

# Operational Plan 2011-2015

## DFID DEMOCRATIC REPUBLIC OF CONGO

MAY 2011

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# Introduction

The UK Government is determined to help reduce the inequalities of opportunity we see around the world today. We believe that promoting global prosperity is both a moral duty and in the UK's national interest. Aid is only ever a means to an end, never an end in itself. It is wealth creation and sustainable growth that will help people to lift themselves out of poverty.

In May 2010, the International Development Secretary, Andrew Mitchell, commissioned the Bilateral Aid Review (BAR) to take a comprehensive and ambitious look at the countries in which the Department for International Development (DFID) works through our direct country and regional programmes. The review focussed on the best ways for the UK to tackle extreme poverty, ensuring that we make the greatest impact with every pound we spend. In parallel, through the Multilateral Aid Review (MAR), DFID assessed how effective the international organisations we fund are at tackling poverty.

On the 1st March 2011, the key outcomes of the reviews were announced, including the results that UK aid will deliver for the world's poorest people over the next four years. The Bilateral Aid Review has refocused the aid programme in fewer countries so that we can target our support where it will make the biggest difference and where the need is greatest. The Multilateral Aid Review findings enable us to put more money behind effective international organisations which are critical to delivering the UK's development priorities. In addition the independent Humanitarian Emergency Response Review looked at how the UK can build on its strengths in responding impartially to humanitarian needs and help ensure future disaster responses can be better prepared and coordinated.

DFID is committed to being a global leader on transparency. In the current financial climate, we have a particular duty to show that we are achieving value for every pound of UK taxpayers' money that we spend on development. Results, transparency and accountability are our watchwords and guide everything we do. DFID regards transparency as fundamental to improving its accountability to UK citizens and to improving accountability to citizens in the countries in which it works. Transparency will also help us achieve more value for money in the programmes we deliver and will improve the effectiveness of aid in reducing poverty.

The UK Aid Transparency Guarantee commits DFID to making our aid fully transparent to citizens in both the UK and developing countries. As part of this commitment we are publishing Operational Plans for country programmes. The Operational Plans set out the vision, priorities and results that will be delivered in each of our country programmes.

We will concentrate our efforts on supporting achievement of the Millennium Development Goals (MDG), creating wealth in poor countries, improving their governance and security and tackling climate change. The prize, in doing so, is huge: a better life for millions of people, and a safer, more prosperous world.

# 1) Context

**The Democratic Republic of the Congo (DRC) is the second poorest country in the world<sup>1</sup> and is unlikely to meet the Millennium Development Goals<sup>2</sup>.** Three in five of its 65 million people<sup>3</sup> live on less than \$1.25 (£0.80) per day<sup>4</sup>, only 61% of girls and boys aged 6-11 regularly attend primary school<sup>5</sup>, an estimated one in one hundred births results in the death of the mother<sup>6</sup>, seven out of ten people in rural areas do not have access to drinking water<sup>7</sup> and almost one in three children under five are severely malnourished<sup>8</sup>. Despite this, the DRC only receives half the amount of aid per capita as the rest of Sub-Saharan Africa<sup>9</sup>.

**What happens in the DRC matters for the country itself, but is also of regional and global importance.** Instability in the DRC has already led to Africa's first major inter-state war and continues to pose a threat to the region<sup>10</sup>. It has vast mineral wealth<sup>11</sup> and huge water resources, but decades of conflict and corruption have left it chronically unstable, lacking infrastructure<sup>12</sup> and social services, and falling far short of its economic potential. It currently hosts the world's biggest UN peacekeeping mission. Shockingly high levels of sexual and gender based violence have made it one of the world's most dangerous places to be a woman<sup>13</sup>.

**Trade is important for the DRC economy** yet trading opportunities have not been strategically developed. Whilst the DRC is a member of many regional economic and political groupings<sup>14</sup> it is currently negotiating a free trade arrangement with the European Union as part of a central African grouping that offers little in terms of strategic economic opportunities. East and Southern African countries would make more natural partners, allowing the DRC to better exploit current trade routes with countries including Rwanda, Uganda, Tanzania and Zambia.

**Despite these challenges, the DRC has the potential to become an economic powerhouse and a regional and global force for peace and stability under the right conditions.** Solid political will and sound economic management, combined with properly focussed international aid, could bring a stable and prosperous DRC within reach. Progress here will bring enormous benefits to millions of poor people in the Congo, to its nine neighbours, and to the wider world. Helping turn it in that direction is a core goal of our new country programme.

**The DRC is significantly more stable than a decade ago and its economy is growing** (albeit from a low base)<sup>15</sup> and more able to cope with external shocks such as rising global oil and food prices. But continuing armed conflicts and banditry mainly in the East, remain to be resolved. Alongside this, a sustained effort is still required to tackle the deeper causes of conflict and fragility, including ending endemic corruption, managing the country's vast natural resources for the benefit of all Congolese rather than for a small elite, resolving deep seated ethnic tensions and disputes over land and other resources. It will also require work with neighbouring states to promote trade and peace, create the conditions to attract investment and increase revenues and to ensure that public resources are used to improve the well being of the DRC's population and tackle poverty through improved basic services and economic growth. Relations between the state and citizens need to be improved, with greater accountability and transparency in governance, the full application of the rule of law, and an end to impunity. Central to all this will be the need to protect women and strengthen their voice and position within Congolese society.

**The scale of the challenge in the DRC is enormous and it is widely recognised as one of the world's most difficult environments in which to deliver effective aid.** Despite this, independent assessments and evaluations show that, with other donors and development partners, DFID investments are already making a real difference to millions of people's lives. The UK's new aid programme will build on our knowledge of what works well in the DRC and in other fragile states, with an unrelenting focus on delivering results, achieving the highest levels of value for money in a context where aid delivery is inherently high cost, and successfully managing the risks of operating in an unpredictable and unstable environment. The aim is not just to improve people's lives, but to help change the world around them by supporting initiatives which will help build the peace, and create an accountable, responsive and capable state and a thriving economy.

