>
> ODI peer review meeting, Lilongwe, Jan 2010.

(4) accountability, (5) transparency, and (6) efficiency."   These principles are then examined alongside perspectives of governance in six distinct and yet related arenas of *civil society, political society, government stewardship, bureaucracy, economic society and judiciary.* It will be interesting to debate such 'principles' and arenas of 'good' governance within the GTF, both at the global and national level.

GTF 301: Christian Aid

How Christian Aid's partners in Kenya have adapted their approaches to the contextual analysis. The Kenya Human Rights Commission (KHRC) values the GTF programme in that it has helped to identify gaps in what it has been doing in the past. The main issue coming out of its own research was the importance of citizenship to people; but KHRC also recognised a need to respond to practical needs (e.g. water, infrastructure) and the complexity of devolved public funds. The power analysis, which is being introduced in the GTF programme, helped KHRC to recognise the need to build a social movement in northern Kenya, or a coalition of organisations to work as a 'block' to advocate and lobby government authorities.

The analysis carried out by another Christian Aid partner, the Centre for Rights Education and Awareness (CREAW), highlighted the potential to use devolved funds (the Constituency Development Fund - CDF) as a vehicle in which to engage communities and use in its advocacy work. Early in the project they conducted a baseline survey which identified a gap between CDF leadership and the community. It also recognised a "fear" amongst marginalised women who were reluctant to demand that their leaders are to be accountable (to them). As with the other partners, the baseline survey has helped CREAW to identify real needs of people and they have now employed a similar baseline approach across other (non-GTF) programme areas.

A key learning point from the development of contextual or political analysis has been how the analysis has informed the baseline for programme interventions and even identified gaps or opportunities in the original plans. GTF programmes have indicated this has resulted in identifying new governance issues and advocacy targets on which to focus, revising work plans and activity schedules, re-assessing risks and so on.

3.1.2 Use of contextual or political analysis during a programme intervention

As a number GTF programmes have revised their programme interventions at the outset based on their analysis of governance issues, it is unsurprising that some are also using their political analysis tools and methods throughout the course of the programme, thus continuously revisiting the analysis and adapting the programme intervention(s) as the context changes. For example, CAFOD's (GTF 094) approach has been to be opportunistic as its own analysis contained within its baseline studies have already led to changes in its GTF programme in order to adapt to changing political contexts; CAFOD and its partners have recognised an ongoing need to identify opportunities to engage on governance issues.

In a similar way, the Zimbabwe Human Rights NGO Forum (GTF 312) is taking advantage of new opportunities in a changing political context. With their 'naming-and-shaming' to deter would-be rights violators, it will be interesting to see how this remains a viable approach based on what is achievable given their own understanding of the political environment. Following changes in the political environment in Fiji, Conciliation Resources (GTF 003) has revisited its country programme to make adjustments on issues around military personnel in government, freedom of the press and rule of law.

While Conciliation Resources has revised the **assumptions** that underpinned its Fiji programme, a number of GTF programmes acknowledge **risks** will change over time in country programmes. For example, the Westminster Foundation for

Democracy (WFD) (GTF 394) has developed a risk matrix which identifies political, financial, delivery and personal security risks, probability and impact, how they will be mitigated, and the owner of the risk.

The two case studies below provide examples of tools from the GTF which are designed to be used to map political change during programme interventions.

Case Studies

GTF 328: International Planned Parenthood Federation–Western Hemisphere Region (IPPF-WHR) *http://www.ippfwhr.org/en/resources*

IPPF-WHR has developed a **Political mapping and analysis handbook,** a tool to develop a comprehensive picture of the political context to develop and monitor advocacy projects. Using this tool, Member Associations (local partners) develop and update their political maps during the course of the project. Local partners are asked to provide detailed semi-annual updates to each country political map including commenting on changes on political structure, relevant demographic indicators, political context, legal framework, executive legislative and judicial powers, regional governments, key actors. The tool has been adapted to a range of local contexts, i.e. those areas in which each partner "*should focus its efforts in order to affect change within the government and increase accountability*" (IPPF-WHR annual report Apr 08 – Mar 09, p.1). This could be around improving existing or developing new legislation to decrease unplanned pregnancies or a commitment to improved access to Sexual and Reproductive Health Rights education and services for young people.

IPPF has also developed an **advocacy planning methodology** as a tool which underscores the importance of seeing data collection and political analysis as cyclical, and defines the advocacy expected result (*see appendix 2*).

GTF 085: Transparency International http://transparency.org/
Transparency International's **Policy Scale** was introduced at its partners' workshops in late Nov 09, and has been piloted by a number of its National Chapters earlier this year. The results of the full roll-out of the Policy Scale across twenty-five partners will be available in time for their second Annual Report and it will be included in an updated database for roll out in about forty countries by the end of 2010. It is a simple but useful tool for measuring change in government and non-state actors' policies and practices over time across a number of different countries and policy areas. It can also be used when it is not possible or desirable to define the targeted policy of advocacy efforts in advance.

It is based on the understanding that policy change occurs along a continuum, and that the starting point can be at different stages of policy change: development, adoption, implementation and enforcement. A zero value is included, as even institutionalized policies can regress, for example, due to change in government.
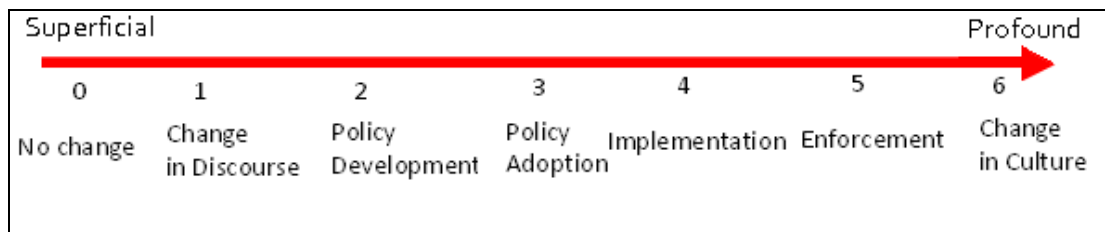
LEVEL	ACTIVITIES
COOPERATION/ CHANGE IN DISCOURSE	Verbal support for proposed changes
POLICY DEVELOPMENT	Proposed principles reflected in draft policies/legislation
	NC input included in draft policies/legislation
POLICY ADOPTION	Adopted
	Not Adopted
POLICY IMPLEMENTATION	Regulations, procedures etc. adapted to new legislation/policy
	Institutions/staff dedicated to new policy
	Budgetary resources allocated to new policy
POLICY ENFORCEMENT	Prosecution of offenders of new policy
	Court rulings in favour of new policy
CHANGE IN CULTURE	Principles have permeated all aspects of administration
	Breaking principles perceived almost universally wrong

A key learning point is that political analysis has not only been used to provide a rationale for GTF programmes at the inception stage but some have expressed that their analyses are actively used to guide and adapt interventions during the course of the programme. This is particularly the case in fragile states. There is growing evidence that GTF programmes are re-visiting their analysis to respond to changing political circumstances. Tools have been developed to map political changes – and adapt accordingly - during the programme implementation.

3.1.3 Approaches to describing and understanding 'change'

Due to the complex nature of their programmes, a number of GTF grant holders have been challenged in describing what specific changes – especially the most significant change – they want to achieve through their activities. It has also not always been clear how changes will be measured over the course of the GTF programme (e.g. new legislation, implementation of a policy, change in behaviour, access to information or services). From the GTF learning visit it was interesting to explore how GTF partners in Kenya articulated what they plan to achieve or change as a result of their work. *Appendix 1* includes examples of general and specific changes of their GTF work as described by Kenya partners in Feb 2010.

Some GTF grant holders have attempted to describe a **model or theory of change** which underpins their programme; demonstrating what their GTF programme is trying to change, how they and their partners are going to achieve that change, what capacity building is required of partners and other stakeholders, and most importantly how a theoretical model can be put into practice and 'relate' to the programme intervention(s). Some GTF programmes have differentiated demand from supply side approaches although most

programmes appear to be working on the demand side; only a couple working on both supply and demand. However, there is insufficient evidence to suggest that models of change being tested were in themselves sufficient to ensure changes in practice. As several GTF grant holders have stated, identifying what needs to change through a new analysis or a new model alone will not achieve the changes desired.

However, there are some interesting lessons from a recent meeting of UK-based GTF grant holders which starts to demonstrate how theories of change are leading to a re-definition of concepts and theories that underpin GTF programmes. ODI (GTF 142) indicated how its World Governance Assessment has challenged perceptions about who represents who in politics and society including in civil society. BBC World Service Trust's (GTF 077) field vision analysis (based on a liberal media model) was criticised when tested in Tanzania and elsewhere. As a result it has looked for more challenging or precise theories, especially those relating to fragile states and conflict, to test its assumptions. Global Witness (GTF 219) has moved from a focus on transparency to responsiveness as it recognises that by simply making information more transparent does not naturally lead to better governance as in the case of the forestry sector in Liberia.

The following case studies begin to address some of the challenges raised around theories of change and highlight the importance of developing a model or theory of change to guide programme interventions.

Case Studies

GTF 301: Christian Aid
*http://www.christianaid.org.uk/images/no-small-change-2010.pdf*
In collaboration with the Institute of Development Studies (IDS), Christian Aid is developing a **Power Analysis Tool** which is underpinned by its theory of change ('No Small Change', see web link above). The tool is being piloted in Brazil, Kenya and Sierra Leone, and is based on an understanding and an analysis of (forms and faces of) power which leads to the mapping of power in a country. This allows for partners to **analyse change objectives** by addressing specific questions (e.g. what specific changes is your programme trying to bring about, what would this change mean in terms of power relations, what would this change mean in terms of denial / exercise of rights) **and to develop a strategy analysis** (e.g. how does the programme strategy relate to the change in power relations we want to see? How does it deal with existing power relations and actors who are barriers to change? How does it engage with underlying social norms / discrimination, not just visible power relations?). The tool is also used to explore power relations in the partnership between northern and southern civil society.

GTF 361: GNP+ *http://www.gnpplus.net*
A second approach to make use of a theory of change has been introduced within Global Network for People Living with HIV/AIDS' (GNP+) HIV Leadership Through Accountability programme (*see diagram below*). In this case a **theory-based M&E system** has been proposed in which all interventions, whether at project, programme or policy level are underpinned by the same theory of change; both at the global and country level. What is interesting about this example is that the M&E system follows the same logic outlined in the theory of change at every stage: from situation analysis to investing in inputs to undertaking activities to reaching target groups to identifying and measuring outcomes. It is too early in the life of the GTF programme to see how this model is being applied and tested.

