

**MEASURING CHANGE  
AND RESULTS IN  
VOICE AND  
ACCOUNTABILITY WORK**

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with Emmanuel Trepanier and Lucy Earle*



**DEPARTMENT FOR INTERNATIONAL DEVELOPMENT**

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## List of abbreviations

<b>CAR</b>	<b>Capability, Accountability and Responsiveness</b>
<b>CDD</b>	<b>Community Driven Development (World Bank)</b>
<b>CSUP</b>	<b>Civil Society Umbrella Programme (DFID Uganda)</b>
<b>DFID</b>	<b>Department for International Development</b>
<b>DRC</b>	<b>Democratic Republic of Congo</b>
<b>ETRM</b>	<b>Empowerment Through Resource Mobilisation Programme (DFID Bangladesh)</b>
<b>FMRP</b>	<b>Financial Management Reform Programme (DFID Bangladesh)</b>
<b>GDG</b>	<b>Gender and Democratic Governance Programme (UNIFEM)</b>
<b>GTF</b>	<b>Governance and Transparency Fund (DFID)</b>
<b>MCH</b>	<b>Maternal and Child Health</b>
<b>MDG</b>	<b>Millennium Development Goals</b>
<b>ME</b>	<b>Measuring Empowerment initiative (World Bank)</b>
<b>MOV</b>	<b>Means of Verification</b>
<b>ODI</b>	<b>Overseas Development Institute</b>
<b>PACS</b>	<b>Poorest Areas Civil Society Programme (DFID India)</b>
<b>PNPM</b>	<b>National Program for Community Empowerment (World Bank Indonesia)</b>
<b>PPAs</b>	<b>Partnership Programme Arrangements (DFID Latin America)</b>
<b>RGCF</b>	<b>Manusher Jonno Rights and Governance Challenge Fund (DFID Bangladesh)</b>
<b>SAVI</b>	<b>State Accountability and Voice Programme (DFID Nigeria)</b>
<b>SDD</b>	<b>Social Development Direct</b>
<b>VA</b>	<b>Voice and Accountability</b>

## **Executive Summary**

- S.1. Citizens' capacity to express and exercise their views is a vital part of poverty reduction. States that can be held accountable for their actions are more likely to respond to the different needs and demands of the public.
- S.2. Citizen voice and accountability (V&A) work has emerged as a priority in the international development agenda, and is part of the broader debate about the importance of governance in improving prospects for poor people. Yet the evidence of its impact on development outcomes is fairly limited.
- S.3. This Working Paper from DFID's Evaluation Department offers a menu of V&A indicators, and suggests steps for building monitoring and evaluation frameworks for V&A interventions. It provides a check list of management issues, and some ideas for data collection. It does not attempt to make any judgement about the indicators identified, as this work will be further developed under DFID's 'Suggested Indicators for Governance' work, due in 2010.
- S.4. The paper is intended for DFID advisers and managers working on V&A initiatives at the country level. It will also be of use to people outside DFID who are interested in understanding how V&A work contributes to development outcomes; or who want more information about data collection methods for V&A measurement.
- S.5. V&A interventions range from work with governments on policy and reform processes, to activities at community level on civic education and rights awareness. DFID supports a significant amount of V&A work through government and non-state actors, in sector programmes and in work with civil society organisations including the media. We now need to establish the evidence base to show what change has resulted.
- S.6. This paper follows on from a DAC evaluation on Citizens' Voice and Accountability in 2008, which identified a lack of good indicators for measuring change in V&A. The authors have drawn on programme literature from the World Bank, UNIFEM and a range of DFID's civil society, rights and governance programmes, to bring together examples of indicators that have been successfully used. They have also examined a number of established governance indexes to highlight possible V&A data source (see Annex B).
- S.7. There are many challenges to measuring change through V&A interventions, particularly because progress often involves intangible changes in power relationships. Measures need to take into account some of the costs, as well as benefits, of poor people's voices being heard; and to show up the obstacles that prevent poor people from engaging effectively. The paper highlights the importance of context, and the need to develop indicators and mechanisms that reflect local social and political factors.
- S.8. The 2008 DAC Citizen Voice and Accountability Evaluation highlighted the importance of working on different dimensions of V&A work in order to achieve impact. This paper underlines the importance of joint planning with donors and government to design more holistic programmes that work on both demand and supply sides. It also highlights the need to use existing data sets, and government or donor processes that may already be happening at the country level, to avoid establishing parallel monitoring mechanisms.

## 1. Introduction

- 1.1. DFID is committed to demonstrating the impact of UK aid. A focus on clear objectives and measuring results will help to ensure that DFID's development efforts achieve the impact that it wants to make on global poverty.
- 1.2. This includes measuring the impact of governance interventions on voice and accountability (V&A). It also means identifying whether V&A interventions are impacting on broader developmental goals, such as those measured by the Millennium Development Goal (MDG) indicators.
- 1.3. In this paper we review conceptual approaches in order to present a framework that accommodates change at the level of individual behaviour and practice, and in policy and legislature. The paper discusses the importance of establishing a theory of change to demonstrate the causal relationship between V&A interventions and wider development impacts, but further work is required to establish the links between outcome and impact through V&A work.
- 1.4. The document adapts DFID's 'Capability, Accountability and Responsiveness' (CAR) framework as the basis for interpreting V&A interventions. By reviewing global governance measurements and case studies from a range of donor V&A interventions, we map existing indicators and indices on to this operational framework. From this, we develop a menu of V&A indicators – and accompanying data collection instruments – for discussion<sup>1</sup>.
- 1.5. The paper is organised as follows:
  - Section 2 presents the rationale for the paper.
  - Section 3 discusses in more detail the operational framework and maps global indexes and programme/project case studies reviewed for this paper on to the framework (with details provided in Annexes B and C).
  - Section 4 presents the V&A indicators mapped on to the operational framework and discusses the types of data gathering instruments that might be used.
  - Section 5 provides some simple guidance on how to identify V&A indicators and on what data to collect and how to collect it.
  - Section 6 concludes.
- 1.6. The Annexes provide detail of indicators and measures already in use. Annex B draws out V&A measures from global measurements and indices that already exist. Annex C maps the indicators used in individual projects onto the CAR framework. We have not attempted to make any judgement on the importance of particular indicators used, but have included the detail at Annex C in order to demonstrate the depth and range of indicators already in use.

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<sup>1</sup> Note that the 'menu' is not a definitive list of indicators. Its purpose is to provide suggested indicators that build on indicators used in other programmes.

## 2. The importance of measuring work on Voice and Accountability

- 2.1. DFID's V&A work is a critical facet of its efforts to achieve good governance and improve poverty outcomes for poor people.
- 2.2. While DFID has a range of V&A programmes in place, there is a need to ensure that the results of this work are being captured and the impact clearly communicated.
- 2.3. Donors have a responsibility to present a transparent set of effect assumptions (sometimes described as a 'theory of change') about how V&A processes can have a direct or indirect impact on development goals.
- 2.4. Voice and accountability programmes can adopt a very wide range of approaches, and operate in very diverse situations and contexts. This diversity of approach presents challenges for evaluation, since few common methods or models exist. So, while programmes often demonstrate high levels of innovation, there are a lot of inconsistencies in evaluation quality and the type of indicators used.

### 2.1 Challenges

- 2.5. Identifying a set of indicators that can simplify and capture complex processes and relationships that are transformed through V&A interventions is often difficult; and practitioners face a number of challenges.
- 2.6. The first is the challenge of trying to measure change and results in a policy area that is complex, intangible and highly contextual. Logframe-based measurement when done badly can encourage linear, reductionist and technocratic thinking in interventions that are non-linear, unpredictable and highly politicised.
- 2.7. This raises a second challenge: using the logframe strategically by making space and time to both measure and diagnose these complex changes. Through measurement, diagnosis and 'course correction', V&A projects can be implemented more flexibly and with better results.
- 2.8. A third, higher order challenge for DFID in pursuing its Paris Declaration commitment to donor harmonisation, is to encourage a shared conceptual understanding of V&A among donor and government partners. This should be reinforced by a commitment to integrating V&A data generation with local monitoring and evaluation instruments and institutions in order to reduce transaction costs and ensure that the benefits can be shared with the wider development community.

### 2.2 Conceptualising V&A

- 2.9. Much work has been done by DFID and others, to conceptualise and measure V&A as part of a broader discussion about good governance. DFID's focus on governance was signalled by its 2001 Target Strategy Paper: *Making Governance Work for Poor People*.
- 2.10. DFID's subsequent White Paper (2006) introduced capability, accountability and responsiveness (CAR) as key operational concepts in its approach to good governance.

The Overseas Development Institute's (ODI) contribution<sup>2</sup> to a Development Assistance Committee (DAC) evaluation of donor voice and accountability interventions used this framework. This document uses the CAR framework as the basis for interpreting V&A interventions.

- 2.11. Annex B at the end of this paper maps the global measurements and indices that already exist. Before any new data collection systems are established, users should try to review existing data sets and indicators that are already being monitored, to avoid duplication of effort at the country level.

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<sup>2</sup> Forest, M., O'Neil, T., and Hudson, A., 2007, 'Evaluation of Citizens' Voice and Accountability: Evaluation Framework', Overseas Development Institute, London  
<http://www.norad.no/items/14302/38/1855520330/Final%20FrameworkCCS%20Methodology.pdf>

### 3. A framework for measuring Voice and Accountability

- 3.1. In this section we present a framework for measuring V&A. We briefly review DFID’s CAR governance framework and an ODI V&A framework, and show how we have built on these to produce a simple operational framework for measuring V&A.
- 3.2. We then show how a selection of case study programme interventions can be mapped on to this framework.

#### 3.1 Building on DFID’s governance approach

- 3.3. DFID’s White Paper 2006 describes accountability as “the ability of citizens, civil society and the private sector to scrutinise public institutions and governments and hold them to account”.<sup>3</sup> A more recent DFID Briefing Note<sup>4</sup> summarises the Capability, Accountability and Responsiveness (CAR) framework that draws on the White Paper.
- 3.4. DFID’s position, built from the White Paper, is that “an effective state is a CAR state”.<sup>5</sup>
- 3.5. The CAR framework focuses on three overlapping elements which form a “virtuous cycle of governance” as illustrated in Figure 3.1.
  - *Capability* is 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.
  - *Accountability* describes the ability of citizens, civil society and the private sector to scrutinise public institutions and governments and hold them to account to ensure transparency, free media, rule of law and elections.
  - *Responsiveness* refers to the extent to which public policies and institutions respond to the needs of citizens and uphold their rights, including human rights/liberties, access to basic public services, pro-poor policy, equality, regulation and corruption.

Figure 3.1. The DFID CAR Framework



Source: DFID (2008)

<sup>3</sup> DFID, 2006. *Making Governance Work for the Poor*, London, DFID, p20

<sup>4</sup> DFID, 2008. *Accountability Briefing Note*, London, DFID, February

<sup>5</sup> Loughhead S, 2009 “DFID’s Approach to Governance: Importance of Accountability and Transparency”, Presentation to Governance and Transparency Fund workshop, 24<sup>th</sup> February

- 3.6. In addition to the DFID CAR framework, ODI<sup>6</sup> was commissioned by DFID to develop a framework as a background to a recent DAC evaluation of donor V&A interventions (see Annex A). The three CAR elements are echoed in the framework they developed, which focuses on demand-side accountability, supply-side responsiveness and context (including ODI's transition from low level participation through to the more active 'voice').