The DFID aid programme will be a major component of a broader-based framework of joined up efforts by the British government to mobilise diplomatic, developmental and security sector support to help move the DRC out of conflict and insecurity and towards a more prosperous path where it can fulfil its aspirations to become a stable nation, able to meet the needs of its people and achieve its potential as an economic powerhouse at the heart of Africa.

## 2) Vision

### Overview

**This DFID programme will see a major increase in UK development assistance to the DRC.** It will respond to the challenge of delivering far more for poor people in terms of measurable, cost effective results, combined with a significantly enhanced drive towards wealth creation and economic growth. Meeting the needs of women and girls will be a core focus across the whole of the programme.

The UK Government's approach will reflect good practice as set out in DFID's peace building and state building strategy<sup>1</sup> and will be guided by a conflict sensitive approach and "do no harm" principles. DFID will: support the strengthening of core state functions in economic and financial management and civilian protection; build state capability to respond to public expectations by working with non-governmental organisations (NGOs) and international organisations to improve the delivery of basic services in government clinics, hospitals and schools; and help achieve an inclusive political settlement in the DRC through funding for elections and the strengthening of civil society.

The UK will also strengthen work to build incentives for peace and address the causes of conflict through new work on wealth creation, reform of the minerals sector, improved access to markets and stronger social cohesion through a large scale community-led recovery programme. Governance reform will remain a key element of the DFID programme, but with greater selectivity at national level and a major new drive to bring about reform and the strengthening of state capability and responsiveness by working with authorities and service providers at local levels to kick start reform of basic services from the bottom up.

The key features of the programme will be: a major **increase in investment in basic services** – bringing health services (including family planning and safer birth), clean water and sanitation, protection against malaria, and basic education to millions of Congolese; major **new work on wealth creation** – adding work on the business climate and regional trade facilitation to ongoing work on roads and a major new initiative on reform of the minerals sector; an **increased effort on conflict prevention and stabilisation** with an emphasis on improving the protection of civilians and building peace and accountability through police reform and a major community recovery programme in areas emerging from conflict; **strategic and focussed use of governance programming** – to help build the ability of the state to deliver core state functions (including more effective civilian protection through security sector reform and improved public financial management), improve democratic accountability (including through the media and civil society), and to build the capability of the state to respond to public needs and expectations through bottom up reforms to public services; support to the **transition from high cost humanitarian relief to more sustained recovery and development** programming and; a clear focus on, and determined actions to deliver results for, **women and girls** in all programme areas.

### Alignment to DFID and wider UK Government priorities

The UK aid programme in the DRC will support wider UK government conflict and security policy goals by helping stabilise DRC and the wider region. Key reforms – for example in the minerals sector – will help break the link between the illicit exploitation of natural resources and the fuelling of conflict, with long term benefits to global security. In addition, opening up the business environment will bring benefits to global recovery, create jobs for young people (who might otherwise opt to join rebel groups and local militias), and create new and wider opportunities for foreign investment. In delivering this offer, DFID will continue to play an active role in cross-Whitehall working through the "one Embassy" approach that has made the DRC one of the most joined-up British government country operations in Africa.

### What we will stop doing

The new programme framework will evolve over the first two years, with major increases in the aid flow in years three and four, provided there is continued progress on governance and stability. No existing programmes will come to an abrupt halt. The completion of the national electoral cycle and the end of a major democracy and accountability programme in 2012 will open up space to recast DFID's work on governance, focussing on fewer, more strategic reform initiatives. Over the period the total number of interventions in the portfolio is expected to reduce by half from 48 to 24.

### 3) Results

Pillar / Strategic Priority	Indicator	Baseline (year as indicated)	Expected Additional (Cumulative) Results by 2015 (DFID Attributable unless noted)
<b>Wealth Creation/ Infrastructure</b>	Kilometres of roads rebuilt or upgraded (attributedable to DFID funding) <i>(Source: project monitoring)</i>	321km (2010)	1,700 km additional
<b>Wealth Creation/ Business Environment</b>	Reduction in time (days) and real cost (% Gross National Income per capita (GNI pc) ) to start a business <sup>1</sup> <i>(Source: World Bank Doing Business Survey)</i>	149 days; 391% average per capita income (GNI pc, 2009)	75 days; 200% average per capita income (GNI pc)
<b>Governance/ Elections</b>	Number of people who register to vote (of which % women) and number of people who turn out to vote <sup>2</sup> <i>(Source: MONUSCO electoral division and project monitoring)</i>	26 million (52% women) registered voters; 18 million people voted (2006)	31 million (52% women) registered voters; 22 million people vote
<b>Governance/ Accountability</b>	Number of communities empowered by DFID to monitor local government / service performance through report cards <i>(Source: project monitoring)</i>	0 (2010)	1,500 (approx. 1.5 million people <sup>3</sup> )
<b>MDGs – Education/ Primary Schooling</b>	Number of girls and boys supported by DFID in primary school <i>(Source: project monitoring)</i>	0 (2010)	186,000 girls and 186,000 boys
<b>MDGs- Health/ Malaria</b>	Number of Long Lasting Insecticide Treated Bednets distributed using DFID funding and number of people reached <i>(Source: project monitoring)</i>	0 (2010)	9.5 million bednets reaching at least 15 million adults and children
<b>MDGs – Health/ Reproductive Health</b>	Number of Couple Years of Protection (CYP) <sup>4</sup> using modern family planning methods delivered with DFID funding <i>(Source: project monitoring)</i>	0 (2010)	460,000 CYP
<b>MDGs – WatSan/ Rural Water</b>	Number of people who have access to a healthy environment (clean water, adequate sanitation and hygiene education) via DFID support <i>(Source: project monitoring)</i>	1.0 million (2010)	6.2 million (of which at least 3.1 million women and girls)

<sup>1</sup> DFID will contribute to this along with others. Detailed programme design will enable us to estimate the share of the result we can attribute to DFID funding.