GNP+: Mapping out the theory of change: Project logic
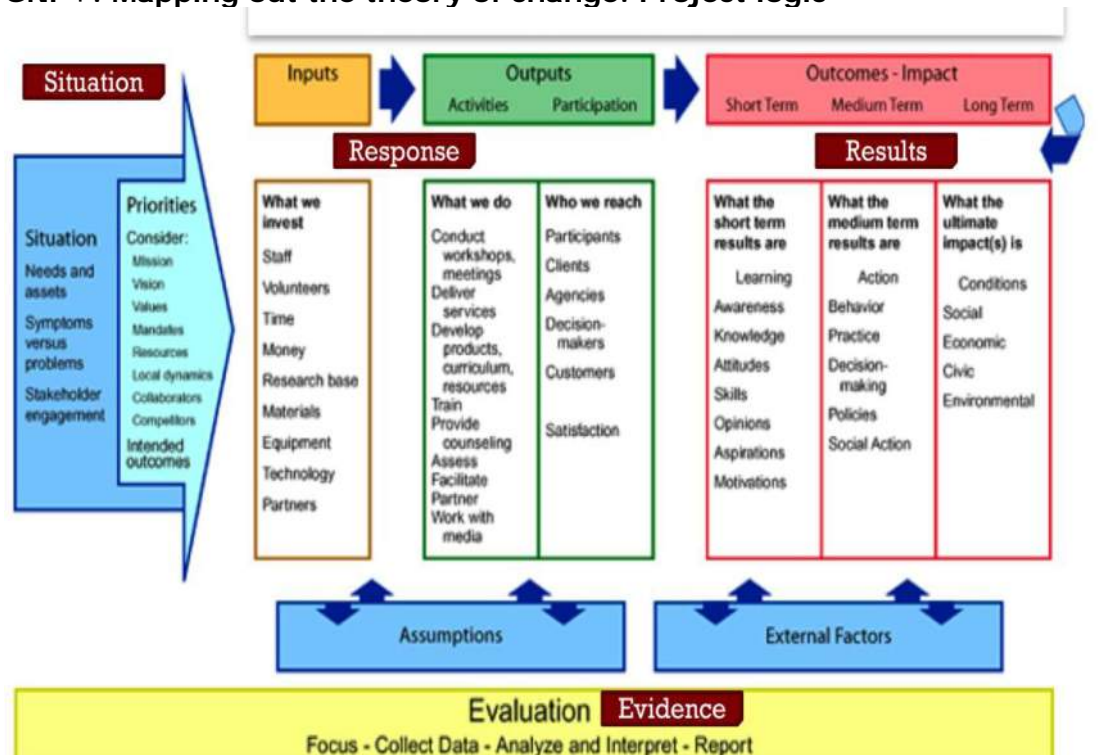
Source: University of Wisconsin, modified; www.uwex.edu/ces/pdande/evaluation/evallogicmodel.html

A key learning point is that theories of change need to be tested rigorously on the ground. GTF programmes need to be prepared to challenge their own assumptions and regularly re-visit these assumptions, and even the theory as a whole, if they do not appear to be relevant to a particular context.

3.2 Approaches to engagement and advocacy

3.2.1 Building networks/coalitions to reinforce and spread success

A rather obvious but important lesson learned is that opportunities to conduct advocacy is considered by some GTF programmes to be stronger when organisations have a common understanding of what they want to change and network with each other when engaging with decision-makers or power interests. A number of GTF programmes are starting to demonstrate this point. None more so than the International Budget Partnership (GTF 334) which brings together a wide range of partners in over 85 countries around the world to improve transparent and accountable public finance management. In the case of Kenya, one of its partners, the Social Development Network (SODNET), aims to build synergy amongst like-minded organisations and is working with citizens, civil society and government. One of SODNET's most important networks is its Kenya National Coalition whose members are individuals and organisations committed to informing people about corruption and mismanagement of public resources. Likewise, Transparency International's (GTF 085) approach to dealing with corruption in Mombasa is strengthened by working through a coalition of civil society organisations called Pwami.

Building coalitions around common themes is at the heart of several GTF programmes as in the case of Gender Links (GTF 174). Gender Links coordinates the Southern Africa Gender Protocol Alliance that campaigned for a binding sub-regional instrument with specific targets and timeframes for achieving gender equality. It promotes **coalition building** within sector-focused forums. Members are divided into six thematic cluster areas: (1) constitutional and legal rights, (2) gender and governance, (3) economic justice, (4) gender violence, (5) sexual and reproductive rights and (6) gender and the media. In this case coalition building is an approach to achieving change, whereas in other cases, coalition building is a stated objective of a GTF programme. In this case coalition building is an approach to achieving change, whereas in other cases, coalition building is a stated outcome of a GTF programme.

3.2.2 Balancing the demand side and supply side of governance

A common analysis voiced by GTF programmes in Kenya revealed that a major part of the problem is ordinary people's lack of belief in their own power to change things. This can easily be mirrored across a wide range of GTF programmes in other countries and regions. In addition to looking for entry points for dialogue and engagement with government, part of the solution lies in strengthening social cohesion and solidarity amongst the marginalised. Several Kenyan GTF programmes are doing some particularly interesting and innovative work in this area that other country contexts might benefit from learning about (*see box 5*). These issues are explored further in section 3.2.4.

Box 5: Balancing demand and supply side of governance

The GTF programmes in Kenya offer some interesting lessons for the GTF as a whole. One of the lessons coming out of the Search for Common Ground (SFCG) (GTF 170) programme – in partnership with Media Focus for Africa Foundation (MFAF) is that through its TV drama called 'The Team' and outreach programme it 'opens up space' in which to raise awareness and discuss governance issues. This is very much focusing on the demand side of governance and not on whether the government is able to deliver.

The major emphasis of this GTF programme is to promote social cohesion between groups through group work (which is the essence of Search's approach to bring people together in post-conflict environments). Strengthening social cohesion and solidarity amongst the marginalised is often an overlooked area of governance; the post-election violence in Kenya has generated a lot of this work. This programme provides an example of recognising the power of collective action or the aggregation of voice. One of the strengths of the programme is that the cast members of 'The Team' have been deliberately chosen from different ethnic groups. At the same time, a common analysis of GTF partners is that major part of the problem is people's lack of belief in their own power to change things.

An additional lesson learned from a number of the programme visits, including this one, was in **identifying comparative advantage to achieve advocacy and engagement with government (see 3.4.5).** SFCG and MFAF are opening up space for advocacy work by their community-level outreach. However, it may be that other organisations are better placed to then link it up to national advocacy.

Emma Grant and Richard Burge, GTF learning visit, Feb 2010

A key learning point from the early stages of the GTF is the need to get the balance right between the <u>demand</u> side (e.g. raising awareness on people's rights, mobilising groups to demand better access to services) and the <u>supply</u> side (e.g. national government ability to pass legislation, local government capacity to deliver); some GTF programmes have understood the risk of raising expectations on the demand side which cannot be met in the near future on the supply side.

3.2.3 Reaching the local level / civil society advocacy tools

Box 5 above provides a good example of an innovative approach to reach people at the local level through using a TV drama as a tool to discuss issues of governance and rights at the community level. Engaging community groups to hold duty bearers to account can take many forms. More traditional approaches to community mobilisation, such as adult literacy classes, group animation, street theatre, radio programmes, can also be found in a number of GTF programmes.

The GTF has revealed a range of advocacy tools and methods to be used by civil society. **Report Cards** (*see 3.3.1 below*) have been developed by civil society to monitor progress on government policy and practice. Other examples of advocacy tools and approaches that are being piloted or implemented within the GTF are those of the Partnership for Transparency Fund (GTF 044) which has introduced an **Integrity Pact Tool** to stop corruption in major projects (a tool which Transparency International also uses); the BBC World Service Trust (GTF 077) has used an **Audience Tool**; Transparency International (GTF 085) is rolling out its model of **Advocacy and Legal Aid Centres** to deal with citizen complaints and provide information on corruption. The impact of these tools and methods on local governance issues should be demonstrated in the next stages of learning.

Some GTF programmes have indicated that reaching the local level is not just about demanding rights for citizens and upholding the responsibilities of duty bearers. There is also some learning to be gained from GTF programmes which emphasise the responsibilities of the communities (e.g. SFCG (GTF 170). Furthermore, some GTF programmes have also focused on the accountability and transparency of their own organisations and their partners to those communities with whom they are reaching. Christian Aid (GTF 301), for example, employs concepts of **Downward Accountability** in the delivery of its programme. Recognising that organisations have not always clearly demonstrated accountability in the past, this approach has identified three ways that organisations can increase their accountability to local communities: information sharing, participation in key decisions and a formal complaints mechanism. This has benefits. It encourages good practices, changes power relations, and sensitises staff to community needs. However, there are also risks with this approach (e.g. could lead to malicious complaints, undermines trust and confidence).

3.2.4 Engaging political leadership

As recognised above focusing on the supply side of the governance equation has been more challenging. This is in part due to the fact that some of the GTF programmes have built on existing development work which has focused primarily on awareness-raising on the rights of the marginalised or poor communities and/or have employed approaches to advocacy and lobbying that demand action on those rights. These approaches have concentrated more on the Accountability and Responsiveness aspects of the CAR framework, but less so on the Capability aspect.[4] Learning points are emerging from methods towards engaging political and leadership (e.g. government officials, politicians, religious leaders).

A number of GTF programmes have indicated that governance and transparency issues may gain little traction if those who are targeted, or the ways in which they are targeted, have or create little appetite for change. Within the GTF civil

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[4] In the language of the GTF guidelines, Capability is defined as: "The extent to which leaders and governments are able to get things done, and to perform functions such as providing *stability, regulation, trade/growth, effectiveness and security."*

society organisations have recognised a need to have a sound analysis of the power relationships at the local and national levels.

Within the GTF there are a few examples of civil society organisations engaged in training government officials on specific issues of governance. For example, PRISMA (GTF 422) in conjunction with public universities has started to train local government officials in providing more efficient and transparent public services in Peru. Relief International (GTF 367) has involved government officials in Afghanistan in participatory monitoring of literacy and advocacy work and small-scale infrastructure projects; and built their capacity to engage with local communities.

However, these examples are limited as the Responsiveness aspect of the CAR framework was not seen as a main focus of the GTF. Therefore, engagement with political leadership has been more in terms of advocacy and lobbying on people's rights and the accountability of government (i.e. the 'demand-side' of governance). For example, the Centre for Governance and Development (GTF 245) has developed an approach to engage local politicians as it recognised a political risk of introducing a new tool – in this case Citizen Report Cards – that can be perceived to challenge vested interests (*see box 7 in section 3.3.1*). The case studies below demonstrate the importance of achieving buy in from local political leadership. Although it is recognised this will not always be viable in all circumstances.

Case Studies

GTF 112: The National Institute for Crime Prevention and the Reintegration of Offenders (NICRO) *http://www.nicro.org.za/Home/*
NICRO highlights the importance of **key stakeholder buy-in** to ensure broad support through formal and informal approaches. An example of obtaining stakeholder buy-in (in this case public officials) is the 2009 national stakeholder seminar held in Cape Town. The colloquium was attended by magistrates, public prosecutors, probation officers and Correctional Services. The Colloquium concluded with a conference resolution being adopted: "*The Colloquium delegates resolved to support the establishment of services at eighteen (18) magistrate sites where alternative sentencing programme interventions will be provided to appropriate convicted offenders*" (NICRO annual report, 2008-09, p.6). Following on the Stakeholder Colloquium, each delivery site participating in the GTF-funded programme established a Local Steering Committee (LSC), which addresses the day-to-day operations at site level. There are now 25 LSC with another 9 to be established in 2010-2011 (a total of 52 LSCs are planned by 2013). Why they are considered to be successful is that they are entirely voluntary and non-remunerated. People are invited to join because of their position at the law court. They agree to participate actively because they support the goals of the programme. The more successful LSCs are considered to have very committed and driven people.

GTF 309: Living Earth Foundation *http://www.livingearth.org.uk/*
Central to the Living Earth Foundation's GTF programme is its Good Governance Forum which operates at the local government level in Nigeria. It is "*designed to strengthen accountability and voice in civil society through structured, on-going engagement with the local administration. The forum creates an alliance for change between representatives of community groups and the local government.*"
In its UK workshop presentation, the Foundation highlighted a number of useful lessons learned, in particular "*Identifying individuals in the LGAs (Local Government Associations) as champions for the forum was instrumental to overcoming the initial apathy towards the forum*".

A learning point from some GTF programmes is of the need for constructive engagement with government and other political leaders as long as the environment is conducive. They have expressed the importance of engaging national and local political leadership in a transparent and accountable manner, informing them what a new method or tool is for, why it is being introduced and what added value it can bring.

3.2.5 Coordinated approaches to achieve advocacy and engagement objectives – identifying comparative advantages

Comparative advantages are not always clearly identified within and between GTF programmes. It is not necessarily incumbent on each organisation to cover the full scope of advocacy and governance arenas in each of the areas that they are working; others may be better placed to do so. Identifying which other organisations are working at the different levels is obviously important for a comprehensive approach to engagement. This underscores the need for coordination amongst civil society which is widely understood in theory but does not always occur in practice.