## 3.2 Mapping V&A interventions using the CAR framework

- 3.7. We have adapted the CAR framework in order to make explicit links to development impacts. Below we explain each element of this framework.

### Capability

- 3.8. We interpret capability broadly as the formal and informal institutions that provide the 'enabling environment' for effective voice and accountability.<sup>7</sup> They are widely measured at the national level by a suite of global indexes which have been developed for global benchmarking and advocacy purposes (see Annex B).
- 3.9. These types of indicators are also used by DFID for Country Governance Assessments to present a national picture of the governance context. In terms of programme interventions, these types of indicators are most frequently used as indicators of the goal/impact stage in the logframe results chain.
- 3.10. Formal institutions include the policies, laws, political freedoms and oversight mechanisms that allow for V&A. Informal institutions include the socio-cultural norms that underpin behaviour, attitudes and interactions. These informal institutional norms can impact on voice and accountability relations in the economic, political and social spheres in which individuals and groups are in accountability relationships as economic and social actors, and as citizens.

### Accountability

- 3.11. We interpret the accountability element of the CAR framework to comprise the demand-side of accountability relations, in which individuals and groups exercise agency and use voice to claim their rights through interaction with state officials. Accountability relationships can take the form of vertical and horizontal forms of accountability (see Figure 3.2).
- 3.12. *Vertical accountability* is the direct engagement that individuals and groups have with governments and other duty-bearers using political voice through participation in democratic political processes, and with service providers using consumer voice.
- 3.13. Civil society in this relationship includes a range of actors, including user groups, social movements, trade unions, the media and independent watchdogs.

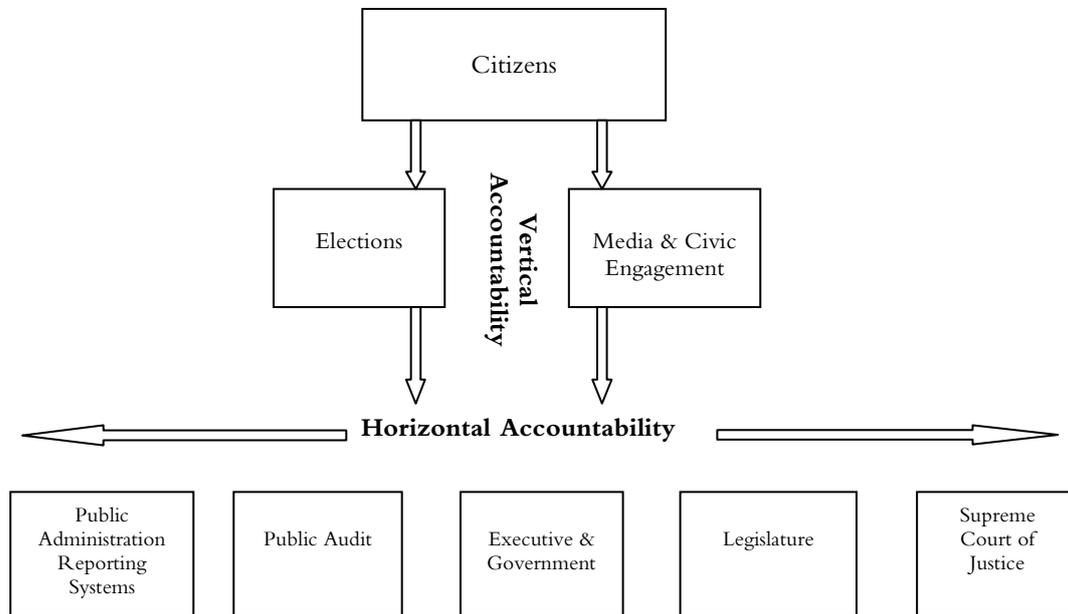
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<sup>6</sup> Foresti M, B Sharma, T O'Neil and A Evans, 2007. "Evaluation of Citizen's Voice and Accountability: Framework", London, Overseas Development Institute, August.

<sup>7</sup> This represents a *V&A-specific sub-set* of the broader elements of DFID's conceptualisation of capability as presented in the White Paper.

- 3.14. It is in this relationship that the important distinction between ‘voice’ and ‘accountability’ is most apparent. A recent evaluation of donor V&A interventions (Menocal and Sharma, 2008) concluded that while donors have been relatively successful in amplifying ‘voice’ it is more challenging for that voice to be *effectively engaged* in accountability relations (meaning that rights are secured and relationships transformed).
- 3.15. Interventions that strengthen vertical accountability therefore should consider the importance of the transition from voice to accountability through building the awareness of rights and choice amongst citizens, and by supporting citizens to engage and use voice, either through political cycles or through advocacy and oversight channels and mechanisms.
- 3.16. Examples of this include parent/teacher bodies or patient/hospital committees, which are established as an interface to monitor rights adherence as well as quality of service.
- 3.17. *Horizontal accountability* involves various state institutions engaging in mutual scrutiny to prevent abuses of office.<sup>8</sup> In this way, state actors are held accountable by formal redress or oversight mechanisms. Judicial institutions, for instance, review the constitutionality of executive decisions; the public audit function reviews probity in public spending; parliamentary committees provide government oversight; and ombudspersons or human rights commissions investigate citizens’ complaints.
- 3.18. Interventions that support horizontal accountability strengthen the effectiveness of these mutual scrutiny bodies and processes.

**Figure 3.2. Vertical and Horizontal Dimensions of Accountability**



Source: UNIFEM (2008, 3)

<sup>8</sup> UNIFEM, 2008, *Who Answers to Women? Gender and Accountability, Progress of the World's Women 2008/2009*, New York, UNIFEM

## Responsiveness

- 3.19. We interpret responsiveness as the supply-side of accountability relations.
- 3.20. *Vertical responsiveness* in this framework refers to the responsiveness of duty-bearers in their direct relationship with individual citizens or citizen groups. In this relationship, duty-bearers invite engagement, listen and respond to the voices of rights holders.
- 3.21. *Horizontal responsiveness* refers to the responsiveness of duty-bearers to oversight – and the use of incentives and sanctions – by other parts of the state. By intervening on behalf of citizens, state institutions ensure that duty-bearers respond in a way that helps individuals and groups realise their rights to resources and services. Interventions that support responsiveness build the capacity of duty-bearing organisations and individuals, help to create space for accountability relationships, and to strengthen pro-poor, evidence-based performance amongst service providers.<sup>9</sup>

## Development Impact

- 3.22. In addition to the three elements of the CAR framework interpreted above, we emphasise development impact as the instrumental impact of voice and accountability interventions on broader goals, typically measured by the MDG indicators.
- 3.23. Interventions to support V&A can have a strong instrumental link to developmental goals in the logframe results chain. In many cases, however, interventions are designed to specifically strengthen V&A, and development impact is either ignored or assumed.
- 3.24. The operational implication of stressing development impact is to ensure that a programme logic demonstrates a theory of change, and that the evaluation framework seeks to establish and test the instrumental impacts of V&A interventions.

## 3.3 Mapping existing interventions on to the CAR framework

- 3.25. DFID and other agencies are actively engaged in designing, implementing and evaluating V&A programmes/projects. We have reviewed a range of V&A interventions as case studies and mapped these interventions and their V&A Output indicators (highlighted in pink) on to the CAR framework (see Table 3.1).
- 3.26. Annex C presents more detailed summary matrices in which the logframes have been mapped on to the CAR framework. Clearly some programmes have elements that fit into C, A and R, while others focus more exclusively on one part of the framework.

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<sup>9</sup> Combining motivation and monitoring is at the heart of many management reforms. Positive incentives include recognition, promotion, training and improved work conditions. Punitive incentives including disciplinary action.

Table 3.1. Mapping the case studies onto the CAR framework

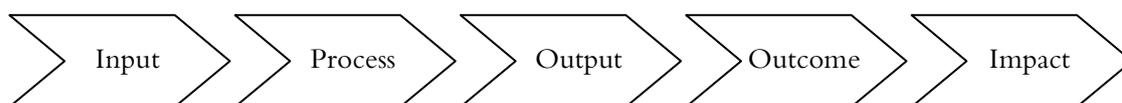
	Type of change	Intervention	V&A Output Indicators	Case study
Capability	Formal institutional change (formal rules)	<ul style="list-style-type: none"> <li>National legislation establishing and protecting social, economic and political freedoms/rights</li> <li>Judicial reform</li> <li>Strengthening democratic accountability institutions</li> </ul>	<ul style="list-style-type: none"> <li>Level and quality of institutional change</li> </ul>	DFID ETRM DFID GTF DFID Media DRC
	Informal institutional change (cultural norms)	<ul style="list-style-type: none"> <li>Increasing representation of excluded groups in positions of authority</li> <li>Community sensitisation and mobilisation</li> <li>Public awareness campaigns</li> </ul>	<ul style="list-style-type: none"> <li>Level and quality of behavioural change</li> </ul>	DFID CSUP
Accountability	Strengthening vertical accountability	<ul style="list-style-type: none"> <li>Strengthening direct collective or individual civic engagement with the state</li> <li>Strengthening civil society and media oversight/watchdog role</li> </ul>	<ul style="list-style-type: none"> <li>Level and quality of participation/ membership</li> <li>Level and quality of networks</li> <li>Level and quality of interaction</li> <li>Level of citizen monitoring/ oversight</li> <li>Level and quality of monitoring evidence generated (for example, for media – quality of published investigative journalism pieces)</li> </ul>	DFID ETRM DFID GTF DFID CSUP DFID Media DRC WB ME initiative DFID RGCF DFID PPAs LAm WB PNPM DFID PACS DFID SAVI
	Strengthening vertical accountability	<ul style="list-style-type: none"> <li>Strengthening participation in electoral processes</li> </ul>	<ul style="list-style-type: none"> <li>Level and quality of political participation</li> </ul>	DFID ETRM DFID PPAs Latin America
	Strengthening horizontal accountability	<ul style="list-style-type: none"> <li>Supporting use of formal (legislative, judicial, executive) redress/oversight mechanisms</li> </ul>	<ul style="list-style-type: none"> <li>Incidence and effectiveness of sanctions/ adjudication</li> <li>Quality of behaviour (for example, rent-seeking)</li> </ul>	DFID FMRP
Responsiveness	Strengthening vertical responsiveness	<ul style="list-style-type: none"> <li>Building awareness and capacity to respond to citizens</li> <li>Removing barriers and improving direct access to decision makers</li> <li>Supporting systematic and transparent budget and policy processes</li> </ul>	<ul style="list-style-type: none"> <li>Perceptions of quality of responsiveness (for example, corruption, trust, fairness)</li> <li>Predictable and transparent budget process</li> <li># and frequency of invited spaces/forums</li> <li>Frequency of access to MPs</li> </ul>	UNIFEM GDG DFID PACS DFID GTF
	Strengthening horizontal responsiveness	<ul style="list-style-type: none"> <li>Changing incentives</li> <li>Supporting performance measures and review</li> <li>Supporting systematic and transparent budget and policy processes</li> </ul>	<ul style="list-style-type: none"> <li>Incidence and quality of information provision and responses</li> </ul>	DFID PRBS DFID FMRP DFID GTF

Source: Authors' analysis

## 4. Towards a set of Voice & Accountability indicators

### 4.1 Mapping indicators

- 4.1. This section maps V&A indicators and instruments on to the CAR framework introduced above, and shows how these can be read across the results chain that DFID has promoted in order to embed a more robust culture of V&A measurement within DFID and development partners.
- 4.2. This section shows how voice and accountability indicators can be used within the results chain in conjunction with the CAR framework. These are presented in Table 4.1 below.
- 4.3. The 5 basic elements of the Results Chain are inputs, processes, outputs, outcomes and impact.<sup>10</sup>



- 4.4. In each of these elements, there is a desired result, and indicator(s) are chosen to show whether or not it is being achieved. In the case of an intervention to strengthen vertical accountability, for example, resources will be provided as *inputs*, and capacity-building activities<sup>11</sup> provided as *process*.
- 4.5. The expected *output* of these activities will be that people's capacity to engage with government is increased, as measured by their level of rights awareness or budget literacy. The expected *outcome* of this capacity building intervention is typically an increase in access to services or resources, as measured by service use or by the level of allocated and implemented budgets. The broader impact is seen in improvements in economic and social well being and in political participation.
- 4.6. The focus of this paper is particularly on identifying V&A indicators at the output level of behavioural change. Many V&A projects involve a leap of faith that assumes that by building awareness of rights among rights holders, or by strengthening the capacity for responsiveness amongst duty-bearers, there will be an automatic change of behaviour and power relations that will lead the project seamlessly into an improved set of outcomes.
- 4.7. Experience suggests that this assumption about behavioural change is problematic at best. By increasing the visibility of behavioural change indicators at the output level in the logframes, it becomes possible to interrogate this 'leap of faith'. This can be done by measuring and testing assumptions about the effect of project inputs, such as capacity-building, and the subsequent impact of changed behaviour on project outcomes.