<sup>2</sup> DFID contributes to a basket fund with others to support the elections

<sup>3</sup> Assuming approximately 1,000 people per community who will all benefit

<sup>4</sup> *Couple years of protection* (CYPs) are a commonly-used measure of family planning performance at output level, CYPs provide an estimate of protection against unintended pregnancy provided by contraceptive methods, based on volume and types of contraceptive method provided to clients during a one year period

### 3) Results (continued)

#### Evidence Supporting Results

The evidence supporting the proposed results is drawn from a range of sources. For a first set of interventions (e.g. those on roads, water and sanitation, access to healthcare, bed nets, humanitarian, core elements of community recovery) DFID DRC is planning to scale-up current or previous programmes that have proven effective in the DRC context. In these cases the expected results are based on a good understanding of what works in DRC and are considered highly achievable, even if conditions deteriorate.

For a second set of interventions (e.g. support to primary education, reproductive health, business environment, regional trade work, accountability elements in the community recovery programme, public finance management, civic education, media) design has drawn/will draw on international evidence of what works in these areas. This evidence has been assessed for its transferability to the DRC context and the expected results have been estimated by adjusting international evidence to accommodate the contextual differences and their likely implications. Continued stability in the political environment will be important for these areas, but subject to this remaining stable, the results are considered achievable.

In a third set of interventions there is either limited international evidence on the type of approach being taken in DRC (e.g. police reform, stabilisation and mining sector reform where DFID DRC is pursuing innovative approaches) or limited transferability of the evidence to the DRC context (e.g. cash transfers where evidence generally suggests that these work best when Government is in the driving seat) which means that the evidence is weakest. However international evidence clearly sets out that progress in these areas will be critical to achieving our goal of transforming the state in DRC, as such political will and stability will be extremely important and these results will be the most challenging to achieve. As explained in more detail in Section 6, DFID DRC will ensure robust approaches to monitoring and evaluation are embedded in these interventions, including independent impact evaluation where appropriate so contributing to global evidence in these areas.

#### Value for Money (VfM) Rationale

The value for money (VfM) of specific interventions, and of the programme as a package, is one of the key factors DFID DRC has used in determining priority areas and levels of intervention. The following elements of the programme stand out as offering particularly strong VfM:

- The health package overall, but particularly distribution of bed nets, offers excellent VfM. Despite the high transport and logistical costs faced in DRC, the scale of need and response enables us to exploit excellent economies of scale in the procurement of the nets themselves.
- Basic water and sanitation programmes are known to be offer outstanding VfM generally. Given the frequency of, and relative ease of access to, natural spring water sources the returns to this type of investment in DRC are even higher than elsewhere
- Investment in primary education is known to be good VfM: the focus on girls within our education offer will help ensure that the benefits of learning are shared within families, communities and across generations
- The wealth creation interventions (building roads, tackling mining sector reform) in and of themselves offer great VfM and the multiplier effects between programmes (e.g. building roads to the border posts to be funded) make the VfM of the package even stronger.

Beyond individual interventions, the programme has been designed to maximise complementarity and synergies between pillars and so maximise VfM across the portfolio as a whole. For example, where possible DFID will cluster activities geographically e.g. by building roads in areas where we are working on basic services to facilitate access. DFID DRC work through the governance and security pillar will help safeguard against a return to conflict, ensuring that previous and current investments are protected. DFID support to high level reforms (e.g. in the area of Public Finance Management) will create a better enabling environment for other parts of the programme (e.g. planning in education with a view to reducing fees). VfM from the DFID investment will also be maximised by leveraging in contributions from others where possible, including on the ongoing Civil Society Fund and in planned work on the business climate and trade.

## 4) Delivery and Resources

### Partnerships and Intervention Choice

Given the current context in the DRC, **the UK is not yet in a position to channel aid through government systems**. As a result, the DFID DRC aid programme is delivered through a range of different partners and instruments, chosen to reflect project objectives and risks in order to ensure that interventions are well managed and that UK aid is put to the best use. However, the DFID programme is closely aligned to DRC government priorities and policies and where possible works closely with government at an operational level e.g. our Access to Healthcare programme is delivered through government clinics.

**DFID DRC partners include multilateral organisations (notably the World Bank and UN agencies, accounting for approximately 40% of funding) and international civil society organisations (approx. one third of funding)**. Where there are concerns over the ability of a partner to deliver, practical support is offered, including the provision of additional staffing where necessary. DFID proactively manages these partnerships and in some cases continued poor performance has resulted in decisions to seek alternative delivery partners. This approach will continue, including by taking account of the findings of the DFID Multilateral Aid Review.

DFID DRC also **employs a variety of funding instruments**, which include bilateral arrangements (e.g. in policing, health and community recovery), contributions to others' programmes (e.g. on Media) and pooled funding with other donors (e.g. on Roads and Mining Sector Reform). Our involvement in the Humanitarian Pooled Fund and the Civil Society Fund for Good Governance are particularly innovative examples of how DFID has shown leadership in developing programmes that have attracted the support of other donors.

In order to drive up VfM, DFID will support multiple interventions in the same geographical area to multiply their overall impact. Already, for example, UK investment in roads is opening up trading opportunities and enabling access to basic services for both consumers and donors wishing to support those services.

Although not yet a direct recipient of UK funding, the Government of DRC is a key partner for coordination and policy dialogue. There has been incremental progress, under challenging conditions, in strengthening donor-government relations. DFID has played a leading role in improving coordination amongst donors in the DRC and using this as a basis for more strategic and coherent engagement with the government. Recent efforts to agree common priority areas for engagement with the Government of DRC are beginning to show promise, despite its preference for bilateral relationships. DFID DRC will use programmes strategically in support of this policy dialogue to encourage the government to improve the aid environment in DRC e.g. through better management of public finances.

**Building on this, DFID will use its influence within the donor group to encourage our partners to take practical steps towards aid that is better aligned to the priorities, policies and systems of the DRC.** DFID will encourage all partners to use processes that replicate and work closely with government systems at their level of intervention both to ensure government ownership of investment decisions and plans and to build ability within government to engage with these processes. For example, our Access to Healthcare programme is managed by an international NGO, but in addition to operating out of government facilities it works with local health service providers to build capacity for longer-term delivery of those services. The Government is also the main implementing agency for a number of our multilateral partnerships (e.g. on mining and roads).