The GTF learning visit to Kenya demonstrated the opportunities that could exist in civil society identifying their comparative advantages to strengthen advocacy and engagement with government. An example of where this has occurred can be seen in the partnership between the Institute of Economic Affairs (IEA) and SODNET to work with parliamentarians on more accountable and transparent budgets (GTF 334: International Budget Partnership). It is not always clear what each organisation can bring to each other. During the Kenyan partners workshop it was recognised there was the potential to establish new partnerships to strengthen joint advocacy positions (e.g. on citizenship in northern Kenya), make use of new media (e.g. through using with SMS and facebook) and inform programme interventions (e.g. consult experts in the water and sanitation sector on developing scripts for TV and radio programmes, as in the case of Media Focus on Africa Foundation, the partner of SFCG GTF 170).
A key learning point is the added value of utilising partnership approaches to make advocacy more effective within existing GTF programmes, or building partnerships across GTF programmes to strengthen advocacy potential.

3.3 Tools and methods used to measure performance and changes in governance

3.3.1 Using scoring systems: to measure government performance

Scoring systems have been introduced in a number of GTF programmes; the main tools being **(citizen) report cards**, **balanced score cards** and **ranking surveys**. Some of these have been tried and tested prior to GTF programmes, including in some challenging environments, as in the case of the International Budget Partnership GTF 334. Others are only being piloted so it may be too soon to learn lessons from their use at this stage. For example, Global Witness (GTF 219), Gender Links (GTF 174) and Conciliation Resources (GTF 003) are all piloting or using report cards. Global Witness aims to present data on a whole range of indicators on the issue of forest transparency. Gender Links is looking to score and measure progress towards gender equality in Southern Africa. Scoring systems are designed primarily for advocacy and engagement with other stakeholders; although they do also serve a purpose for monitoring & evaluation. In fact some may be designed more as an advocacy tool than to measure

progress within the programme especially if they are to be published to an external audience. This may in itself have its own risks as recognised in the first case study below.

Case studies

GTF 245: The Centre for Governance and Development (CGD)
http://www.nta.or.ke/

Through the National Taxpayers Association (NTA), Citizen Report Cards (CRCs) are presented to elected Members of Parliament as well as the Government of Kenya on the management of devolved funds and the provision of frontline services. One of the lessons from this approach has been the need to understand the local political environment and to engage with politicians on the findings of the tool (*see box 6*).

A key learning point to emerge from this tool is that it is more effective to be receptive, and ideally responsive, to criticism from the politicians and/or government officials to achieve changes in the management of devolved funds.

> **Box 6: Citizen Report Cards (CRCs) in Kenya**
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> "When the NTA launched its first CRCs, documenting MP management of government devolved fund grants for development at the constituency level, a number of MPs went on the attack in the national media. A key criticism was that they were not given drafts of the CRCs to examine and respond to before they were formally published. For Phase 2 of the CRC process the NTA is now sending drafts to all concerned MPs, and requesting a meeting with them to formally hear their comments. The NTA is making revisions to the CRCs where MPs make valid points regarding the draft document. All formal communication sent to MPs, their formal response, as well as minutes of any meetings with them, are now being annexed in the final CRCs. Through responding to the criticisms of MPs the NTA has now developed a more responsive, participatory, and robust tool to support citizen demand for accountability from MPs. Importantly, the consultative process has enabled the NTA to develop relationships with those (progressive) MPs willing to meet to discuss the CRC findings."
>
> *Correspondence with Kennedy Masime, 30-03-10.*

GTF 219: Global Witness *http://www.foresttransparency.info/*
With indigenous partners in each of its four initial project countries, Global Witness has produced an online Forest Sector Transparency Report Card.[5] It currently covers four countries: Cameroon, Ghana, Liberia and Peru. The report card has been carefully designed to assess key governance issues in the forestry sector. It assesses 70 transparency indicators across 15 themes ranging from 'Are forest land use / ownership maps available?' to 'Are logging contracts made public?' and 'Is there a Freedom of Information Act?' It relies upon Yes or No answers which are supported by evidence and comment. It uses a simple traffic light system (Red, Amber, Green) to score against each theme (*see overleaf*). Global Witness is finalising a document called 'How do report cards help' which provides a useful overview of report card models used in a range of sectors around the world (*this will be circulated to all GTF programmes when it is published*).

As described by Global Witness, it *"provides a useful tool for civil society to improve their analysis of the issues and to prioritise strategies to tackle them [in advocacy and dialogue with government]"*. The report cards are designed to translate into partner advocacy action plans on key forest governance issues. One lesson from these has been an improved understanding of legal tools and how to

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[5] The partners are Centre pour l'Environnement et le Développement (CED), Cameroon, Centre for Indigenous Knowledge and Organisational Development (CIKOD), Ghana, Sustainable Development Institute (SDI), Liberia, and Derecho Ambiente y Recursos Naturales (DAR), Peru.

use them to hold duty bearers to account, as was considered for example in the case with the Forestry Commission in Ghana (as noted at a recent meeting in the UK, April 2010).

		Cameroon	Ghana	Liberia	Peru
1	Freedom of Information law?	🟡	🔴	🔴	🟢
2	Is the Forest Law available?	🟢	🟢	🟢	🟡
3	Land ownership maps public?	🟢	🔴	🔴	🟢
4	Permit documents public?	🔴	🔴	🟢	🟢
5	Logging volumes public?	🔴	🔴	🟢	🔴
6	Mining vs forestry strategy?	🔴	🔴	🔴	🔴
7	Community funds consultation?	🔴	🟡	🟢	🔴
8	Any national forest forum?	🔴	🟢	🟢	🟢
9	Revenues redistributed public?	🔴	🟢	🟢	🟢

Yes!	Partial	No
🟢	🟡	🔴

GTF 174: Gender Links *http://genderlinks.org.za*
Gender Links has developed a tool to map the political landscape in Southern Africa with a gender lens, called the Gender Protocol Baseline Barometer (*http://www.genderlinks.org.za/article/sadc-gender-protocol-baseline-barometer-2009-09-06.* The Barometer maps progress of all member states *"through a matrix of social, political and economic indicators and a citizen score card. It has thus far, been used to provide baseline data and will be used to measure progress annually."* They have also developed a local government gender scorecard that can be used by independent assessors or local councils to *"to monitor the progress of councils in achieving gender awareness within the council both internally in the way the institution operates and externally in the manner in which it delivers services."* This scores 0-5 against a range of gender-related indicators.

GTF 334 International Budget Partnership (IBP) *http://internationalbudget.org/*
With its Open Budget Surveys (OBS) the IBP is using the same tool to measure government budget transparency practices in some 90 different countries. While training has been provided to country partners, the tool is not adapted to local contexts. Since the OBS is openly published some governments which are ranked low on the Survey have reacted negatively. While this in itself can be seen as an impact of the OBS, it also requires sensitive handling of the research (e.g. threats towards partners requiring external or anonymous research to be conducted). In a few cases, low ranking in the OBS has led to government engagement with the partners (e.g. Rwanda).

On the other hand, there is a risk that Surveys such as the OBS can be misused for political purposes. A key lesson can be learned from how the OBS has been used by Kenyan MPs as a way of praising their own transparency and accountability (as Kenya was ranked 3rd amongst African countries in 2008). Despite this ranking, SODNET has identified a number of weaknesses in the

Kenyan OBS: the lack of a citizen's budget and the lack of mid-year budget reviews. In the future, it will be interesting to demonstrate trends in the scoring within each country's OBI rather than comparing across the countries (as some indices of transparency and accountability may have worsened in Kenya but the country was still ranked 3rd as the situation in other countries also worsened).

A key learning point from these case studies is that scoring systems are seen to be an effective tool in publicising governance issues at the national level. Some GTF programmes have been attuned to the opportunities they present but also to the risks of scoring or rating government performance especially in less open political environments. In other cases, scoring systems may be seen to be more effective when they engage with politicians or government officials and respond to their criticism before publication.

3.3.2 Tools to measure behaviour change

A range of quantitative and qualitative tools has been used in the GTF to measure behaviour change amongst stakeholders, including people marginalised in society and political leaders. These tools have largely been adapted from other social science disciplines and include opinion surveys, focus groups, knowledge, attitude and perception surveys, and psychological research.

Perhaps due to their longer history and greater exposure to public opinion surveys, several GTF programmes with a strong media focus have led the way in incorporating these types of tools within their activities. For example, such tools are commonplace in the GTF programmes of Journalists for Human Rights (GTF 036), BBC World Service Trust (GTF 077), Ma'an (GTF 095) and Search for Common Ground (GTF 170). In most cases, survey instruments have been used to establish baseline data for their programmes. Recognising the M&E and advocacy value of these methods, other GTF programmes such as Global Witness (GTF 219) and Oxfam (GTF 158) have used similar tools in their work.
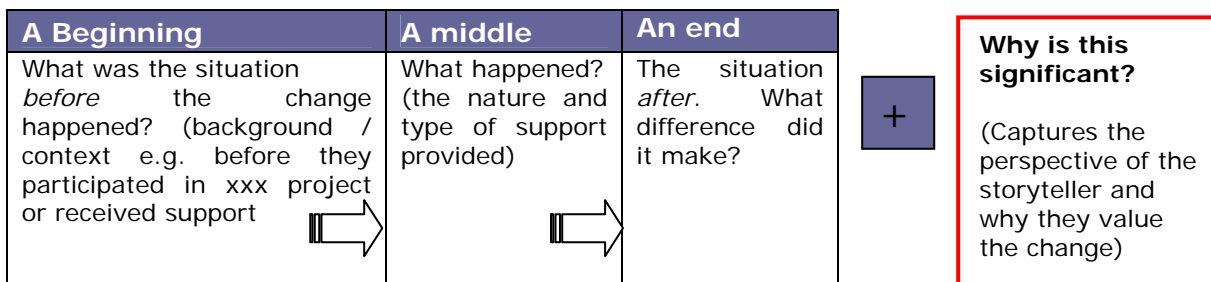
From a qualitative and innovative perspective, Transparency International (TI) (GTF 085) has also employed a **Most Significant Change (MSC***)* stories methodology to describe changes brought about by their programme. It is important to note that this additional methodology was introduced to capture important lessons that were not readily apparent in other statistical methods employed by TI. (*See case study below).*

Case Studies

GTF 085: Transparency International (TI) *http://www.transparency.org*
TI will be piloting the Most Significant Change (MSC) stories methodology[6] in five countries in 2010. While already collecting stories in the framework of the Advocacy and Legal Advice Centres (ALACs), a more methodological approach to story collection has proven necessary. MSC methodology involves three critical steps: (1) collecting Stories of Change, (2) reviewing and selecting the stories by TI's National Chapters and by the TI Secretariat, and (3) providing stakeholders with regular feedback about the review and selection process.

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[6]Davies, R. & Dart, Jess. (2005) The „Most Significant Change" (MSC) Technique: A Guide to Its Use. CARE International

A Beginning	A middle	An end
What was the situation *before* the change happened? (background / context e.g. before they participated in xxx project or received support ⇒	What happened? (the nature and type of support provided) ⇒	The situation *after*. What difference did it make?

+

GTF 095: MA'AN *http://www.maannet.org*
Ma'an has demonstrated the use of opinion polling to establish a wealth of qualitative baseline information on views and perceptions of the media from different stakeholder groups. While opinion polling has been used for decades what is important to highlight from this case study is the use of a specialist centre to conduct the polling, train fieldworkers, and analyse the data which has provided extensive quantitative and qualitative baseline values against which the outputs indicators of the GTF programme will be measured.

A key learning point from these examples is that GTF programmes with a strong media focus have led the way in incorporating standard media tools within their activities such as opinion polling, focus groups, perception surveys. For a number of other GTF programmes the media is seen as a key player in governance and not only a tool to use to promote governance issues. There is also a growing recognition that mainstream civil society needs to learn more about the media and develop models of engagement.

3.4 Tools and methods to measure progress within GTF programmes

During the inception phase one of the requirements for GTF grant holders was to provide a detailed Monitoring and Evaluation (M&E) Plan. A key aspect of this was plan was to outline what M&E tools and methodologies would be used. Some of these have been standard tools, others have been adapted to working in governance, and some have been designed specifically for a GTF programme.