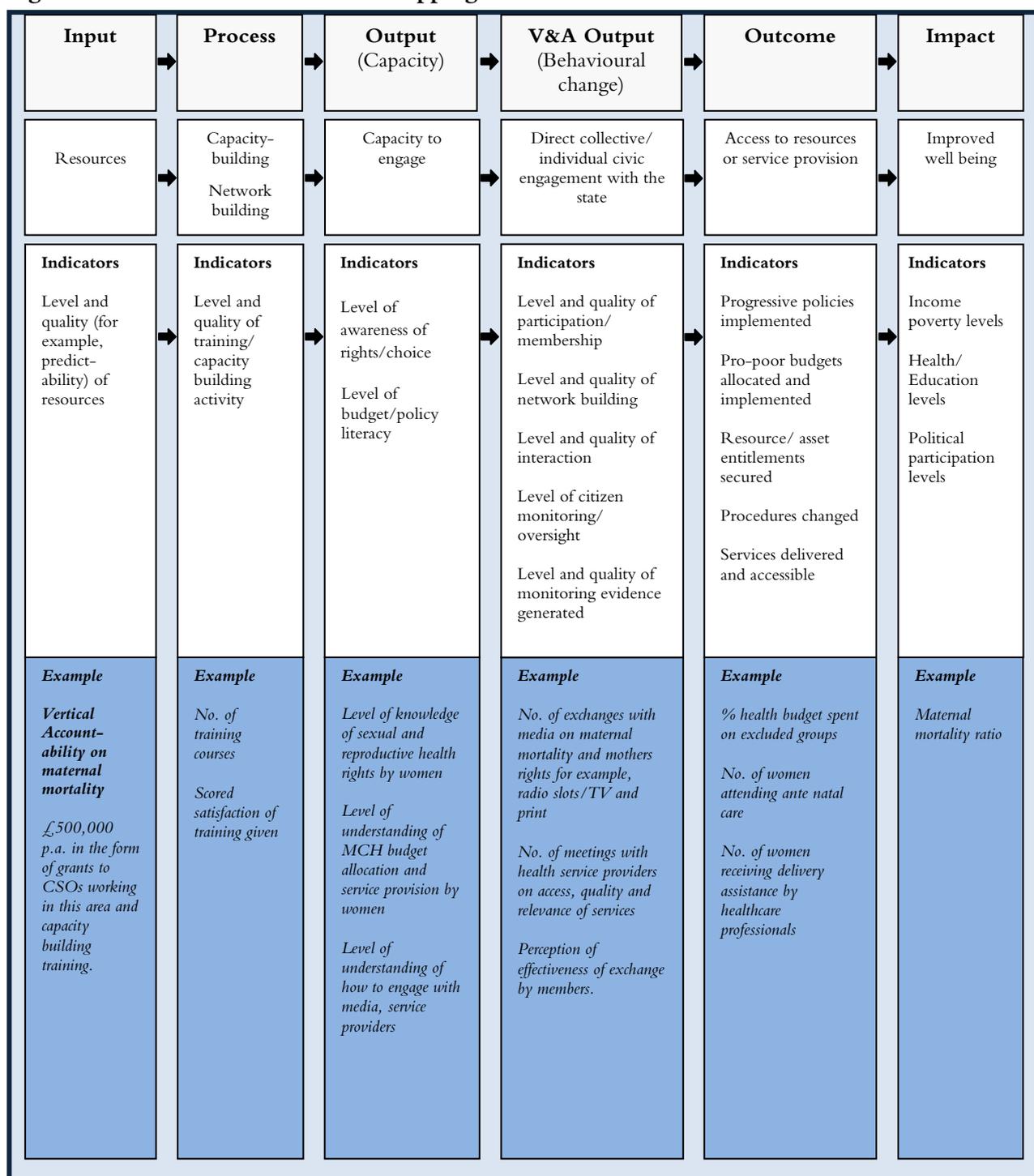
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<sup>10</sup> See 'The Results Chain, Measuring, managing and delivering more'. Briefing DFID, January 2009.

<sup>11</sup> We interpret capacity building broadly to include training and sensitisation as well as access to finance and support to financial sustainability of entities.

- 4.8. There is an assumption in the V&A results chain that citizens as rights holders are willing and able to exercise their agency and that duty-bearers as office holders are willing and able to respond effectively.
- 4.9. In reality, of course, we must recognise that these ‘ideal type’ governance relationships are heavily mediated and constrained by political economy factors, including the way that institutions function, and the power and interests of the stakeholders involved.
- 4.10. Effective governance interventions strengthen voice and accountability by transforming the institutions and power relations that influence behaviour. These assumptions about *changing behaviour* are critical to the transmission of change from output to outcome.
- 4.11. These types of behaviour changes include direct individual or collective engagement through networks, institutions and committees. The level and quality of interaction between citizens and duty-bearers is also vital. In order to measure these behavioural and relational changes, it is important to consider outputs that capture behaviour change as well as changes in capacity. It is this output of behaviour change which captures the governance changes intrinsic to strengthening voice and accountability.
- 4.12. Figure 4.1 illustrates the relationships between interventions and indicators, with the addition of a set of behavioural change indicators at the output level.
- 4.13. An example is given of a results chain for an intervention to strengthen vertical accountability in maternal and child health (MCH). The behavioural change indicators measure whether women as rights holders – with awareness of their rights, the budget allocation and of service provision, and with means of engaging with service providers – are subsequently able to engage in a direct accountability relationship with providers of MCH services.
- 4.14. The results chain further links these V&A behavioural change outputs to outcomes that can be measured through increased resource allocation and improved accessibility and quality of services – through to developmental impact (i.e. broader changes in well being) as measured by indicators of economic and social well being and of political participation.
- 4.15. This final step in the results chain requires the use of qualitative research tools, such as most significant change analysis and process tracing that can attribute change and explain the “transmission” from outcome to impact. We describe these further in Section 5.

Figure 4.1. An illustration of V&A mapping on to the results chain



4.16. Table 4.1 follows this figure and maps the indicators on to the results chain in greater detail, illustrating a menu of indicators that could be selected. The V&A output indicators highlighted in pink in Table 3.1 are again highlighted in pink in Table 4.1, and measure the changes in institutions, behaviour and power relations that follow from a V&A project intervention.

Table 4.1. Mapping V&A indicators

	Input	Process	Output	V&A Output	Outcome	Impact
<b>Change:</b> <b>Capability:</b> <b>Formal institutional change</b>	Funding Physical resources <sup>12</sup>	Supporting legislative change Supporting democratic processes Supporting progressive and transparent policy and budget processes	Legislation passed Documented intention and processes Documented intention and processes	Effective implementation of legislation Effective implementation of pro-democratic processes Effective implementation of progressive and transparent policy and budget processes	Effective Independent oversight institutions in place Electoral systems functioning effectively Political stability achieved Political democratic values in place Freedom of expression ensured Commitment to human rights institutionalised Economic freedoms ensured Budget transparency ensured	Voice and Accountability facilitated
<b>Indicator</b>	<ul style="list-style-type: none"> <li>Level and quality (for example, predict-ability) of resources</li> </ul>	<ul style="list-style-type: none"> <li>Level and quality of training/capacity building activity</li> </ul>	<ul style="list-style-type: none"> <li># legislation passed</li> <li># conventions ratified</li> <li>Reporting on documentation</li> </ul>	<ul style="list-style-type: none"> <li>Level and quality of institutional change</li> </ul>	Indexes listed in Annex B, including: <ul style="list-style-type: none"> <li>Political constraints index</li> <li>Political Freedoms and Civil Liberties Index</li> <li>Regional barometers (for example, Afrobarometer)</li> <li>Polity IV Country Report scores</li> <li>Press Freedom Index</li> <li>Human Rights Indicators</li> <li>Bertelsmann Transformation Index</li> <li>Index of Economic Freedom</li> <li>Open Budget Index</li> </ul>	<ul style="list-style-type: none"> <li>Political rights index</li> <li>See Accountability and Responsiveness indicators below</li> </ul>
<b>Instrument</b>	<ul style="list-style-type: none"> <li>Resource monitoring tool</li> </ul>	<ul style="list-style-type: none"> <li>Activity reporting tool</li> </ul>		<ul style="list-style-type: none"> <li>Monitoring observable events</li> <li>Key informant perception scoring</li> </ul>	Instruments listed in Annex B	<ul style="list-style-type: none"> <li>See instruments listed below</li> </ul>

<sup>12</sup> Physical resources : See DFID Results Chain Briefing Note (Jan 2009). Physical resources is exemplified by staff hours in that Note

	Input 	Process 	Output 	V&A Output 	Outcome 	Impact
<b>Change:</b> <b>Capability:</b> <b>Informal institutional change</b>	Funding Physical resources	Awareness raising/ sensitisation activities	Awareness raised	Social norms of behaviour change	Social, political and economic freedoms supported by behaviour and attitude shifts	Voice and Accountability facilitated
<b>Indicator</b>	<ul style="list-style-type: none"> <li>Level and quality (for example, predict-ability) of resources</li> </ul>	<ul style="list-style-type: none"> <li>Level and quality of activities</li> </ul>	<ul style="list-style-type: none"> <li>Level and quality of attitude change</li> </ul>	<ul style="list-style-type: none"> <li>Level and quality of behavioural change</li> </ul>	<ul style="list-style-type: none"> <li>Indexes listed in Annex B (see above)</li> </ul>	<ul style="list-style-type: none"> <li>See Accountability and Responsiveness indicators below</li> </ul>
<b>Instrument</b>	<ul style="list-style-type: none"> <li>Resource monitoring tool</li> </ul>	<ul style="list-style-type: none"> <li>Activity reporting tool</li> </ul>	<ul style="list-style-type: none"> <li>Perception scoring survey</li> </ul>	<ul style="list-style-type: none"> <li>Perception scoring survey</li> <li>Key informant perception scoring</li> </ul>	<ul style="list-style-type: none"> <li>Perception survey</li> </ul>	<ul style="list-style-type: none"> <li>See instruments listed below</li> </ul>