### Responding to Conflict and Fragility

DFID DRC will be updating existing conflict analysis to inform current and future interventions and ensure our programming is in line with fragile states principles, particularly the commitment to do no harm. The analysis will establish a baseline from which to monitor conflict dynamics in the DRC on an annual basis and complement our risk management and external environment monitoring work.

## 4) Delivery and Resources (continued)

Pillar/Strategic Priority	2010/11		2011/12		2012/13		2013/14		2014/15		SUB-TOTAL 2011/12-2014/15		GRAND TOTAL £'000
	Resource £'000	Capital £'000	Resource £'000	Capital £'000									
Wealth Creation	1,800	17,000	3,000	17,000	12,000	15,000	22,000	30,000	40,000	37,000	77,000	99,000	176,000
Climate Change	0	0	0	0	0	0	0	0	0	0	0	0	0
Governance and Security	20,000	0	25,000	0	25,000	0	29,000	0	30,000	0	109,000	0	109,000
Education	4,900	0	8,000	0	12,000	0	13,000	0	21,500	0	54,500	0	54,500
Reproductive, Maternal and Newborn Health <sup>1</sup>	12,700	0	15,000	0	25,000	0	43,000	0	65,000	0	148,000	0	148,000
Malaria	3,500	0	10,000	0	15,000	0	16,000	0	0	0	41,000	0	41,000
HIV/Aids	700	0	1,000	0	0	0	0	0	0	0	1,000	0	1,000
Other Health	4,500	0	0	0	0	0	3,000	0	4,500	0	7,500	0	7,500
Water and Sanitation	10,900	0	10,000	0	10,000	0	13,000	0	17,000	0	50,000	0	50,000
Vulnerability	11,700	0	18,000	0	17,000	0	23,000	0	15,000	0	73,000	0	73,000
Humanitarian	43,600	0	40,000	0	34,000	0	28,000	0	28,000	0	130,000	0	130,000
Other MDG's	80	0	0	0	0	0	0	0	0	0	0	0	0
Global Partnerships	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>SUB-TOTAL</b>	<b>114,380</b>	<b>17,000</b>	<b>130,000</b>	<b>17,000</b>	<b>150,000</b>	<b>15,000</b>	<b>190,000</b>	<b>30,000</b>	<b>221,000</b>	<b>37,000</b>	<b>691,000</b>	<b>99,000</b>	<b>790,000</b>
<b>GRAND TOTAL</b>	<b>131,380</b>		<b>147,000</b>		<b>165,000</b>		<b>220,000</b>		<b>258,000</b>		<b>790,000</b>		

(1) This figure includes our Access to Healthcare programme, which covers health service provision in general, including malaria and MCH. However, the most significant impact is on pregnant women and children.

## 4) Delivery and Resources (continued)

	2010/11	2011/12	2012/13	2013/14	2014/15	Total
	£'000	£'000	£'000	£'000	£'000	£'000
Frontline staff costs - Pay	1,700	1,634	2,000	2,150	2,275	8,059
Frontline staff costs - Non Pay	2,199	2,700	3,300	3,100	3,500	12,600
Administrative Costs - Pay	450	350	350	360	360	1,420
Administrative Costs - Non Pay	567	400	400	350	400	1,550
<b>Total</b>	<b>4,916</b>	<b>5,084</b>	<b>6,050</b>	<b>5,960</b>	<b>6,535</b>	<b>23,629</b>

These figures are as accurate as possible but a number of potential factors that could affect budget outturn have been identified. These include: Exchange rate fluctuations; the outcome of negotiations on our Service Level Agreement (SLA) with the Foreign and Commonwealth Office (FCO); Insecurity associated with the elections; Reduction in availability of internal UN flights; Changes to DRC's hardship classification.

It should be noted that the non-pay frontline staff and administrative costs go up and down over the four year period of this Operational Plan. This is explained by the fact that the costs associated with staff rotations are significant in DRC (freight costs tend to be higher than average and language training is expensive). Therefore, the reduction in non pay costs for both front line staff and Admin in 2013-14 compared to 2012-13 are not savings but merely reflect the fact that there are fewer staff rotations expected in that financial year.

## 4) Delivery and Resources (continued)

### Efficiency savings (see also sections on vision and workforce planning)

Category	Details	Residual cost in the SR period £'000
Strategic Reprioritisation	Exiting HIV, urban water, less effective partnerships (£58.8 million)	10,800
Further examples of Programme efficiency	Re-designing Security Sector Reform/Police and Education programmes (£69.8 million).	43,400

DFID has already implemented substantial savings in operating costs, cutting total expenditure from £6.1 million in 2009/10 to £4.3 million in 2010/11. This leaves limited scope for further reductions. However, the administrative forecast for 2011/12, is already less than the indicative budget for 2012/13. Fluctuations in non pay forecasts for both front line staff and Admin spend throughout the period reflect the high costs of staff rotation, especially costs of language training.

2011/12		2012/13		2013/14		2014/15	
PAY £'000	Non Pay £'000						
83	147						
17	20						
100	167	0	0	0	0	0	0

## 5) Delivering Value for Money (VfM)

### Challenges

In the DRC, the operating environment means that delivery costs are on the whole above average compared to other countries in which DFID operates. Systemic factors which push our unit costs up include: Working outside government systems (even where in close cooperation with government) which means that administration and management overheads are high; weak infrastructure and logistics which make transport costs high for critical inputs i.e. people, goods and services; ongoing security constraints which affect the security of people and assets adding to programme implementation costs; a challenging environment in which to work and live which makes attracting and retaining good staff expensive for our partners; and finally a lack of reliable national data for planning or monitoring and evaluation purposes which means that DFID needs to invest in data systems to be able to monitor both results and cost effectiveness. However, it is important to recognise that **even with above average unit costs, the programme can still deliver excellent Value for Money (VfM)**.