Gender Links (GTF 174) has presented a whole range of M&E tools to be used in their GTF programme. These tools are designed to be used for specific interventions, and include an annual Barometer on progress towards the 28 targets for achieving gender equality in Southern Africa by 2015; a baseline study to be used in analysing change in gender-based violence statistics in targeted localities, a quantitative score card to score on progress towards specific targets to be achieved by 2015 and case studies used to demonstrate individual stories of change.

While the above example demonstrates the importance given to M&E, one of the observations coming out of the GTF workshop in Kenya (Feb 2010) was that M&E was seen by some organisations as a technical activity that was unconnected to the main programme work (i.e. it was not integrated into programme management) and even seen as simply an imposition by donors.

Lessons from technical reviews of existing M&E plans indicate a need for GTF programmes to develop further robust M&E plans which are seen as integral, and not separate, to programme management and producing

evidence of results and impact and actually shape and change ongoing programmes or work plans.

3.4.1 Use of baseline studies

The choice of tools and methodologies for developing baseline data and selection of meaningful indicators were also strongly emphasised during the inception phase, as crucial to any M&E Operational Plan. Baseline studies have come in a variety of forms, as demonstrated in the case studies below, and are seen as essential good development practice within the GTF.

While baselines are being used as a basis to provide quantitative and qualitative data against which to measure progress, a number of GTF programmes have found that the baseline research has raised issues that may have not come out (clearly enough) during the initial programme design. Baselines have therefore been helpful in identifying new or emerging issues that need to be addressed in the GTF programme, as well as validating issues already identified. For example, Christian Aid (GTF 301) and its partners in Kenya recognised that levels of awareness and perceptions on specific rights were lower than anticipated. This has helped them to identify gaps in what they have been doing. Their baselines have for example identified the issue of citizenship, the importance of responding to practical needs (e.g. water, infrastructure) and highlighted the complexity of devolved public funds. As identified earlier (3.1.1) and in the two case studies below, a key learning point is that baseline studies are more than just a starting point for many GTF programmes; they have helped to identify gaps and make adjustments in programme interventions.

Case studies

GTF 094: CAFOD *http://www.cafod.org.uk/*
In its first year, CAFOD commissioned two baseline studies in East Africa and the Great Lakes Region on the major communications made by Catholic Bishops between June 2007 and May 2009. These examined the extent to which statements addressed governance issues; the types of media used to communicate; and the mechanisms in place to take into account experience and concerns at grassroots level. These studies recommended improving targeting of audiences, effectiveness of measures, and lobbying capacity on governance issues; these have helped to re-design the programme interventions.

GTF 142: Overseas Development Institute (ODI*) http://www.odi.org.uk/*
In comparison, ODI has developed a baseline tool (called a *Baseline Context Analysis)* to be used and adapted across a number of national and regional contexts. The tool provides a wide range of baseline data on key governance issues through (a) a series of surveys of national stakeholders' perception of governance in all GTF countries, and (b) a synthesis of existing country level governance assessments/analysis (by a leading think tank in a selected country). One of the interesting lessons for other GTF programmes is that ODI's approach provides more than just baseline data against which indicators can be measured over the course of a programme. Their data collection process is seen part of its wider contextual analysis and is to be used to ensure that ODI's GTF programme objectives in a specific country are (a) relevant to the particular political and socio-economic context of the country and (b) tailored to the specific governance challenges as perceived by national stakeholders. This tool emphasises that the process is as important as the result as it helps to ensure stakeholder engagement and ownership.

3.4.2 Use of (SMART) indicators to measure change

A number of GTF grant holders have struggled to develop indicators in logframes that are **SMART** (*Specific, Measurable, Achievable, Realistic, Timebound*). GTF grant holders have been required to adapt global-level indicators to produce SMART indicators at the country level for learning and to sharpen focus and measure impact. **A learning point from the inception phase has been that SMART indicators can be more easily developed for country-level logframes than for global logframes**. Where indicators have been developed at the country-level they have led to a revision of the global logframe, sometimes by simply adding an additional column to represent examples of country-level indicators. In some cases global-level indicators have been adapted to the local context. This was recognised in a mid-term evaluation which is being carried out on Search for Common Ground's (GTF 170) programme. They recognised that global indicators needed to be tailored to specific country contexts.

Getting the right balance between **quantitative and qualitative** M&E tools is a challenge and yet it is very important as it addresses the issue of collecting the correct data to demonstrate process and impact. For some of the GTF programmes there is an emphasis on numbers of people reached (e.g. decision-makers interviewed, workshop participants, tv/radio audience figures) without clearly demonstrating how they will measure the impact of that reach. Within the GTF though there are some good examples of SMART indicators and how they will be used. A brief selection of what are seen to be SMART indicators is presented in *Appendix 3*.

A further learning point is that some GTF programmes have carried out qualitative surveys or research with focus groups, for example, to design and structure questions for more quantitative type of surveys. This can be seen, for example, in the case of the National Taxpayers Association in Kenya which conducted qualitative surveys to get the questions right for their quantitative surveys of their governance work (GTF 245 CGD), as well as the surveys produced by the Ma'an Network (GTF 095) and the BBC World Service Trust (GTF 077).

3.5 Approaches to capacity building and programme management

3.5.1 Tools and methods around improving programme management

Programme governance and management issues have been a challenge for many of the GTF grant holders. Time and resources invested in these areas at the outset has been crucial although in some cases this has led to considerable delays. Delays appeared to be more pronounced in multi-country programmes that were exploring new partnerships rather than working with known or existing partners. There are lessons to be learned. For example, University College London (GTF 130) has recognised the importance of effective project governance through ensuring that representatives from all partners (including government departments) form part of a coordination group. Organisations such as CAFOD, Oxfam and Christian Aid have all emphasised the importance of joint ownership of the GTF programme, establishing partner committees to ensure that programmes are truly governed as a joint partnership.

As with other organisations, Gender Links (GTF 174) has found that the GTF work has introduced a way of working that cuts across all of its programme areas, and as such it has developed a useful model for its programme management. Living Earth Foundation (LEF) (GTF 309) has identified lessons around risk analysis and management. They have recognised a need to identify more than just contextual and external risks but also internal risks particularly around the management of new project partnerships.

3.5.2 Approaches to partnership

As to be expected, the nature and type of partnerships differs considerably across the GTF portfolio. A number of GTF programmes have highlighted lessons around the time required to start up programmes when the partnerships are new, the concepts of governance require a common understanding or that tools and methods need to be introduced which are seen as 'new' to the institutions. One of the key challenges recognised within GTF programmes expressed at a meeting of UK grant-holders in December 2009 was whether partners would be able to 'step up to the plate' to proactively engage on governance issues especially once the period of GTF funding came to an end. At the same time, others have highlighted the risk that expectations from both partners and target communities will be raised and this requires careful management.

A number of GTF grant holders expressed a concern about the complexity and timeframe around developing global and country-specific logframes. Lessons can be learned from how GTF grant holders have worked with partner organisations in developing their logframes and M&E systems. Some have introduced standard M&E tools and methods across their portfolio, training partners at a country or regional level in the use of the same tools. Others have supported the development of M&E systems using mini-grants to build organisational capacity of civil society organisations. And others have emphasised that it is the partner organisations that should lead the process of designing and implementing tools and methods. In some cases this has led to delays in delivering tools and methods which are acceptable to all, such as clear and coherent logframes, political analysis tools, mechanisms to ensure good programme management.

IPPF (GTF 328) has recognised the importance of **gaining a conceptual understanding** of the GTF objectives with its partners at the outset. IPPF's main lesson from its first year was that discussions with partners around key programme concepts (e.g. governance, transparency) required considerable time and reflection. But this was not always fully planned for. Amnesty International (AI) (GTF 376) identified lessons around working through **partners or country offices**. AI interestingly selected some partners rather than AI offices as the primary coordinating partner. The Westminster Foundation for Democracy (GTF 394) stressed the importance of the **buy in of partners:** ensuring the buy in of partners and avoiding imposing approaches but rather allowing partners to direct the programme. The Partnership for Transparency Fund (GTF 044) has developed funding guidelines for civil society organisations *"to submit grant applications that are well thought through and are designed to have some real impact on reducing corruption"* (PTF presentation for UK workshop, April 10).

3.5.3 Capacity building tools and techniques to help partners increase their effectiveness

From the research conducted to date, approaches to capacity building have tended to rely upon existing tools and methods although dealing with specific governance issues may be new to some organisations: workshops to improve understanding of governance issues, training in evidence and data gathering, technical training (e.g. developing media programmes, use of contextual and

power analysis tools). Many GTF programmes are using similar capacity building tools that they have used with existing partnerships.

This is not to deny that there are some interesting ways of doing things (such as using Skype to conduct down-the-line training, blog and chat rooms to discuss issues of governance, training field staff in the use of media tools and engaging with the media). And there are some innovative approaches emerging. One such example has been presented by Tiri (GTF 141) in preparation for the UK workshop. The tool is a comic book that ensures training materials are locally relevant and engaging. Their design is *"based on real life situations. Tiri produced comic books that present real life ethical dilemmas based on focus group discussions conducted by partners. The books raised questions on possible solutions…In case the local community has many illiterate members, the pictures can tell the story."* It is seen to be innovative as *"it is using a popular form of reading (comic books) in transmitting messages on how to identify and resolve local integrity challenges. It is also innovative because it was not prepared separately from local experiences. The text was written based on the challenges as identified by partners and their constituency (representatives of local communities) in focus group discussions."*

It is recognised that the relationships between partners will change over the course of the programme. Some GTF grant holders are aiming to measure and capture learning from this. For example, Transparency International (GTF 085) has developed a **Partnership Scale** which to measure the depth of cooperation with both government, as well as non-state actor partnerships. The same scale is used for measuring cooperation with advocacy target audiences, as well as coalitions to influence these advocacy targets (*see appendix 4).* CAFOD (GTF 094) has produced a **Partnership Assessment Tool** which encourages partners, in this case Justice and Peace Commissions, to assess and/or analyse their own effectiveness (by scoring on 1 - 4) against four areas of the GTF programme (*see appendix 5).*

3.5.4 How GTF work is being mainstreamed within an organisation

A key lesson coming out of the initial stages of the GTF programme is how the work on governance and transparency is changing the nature of the organisations. In some cases, these issues were already at the forefront of an organisation's strategy so the GTF programme would have naturally encapsulated the strategic priorities of the organisation. In the case of others, the GTF programme has helped to mainstream governance issues within the organisation (*see box 7*).

> **Box 7: Mainstreaming the GTF within Water Aid**
>
> At Water Aid, the GTF programme was moved from Programme Funding (where it was seen as a fund programme) to its newly established Innovation Unit. This has helped to embed governance issues within Water Aid. The GTF programme has been referred to as an 'incubator' for policy and campaign work of Water Aid and influenced Water Aid's own strategic performance indicators. *Discussion with Papa Diouf, Jan 2010*

4. Sharing lessons learned

The GTF programme has been designed to have an in-built function to share experiences and learn across what is a wide and diverse range of approaches to governance. It is anticipated that GTF programmes will come up with solutions to governance problems which are then shared with others, and tools and methods can be adapted if appropriate. It is also anticipated that GTF programmes will be able to share their own materials (e.g. country-level baseline studies, contextual

and political analyses) and identify areas of joint collaboration based on their own comparative advantages.

There is some evidence that lessons are starting to be shared within GTF programmes. For example, Gender Links (GTF 174) is promoting learning through its thematic forums and Water Aid (GTF 010) has published a couple of GTF newsletters to share experiences and learning with its partners in West Africa (called GTF sunshine newsletter). There have also been attempts to bring GTF grant holders and their partners together in coordination meetings or workshops at a country level in 2009, such as in Sierra Leone, South Africa, Tanzania and Zimbabwe; and in Kenya in Feb 2010 as part of the GTF learning visit. UK GTF grant holders have also set up their own peer learning meetings on a quarterly basis since late 2009.