	Input ↗	Process ↗	Output ↗	V&A Output ↗	Outcome ↗	Impact
<b>Change:</b> <b>Vertical accountability:</b> <b>Direct engagement</b>	Funding Physical resources	Training/capacity building Network building	Capacity to engage	Direct collective or individual civic engagement with the state	Access to resources or service provision	Improved social, economic and political well-being
<b>Indicator</b>	<ul style="list-style-type: none"> <li>• Level and quality (for example, predictability) of resources</li> </ul>	<ul style="list-style-type: none"> <li>• Level and quality of training/capacity building activity</li> <li>• Level and quality of network building activity</li> </ul>	<ul style="list-style-type: none"> <li>• Level of awareness of rights/choice</li> <li>• Level of budget/policy literacy</li> </ul>	<ul style="list-style-type: none"> <li>• Level and quality of participation/ membership networks</li> <li>• Level and quality of interaction</li> <li>• Level of citizen monitoring/ oversight</li> <li>• Level and quality of monitoring evidence generated</li> </ul>	<ul style="list-style-type: none"> <li>• Progressive policies implemented/ pro-poor budgets allocated</li> <li>• Resource/asset entitlements secured</li> <li>• Procedures changed</li> <li>• Services delivered and accessible</li> </ul>	<ul style="list-style-type: none"> <li>• Income poverty levels</li> <li>• Health/education levels</li> <li>• Political participation levels</li> </ul>
<b>Instrument</b>	<ul style="list-style-type: none"> <li>• Resource monitoring tool</li> </ul>	<ul style="list-style-type: none"> <li>• Activity reporting tool</li> </ul>	<ul style="list-style-type: none"> <li>• Perception scoring survey</li> <li>• Key informant scoring</li> </ul>	<ul style="list-style-type: none"> <li>• Group/ Network monitoring data</li> <li>• Perception scoring survey</li> <li>• Key informant scoring</li> </ul>	<ul style="list-style-type: none"> <li>• Sector MIS</li> <li>• Provider survey</li> <li>• User satisfaction survey</li> <li>• Key informant feedback</li> </ul>	<ul style="list-style-type: none"> <li>• National surveys</li> <li>• Project surveys</li> </ul>

	Input ↑	Process ↑	Output ↑	V&A Output ↑	Outcome ↑	Impact
<b>Change:</b> <b>Vertical accountability:</b> <b>Political participation</b>	Funding Physical resources	Training/ capacity building	Capacity to participate	Participation in electoral processes	Access to resources or service provision	Improved social, economic and political well-being
<b>Indicator</b>	<ul style="list-style-type: none"> <li>• Level and quality (for example, predictability) of resources</li> </ul>	<ul style="list-style-type: none"> <li>• Level and quality of training/ capacity building activity</li> </ul>	<ul style="list-style-type: none"> <li>• Level of political literacy</li> </ul>	<ul style="list-style-type: none"> <li>• Level and quality of political participation</li> </ul>	<ul style="list-style-type: none"> <li>• Progressive policies implemented/ pro-poor budgets allocated</li> <li>• Resource/asset entitlements secured</li> <li>• Procedures changed</li> <li>• Services delivered and accessible</li> </ul>	<ul style="list-style-type: none"> <li>• MDG indicators</li> </ul>
<b>Instrument</b>	<ul style="list-style-type: none"> <li>• Resource monitoring tool</li> </ul>	<ul style="list-style-type: none"> <li>• Activity reporting tool</li> </ul>	<ul style="list-style-type: none"> <li>• Perception survey</li> </ul>	<ul style="list-style-type: none"> <li>• Election data</li> <li>• Voter perception survey</li> </ul>	<ul style="list-style-type: none"> <li>• Sector MIS</li> <li>• Provider survey</li> <li>• User satisfaction survey</li> <li>• Key informant feedback</li> </ul>	<ul style="list-style-type: none"> <li>• National surveys</li> <li>• Project surveys</li> </ul>

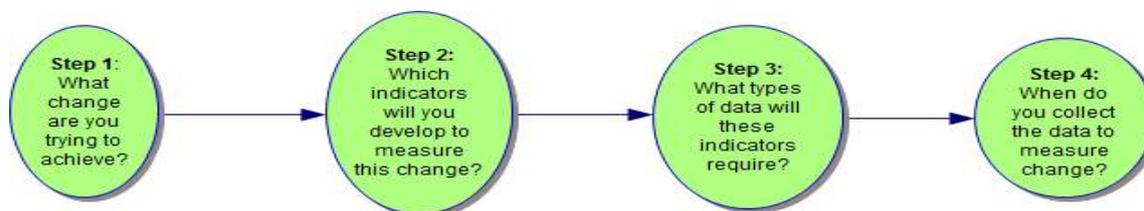
	Input ↗	Process ↗	Output ↗	V&A Output ↗	Outcome ↗	Impact
<b>Change:</b> <b>Horizontal accountability:</b> <b>Formal state redress/oversight mechanisms</b>	Funding Physical resources	Training/capacity building System strengthening	Capacity of state institutions to engage in mutual scrutiny	Auditing practice and information for improved parliamentary scrutiny of public financial management.	Access to resources or service provision	Improved social, economic and political well-being
<b>Indicator</b>	<ul style="list-style-type: none"> <li>• Level and quality (for example, predictability) of resources</li> </ul>	<ul style="list-style-type: none"> <li>• Level and quality of training/capacity building/system strengthening activity</li> </ul>	<ul style="list-style-type: none"> <li>• Level and quality of institutional oversight</li> </ul>	<ul style="list-style-type: none"> <li>• Incidence and effectiveness of sanctions/ adjudication</li> <li>• Quality of behaviour (for example, rent seeking)</li> </ul>	<ul style="list-style-type: none"> <li>• Progressive policies implemented/pro-poor budgets allocated</li> <li>• Resource/asset entitlements secured</li> <li>• Procedures changed</li> <li>• Services delivered and accessible</li> </ul>	<ul style="list-style-type: none"> <li>• Income poverty levels</li> <li>• Health/education levels</li> <li>• Political participation levels</li> </ul>
<b>Instrument</b>	<ul style="list-style-type: none"> <li>• Resource monitoring tool</li> </ul>	<ul style="list-style-type: none"> <li>• Activity reporting tool</li> </ul>	<ul style="list-style-type: none"> <li>• Key informant scoring</li> </ul>	<ul style="list-style-type: none"> <li>• User satisfaction survey</li> <li>• Provider survey</li> <li>• Key informant feedback</li> </ul>	<ul style="list-style-type: none"> <li>• Sector MIS</li> <li>• Provider survey</li> <li>• User satisfaction survey</li> <li>• Key informant feedback</li> </ul>	<ul style="list-style-type: none"> <li>• National surveys</li> <li>• Project surveys</li> </ul>

	Input ↑	Process ↑	Output ↑	V&A Output ↑	Outcome ↑	Impact
<b>Change:</b> <b>Vertical responsiveness:</b>	Funding Physical resources	Training/capacity building Procedural strengthening	Capacity to respond to citizens	Providing information/answering/ explaining/disclosing to public Inviting participation/ dialogue	Access to resources or service provision	Improved social, economic and political well-being
<b>Indicator</b>	<ul style="list-style-type: none"> <li>• Level and quality (for example, predictability) of resources</li> </ul>	<ul style="list-style-type: none"> <li>• Level and quality of training/capacity building/procedural strengthening activity</li> </ul>	<ul style="list-style-type: none"> <li>• Capacity level</li> </ul>	<ul style="list-style-type: none"> <li>• Perceptions of quality of responsiveness (for example, corruption, trust, fairness)</li> <li>• Predictable and transparent budget process</li> <li>• # and frequency of invited spaces/forums</li> <li>• Frequency of access to MPs</li> </ul>	<ul style="list-style-type: none"> <li>• Progressive policies implemented/pro-poor budgets allocated</li> <li>• Resource/asset entitlements secured</li> <li>• Procedures changed</li> <li>• Services delivered and accessible</li> </ul>	<ul style="list-style-type: none"> <li>• Income poverty levels</li> <li>• Health/education levels</li> <li>• Political participation levels</li> </ul>
<b>Instrument</b>	<ul style="list-style-type: none"> <li>• Resource monitoring tool</li> </ul>	<ul style="list-style-type: none"> <li>• Activity reporting tool</li> </ul>	<ul style="list-style-type: none"> <li>• Key informant scoring</li> </ul>	<ul style="list-style-type: none"> <li>• Perception scoring survey</li> <li>• Provider survey</li> <li>• Key informant feedback</li> <li>• Process tracing</li> </ul>	<ul style="list-style-type: none"> <li>• Sector MIS</li> <li>• Provider survey</li> <li>• User satisfaction survey</li> <li>• Key informant scoring</li> </ul>	<ul style="list-style-type: none"> <li>• National surveys</li> <li>• Project surveys</li> </ul>

	Input ↑	Process ↑	Output ↑	V&A Output ↑	Outcome ↑	Impact
<b>Change:</b> <b>Horizontal responsiveness:</b>	Funding Physical resources	Training/capacity building Procedural strengthening	Capacity to respond to state scrutiny	Providing timely and accessible policy/budget information Responding to official scrutiny promptly, and with corrective measures implemented	Access to resources or service provision	Improved social, economic and political well-being
<b>Indicator</b>	<ul style="list-style-type: none"> <li>• Level and quality (for example, predict-ability) of resources</li> </ul>	<ul style="list-style-type: none"> <li>• Level and quality of training/capacity building/procedural strengthening activity</li> </ul>	<ul style="list-style-type: none"> <li>• Capacity level</li> </ul>	<ul style="list-style-type: none"> <li>• Incidence and quality of information provision and responses</li> </ul>	<ul style="list-style-type: none"> <li>• Progressive policies implemented/pro-poor budgets allocated</li> <li>• Resource/asset entitlements secured</li> <li>• Procedures changed</li> <li>• Services delivered and accessible</li> </ul>	<ul style="list-style-type: none"> <li>• Income poverty levels</li> <li>• Health/education levels</li> <li>• Political participation levels</li> </ul>
<b>Instrument</b>	<ul style="list-style-type: none"> <li>• Resource monitoring tool</li> </ul>	<ul style="list-style-type: none"> <li>• Activity reporting tool</li> </ul>	<ul style="list-style-type: none"> <li>• Key informant scoring</li> </ul>	<ul style="list-style-type: none"> <li>• Survey monitoring of observable events</li> <li>• Key informant scoring</li> </ul>	<ul style="list-style-type: none"> <li>• Sector MIS</li> <li>• Provider survey</li> <li>• User satisfaction survey</li> <li>• Key informant feedback</li> </ul>	<ul style="list-style-type: none"> <li>• National surveys</li> <li>• Project surveys</li> </ul>

## 5. 'How To' Guidance on V&A indicators

- 5.1. In this section we set out some steps towards building a monitoring and evaluation framework for V&A work.