### Response

DFID DRC will undertake a **systematic approach to VfM, through the development of an action plan to mainstream VfM at all levels of activity**. VfM will be put at the heart of project design and appraisal and this will then be followed up through implementation and, crucially, Monitoring and Evaluation (M&E) with the development of a set of core VfM metrics along the 'value chain' for each intervention. Where data limitations mean that VfM metrics developed during design/appraisal are less robust than we would like, particularly at outcome and impact levels of the results chain, DFID DRC will ensure that project monitoring and evaluation systems can capture the information needed to review and refine these metrics at appropriate intervals.

The VfM Action Plan, which will be finalised by end May 2011, will commit DFID DRC to the following in order to improve VfM across the portfolio:

- Make VfM a key consideration in project design and appraisal and use this process to both undertake cost benefit/effectiveness analysis and to develop a series of VfM metrics for all interventions that cover the results value chain and explicitly address the key economy, efficiency and effectiveness elements of VfM, including unit costs. Alongside this, appropriate benchmarks (within and outside of DRC) for each intervention will be identified to test and challenge assumptions
- Ensure that project monitoring and evaluation systems (including log frames as appropriate) are designed to capture and report on this information and routinely monitor VfM metrics during programme review processes as appropriate to review how they evolve both against initial estimates and identified comparators over time and ensure that findings are reported on as part of review records (both to feed back into programme implementation and to build a database to inform future design and appraisal work)
- To harness Corporate and Divisional financial improvement strategies and tools to ensure we have the correct systems, procedures and practice in place to drive continued improvement in financial management, including in the area of forecasting
- To proactively manage the fiduciary risks associated with growing programme and administrative expenditure, including through spot checks
- Take a more commercial approach to the management of both our administration and programme resources, improving our procurement and improving the management of contracts and other financial arrangements with the service providers that manage our projects

In order to do this DFID DRC will need to:

- Continue to build capacity across the programme team – within advisory and project management cadres – for conducting and using VfM analysis through ongoing in-house coaching events (this will include specific training on how to evaluate budget proposals)
- Build the capacity of our partners in order that they share our vision for VfM and results-oriented programme management and are able to work with us to improve the VfM of the interventions DFID DRC funds. The size of our investment via key UN, Multilateral and NGO partners should help us leverage this change.

Over the longer term DFID programming will tackle some of the challenges outlined above, helping to improve the VfM of future UK investments in the DRC.

## 6) Monitoring and Evaluation

### Monitoring

What little data and statistics exist for the DRC are often unreliable. DFID DRC is already making a significant investment in monitoring and evaluation (M&E) across the portfolio to respond to this and has already established a reputation within DFID for groundbreaking work on capturing results. DFID DRC will **maintain and deepen this emphasis on M&E to ensure we learn what works and what doesn't, to maximise VfM and to continuously drive up portfolio quality.**

**All of the major interventions proposed in this offer will include robust systems to measure results and continually assess value for money.** In many cases programmes will include an M&E specific output to reflect the fact that M&E is intrinsic to successful programme implementation and to ensure that M&E commitments are properly appraised during programme design and followed up during programme reviews.

The Results Framework (which will be built up from intervention logical frameworks) will be an essential programme management tool, providing an overview of programme implementation and progress towards headline results as well as reporting against DFID Business Plan indicators. DFID DRC's dedicated Results team will have overall oversight of the Results Framework but individual programme teams will be responsible for keeping it up to date. The Results team will also continue to provide support to delivery teams as they develop the results chains, logical frameworks and M&E systems underpinning interventions, as well as providing an ultimate quality assurance of these aspects of programme design before they are finalised.

### Evaluation

In addition to routine monitoring, **plans are in place to conduct robust independent evaluations of a number of our interventions to verify the reliability of the results we are reporting.** This will be delivered through DFID issued contracts to independent teams (e.g. on police reform, for regional trade) or through contracts issued by the lead implementing partner (e.g. on community recovery, on rural water and sanitation, on roads). Full impact evaluations are currently planned for three programmes (media, community recovery, police reform). Overall it is expected that 80% of the programme will be subject to some form of independent evaluation. To boost internal ability to manage this, DFID DRC will recruit an Evaluation Adviser.

### Building capacity of partners

Ideally we would prefer to work with government systems and use, at least to a degree, government data as the basis for our programme monitoring and evaluation. This is not yet possible in the DRC so DFID will continue to create bespoke M&E systems to meet immediate and medium term demands. However, in doing this we will also make links to existing institutions where possible, building partnerships and capacity in order to improve the sustainability of the M&E interventions themselves, and create demand for the type of information generated. For example, the police reform programme will continue to work with the Congolese National Statistics Institute (NSI) on a Knowledge, Attitudes and Practice survey. The mining sector reform programme will provide support to the NSI in undertaking a household income and consumption survey in return for oversampling of mining areas to feed into project M&E.

Beyond programme specific activities, DFID DRC is supportive of wider efforts to develop the Congolese statistical and poverty monitoring systems. DFID has pushed for the DRC to be one of the first pilot countries under the DFID-World Bank Statistics for Results Facility and engages with this process in-country through the Statistics Thematic Group. DFID plans to support the forthcoming national population census, is supporting a census of teachers and will identify other opportunities to improve the DRC's own access to better data and information for planning.

DFID DRC will also continue to work with key implementing partners to ensure that they understand and can respond to our demand for strengthened monitoring and evaluation across the programme. Capacity levels across partners in this area are mixed at present, but we have so far found our partners willing and able to improve.

## 7) Transparency

Transparency is a key priority for the UK government and this is reflected in the **UK Aid Transparency Guarantee** launched in June 2010, which commits DFID to publishing detailed information about new projects and policies in a way that is comprehensive, accessible, comparable, accurate and timely. The UK expects that **greater transparency will improve the effectiveness of aid in reducing poverty and improving development outcomes**. It will create pressure to improve and demonstrate value for money and will give people the power to hold donors and partner governments accountable for using aid money well. Greater transparency will also ensure that UK taxpayers and developing country citizens can better see where aid money is being spent, help improve coordination of aid amongst donors and help developing country governments know what aid they will receive so it is easier for them to plan their budgets.

DFID DRC will play its part in meeting DFID's commitment to publish more and better quality information and will play a leading role in promoting transparency to drive greater accountability among donors, partners and government in the DRC.