A couple of learning points from the in-country coordination meetings are **that coordination is most effective when DFID governance advisors view the GTF as integral to their wider governance portfolio (and not as something funded separately from the UK)** and that **by coming together in forums there can be considerable mileage in sharing lessons and identifying comparative advantages, and seeking opportunities for joint collaboration in the future, which help to strengthen the approach to governance within a country through collective action.**

These efforts are useful although largely focused on an internal (programme) audience. Several GTF grant holders are starting to reach out to a much wider, public audience largely through multi-media (such as national radio programmes, branded websites, and facebook). There are some excellent examples of websites created within GTF programmes, such as Global Witness's (GTF 219): *http://www.foresttransparency.info/* and Oxfam's (GTF 158): *http://raisinghervoice.ning.com/*. The latter demonstrates how different forms of new media are being used to promote governance issues (*see appendix 6*).

Other GTF grant holders have been using Facebook to interact with an audience that may not naturally be drawn to issues of governance and transparency as they have been presented in the past, such as Media Focus on Africa Foundation (one of SFCG's partners) and NICRO (GTF 112). The latter has set up a Facebook group page as a tool to spread their work and achievements: *http://www.facebook.com/group.php?v=wall&gid=129792224279*

5. Future learning in the GTF

In conclusion, this paper has presented a number of common and unique lessons on tools and methods that will enable the GTF to focus more clearly on impact and results of the GTF in the future. It is likely that future learning will focus on learning from a thematic perspective, such as governance in fragile states; controlling corruption; gender, social exclusion and governance; media and governance.

As the impact of various GTF programmes begins to emerge, it will also be important to see how lessons from the GTF can be incorporated into wider DFID work on governance and vice versa.

An update on the next stages of learning will be provided after the review of second year annual reports from the GTF programmes. This will take into account the views of GTF grant holders about what they consider to be important and interesting lessons from their work and emerging evidence of impact.

Acronyms

BBC WST	British Broadcasting Corporation World Service Trust
CAR	Capability, Accountability, Responsiveness
CDF	Community Development Fund
CGD	Centre for Governance and Development
CSO	Civil Society Organisation
DFID	Department for International Development
GNP+	Global Network for People Living with HIV/AIDS
GTF	Governance & Transparency Fund
IBP	International Budget Partnership
IPPF	International Planned Parenthood Federation
JHR	Journalists for Human Rights
LEF	Living Earth Foundation
M&E	Monitoring & Evaluation
MSC	Most Significant Change
NICRO	National Institute for Crime Prevention and the Reintegration of Offenders
NTA	National Taxpayers Association (Kenya)
OBS	Open Budget Survey
ODI	Overseas Development Institute
PRISMA	Asociación Benéfica PRISMA
SFCG	Search for Common Ground
SMART	Specific, Measurable, Achievable, Realistic, Timebound
SODNET	Social Development Network
Tiri	Tiri – Making Integrity Work!
WGA	World Governance Assessment

Appendix 1: A summary of changes to be achieved by GTF programmes in Kenya / East Africa

AS DESCRIBED BY CIVIL SOCIETY ORGANISATIONS FOR THE GTF KENYA WORKSHOP, FEB 2010

There is therefore a need to **build the capacity** of citizens and CSOs on the **relevant laws relating to corruption** and the **institutional structures of government** in these areas so that they can be empowered to demand for their rights through the existing channels

Focusing on **integrity performance** (trustworthiness) ......an increased capability, responsiveness and accountability on the part of local civil society and key local state institutions responsible for **health, education, water and sanitation and social protection**

.....policies and practice reflecting pro-poor changes [in water and sanitation sector].... To see governments involving citizens in constructive decision-making processes, which will result in **legal regulatory frameworks in accountability and responsiveness [in water and sanitation sector]**.

Ensure the ratification and implementation of the **African Union Protocol on Women's Rights**- a comprehensive framework towards ensuring women's rights and provision of services and establishment of institutions to respect, protect and promote the rights of women in Africa.

We want to **change the relationship** between citizens at all levels of society **so that they will be more responsible** [**and accountable**] to one another, to their communities and to their governments.

To **improve government capacity to deliver** quality services, manage resources and implement **public financial management reforms.**

To **hold governments accountable** towards Universal Access in prevention, treatment, care and support [for people living with **HIV/AIDS**].

.....build capacity for **Community Based Natural Resource Management** .....[in order to] provide a foundation for developing a range of investments that are intended to be compatible with the local livelihood (pastoralists]

.....**empower the communities and individuals to hold duty bearers to account and pressurise the Kenyan government to be more accountable to her citizens**....for example, crafting legislation that takes care of communities or pushing for government departments to draft policy that favour **equitable resource allocation** [particularly around the **CDF**].

Assessing extent to which Kenya's Budget is transparent...... Strengthening institutions to **improve public expenditure accountability**

.......**improve accountability and transparency in the provision of budget information around devolved funding**, with special emphasis on water, education, health and infrastructure.

..... raise awareness and understanding of human rights...... access to quality and locally relevant information and tools of human rights
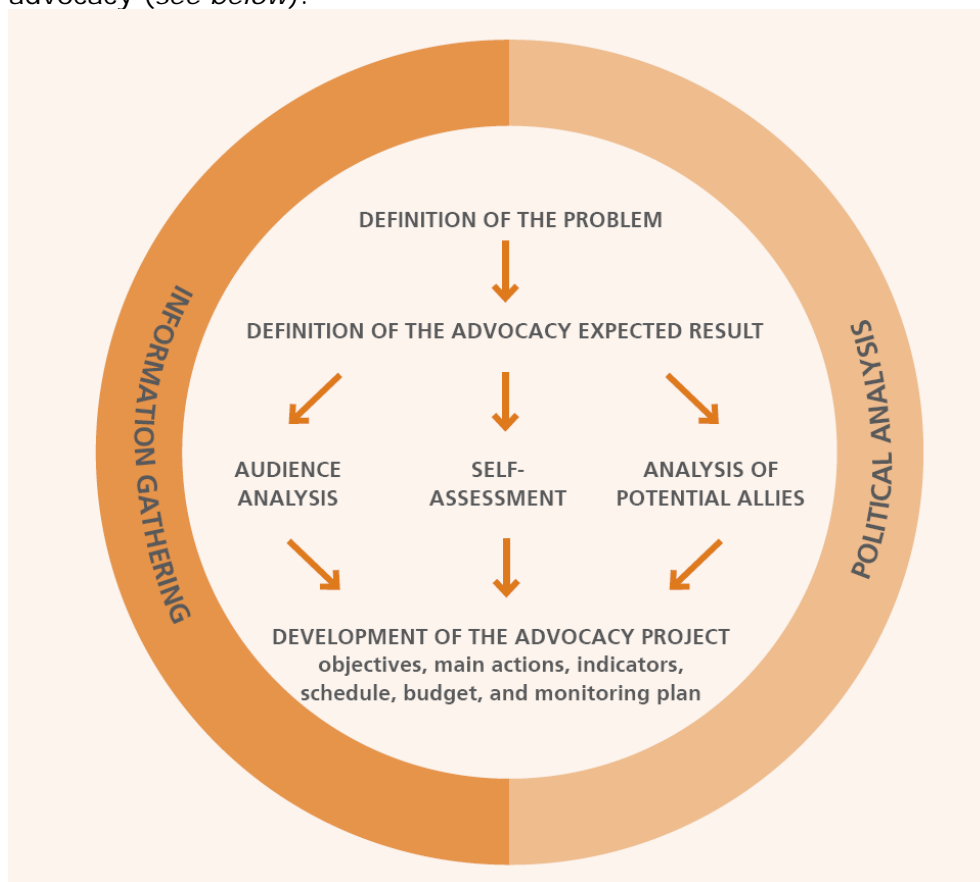
Increased participation of right holders in [**water] service delivery** processes in order to **enhance accountability**.

.....to get Kenyans to start living harmoniously again...... to demonstrate better governance of public affairs with a view to getting Kenyans attuned to these better ways of governance thereby reducing chances of violence.......[and] assign responsibilities for issues to individuals and not entire ethnic groups thereby **reducing conflict possibilities**

......to inculcate rights based approaches towards governance and social issues, ultimately **leading to establishment of human rights culture**

Appendix 2: IPPF Advocacy Planning Methodology

IPPF has developed an **advocacy planning methodology** a step by step guide for designing effective advocacy projects. This tool facilitates the planning process, to promote the correspondence between the advocacy projects and the political and social context in which they will be implemented, and to make sure they comply with basic implementation, monitoring and evaluation requirements. The advocacy planning methodology underscores the importance of seeing data collection and political analysis as cyclical, and defines the expected results from advocacy (*see below*).

IPPF-WHR is also developing a tool to incorporate the budget analysis and work in advocacy projects. The objective of this tool is to strengthen the capacity of the

organization to use public budget analysis as a key element of their advocacy efforts.

Appendix 3: The use of SMART indicators in GTF programmes

Box 2: Comparisons of indicators across the GTF		
An example of how SMART indicators have been incorporated into a global logframe that are specific to the geographical context	*An example of the how baseline values have been incorporated into a global logframe; these will be used as the basis for measurement of SMART indicators*	*An example of the use of SMART qualitative and quantitative indicators designed to measure the impact of policy engagement in a changing political environment (Fiji)*
GTF 158 Oxfam	GTF 095 Ma'an	GTF 003 Conciliation Resources
Indicator examples from specific countries: *[Armenia] % of women-headed households with disabled children benefiting from improved implementation of social protection policies through better access & enforcement of policies* *Target: 70% of such households by June 2011; Milestone: 35% by December 2010* *[Bolivia] Norms and regulations in favour of gender equity proposed by women's organizations and networks, in consensus and/or assumed by public levels.* *Target: 5 new norms/regulations by 2013; Milestone: 2 by 2010* *[Albania] Number of local/regional government investments ranked as "effective and relevant" by at least 80% of people interviewed during participatory evaluation. Dissagregation: At least 50% positive ranking by women.* *Target: 3 by 2011; Milestone: 1 by 2010*	*Indicator example:* P.1 By the end of August 2011, a 50% increase in public satisfaction (i.e. rating of 'good' or 'very good') with Ma'an investigative reporting and participatory programmes (including MNA, TV, and radio) on governance issues. [Disaggregated by region (West Bank/Gaza Strip), governorate, type of residential area, refugee status, gender, age, educational attainment, employment status, and reported household income.] *Baseline values (two of many) :* Based on Ma'an external survey conducted during March 2009: (1) 42% of the public evaluated the performance of Ma'an TV stations' investigative reports and participatory programs as good in dealing with issues related to municipalities and local government, health and environmental services, education, social services, employees and workers' strikes, mismanagement and corruption. (2) 41% of the public evaluated the performance of Ma'an TV stations' investigative reports and participatory programs as good in dealing with issues related to institutional, political and legislative elections, Palestinian internal division, governmental policies, safety and security in the Palestinian street.	*Purpose indicator example:* (**Fiji**) By 2013 civic engagement in national public policy debates returning Fiji to constitutional governance and related on constitutional and legislative reforms will extend beyond the capital city of Suva and national NGOs *Output indicator examples:* 9.1. Significant (est. 4 %) increase, year on year, in the rural population's ability to express and explain these concepts, within the three target provinces (Tailevu, Naitasiri and Ra). 10.1 70% of senior security force and senior government officials (PS and Ministerial level) to have participated in dialogue training and/or an inclusive dialogue event by 2013.
http://raisinghervoice.ning.com/	http://www.maannet.org/	http://www.c-r.org/

Appendix 4: Transparency International's Partnership Scale

This will be used to measure the depth of cooperation with both government, as well as non-state actor partnerships. The same scale is used for measuring cooperation with advocacy target audiences, as well as coalitions to influence these advocacy targets. A distinction is made between partnerships with public authorities and non-state actors. Non-state actors are further disaggregated into non-governmental organisations, media, private sector and "other". The scale measures along a continuum of levels of cooperation that coalition partnerships may develop. It is important to note that the inherent value of a given level of cooperation is not higher or lower than another. Partnerships should be established and maintained at a level where objectives are met and which is appropriate in local circumstances. Partnerships may also regress to no more cooperation, whereby a zero value is provided.