### 5.1 Management Issues checklist

#### Step 1: What change are you trying to achieve?

- 5.2. The Logframe Approach “is about applying clear, logical thought when seeking to tackle the complex and ever-changing challenges of poverty and need”.<sup>13</sup> Governance projects involving voice and accountability are complex involving changes of behaviour and shifting power relations. This makes it particularly important that the logframe establishes a clear purpose and a transparent set of effect assumptions about how project inputs will produce expected outputs, and lead on to specific outcomes.
- 5.3. The best logframe designs are built upon clear stakeholder involvement and a participatory approach to identifying problems, solutions and significant changes that can be measured. This consultative approach is clearly established in DFID’s internal logframe guidance (2009). This stage of the design process should include those with the weakest voice in the project governance context.
- 5.4. It may be useful to include visual aids that will help stakeholders, particularly those who are less literate, to see how their project fits into the broader governance framework for V&A interventions. Figures 5.1 and 5.2 below illustrate this.
- 5.5. Mapping project outputs on to the CAR framework can help to identify what other types of change will be necessary for the project to achieve its objectives: for example, through other projects in the country programme or through the interventions of government or other donors.
- 5.6. A graphic representation of the CAR framework with the vertical and horizontal dimensions is shown in Figure 5.1 below. This graphic could be used and recreated in workshops during project design in order to map project outputs, and to identify any gaps in the programme approach and decide how these might be addressed.
- 5.7. This tool could also be used as a vehicle to map all V&A programming being supported by different donor agencies in a specific country context. Indicators and results could be shared and any gaps in approach identified and addressed in a joint strategy.

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<sup>13</sup> DFID, 2009. “Guidance on Using the Revised Logical Framework”, How To Note, Value for Money Department, FCPD, February

## Step 2: Which indicators will you develop to measure this change?

- 5.8. Indicators are concrete, specific descriptions of what you will measure when you are trying to see if you have made a change through your interventions. The indicators you choose should allow you to test your effect assumptions about project outputs, outcomes and impacts.
- 5.9. Indicators should be informed by collated evidence on what has worked in the past and why, so that it avoids duplicate data-gathering. In many cases, indicators will already be in use by governments or donors, and systems should use and build on these. Annex B brings together a number of governance indices which include V&A indicators, and highlights data sources that are already readily available.
- 5.10. As discussed above, logframe-based measurement when done badly can encourage linear and technocratic thinking, whilst governance interventions with a V&A focus do not often follow a straight forward pattern. However, to demonstrate results, we need to be able to show a set of V&A indicators within an effective linear logframe format – as illustrated in Figure 4.1 above with the example of strengthening V&A in an MCH project.
- 5.11. V&A indicators – as with all logframe indicators – should strive to meet common indicator standards. A standard checklist with question prompts is included in Box 5.1 below, which can assist in assessing whether the indicators chosen are operationally appropriate.
- 5.12. Combining the measurement of observable changes in behaviour with perception scores of the quality of those behavioural changes, will help to improve the technical merit of the indicators chosen.
- 5.13. When considering indicator standards, it is also important to remember that V&A processes are highly contextual and that the normative assumptions that underlie each indicator may not be equally valid in different contexts.
- 5.14. With a maternal and child health care project, for example, it is valid to assume that increased immunisation coverage is always better in any context (in other words, that this is a universally valid normative assumption). In contrast, with a project strengthening vertical accountability through support to the media, it is not valid to assume that in every country context an increase in the number of media outlets will indicate strengthened media pluralism.

### Box 5.1. Indicator Standards

**Standard 1: The indicator is needed and useful.** Is there evidence that this indicator is needed at the appropriate level? Which stakeholders need and would use the information collected by this indicator? How would information from this indicator be used? What effect would this information have on planning and decision-making? Is this information available from other indicators? Is this indicator harmonised with other indicators?

**Standard 2: The Indicator has Technical Merit.** Does the indicator have **substantive merit**? Does it measure something significant? Is it clear and focused? Is it clear how to interpret changes in the level of the indicator? Is the indicator sufficiently sensitive to change? Does the indicator have **monitoring merit**? Is the indicator fully defined (see Standard 3)? Is the indicator reliable? Is the indicator measurable? Will the indicator be subject to **peer review** to assess its substantive and monitoring merit?

**Standard 3: The Indicator is Fully-Defined.** Does the indicator specify the following: title and definition; purpose and rationale; method of measurement; collection method; measurement frequency; details of disaggregation; guidelines on how to interpret change in the indicator; strengths and weaknesses; and additional information?

**Standard 4: It is Feasible to Collect and Analyse Data for this Indicator.** Can the indicator be measured with reasonable levels of resources and capacity? Are appropriate mechanisms in place to collect, interpret and use the data for the indicator? Is the indicator aligned (*where possible and appropriate*\*) with those that are included in national M&E systems? Are the benefits of measuring the indicator worth the costs?

**Standard 5: The Indicator has been Field-Tested or Used Operationally.** Has the indicator been field tested or been subject to extensive operational use?

**Standard 6: The Indicator Set is Coherent and Balanced Overall.** When dealing with a set of indicators, does the indicator set give an overall picture of the adequacy or otherwise of the response being measured (for example, inputs, outputs, outcomes and impacts)? Does it have a mix of indicators at different monitoring levels? Does it measure both quantity and quality? If individual indicators are in different indicator sets, are these harmonised?

\* Words in italics added by authors

Source: UNAIDS Monitoring and Evaluation Reference Group [MERG], Technical Working Group, October 2008, DRAFT

### Step 3: What types of data will these indicators require?

5.15. V&A behavioural change can be measured by (1) quantitative data generated by observation or recall or (2) by quantification of qualitative changes using perception scores (See Box 5.2). Both types of data can be standardised, aggregated and subjected to statistical procedures. It is important to include a mix of qualitative and quantitative indicators, as Table 4.1 demonstrates, so that the quality of participation can be measured alongside the level of participation, for example.

### Box 5.2. Quantitative data for measuring V&A behavioural changes

Direct indicators of accountability and responsiveness are process indicators that measure changes in behaviour and relationships. Behavioural change can be measured by (1) quantitative data generated by observation or recall or (2) by quantification of qualitative changes using perception scores. Both types of data can be standardised, aggregated and subjected to statistical procedures:

**(1) Quantitative data.** Observation of changes in process includes, for example, counting the number of citizens participating in a public meeting or citizens voting in elections, the number of forums for monitoring and overview, or the number of times budget cycle details are made public. It is critical that enumerable data on citizen engagement are socially disaggregated, for example by sex, age, or by ethnic, religious or caste background.

Recall indicators ask a sample of respondents to recount the frequency of particular types of behaviour. The Afrobarometer indicators for accountability, transparency and corruption ask, for example:

In the past year, how often, if ever, have you had to pay a bribe, give a gift, or do a favour to government officials in order to:

- A. Get a document or a permit?
- B. Get water or sanitation services?
- C. Avoid a problem with the police?

Recall indicators on the whole elicit data on individual experiences and therefore should be used with individual respondents, for example as part of a household or beneficiary survey.

**(2) Quantification of qualitative changes.** Perception indicators ask respondents to score the quality of a given type of behaviour or relationship. Satisfaction scores are typically given on a 4 point scale such as: (1) Very satisfied, (2) Satisfied, (3) Unsatisfied, (4) Very unsatisfied. Calibrating prompts can be given to ensure that respondents have a common understanding of the typical qualities of behaviour that are associated with each score.

Depending on the sensitivity of the data, perception scores can be collected through group scoring or through a survey questionnaire or interview with individual respondents.

Group scoring involves selecting a random stratified group of rights holders (for example mothers with young children or agricultural labourers) or duty-bearers (for example local government officials) and asking them to score a number of process indicator questions.

Source: Authors' analysis

5.16. There are different types of sampling procedure that can be used to collect different types of data.

#### **Random sampling of project beneficiaries**

5.17. When seeking recall information or the perceptions of project beneficiaries about V&A behavioural change, beneficiaries can be stratified according to social or geographical characteristics and then randomly sampled (so that there is an equal probability that any one beneficiary in that stratified group will be picked).

5.18. Once the sample of respondents has been selected, their views can be gathered in a number of ways. One option is to carry out a report card questionnaire survey with the sampled respondents. An alternative, or additional, method is to facilitate a group

scoring exercise. This might first require individuals to give scores in a secret ballot before holding a group discussion and scoring exercise. The advantage of a group scoring process is that it creates a forum for participants to justify and explain their scores and identify solutions.

- 5.19. There are also options for converting these groups into panel data sets for both recall and perception scoring in order to generate time series data for a given sample of respondents. This can be periodically refreshed as panel members are lost. This is a method presently being set up for baseline and monitoring of the DFID DRC Media project (see Box 5.3).

#### **Box 5.3. DFID DRC Media Project**

In the DFID-funded media project in DRC, for example (see Annex C.6), a monitoring and evaluation system is being carefully designed to generate panels of citizens that will provide qualitative and quantitative assessments of progress against key indicators spelled out in the logframe.

There are five panels in five main urban areas of DRC, composed of five people each. The members are a mixture of people with some journalism experience and average 'users' of the media. They have tried to ensure a balance of men and women on the panels, and include representatives of civil society and people who travel frequently between rural and urban areas.

The panels will meet twice a year to discuss and respond to a questionnaire. In this way, they will monitor the general situation of the media in DRC and how it is evolving, providing the view of 'ordinary' but interested people from across the country.

*Source:* Olivier Lechien, Jo Abbot, pers comm.

- 5.20. It is important to integrate indicator collection with qualitative research that contextualises and explains accountability processes underpinning the data. Beyond explaining perceptions, V&A indicator collection should test the project effect assumptions.

- 5.21. There are also some simple qualitative tools – such as 'Most Significant Change'<sup>14</sup> analysis and 'process tracing'<sup>15</sup> – which can help respondents to analyse and interpret the causal links on the ground between project inputs, outputs and outcomes.

#### ***Purposive samples of key informants***

- 5.22. When seeking the views and perceptions of key informants about the quality of changes in V&A behaviour, random sampling is clearly not appropriate. Instead, key informants are purposively sampled according to their eligibility – in other words, they are

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<sup>14</sup> The Most Significant Change (MSC) technique is a form of participatory monitoring and evaluation used most commonly in projects. It involves the collection of significant change (SC) stories from the field, and the systematic selection of the most significant of these stories by panels of designated stakeholders or staff. Once changes have been captured, various people sit down together, read the stories aloud and have regular and often in-depth discussions about the value of these reported changes. When the technique is implemented successfully, whole teams of people begin to focus their attention on program impact (Davies and Dart, 2005).

<sup>15</sup> Process tracing is a qualitative method for tracing, or following, the cause-effect flow of resources and decision making as a means of testing assumptions about the expected impact of a particular intervention. Process tracing can follow the path of services, products, money, decisions, and information, identifying actual or ideal paths, revealing problem areas of risk and potential solutions. The tool's focus on the intervening processes between cause and effect makes it indispensable in a political economy analysis of changes in governance (Holland, 2007).

independent, objective and well-informed in expressing their views. The reliability of these views can be strengthened by triangulating the views of three or more key informants.

- 5.23. Alternatively, key informants can provide scores as part of a panel of judges, in the same way that a panel of experts with a common understanding of qualitative attributes score ice-skating or diving competitions.
- 5.24. Purposive sampling can also be applied when seeking the views of duty-bearers such as service providers in a given sector or project context on the 'supply side of governance'.
- 5.25. This 'short-cut' process of data gathering can be conducted as an alternative to gathering data and analysis from beneficiaries or can be triangulated with beneficiary views.