We will do this in three ways:

### **Publishing high quality information**

DFID DRC will provide timely information on UK aid commitments to the Government of DRC via its "Aid Management Platform" and encourage them to further develop the system, making this information widely and more easily available.

The office will continue to ensure that all documentation for public release is of high quality and written in plain English. All key documents will continue to be provided in both French and English. DFID DRC will publish all impact evaluations to enhance our and our partners' knowledge of what is working well, and ensure we and others learn from what is not. There will be clear lines of accountability and responsibility (linked to the performance objectives of DFID DRC staff members) to ensure appropriate levels of management time are given to quality assurance.

### **Working with our delivery partners to enhance transparency**

DFID DRC will continue to work with our full range of partners to develop a shared understanding of our responsibilities under the Transparency Guarantee. Where necessary, this will be spelled out in the formal agreements negotiated with partners. DFID DRC will provide structured inductions for new partners to help them understand and meet DFID's requirements and will work with existing partners to ensure that they are up to date with our transparency commitments and understand how they affect them. DFID will encourage all of our partners in the DRC to aim for similar standards of aid transparency and accountability. We recognise that this is a two way process and will take opportunities (e.g. through our routine monitoring of programmes) to allow partners and beneficiaries to provide us with feedback and hold us to account. In addition, we will encourage partners to find ways to allow beneficiaries to provide them with feedback. Some DFID DRC programmes already have built in community accountability mechanisms which facilitate this and we will explore the possibilities of extending this where appropriate.

### **Support to civil society in the DRC**

The intention of the Guarantee is also to help recipient country's citizens to hold their own government to account through improved transparency. We will continue to use our civil society and media programmes to improve civil society in the DRC to provide greater opportunities for Congolese to voice their own priorities and demand more accountability.

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# Annex 1: Women and Girls

## Challenge

DRC is one of the worst places in the world to be born a girl. Women and girls are systematically disadvantaged and on the global gender equality index DRC ranks 137th out of 138 countries. <sup>1</sup> Nearly two thirds of married women report being physically or sexually abused by their partner and this underlying problem is overlaid by horrendous incidents of sexual violence by men in uniform in conflict affected areas. Women and girls are particularly vulnerable to the lack of basic services across DRC e.g. every day over 80 women die giving birth in DRC. <sup>2</sup> Women are disproportionately affected by the endemic corruption in the DRC e.g. 90% of rural women traders report paying 'informal taxes' at the border. <sup>3</sup> Women have little power to influence decision making at any level: household, local or national. Within the household, with the exception of cooking utensils, men own and decide on the use of almost all assets. <sup>4</sup> Women make up only 8% of Parliamentarians and none of the 11 Provincial Governors are women.<sup>5</sup>

## Response

DFID DRC will ensure that the priorities of women and girls are prominent in all key programmes by: systematically taking account of gender inequalities and of the different roles that men and women play; designing all our programmes in a way that helps address the disadvantages faced by women and girls, by empowering them, as well as by working with men and women to change discriminatory practices, such as favouring boys' access to school; and ensuring that results are disaggregated by gender wherever possible.

Ensuring this consistent focus on women and girls will require that DFID DRC engages systematically on integrating women's and girls' priorities in the design and implementation of our programmes and challenge those who say that things cannot change. Wherever the targets contained in this plan indicate that women/girls will benefit equally with men/boys from an intervention DFID DRC is committing to take concerted action to ensure equal outcomes in the face of existing inequalities.

## Results Expected

A summary of key results for women and girls is presented in Box 1. DFID DRC will focus in particular on the four women and girls target areas in the *DFID Business Plan* and the *Gender Vision House*:

### (i) Assets for women and girls:

DFID DRC's trade work will reduce the costs and improve the safety of cross-border trade which is dominated by women. Our community recovery programme will improve living conditions for women.

### (ii) Preventing violence against women and girls:

The Security Sector Accountability and Police Reform Programme will work at the national level and in three pilot provinces to support government, the police and civil society to develop practical approaches to improve prevention, reporting, investigation and victim support.

### (iii) Getting girls through secondary school:

To get girls through secondary school in DRC it is first necessary to get them into and through primary school. DFID's programme will help get girls into school and keep them there including through providing material support, and improving teaching and learning, in over 1,000 schools.

### (iv) Delay first pregnancy:

DFID DRC's Access to Healthcare programme will improve access to maternal and reproductive health services, including contraception.

### **Box 1: Key results for women and girls**

- Improved living conditions for 50,000 female headed households
- Increase by 30% the proportion of women in target areas who feel safe
- Get 225,000 more girls into primary school and reduce drop out rate from 8% to 5%
- More than 185,000 girls to benefit from direct support to primary schools
- 100,000 girls to benefit from improved teaching and learning of basic literacy
- More than 350,000 women to receive bednets and intermittent preventative malaria treatment during pregnancy in target health zones
- More than 350,000 births to be attended by skilled health personnel in target health zones
- At least 8.5 million women and children to receive bednets via mass distribution
- Meet the contraceptive needs of 235,000 women and adolescent girls
- Provide clean water and sanitation to at least 3 million women and girls
- Register at least 16 million women to vote in order that at least 11 million women actually vote

# Annex 2: End Notes by Section

## 1. Context

<sup>1</sup> 2009, Atlas method. Source: World Development Indicators online.

<sup>2</sup> See <http://www.cd.undp.org/info.aspx?idcontent=15#revue> (UNDP website for DRC, in French)

<sup>3</sup> Source: UN Statistics Division

<sup>4</sup> 2009. Source: World Bank PovCalNet, <http://iresearch.worldbank.org/PovcalNet/povcalSvy.html>

<sup>5</sup> *DRC Demographic and Health Survey, 2007* (59% girls, 63% boys). This compares to a 2007 Sub-Saharan African average of 73% (71% girls, 76% boys) as reported in the *EFA Global Monitoring Report 2010*.

<sup>6</sup> Compares to an SSA average of 900 per 100,000 livebirths. All figures for year 2000 and from UN Statistics Division.