LEVEL	DEFINITION	EXAMPLES OF ACTIVITIES
COMMUNICATION	Interchange of thoughts, opinions, or information orally or in writing	• Occasional communication • Willingness to help on an ad hoc basis
COOPERATION	Working or acting together for common benefit	• Regular sharing of information • Joint execution of some activities • Staff exchanges • Sporadic meetings • Factor in partner's interests when operating
COLLABORATION	Working or acting together for a common purpose or benefit, in a formalised way	• Joint planning of some activities • Dedicated staff to collaboration • **Written MOUs or interagency agreements** • Regular meetings • Efforts to share funding/services
CONSOLIDATION	Combine with a partner(s) for a common purpose. Ex. umbrella groups	• Formalised joint planning/shared strategy • More than a single shared staff member • Shared leadership of project structures • Pooled funding
INTEGRATION	Combine with a partner(s) into an integral whole	• Single leadership • Integrated staff • Single Strategy • Joint budget development • Common funding

Appendix 5 CAFOD's Partner Assessment Tool (taken from UK workshop presentation)

1. Background

Subtitle: Partner assessment tool

GTF No: GTF 094

Organisation Name: Catholic Agency for Overseas Development (CAFOD)

2. Description

An aim of the Partner Assessment Tool is to help participating Justice and Peace Commissions (JPC) to analyse how close they are to achieving the outputs under the Programme. This is done through a mapping process that generates the necessary dialogue to reflect on four key areas of effectiveness.

The tool or method has been applied to the following areas:

☐ Ways of gathering information and data

☐ Design of Monitoring & Evaluation systems

☐ Political and contextual analysis

☐ Approaches to engagement and advocacy

☒ Capacity Building and Partnership

☐ *Add another area if relevant*

3. What is the tool or method aiming to achieve?

Types of issues/questions you may seek to cover:

- *What problem does your tool or method (aim to) solve?*

An aim of the Tool is to help participating Justice and Peace Commissions (JPC) to analyse how close they are to achieving the outcomes under the ABG Programme. Some organisations will be starting from a stronger base than others, for reasons of capacity or other factors. In addition to its M&E purpose, it is meant to contribute towards the JPC's planning including identifying capacity building needs.

- *How does the tool or method relate to your GTF programme?*

The information from the self assessment process will be used as our means of verification for reporting against Programme level indicators in our Programme logframe.

4. How is it being (or to be) used?

Types of issues/questions you may seek to cover:

- *What are the key elements of your tool or method? (please include diagrams, models where possible).*

Our Programme-level indicators describe the different aspects of what it means to be an effective JPC and the Partner Assessment Tool refers to these aspects under each column.

The Tool shows different levels under four areas of effectiveness described under each column:

1. Increased engagement (and influence) in government processes that get tangible results for the poor.
2. Advocacy based on the voice and experience of the marginalised and vulnerable groups of the community.
3. Increasing people's access to information and facilitating effective citizen participation that gets tangible results;
4. Cooperation with other development actors including secular and other faith based organisations.

NB. The Tool is enclosed as Annex 1 (see below).

- *Who will benefit from this?*

The ABG Programme is interested in helping bring about **more effective Justice and Peace Commissions** in their engagement with government and their own constituencies. In addition to its monitoring purpose, the reflection and the dialogue the tool facilitates should help with the Justice and Peace's planning (including identification of areas in need of capacity building) as well.

- *What do you consider to be innovative about this tool or method?*

- *Who was involved in developing the tool or method (e.g. partners, consultants)?*

The basis of the tool was an existing Voice and Accountability tool within CAFOD and was tested with selected partners in September 2009.

- *What is the timescale for the tool or method? (start date, piloting, reporting etc)*

The tool was piloted with selected partners in September 2009 and a revised version was completed by December 2009. Once a year we intend to measure progress by seeing which level the organisation is at then.

5. Learning Points (and Hints and Tips)

Types of issues/questions you may seek to cover:

- *What lessons have you identified about the application (or piloting) of the tool or method?*

    It was really important to consider and plan who (from the implementing Justice and Peace Commission) would participate in the assessment discussion and ideally the participants would be in a position to do something with the results of the assessment process.

    We also learned the importance of probing the JPC to provide concrete examples/evidence to explain why they perceive themselves to be in one level and not another.

    Practical rehearsal of the Tool with the facilitators of the Tool was essential to get consistent and correct application.

- *How have lessons learned from the use (or piloting) of the tool or method been captured and shared within your programme?*

    The feedback from partners and Programme Officers who tested/piloted the Tool informed the revision of the Tool.

- *How has the learning been incorporated into your programme?*

    We adjusted our approach in facilitating the Tool. And for some partners the process informed their planning for Year Three.

- *Are there any 'Hints and Tips' you would like other GTF partners to be aware of? (e.g. resources required, challenges faced and overcome, contextual adaptation)*

6. Key Message

- The Tool recognises that achieving the Programme outcomes is a process and that there are steps along the way (i.e. there are different degrees of effectiveness).

ANNEX 1: ABG PARTNER ASSESSMENT TOOL

Levels of effectiveness	Areas of effectiveness			
	Increased engagement of JPCs in government processes (Indicator 2.1 + 2.2)	JPC positions are informed by the voice of marginalised/vulnerable (Indicators 2.3 + 3.1)	JPCs increase citizen's access to information and their participation in government processes (Indicators 2.4 + 3.2)	Increased participation by JPCs in interfaith and secular alliances (Indicator 4.1)
4	▪ Action taken by local or national government as a result of JPC engagement (alongside other CSOs) results in changed policy and / or shows tangible benefits for men and women on the ground. ▪ Policy makers from Government attend policy discussions hosted by JPCs and take action in response to the meetings.	▪ Members of marginalised and vulnerable groups take up advocacy on their own needs and issues, with the support and guidance of JPC. JPC structures are gender-balanced, and include Meaningful Involvement of People with Aids (MIPA) and other targeted vulnerable groups.	▪ Action taken by government as a result of community engagement shows tangible benefits. ▪ Community representatives participate actively in government processes, such as decentralised decision-making,, with the support and guidance of JPC. ▪ Women and PLWHA make up an increasing number of the people involved in advocacy and dialogue initiatives with local / national government and have meaningful roles in these community initiatives.	▪ JPC enters into strategic alliances with secular and other faith-based organisations though strong coalitions. ▪ JPCs are invited to take up strategic roles within such coalitions.
3	▪ There is evidence of government responsiveness to recommendations made by JPCs (by themselves or made alongside other civil society actors). ▪ JPCs take advantage of existing formal structures for government consultations or establish formal structures for government	▪ JPC policy positions are gender-sensitive and reflect the needs of PLWHA and other vulnerable groups, as expressed by these groups to JPC. . ▪ JPCs have adopted a more systematic and consistent method for representation of their constituents (e.g. putting in place a formal process for	▪ JPCs facilitate regular meetings between communities and government representatives. ▪ JPCs actively encourage political participation of women and marginalised groups.	▪ JPCs pro-actively participate within networks and alliances. ▪ JPC relationships involve a range of faith-based and secular agencies. ▪ JPC are invited to participate in the initiatives of relevant networks.

	engagement.	involving groups in JPC policy and advocacy decision-making; and/or including representatives of the constituencies in lobbying meetings etc.).		

Levels of Effectiveness	Areas of effectiveness			
	Increased engagement of JPCs in government processes (Indicator 2.1)	JPC positions are informed by the voice of marginalised/vulnerable (Indicators 2.3 + 3.1)	JPCs increase citizen's access to information and citizen participation in government processes (Indicators 2.4 + 3.2)	Increased participation by JPCs in interfaith and secular alliances (Indicator 4.1)
2	▪ JPC establishes gender sensitive policy positions through internal discussion, consultation with their constituencies and other civil society actors. ▪ JPC takes informal opportunities to provide local or national government with information and position papers	▪ JPC consult constituencies on an ad hoc and informal basis. ▪ JPC has identified who the marginalised and vulnerable members are of their constituency/comm unity. ▪ JPC disaggregate beneficiary data by gender. ▪	▪ The JPC raises awareness of governance issues and opportunities for civic participation through: civic education, including holding community-based workshops; use of popular media (especially radio); training community leaders on issues and processes, including decentralisation.	▪ JPC attends meetings and shares information with church-based organisations and networks.
1	▪ JPC has identified issues and governance processes to engage on but has not developed policy positions or an advocacy strategy. ▪ JPC beginning dialogue with government (local and/or national) on specific issues.	▪ JPC policy positions are based on what JOC staff perceive as the needs of their constituency. The policy positions do not refer to the different impact of policies on women/girls/men/bo ys, PLWHA or other vulnerable groups.	▪ JPC not providing information to citizens in a timely manner and not engaging with communities in a structured way.	▪ JPC has an awareness of other organisations and networks working on similar issues, but has little regular contact with them.

Appendix 6 Oxfam's Social network / new media strategy (taken from UK workshop presentation)

1. Background

Subtitle: Social network/new media strategy

GTF No: 158

Organisation Name: Oxfam GB

2. Description

A new media strategy based on content management in ning http://raisinghervoice.ning.com/ and linking to http://www.facebook.com/RaisingHerVoice and http://www.twitter.com/RaisingHerVoice

The tool or method has been applied to the following areas:

☒ Ways of gathering information and data

☐ Design of Monitoring & Evaluation systems

☐ Political and contextual analysis

☒ Approaches to engagement and advocacy

☐ Capacity Building and Partnership

☒ Knowledge management, sharing and outreach

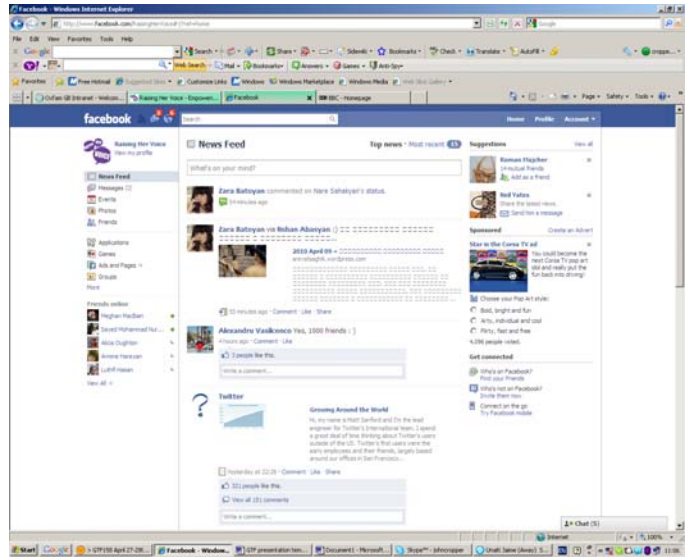### 3. What is the tool or method aiming to achieve?

- *What problem does your tool or method (aim to) solve?*
  - o Enable cross programme dialogue
  - o Information sharing
  - o Outreach
  - o Building a broad community of support

- *How does the tool or method relate to your GTF programme?*
  - o It is the main repository of programme information and of access to the information.