#### **Step 4. When do you collect the data to measure change?**

- 5.26. The DFID logframe guidance stresses the importance of establishing a baseline and for measuring change according to a set of milestones leading to an identified target.
- 5.27. In the case of V&A behavioural change these milestones would relate, for example, to a specified frequency of interactions or information release, a level of observable participation (socially disaggregated) or a satisfaction score percentage.
- 5.28. The logframe provides the basis for Annual Reviews and Project Completion Reports, but there is also a case for more frequent, light-touch, monitoring of V&A behavioural change through panel-based scoring and recall data. More frequent monitoring is justified if the behavioural changes that are targeted are capable of changing over a relatively short time period, so that rapid course correction in project activities can be made.
- 5.29. For effective project management and course correction, this data will need to be uploaded into a simple data storing platform that can be easily subject to aggregation and testing.
- 5.30. This is the extractive part of the data collection and analysis process. There may also be an opportunity to integrate the data generated with national and multi-donor data sets. For evaluation purposes a counterfactual data set may be possible if the project is restricted to a particular geographical area or is being rolled out incrementally across a region or country.
- 5.31. The data generation process can also be conducted less extractively by integrating it with local systems of V&A monitoring linked to local forums that can stimulate changes in behaviour and power relations as part of a participatory process of change.
- 5.32. New forms of real time technology such as mobile phone scorecard drop-down menus allow for an efficient capture and aggregation of data, and can also help democratise the monitoring and evaluation process by giving citizens and service users the power to provide instant feedback on the behaviour and performance of office holders.
- 5.33. At a higher level of monitoring (outcome and impacts) there is plenty of good practice of joint monitoring amongst donors and amongst donors and government, for example through Poverty Reduction Strategy policy frameworks.

5.34. There are also alliances of Government-CSO-donor working groups or joint dialogue forums which can in turn strengthen local forums for data collection and monitoring. One example of this process is Tanzania’s *Views of the People* perception study which includes governance questions and which is conducted locally by an independent research institution (Research on Poverty Alleviation) as part of the national poverty monitoring system. Indicators from such frameworks could be drawn on for outcome level monitoring.

## 5.2 Management Logframe checklist

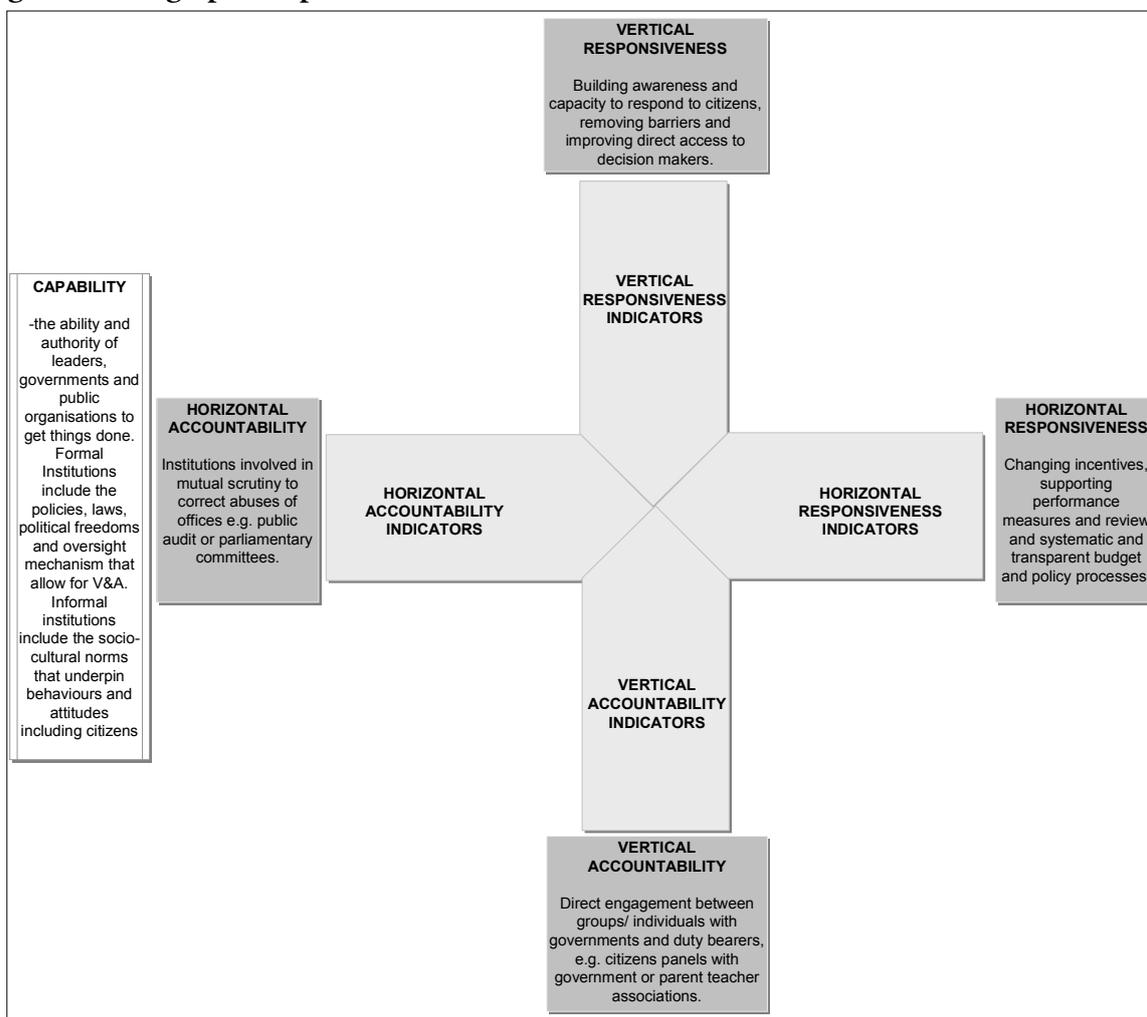
5.35. Below is a checklist of prompts for advisors who are managing the process of identifying and implementing V&A indicators as part of a logframe process. These are the management challenges that underpin the more technical step-by-step discussion above.

Prompt	Check
Ensure integration with DFID country programme and with other donor and government programmes, for example, through multi-stakeholder design workshops and ongoing discussions.	
Ensure that the project design process, including indicator identification, is as consultative as possible, and that it includes analysis “from below” by citizens/project beneficiaries.	
Establish a clear set of project effect assumptions that can be tested through indicator data collection.	
Involve technical expertise early in the process to ensure that indicator standards are adhered to. Where there will be a baseline study, it is good to have a highly developed logframe before launching the baseline – in other words, get specialist/experts to help develop detailed logframe indicators (particularly the V&A output indicators) before collecting the baseline data.	
Ensure that quantitative and qualitative data are generated that can both describe and analyse V&A changes and their effects.	
Ensure government approval through participation and partnership with technical agencies.	
Consider feasibility of data collection with time and resources available in a ‘crowded indicator landscape’. The methodology of using panels to score changes in V&A processes provides an efficient and real time method of collecting this type of process data.	
Consider participatory elements to the monitoring and evaluation process that involve local analysis and reflection and action for “change from below”.	
Ensure the project monitoring and evaluation budget line is protected for funding baseline and monitoring activities.	
Ensure where possible and necessary capacity building support for local outfits commissioned for baseline and monitoring and evaluation activities.	
Make every effort to collaborate with donor partners and government stakeholders – for example, line ministries or the Bureau of Statistics – in harmonised data collection. This will reduce transaction costs and ensure that the benefits are not for DFID alone. Only set up parallel M&E processes if absolutely essential.	
Stress the importance of working through larger donor groups on V&A, particularly on demand-side accountability – where possible, monitor outcome and impact levels, as well as risks jointly.	

### 5.3 Adapting the CAR framework to measure V&A outcomes

5.36. The following figures demonstrate the mapping exercise referred to under Step 1 above.

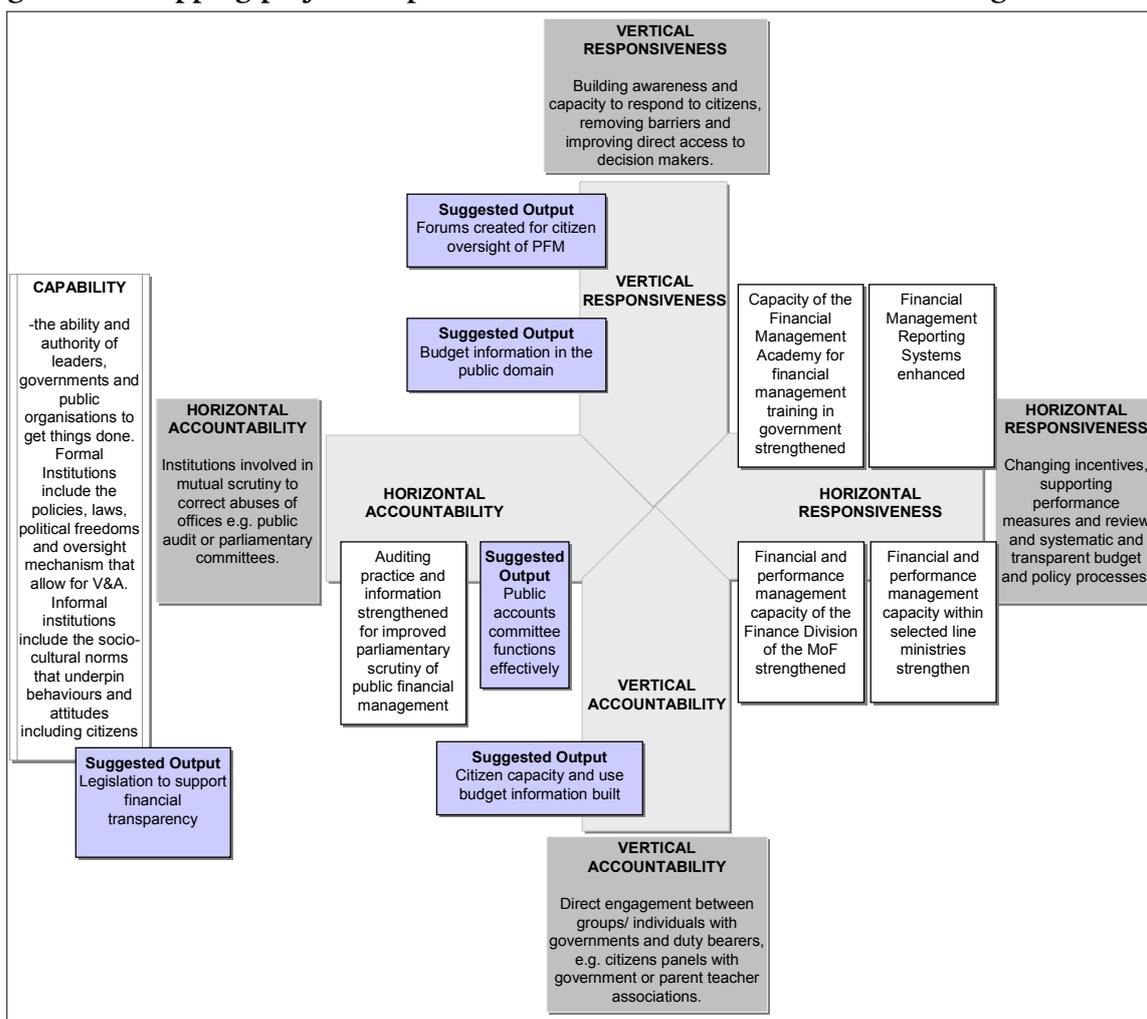
**Figure 5.1. A graphic representation of V&A in the CAR framework**



5.37. Figure 5.2 below shows that the focus of DFID’s Bangladesh Financial Management Reform Programme (FMRP) is almost exclusively on horizontal accountability and responsiveness relations, prompting possible discussions about additional outputs – in the next round of the project, or in another project – which would focus more on vertical responsiveness and accountability.