<sup>7</sup> This compares to an SSA average of 54%. All figures WHO/UNICEF JMP 2010.

<sup>8</sup> 2007. This compares to 16% in Uganda (2007) and 18% in Rwanda (2005). Figures from World Development Indicators Online.

<sup>9</sup> DRC receives US\$25 per capita, compared with the SSA average of US\$49. Figures for 2008. Source: World Bank, World Development Indicators 2010 (online).

<sup>10</sup> The war drew in troops from Rwanda, Burundi, Uganda, Namibia, Zimbabwe, Angola and Chad. In addition, the government of Libya provided planes, and there are reports that Sudanese forces were also involved.

<sup>11</sup> It is estimated that the country contains 80% of the world's columbite-tantalite (coltan) reserves, 49% of its cobalt reserves, and 10% of its copper reserves (Source: Wardell Armstrong presentation to CASM conference, 2007). Gold and diamond deposits remain underexplored, but are estimated to be vast.

<sup>12</sup> DRC has only 2800 kilometres of paved roads, that are largely unconnected, in a country the size of Western Europe. Out of the core road network of 152,400 kilometres, only 5-10% is in fair to good condition. The rest is impassable and in need of rehabilitation. Source: World Bank Project Appraisal Document, Multi-modal Transport Project, June 2010

<sup>13</sup> April 2010, BBC World News reported the words of the UN's special representative on sexual violence in conflict, calling the DRC "the rape capital of the world", and saying that with more than 8,000 women raped during fighting in 2009 alone, rape remained a dominant feature of the ongoing conflict in eastern DRC, and impunity was the rule rather than the exception. The BBC article further reported findings by the Harvard Humanitarian Initiative (2010) which showed that 60% of rape victims in South Kivu were gang raped by armed men, more than half of the assaults took place in the victims' homes and an increasing number of attacks were being carried out by civilians.

<sup>14</sup> Exports were equivalent to 40% of GDP in 2009, and imports equivalent to 45%. Source: IMF doc EBS/11/15.

<sup>15</sup> The IMF estimate that real GDP growth in 2010 was 6.1% (IMF doc EBS/11/15) this compares favourably to the 5% estimated both globally and for the SSA region in 2010. (IMF World Economic Outlook, Jan 2011 update). GDP in DRC was estimated at roughly \$12 billion in 2010 (IMF EBS/11/15).

## 2. Vision

<sup>1</sup> *Building Peaceful States and Societies, A DFID Practice Paper*, DFID 2010

## End Notes by Section (continued)

### Annex 1: Women and Girls

<sup>1</sup> Gender Development Index, 2010

<sup>2</sup> Count Down Report, Maternal, Newborn and Child Survival, 2010 (from UN 2005 data) [www.countdown2015mnch.org/reports-publications/2010-country-profiles](http://www.countdown2015mnch.org/reports-publications/2010-country-profiles) shows maternal deaths at 32,000 per year. Dividing this by 365 gives 88 maternal deaths per day.

<sup>3</sup> The Crossing: Small-Scale Trade and Improving Cross-Border Relations between Goma (DR Congo) and Gisenyi (Rwanda), Celestin Kimanuka and Maria Lange, International Alert, September 2010

<sup>4</sup> *Femmes et Hommes; Quel role dans l'agriculture?* Presentation by Delphine Brun, Gender Adviser, to Humanitarian Clusters 2010

<sup>5</sup> *Gender and Elections in the Democratic Republic of Congo*, Fick and Nikwane, 2008

# Annex 3: Planned Interventions

<b>Wealth Creation</b>			
<b>Intervention/Programme Area</b>	<b>Aid Instrument</b>	<b>Finance</b>	<b>Dates</b>
<b>Scale up national roads programme</b> including elements of the national stabilisation and reconstruction plan for Eastern DRC	WB-Managed Trust Fund (MOU); MoU with UNOPS	£100m (£53m existing commitments)	2011-2015 (Design for scale-up 2011-12)
<b>Promote regional trade</b> through construction of “One-Stop border posts”	Bilateral project with the potential to leverage in others (instrument to be determined)	£38m (new programme)	2012-15 (Design work start 2011)
<b>Improve Business Climate</b> by addressing some of the key Doing Business constraints	Multilateral-led Pooled Fund(s)	£7m (new programme)	2011-2013 (Design 2011)
<b>Mining Sector Reform</b> to improve management of the sector, attract investors and generate public revenues	Contribution to WB-managed Trust Fund (MOU)	£29m (existing commitments)	Ongoing
<b>Public Private Partnership</b> with provincial Government and mining companies to promote development in Katanga	Contribution to Pooled Fund	£2m (new programme)	2012 (Final design 2011)
<b>Total</b>		<b>£176m</b>	

## Key Decision Points:

- Mining Sector Reform programme Mid Term Review in 2013
- Stocktake at end of Inception Phase of Regional Trade Programme before moving into Investment Phase in 2012
- Stocktake at end of Pilot Phase of PPP programme in 2013
- Stocktake of PROROUTES Roads programme and broader progress in sector to inform plans for scale up in 2012

<b>Governance and Security</b>			
<b>Intervention/Programme Area</b>	<b>Aid instrument</b>	<b>Finance</b>	<b>Dates</b>
<b>Improved Public Financial Management and Accountability</b> linked to decentralisation	TBD (aim for multilateral trust fund)	£10m (new programme)	2012-2015
<b>Promote Security Sector Accountability and Police Reform</b>	Bilateral - contract	£43m	2011-2015
<b>Promote Stabilisation and Conflict Prevention</b> focussing on ongoing stabilisation, peace consolidation and civilian protection efforts	TBD	£10m (new programme)	2011 (design) - 2015
<b>Strengthening Democracy &amp; Accountability</b> including through ongoing support to the electoral commission	Bilateral grant to UNDP (MOU)	£10m (existing)	2011 – 2012
		£5m (new programme)	2013 – 2015
<b>Strengthening demand-side accountability</b> including support to media, civic education, civil society	Contribution to pooled funds	£19m (£14m existing commitments)	2011 – 2015
<b>Cross-cutting capacity building</b> , including data generation and use for planning purposes (incl. population census)	Mixed - unlikely to be one programme	£12m (new programmes)	2012 (design) – 2015
<b>Total</b>		<b>£109m</b>	