4. How is it being (or to be) used?

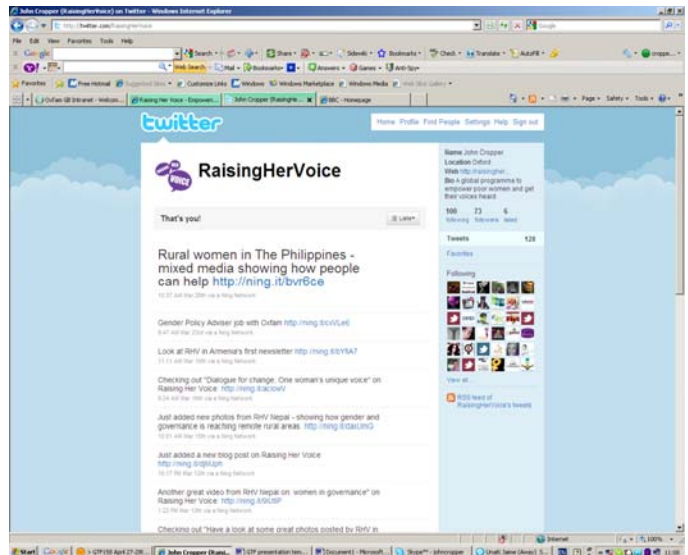- *What are the key elements of your tool or method? (please include diagrams, models where possible)*

User generated content: blogs, discussions

Ning stats:
March
451 visits
165 visitors
28 countries

Content managed in ning –
http://raisinghervoice.ning.co

With one click pushed to twitter and facebook - to hit larger numbers

Video content stored on

hulu   vimeo

You Tube

- *Who will benefit from this?*
  - Partners can showcase their own work to a broad audience
  - Via video, we can raise voice of poor women to a potentially large audience
  - Programme staff can access key information and share/communicate horizontally

- *What do you consider to be innovative about this tool or method?*
  - Direct linking of projects to a broad community of supporters and interested parties.
  - Reducing hub and spoke communications
  - Empowers projects to develop communications material and try new strategies – i.e. experimental facebook site in Bahasa Indonesia
  - Allows networks and alliances to develop organically

- *Who was involved in developing the tool or method (e.g. partners, consultants)?*
  - Designer (logo, colour scheme, branding)

- *What is the timescale for the tool or method? (start date, piloting, reporting etc)*
  - First version in March 2009
  - Will be turned off after 2013 and knowledge transferred to wiki on gender and governance

5. Learning Points (and Hints and Tips)

- *What lessons have you identified about the application (or piloting) of the tool or method?*
  - Training in software use desirable but not essential
  - Cheap video cameras need to be made available – i.e. flip cameras
  - Greater clarity about effective communications material – i.e. short, personal stories – not long documentaries
  - Centre needs to relinquish control and "see what happens" – this leads to conflict with media/policy departments who want to control messages.
  - Just do it, don't ask permission!
  - Programme needs to look at this within the context of how we work with the media

- *How have lessons learned from the use (or piloting) of the tool or method been captured and shared within your programme?*
  - Flip cameras being provided to country staff
  - Nature of communications material to be part of Y2 workshop for staff/partners
  - Looking at conference on NGO work with the media for Sept/Oct., 2010

- *How has the learning been incorporated into your programme?*
  - Ongoing

- *Are there any 'Hints and Tips' you would like other GTF partners to be aware of? (e.g. resources required, challenges faced and overcome, contextual adaptation)*
  - Main external challenges – spammers – ning allows you to control this – I started by having open access but had to switch to a more controlled use.
  - *Main internal challenges:*
    - Different adoption speeds and cultural affinity with web 2.0
    - IT/media/comms/policy type departments who want to control software and massage messages

6. Key Message

- This will only work if you are prepared to "let go" and see where it goes.

Appendix 1

A SUMMARY OF CHANGES TO BE ACHIEVED BY GTF PROGRAMMES IN KENYA / EAST AFRICA

AS DESCRIBED BY CIVIL SOCIETY ORGANISATIONS FOR THE GTF KENYA WORKSHOP, FEB 2010

There is therefore a need to **build the capacity** of citizens and CSOs on the **relevant laws relating to corruption** and the **institutional structures of government** in these areas so that they can be empowered to demand for their rights through the existing channels

Focusing on **integrity performance** (trustworthiness) ......an increased capability, responsiveness and accountability on the part of local civil society and key local state institutions responsible for **health, education, water and sanitation and social protection**

.....policies and practice reflecting pro-poor changes [in water and sanitation sector].... To see governments involving citizens in constructive decision-making processes, which will result in **legal regulatory frameworks in accountability and responsiveness [in water and sanitation sector]**.

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.....**empower the communities and individuals to hold duty bearers to account and pressurise the Kenyan government to be more accountable to her citizens**....for example, crafting legislation that

Appendix 1

takes care of communities or pushing for government departments to draft policy that favour **equitable resource allocation** [particularly around the **CDF**].

Assessing extent to which Kenya's Budget is transparent...... Strengthening institutions to **improve public expenditure accountability**

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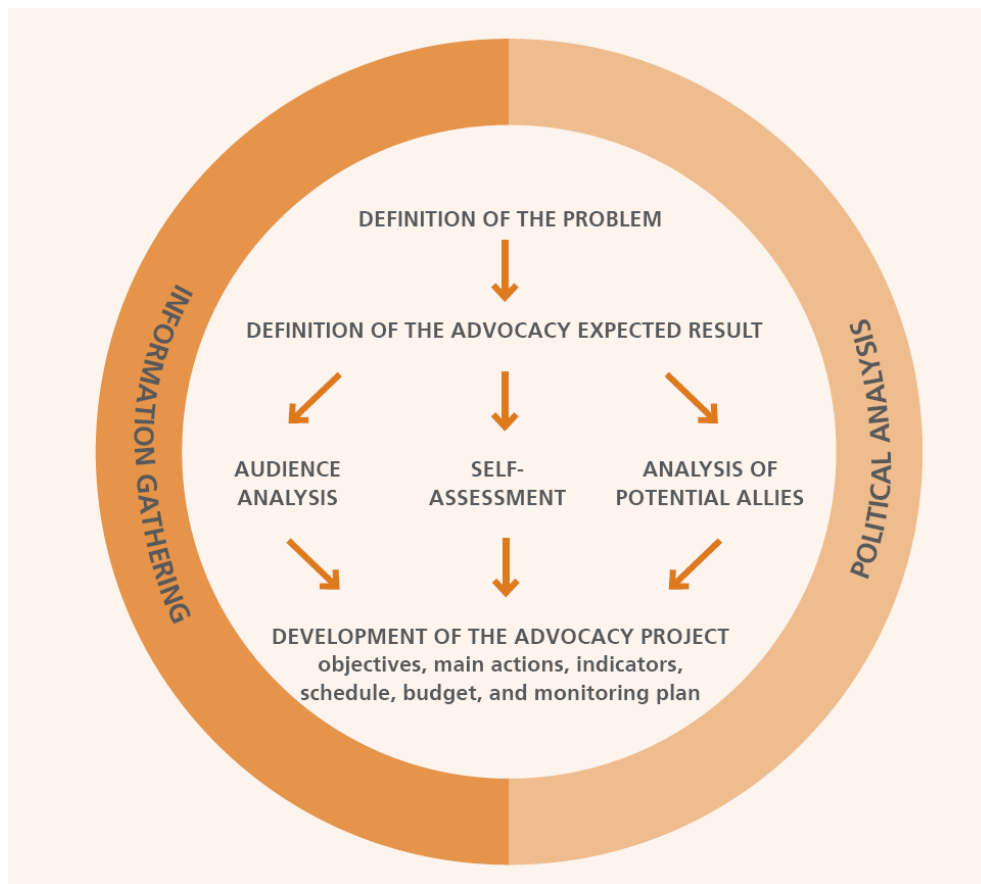
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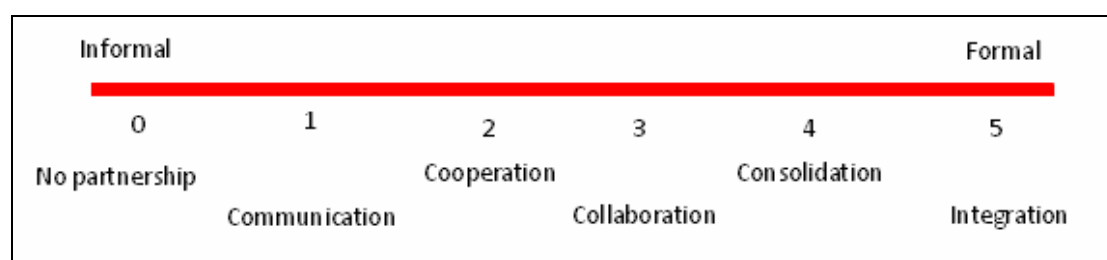

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http://raisinghervoice.ning.com/	http://www.maannet.org/	http://www.c-r.org/

Appendix 4: Transparency International's Partnership Scale

This will be used to measure the depth of cooperation with both government, as well as non-state actor partnerships. The same scale is used for measuring cooperation with advocacy target audiences, as well as coalitions to influence these advocacy targets. A distinction is made between partnerships with public authorities and non-state actors. Non-state actors are further disaggregated into non-governmental organisations, media, private sector and "other". The scale measures along a continuum of levels of cooperation that coalition partnerships may develop. It is important to note that the inherent value of a given level of cooperation is not higher or lower than another. Partnerships should be established and maintained at a level where objectives are met and which is appropriate in local circumstances. Partnerships may also regress to no more cooperation, whereby a zero value is provided.

LEVEL	DEFINITION	EXAMPLES OF ACTIVITIES
COMMUNICATION	Interchange of thoughts, opinions, or information orally or in writing	• Occasional communication • Willingness to help on an ad hoc basis
COOPERATION	Working or acting together for common benefit	• Regular sharing of information • Joint execution of some activities • Staff exchanges • Sporadic meetings • Factor in partner's interests when operating
COLLABORATION	Working or acting together for a common purpose or benefit, in a formalised way	• Joint planning of some activities • Dedicated staff to collaboration • **Written MOUs or interagency agreements** • Regular meetings • Efforts to share funding/services
CONSOLIDATION	Combine with a partner(s) for a common purpose. Ex. umbrella groups	• Formalised joint planning/shared strategy • More than a single shared staff member • Shared leadership of project structures • Pooled funding
INTEGRATION	Combine with a partner(s) into an integral whole	• Single leadership • Integrated staff • Single Strategy

- Joint budget development
- Common funding

Appendix 5

2. Description

An aim of the Partner Assessment Tool is to help participating Justice and Peace Commissions (JPC) to analyse how close they are to achieving the outputs under the Programme. This is done through a mapping process that generates the necessary dialogue to reflect on four key areas of effectiveness.	**The tool or method has been applied to the following areas:** ☐ Ways of gathering information and data ☐ Design of Monitoring & Evaluation systems ☐ Political and contextual analysis ☐ Approaches to engagement and advocacy ☒ Capacity Building and Partnership ☐ *Add another area if relevant*

3. What is the tool or method aiming to achieve?

Types of issues/questions you may seek to cover:

- *What problem does your tool or method (aim to) solve?*

An aim of the Tool is to help participating Justice and Peace Commissions (JPC) to analyse how close they are to achieving the outcomes under the ABG Programme. Some organisations will be starting from a stronger base than others, for reasons of capacity or other factors. In addition to its M&E purpose, it is meant to contribute towards the JPC's planning including identifying capacity building needs.

- *How does the tool or method relate to your GTF programme?*

The information from the self assessment process will be used as our means of verification for reporting against Programme level indicators in our Programme logframe.

4. How is it being (or to be) used?

Types of issues/questions you may seek to cover:

- *What are the key elements of your tool or method? (please include diagrams, models where possible).*

Our Programme-level indicators describe the different aspects of what it means to be an effective JPC and the Partner Assessment Tool refers to these aspects under each column.

The Tool shows different levels under four areas of effectiveness described under each column:

1.   Increased engagement (and influence) in government processes that get tangible results for the poor.

2.   Advocacy based on the voice and experience of the marginalised and vulnerable groups of the community.

3.   Increasing people's access to information and facilitating effective citizen participation that gets tangible results;

4.   Cooperation with other development actors including secular and other faith based organisations.

NB. The Tool is enclosed as Annex 1.

- *Who will benefit from this?*

The ABG Programme is interested in helping bring about **more effective Justice and Peace Commissions** in their engagement with government and their own constituencies. In addition to its monitoring purpose, the reflection and the dialogue the tool facilitates should help with the Justice and Peace's planning (including identification of areas in need of capacity building) as well.

- *What do you consider to be innovative about this tool or method?*

- *Who was involved in developing the tool or method (e.g. partners, consultants)?*

The basis of the tool was an existing Voice and Accountability tool within CAFOD and was tested with selected partners in September 2009.

- *What is the timescale for the tool or method? (start date, piloting, reporting etc)*

The tool was piloted with selected partners in September 2009 and a revised version was completed by December 2009. Once a year we intend to measure progress by seeing which level the organisation is at then.