5.38. The project also makes assumptions about Capability (the enabling environment), both in the effective functioning of parliamentary committees to respond to the auditor’s reports, and regarding the potential for change in underlying political culture towards greater transparency and accountability. Mapping the outputs on to the CAR framework makes these assumptions more visible and creates a greater onus to test these assumptions throughout the project cycle.

Figure 5.2. Mapping project outputs on to the CAR framework: FMRP Bangladesh<sup>16</sup>



5.39. In the case of the DFID project Media for Democracy and Accountability in DRC (Democratic Republic of Congo - see Annex C.6), mapping outputs on to the CAR framework shows attention being paid to Capability (the enabling environment) through strengthening the regulatory function of the state and on vertical relations of accountability between the media (and an informed civil society) and the state.

5.40. The case study of the DFID Media for Democracy and Accountability in DRC project (see Annex C.6) shows how indicators and means of verification can be developed which use a range of data types. We illustrate this with selected indicators and measurements in Table 5.1, discussed in Step 3 above.

<sup>16</sup> The 5 yellow output areas mapped on to the framework are actually at purpose level, which is consistent with a large programme.

**Table 5.1. DFID Media for Democracy and Accountability in DRC: Selected Outputs, Indicators and Means of Verification (MOV) mapped on to the CAR framework**

<b>CAR mapping</b>	<b>Type of change (Outputs)</b>	<b>Indicator</b>	<b>Means of Verification</b>
<b>Capability</b>	Improved regulation and legislation of the media sector.	<ul style="list-style-type: none"> <li>Number of incidences of state-sponsored media suppression and attacks against press-freedom</li> </ul>	<ul style="list-style-type: none"> <li>Administrative reporting of events based data</li> </ul>
<b>Vertical accountability</b>	Professionalisation of the media.	<ul style="list-style-type: none"> <li>Improvement in training quality by established institutions and service providers</li> <li>Number of quality in-depth stories and articles in major media outlets on project-related themes</li> </ul>	<ul style="list-style-type: none"> <li>Narrative reports</li> <li>Administrative reporting of events based data</li> </ul>
<b>Vertical accountability</b>	Development of local content promoting peace, democracy and good governance.	<ul style="list-style-type: none"> <li>Number of good-quality programmes dedicated to news analysis, democracy and accountability</li> </ul>	<ul style="list-style-type: none"> <li>Panel scoring + analysis</li> </ul>
<b>Vertical accountability</b>	Strengthening business management towards economic sustainability of media enterprises	<ul style="list-style-type: none"> <li>Number of major media outlets with viable business plans in place</li> </ul>	<ul style="list-style-type: none"> <li>Narrative reports</li> </ul>
<b>Vertical accountability</b>	Provision of independent public service broadcasting nationally and locally	<ul style="list-style-type: none"> <li>Number of community radio stations considered as 'professional' and organised in networks supported by donors</li> <li>Concrete steps towards transformation of RTNC into a true public-service broadcaster</li> </ul>	<ul style="list-style-type: none"> <li>Narrative reports</li> <li>Narrative reports</li> <li>Panel scoring + analysis</li> </ul>

## 6. Concluding comments

- 6.1. In this paper we have brought together a set of indicators that have been used to measure the process changes that capture voice and accountability.
- 6.2. We have mapped these indicators on to a simple framework that adapts the DFID CAR framework for governance to frame voice and accountability interventions. We have shown how these interventions can be read through the results chain, with an output level that defines and measures changes in behaviour and power relations resulting from V&A interventions.
- 6.3. We have stressed that V&A indicator data, focused on measuring changes in behaviour and power relationships, can effectively combine observable and measurable changes in behaviour with perception scoring of the quality of those behavioural changes. These data requirements involve a mix of methods for collecting V&A indicators which can involve cost-effective, but robust standards of data collection using panels of key informants.
- 6.4. A series of annexes now follows that gives the details of the material that has informed the production of this framework.
- 6.5. Annex A describes the ODI *Voice and Accountability Framework*. Annex B summarises existing global measurements of voice and accountability, following a mapping exercise undertaken as part of this work. Annex C lists 12 case study summaries from country voice and accountability programmes.
- 6.6. At the end of this document there is a list of references and web sources for further information and resources.

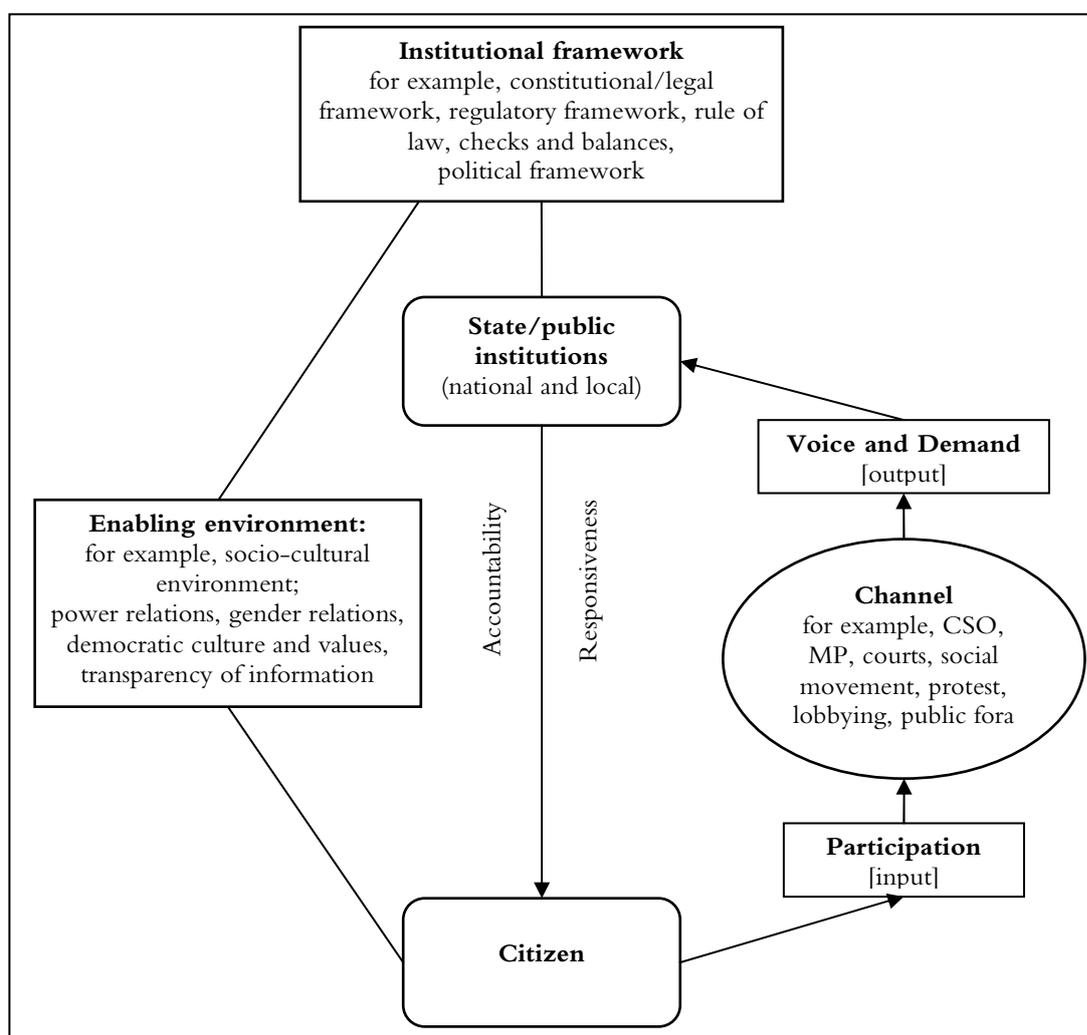
## Annexes

### Annex A – The ODI Voice and Accountability Framework

ODI was commissioned by DFID to develop a framework as a background to a recent DAC evaluation of donor VA interventions (see Figure A.1).<sup>17</sup> The three CAR elements are represented here in the formulation of demand-side accountability, supply-side responsiveness and context (including ODI’s participation to voice transition).

The ODI framework extends the CAR capability element to include both formal and informal institutions (including political framework/regime, citizenship and rights and socio-cultural norms). The ODI framework also teases out the exercise of voice and accountability as participation (input), channel or mechanisms and voice and demand (output).

**Figure A.1: The ODI Voice and Accountability Framework**



Source: Foresti et al (2007)

<sup>17</sup> Foresti M, B Sharma, T O’Neil and A Evans, 2007. *Evaluation of Citizen’s Voice and Accountability: Framework*, London, Overseas Development Institute, August.

## Annex B – Global Measurements of Voice and Accountability

In this annex, we present a summary description of a set of selected governance indicators that have voice and accountability elements which we refer to as ‘global’ because they exist above the level of project interventions and are often used to compare governance programmes across countries and regions. These indicators are used by governments, development agencies, non-governmental organisations (NGOs), media, academic institutions and the private sector.

As with the project results chain discussed in the main part of this report, global governance indicators can be conceptualised at different levels depending on what is being measured.

These levels include:

- **inputs**, such as constitutional or treaty-based commitments.
- **process** which covers actions and institutions that fulfil responsibilities and commitments.
- **outputs** which cover more immediate changes in conditions resulting from inputs, for example the number of women in parliament or the percentage of budget allocated to social commitments.
- **outcomes/impacts** which cover longer-term progressive changes, for example in budget execution and its impact on wellbeing.

Given these different levels it is important to be aware that indicators measuring inputs, processes and outputs will not necessarily tell you much about governance and development outcomes.

These indicators are generated from four types of data sources:

- **Standards, codes and treaties** which represent input level data on statements of intent (which are usually followed by some actions (process level) and hopefully some results (output/performance level).
- **Events-based data** which involves the recording of events and their compilation into comprehensive records. Events recorded can be positive (for example, election held) or negative (for example, a crime or human rights violation). This is a form of administrative data.
- **Narrative reports** on a particular governance process or outcome, which can be used to justify the coding of qualitative conditions that has been carried out by experts to produce a discrete scale of quantified scores. One such example is the Political Terror Scale (see Box B.1. and Table B.1).

### **Box B.1. Political Terror Scale**

#### *An example of a discrete scale*

1. Countries under a secure rule of law, people are not imprisoned for their views, and torture is rare or exceptional. Political murders are extremely rare.
2. There is a limited amount of imprisonment for non-violent political activity. However, few people are affected and torture and beatings are exceptional.
3. There is extensive political imprisonment, or a recent history of such imprisonment. Execution or other political murders and brutality may be common. Unlimited detention, with or without a trial, for political views is accepted.
4. The practices of 3. are expanded to larger numbers. Murders, disappearances, and torture are a common part of life. In spite of its generality, on this level terror affects those who interest themselves in politics or ideas.
5. The terrors of level 4. have been expanded to the whole population. The leaders of these societies place no limits on the means or thoroughness with which they pursue personal or ideological goals.

Source: UNDP (2008, 8)

**Surveys**, which can generate subjective or objective data both of which are important for measuring governance. Subjective data is generated from experience-based perceptions of citizens, service users, service providers, key informants and so on.

An example of this type of data is the Afrobarometer Survey for monitoring good governance (see Box B.2 and Table B.1). Objective measures are constructed from indisputable facts, such as the signature of treaties, allocation of budgets or the existence of bodies/fora.