**Key Decision Points:**

- SSAPR inception review January 2012 (assessing progress on key strategic milestones)
- Stocktake after 2011/12 elections and following external evaluation of D&A programme (end 2012)
- Stocktake at end of design phases for PFMA, Stabilisation/conflict prevention and Cross-cutting governance

<b>Education</b>			
<b>Intervention/Programme Area</b>	<b>Aid instrument</b>	<b>Finance</b>	<b>Dates</b>
<b>Implement Teachers' Census and School Mapping</b> to provide basis for planning and monitoring and evaluation	Bilateral Project via CTB (MOU)	£14m (existing commitment)	2010-2012
<b>Conduct Exclusion Study with Early Grade Basic Skills Survey and Support</b> to improve teaching and learning of basic skills	Bilateral Project with UNICEF (MOU) and possibly other partners	£4m (existing commitment)	2011-2015
<b>Provide Direct Support to Schools</b> to provide comprehensive school improvement package (including infrastructure, equipment, teacher training, support to parents and school management committees)	Bilateral Project (instrument to be determined)	£36m (new programme)	2011 (design)-2015
<b>Total</b>		<b>£55m</b>	

**Key Decision Points:**

- Data base and results from teacher census and school mapping, studies on exclusion and learning (2011-12)
- Stocktake at end of 2nd year of direct support to schools (end 2012)
- Appraisal for Fast Track Initiative (FTI) of DRC Interim Education Plan (mid-2011) and Sector Strategic Plan (2014)
- Assessment of opportunities for synergies with other DFID programmes (including Tuungane 2011 and ongoing)

<b>Health</b>			
<b>Intervention/Programme Area</b>	<b>Aid instrument</b>	<b>Finance</b>	<b>Dates</b>
<b>Scale up comprehensive support to primary health care services</b> to provide heavily subsidised, and targeted free, healthcare with an emphasis on reproductive, maternal and child health and on malaria prevention and treatment	Bilateral project with NGO(s) (instrument to be determined)	£111m (£20m existing commitments)	2011-2015
<b>Distribute bed nets and family planning commodities</b> through support to campaigns for mass distribution (bednets only), routine distribution via health facilities and social marketing programmes	Bilateral projects (various instruments)	£78m (£20m existing commitments)	2011-2015
<b>Add community health package</b> to UNICEF rural community-led water and sanitation programme to focus on malaria, diarrhoea, nutrition	Bilateral grant to UNICEF (MOU)	£8m (new programme)	2013-15
<b>Improve coordinated response to HIV/AIDS</b> in DRC	Project via UNAIDS (MOU)	£1m (existing commitments)	2011
<b>Total</b>		<b>£198m</b>	

### Key Decision Points

- Access to Healthcare (A2H) extension to end 2011 finalised (early 2011)
- Decision on mechanisms and design for second phase A2H (mid 2011)
- Review progress in programme for mass distribution of bednets phase 1 and design of phase 2 (mid 2011)
- Social marketing programme design and tender (2011-12)
- Explore options / partners for FP commodities (2012)
- Joint review of UNICEF community health pilot and design scale up (2012)

<b>Water and Sanitation</b>			
<b>Intervention/Programme Area</b>	<b>Aid instrument</b>	<b>Finance</b>	<b>Dates</b>
<b>Increase access to rural water and improve sanitation</b> and hygiene practices through a community led approach (Village/Ecole Assaini)	Bilateral MoU with UNICEF	£50m (£15m existing commitment)	2011-2015 (Design work for scale up start in 2011)
<b>Total</b>		<b>£50m</b>	

**Key Decision Points:**

- Independent evaluation of Village Assaini programme completed by end 2011; results to inform scale-up.

<b>Poverty, Vulnerability and Hunger</b>			
<b>Intervention/Programme Area</b>	<b>Aid instrument</b>	<b>Finance</b>	<b>Dates</b>
<b>Implement second phase of Tuungane Community Recovery Programme</b> in Eastern DRC with IRC and CARE, supporting community-led development and strengthening accountability relationships between communities and local service providers	Bilateral grant to IRC (accountable grant)	£62m (existing commitment)	2011 - 14
<b>Introduce pilot programmes providing cash transfers and vouchers</b> to help address food insecurity and improve access to services by the poorest	TBD	£11m (new programme)	2013-2015 (Design/piloting 2012-2013)
<b>Total</b>		<b>£73m</b>	

**Key Decision Points:**

- 2013 - Review evidence from DFID and other relevant programmes, including pilots, working on provision of cash and vouchers and decide whether to proceed with a larger scale DFID intervention

<b>Humanitarian</b>			
<b>Intervention/Programme Area</b>	<b>Aid instrument</b>	<b>Finance</b>	<b>Dates</b>
<b>Contribute to the Humanitarian Pooled Fund</b> for a more efficient and better coordinated response	UN led Trust Fund	£95m (existing commitment)	2011-2015
<b>Support the International Committee of the Red Cross</b> to ensure independent humanitarian action in some of the most difficult to access areas of DRC	MOU	£14m (existing commitment)	2011-2015
<b>Support NGO partners to deliver emergency health and nutrition services</b> when thresholds are breached	Accountable Grant	£6m (existing commitment)	2011 – 2015
<b>Support WFP / UNHAS Logistics</b> to help access remote locations in hard to reach areas	MOU	£3m (existing commitment)	2011-2015
<b>Contribute to OCHA Emergency Response Fund</b> to ensure rapid onset disasters receive a timely response	MOU	£12m (new programme)	2011-2015
<b>Total</b>		<b>£130m</b>	

**Key Decision Points:**

- DFID 2011 Humanitarian Emergency Response Review (HERR) report/results
- DFID Humanitarian Policy review (2011)
- DRC 2011 Humanitarian Action Plan – Mid Year Review
- 2010 Annual Pooled Fund Report & 2010 Pooled Fund evaluation
- ICRC annual and mid year reports
- OCHA reports