5. Learning Points (and Hints and Tips)

Types of issues/questions you may seek to cover:

- *What lessons have you identified about the application (or piloting) of the tool or method?*

It was really important to consider and plan who (from the implementing Justice and Peace Commission) would participate in the assessment discussion and ideally the participants would be in a position to do something with the results of the assessment process.

We also learned the importance of probing the JPC to provide concrete examples/evidence to explain why they perceive themselves to be in one level and not another.

Practical rehearsal of the Tool with the facilitators of the Tool was essential to get consistent and correct application.

- *How have lessons learned from the use (or piloting) of the tool or method been captured and shared within your programme?*

The feedback from partners and Programme Officers who tested/piloted the Tool informed the revision of the Tool.

- *How has the learning been incorporated into your programme?*

We adjusted our approach in facilitating the Tool. And for some partners the process informed their planning for Year Three.

- *Are there any 'Hints and Tips' you would like other GTF partners to be aware of? (e.g. resources required, challenges faced and overcome, contextual adaptation)*

6. Key message

- The Tool recognises that achieving the Programme outcomes is a process and that there are steps along the way (i.e. there are different degrees of effectiveness).

7. References

- *Please include any web links or references*

ANNEX 1: ABG PARTNER ASSESSMENT TOOL

Levels of effectiveness	Areas of effectiveness			
	Increased engagement of JPCs in government processes (Indicator 2.1 + 2.2)	JPC positions are informed by the voice of marginalised/vulnerable (Indicators 2.3 + 3.1)	JPCs increase citizen's access to information and their participation in government processes (Indicators 2.4 + 3.2)	Increased participation by JPCs in interfaith and secular alliances (Indicator 4.1)
4	▪ Action taken by local or national government as a result of JPC engagement (alongside other CSOs) results in changed policy and / or shows tangible benefits for men and women on the ground. ▪ Policy makers from Government attend policy discussions hosted by JPCs and take action in response to the meetings.	▪ Members of marginalised and vulnerable groups take up advocacy on their own needs and issues, with the support and guidance of JPC. JPC structures are gender-balanced, and include Meaningful Involvement of People with Aids (MIPA) and other targeted vulnerable groups.	▪ Action taken by government as a result of community engagement shows tangible benefits. ▪ Community representatives participate actively in government processes, such as decentralised decision-making,, with the support and guidance of JPC. ▪ Women and PLWHA make up an increasing number of the people involved in advocacy and dialogue initiatives with local / national government and have meaningful roles in these community initiatives.	▪ JPC enters into strategic alliances with secular and other faith-based organisations though strong coalitions. ▪ JPCs are invited to take up strategic roles within such coalitions.
3	▪ There is evidence of government responsiveness to recommendations made by JPCs (by themselves or made alongside other civil society actors). ▪ JPCs take advantage of existing formal structures for government consultations or establish formal structures for government engagement.	▪ JPC policy positions are gender-sensitive and reflect the needs of PLWHA and other vulnerable groups, as expressed by these groups to JPC. . ▪ JPCs have adopted a more systematic and consistent method for representation of their constituents (e.g. putting in place a formal process for involving groups in JPC policy and advocacy decision-making; and/or including representatives of the constituencies in lobbying meetings etc.).	▪ JPCs facilitate regular meetings between communities and government representatives. ▪ JPCs actively encourage political participation of women and marginalised groups.	▪ JPCs pro-actively participate within networks and alliances. ▪ JPC relationships involve a range of faith-based and secular agencies. ▪ JPC are invited to participate in the initiatives of relevant networks.

Levels of Effectiveness	Areas of effectiveness			
	Increased engagement of JPCs in government processes (Indicator 2.1)	JPC positions are informed by the voice of marginalised/vulnerable (Indicators 2.3 + 3.1)	JPCs increase citizen's access to information and citizen participation in government processes (Indicators 2.4 + 3.2)	Increased participation by JPCs in interfaith and secular alliances (Indicator 4.1)
2	▪ JPC establishes gender sensitive policy positions through internal discussion, consultation with their constituencies and other civil society actors. ▪ JPC takes informal opportunities to provide local or national government with information and position papers	▪ JPC consult constituencies on an ad hoc and informal basis. ▪ JPC has identified who the marginalised and vulnerable members are of their constituency/community. ▪ JPC disaggregate beneficiary data by gender. ▪	▪ The JPC raises awareness of governance issues and opportunities for civic participation through: civic education, including holding community-based workshops; use of popular media (especially radio); training community leaders on issues and processes, including decentralisation. . .	▪ JPC attends meetings and shares information with church-based organisations and networks.
1	▪ JPC has identified issues and governance processes to engage on but has not developed policy positions or an advocacy strategy. ▪ JPC beginning dialogue with government (local and/or national) on specific issues.	▪ JPC policy positions are based on what JOC staff perceive as the needs of their constituency. The policy positions do not refer to the different impact of policies on women/girls/men/boys, PLWHA or other vulnerable groups.	▪ JPC not providing information to citizens in a timely manner and not engaging with communities in a structured way.	▪ JPC has an awareness of other organisations and networks working on similar issues, but has little regular contact with them.

Appendix 6

1. Background

Subtitle: Social network/new media strategy

GTF No: 158

Organisation Name: Oxfam GB

2. Description

A new media strategy based on content management in ning http://raisinghervoice.ning.com/ *and linking to* http://www.facebook.com/RaisingHerVoice *and* http://www.twitter.com/RaisingHerVoice

The tool or method has been applied to the following areas:

☒ Ways of gathering information and data

☐ Design of Monitoring & Evaluation systems

☐ Political and contextual analysis

☒ Approaches to engagement and advocacy

☐ Capacity Building and Partnership

☒ Knowledge management, sharing and outreach
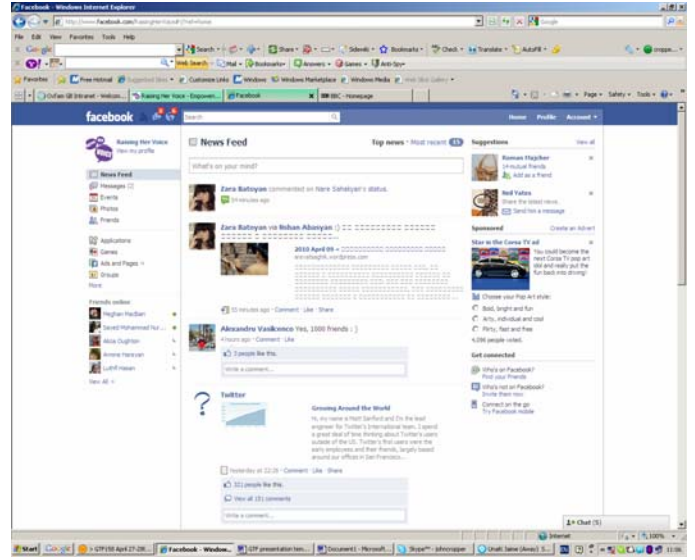
3. What is the tool or method aiming to achieve?

- *What problem does your tool or method (aim to) solve?*
  - o Enable cross programme dialogue
  - o Information sharing
  - o Outreach
  - o Building a broad community of support

- *How does the tool or method relate to your GTF programme?*
  - o It is the main repository of programme information and of access to the information.
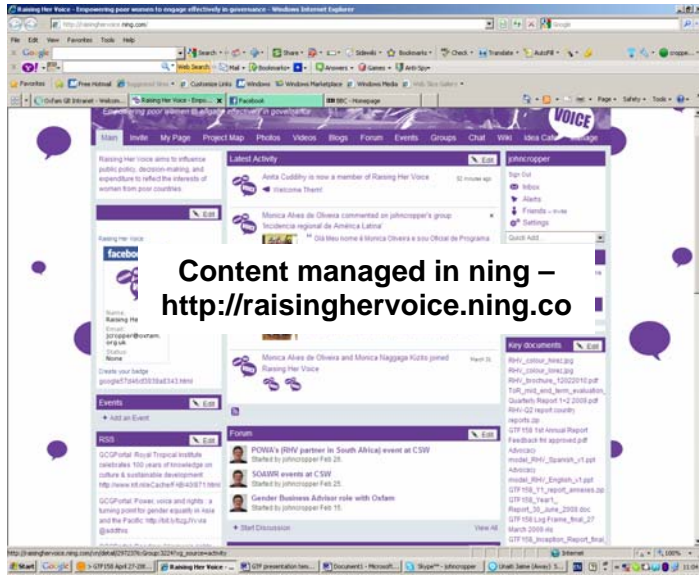
4. How is it being (or to be) used?

- *What are the key elements of your tool or method? (please include diagrams, models where possible)*

User generated content: blogs, discussions

Ning stats:
March
451 visits
165 visitors
28 countries
5 pages/visit

Content managed in ning –
http://raisinghervoice.ning.co

With one click pushed to twitter and facebook - to hit larger numbers

Video content stored on

hulu

vimeo

You Tube

- *Who will benefit from this?*
  - Partners can showcase their own work to a broad audience
  - Via video, we can raise voice of poor women to a potentially large audience
  - Programme staff can access key information and share/communicate horizontally

- *What do you consider to be innovative about this tool or method?*
  - Direct linking of projects to a broad community of supporters and interested parties.
  - Reducing hub and spoke communications
  - Empowers projects to develop communications material and try new strategies – i.e. experimental facebook site in Bahasa Indonesia
  - Allows networks and alliances to develop organically

- *Who was involved in developing the tool or method (e.g. partners, consultants)?*
  - Designer (logo, colour scheme, branding)

- *What is the timescale for the tool or method? (start date, piloting, reporting etc)*
  - First version in March 2009
  - Will be turned off after 2013 and knowledge transferred to wiki on gender and governance

5. Learning Points (and Hints and Tips)

- *What lessons have you identified about the application (or piloting) of the tool or method?*
  - Training in software use desirable but not essential
  - Cheap video cameras need to be made available – i.e. flip cameras
  - Greater clarity about effective communications material – i.e. short, personal stories – not long documentaries
  - Centre needs to relinquish control and "see what happens" – this leads to conflict with media/policy departments who want to control messages.
  - Just do it, don't ask permission!
  - Programme needs to look at this within the context of how we work with the media

- *How have lessons learned from the use (or piloting) of the tool or method been captured and shared within your programme?*
  - Flip cameras being provided to country staff
  - Nature of communications material to be part of Y2 workshop for staff/partners
  - Looking at conference on NGO work with the media for Sept/Oct., 2010

- *How has the learning been incorporated into your programme?*
  - Ongoing

- *Are there any 'Hints and Tips' you would like other GTF partners to be aware of? (e.g. resources required, challenges faced and overcome, contextual adaptation)*
  - Main external challenges – spammers – ning allows you to control this – I started by having open access but had to switch to a more controlled use.

- o *Main internal challenges:*
  - Different adoption speeds and cultural affinity with web 2.0
  - IT/media/comms/policy type departments who want to control software and massage messages

6. Key message

- This will only work if you are prepared to "let go" and see where it goes.

7. References

- http://raisinghervoice.ning.com
- http://www.facebook.com/RaisingHerVoice
- http://www.twitter.com/RaisingHerVoice

Acronyms

BBC WST	British Broadcasting Corporation World Service Trust
CAR	Capability, Accountability, Responsiveness
CDF	Community Development Fund
CGD	Centre for Governance and Development
CSO	Civil Society Organisation
DFID	Department for International Development
GNP+	Global Network for People Living with HIV/AIDS
GTF	Governance & Transparency Fund
IBP	International Budget Partnership
IPPF	International Planned Parenthood Federation
JHR	Journalists for Human Rights
LEF	Living Earth Foundation
M&E	Monitoring & Evaluation
MSC	Most Significant Change
NICRO	National Institute for Crime Prevention and the Reintegration of Offenders
NTA	National Taxpayers Association (Kenya)
OBS	Open Budget Survey
ODI	Overseas Development Institute
PRISMA	Asociación Benéfica PRISMA
SFCG	Search for Common Ground
SMART	Specific, Measurable, Achievable, Realistic, Timebound
SODNET	Social Development Network
Tiri	Tiri – Making Integrity Work!
WGA	World Governance Assessment