Many of the indicators summarised in Table B.1 are **indices**, which can be either composite indicators or aggregate indicators.

**Composite** indicators combine different things into a single measure, one of the most well known being the Human Development Index (HDI). The downside of composite indicators is that unless the component data is shown, it is not clear how the rating is derived and thus unclear as to what action should be taken towards improvements.

**Aggregate** indicators combine different measures of a similar thing into a single measure. A widely cited example of this is the World Bank Institute's Governance Matters Indicator, which draws together 31 data sources into six composite indicators. The advantage of aggregate indicators over a single dataset is that if the same concept is measured by different data sources it is possible to increase the coverage and reliability by combining sources.

**Box B.2. Experienced-based questions for monitoring Good Governance.**

*Used in Afrobarometer survey, South Africa Jul-Aug 2000*

People get their basic necessities of life such as food, safety, health care, or income in a variety of ways. For instance some people have to: Steal or beg for it; Pretend they're eligible for government assistance; Do a favour for, or bribe a government official.

Other people get these things from: Local traditional leaders; government relief programmes; local co-operative groups; or friends or family. Still other people provide for it themselves, or pay for it in cash or in kind.

Finally, some people are not able to get these things at all. Describe how you currently obtain the food you and your family eat each month? Is there anything else? If you could no longer obtain food in this way, what other methods would you be most likely to use? Describe the things you currently do to obtain healthcare for yourself or your family? If you could no longer obtain healthcare in those ways what other methods would you be most likely to use?

*Source: Afrobarometer survey Nigeria, August-September 2001*

In the past year, how often (if ever) have you had to pay a bribe, give a gift, or do a favour to government officials in order to: (Codes = Never, Once or twice, A few times, Often, Don't know)

- Get a document or permit
- Get a child into school
- Get a household service
- Cross a border
- Avoid a problem with the police
- Anything else?

What would you do if you were waiting for a government permit or license, but kept encountering delays?

- Don't worry, just wait, the permit will come
- Offer a tip or gift to the official
- Use connections to influential people
- Write a letter to the head office
- Do what you want without the permit
- Do nothing because nothing can be done
- Don't know

*Source: UNDP (2008, 10)*

**Table B.1. Selected governance indicators**

Source	Index/Tool/ Database	Indicator	V&A Focus	V&A Objective	Means of measurement
ACE Electoral Knowledge Network	ACE Comparative Data	Electoral systems, legal framework, electoral management, boundary delimitation, voter education, voter registration, voting operations, parties and candidates, vote counting, media and elections, direct democracy.	Enabling environment	Improving electoral processes, structures and media	Multiple-choice surveys.
Afrobarometer	Afrobarometer	People's attitude to democracy and economic conditions.	Democracy and economic development	Voicing opinion of constituents on govt performance.	Compilation of national surveys
Asian Barometer	Asian Barometer	Citizens' attitudes to politics, power, reform, democracy, and citizens' political actions in Asia.			
Bertelsmann Foundation and the Centre for Applied Research (C.A.P.) at Munich University	Bertelsmann Transformation Index	Political/economic transformations, quality of governance.	Policies towards market-based policy.	Democratic/market-based transitioning.	Expert assessment of self-collected data from each country.
Center for Global Development	Commitment to Development Index	Aid, trade, investment, migration, environment, security, technology.	Commitment to development	Aid effectiveness	Average of 7 components (see "indicators")
Center for Budget and Policy Priorities	Open Budget Index	Availability of budgets and other reports.	Transparency	Promoting public access to information	Score of budget document transparency (1 to 5)
Civicus	Civil Society Index	Civic engagement; level of organisation; practice of values; perceived impact; external environment (conditions within which civil society operates).	Accountability and enabling environment	Promoting civic engagement	Qualitative analysis
Committee to Protect Journalists	Journalists Killed Statistics	Number of journalists killed	Security risks to media personnel.	Press freedom, freedom of expression	Total 'confirmed' number of journalists killed per year/per country.

Source	Index/Tool/Database	Indicator	V&A Focus	V&A Objective	Means of measurement
Danish Centre for Human Rights	Human Rights Indicators	Four indices included respectively covering: Formal commitment; commitment to civil and political rights; commitment to social, economic and cultural rights; gender discrimination	Human rights	Promotion of HR	Composite indicators (see indices included)
David Cingranelli, Binghamton University / David L.Richards, ETS Princeton	Cingranelli-Richards (CIRI) Human Rights Database	Extrajudicial killings, disappearances, torture, political imprisonment.	Respect of physical integrity (for example, freedom from torture) and empowerment rights (for example, workers' rights) by governments	Promotion of human rights	Scaling is used to construct ordinal indices
East Asia Barometer Network	East Asia Barometer	Degree of internalization of various political, democratic values.	Political values, democracy and governance in East Asia	Democratization	Face to face interviews.
Economist Intelligence Unit	Democracy Index	60 indicators grouped in five categories: electoral process and pluralism; civil liberties; the functioning of government; political participation; and political culture.	Enabling environment	Democratization	Expert + Public Opinion scoring
European Commission	Eurobarometer	Public opinion on issues relating to EU integration, attitudes towards EU, its institutions and policies.	Public opinion	Improving EU as an instrument of democracy	Based on national surveys
Freedom House	Annual Survey of Freedom/Political Freedoms and Civil Liberties Index	Electoral processes, political participation and pluralism, functioning of govt, discretionary questions, FoE and Belief, association and organizational rights, rule of law, personal autonomy and individual rights.	Political freedoms	Progress of political freedoms	Expert rating based on political and civil rights.
Freedom House	Press Freedom Survey	Legal environment, political influences, economic pressures.	Press freedom	Increasing global press freedom	Expert rating
Freedom House	Freedom in the World Survey/Political Rights Index	<u>Accountability, openness and transparency indicators include:</u> right to information; budget scrutiny; public asset scrutiny.	Political freedom	Progress of political freedom	Expert rating + analysis

Source	Index/Tool/Database	Indicator	V&A Focus	V&A Objective	Means of measurement
Georges Mason University and the University of Maryland	Polity IV Country Reports	Institutionalised democracy, institutionalised autocracy, polity, regime durability.	Polity	Democratisation	Assessment by academics based on available literature.
Global Integrity	Global Integrity Index	300 indicators in following categories: civil society, public information and media; elections; gov't accountability; administrative and civil service, oversight and regulatory mechanisms; anti-corruption mechanism and rule of law.	Access to gov't, abuse in power.	Promoting public integrity	Qualitative journalistic reporting and quantitative scorecard approach.
Henisz, University of Pennsylvania	Political constraints Index	Quantitative data on # of administrative gov't. branches with veto power on policy.	Opportunity structure	Reducing political constraints	Quantitative data from administrative branches of gov't.
Heritage Foundation	Index of Economic Freedom	Variables in 10 categories: trade policy; fiscal burden; gov't. intervention in economy; monetary policy; capital flows/foreign investment; banking and finance; wages and prices; property rights; regulation; informal market activity.	Economic freedom	Assess market regulation and gov't interference.	Scoring based on IMF/WB data.
International Budget Project	Open Budget Index	Public access to budget information; legislative and supreme audit institution oversight.	Enabling environment	Promoting public access to information	Score based on 4-point scaled evaluation of information availability at different stages of the budget cycle
International IDEA	State of Democracy	Public assessment of popular control over public decisions and decision makers and equality of respect and voice between citizens in the exercise of that control. Indicators of government effectiveness and accountability include: public confidence; level of scrutiny. Indicators of participation include; range of voluntary associations and citizen participation, equality of access to political office.	Participatory democracy	Democratization	Public scoring
International IDEA and Stockholm University	Electoral Quotas of Women Database	Electoral system, quota type, etc.	Electoral development	Women's representation	Data harvesting exercise (countries ranked but not scored).

Source	Index/Tool/ Database	Indicator	V&A Focus	V&A Objective	Means of measurement
Inter-parliamentary Union	Women in Statistical Parliaments Statistical Archive	Percentage of women in parliament (lower and upper houses).	Electoral development	Women's representation	Presentation of %, no statistical techniques involved.
IREX (USAID)	Media Sustainability Index	Free speech, professional journalism, plurality of news sources, business management, supporting institutions.	Enabling environment	Media development	Expert panel scoring (0 to 4)
Kurtzman Group	Opacity Index	Business and govt. corruption; ineffective legal system; economic costs of doing business; inadequate accounting and govt. practices, harmful regulatory structures	Opacity	Reducing costs in FDI	Expert assessment (scoring) of business persons
Mark Gibney	Political Terror Scale	Murder, imprisonment, executions, brutality, etc.	Political terror	Human rights, terrorism, development	Expert coding of primary sources.
Mo Ibrahim Foundation	The Ibrahim Index of African Governance	Includes indicators on Participation and Human Rights: Free and fair executive elections; Participation of the opposition in executive elections; Free and fair legislative elections; Participation of the opposition in legislative elections; Respect for physical integrity rights; Respect for civil rights; Press Freedom Index; Women's Rights.	Participatory democracy	Good governance	National statistics + public perception scoring
One World Trust	Global Accountability Report	Transparency, participation, evaluation and complaint and response mechanisms.	Transparency	Global accountability	Scoring from publicly available data and interviews
Overseas Development Institute	World Governance Assessment	30 indicators from 6 categories: Civil society; interest aggregation; govt. stewardship; policy implementation; economic society; dispute resolution.	Governance	Good governance	Survey questionnaire responded by governance experts
Political Instability Task Force and George Mason University	State Failure Dataset	# of rebel combatants or activists, # fatalities related to fighting, portion of country affected by conflict.	Conflict	Political stability	Expert coding of reference material

Source	Index/Tool/Database	Indicator	V&A Focus	V&A Objective	Means of measurement
Reporters Without Borders	Press Freedom Index	Murders, imprisonment, physical attacks and threats, censorship, confiscation of issues, searches and harassment.	Press Freedom / news media	Media freedom	Scoring and ranking.
Roger Bohning	GAPS in workers' rights	Freedom, freedom of association, freedom from discrimination	Labour rights	Freedom	Accords ratification of core conventions.
The European Bank for Reconstruction and Development and the World Bank Group	Business Environment and Enterprise Performance Survey (BEEPS)	Degree to which a firm's performance is affected by corruption (grand and administrative corruption)	Corruption	Due process (cooperation with private sector)	Business survey
Transparency International	Bribe Payers Index	Likelihood of paying bribes to govt. officials.	Corruption	Due process	Survey on likelihood of bribe paying behaviour of companies from developing countries.
Transparency International	Corruption Perception Index	Various indices including Opacity Index, World Business Environment Survey, Nations in transit, etc.	Transparency	Alleviating corruption	Collection of data sourced from various indices (some featuring in this matrix).
UN Habitat	Urban Governance Index	<u>Participation sub-index:</u> <i>Representative democracy</i> - elected Mayor; elected Council. <i>Participative Democracy</i> - Voter turnout and voter participation by Sex; Public forum; Civic Associations per 10,000 population.  <u>Accountability sub-index:</u> <i>Transparency</i> - access to information; <i>Integrity</i> - codes of conduct; citizen complaints); <i>Responsiveness</i> - measures of control by higher level of government; <i>Corruption</i> - independent audit; disclosure of assets; anti-corruption commission.	Participatory governance and accountability	Good governance	National and city statistics and administrative data

Source	Index/Tool/ Database	Indicator	V&A Focus	V&A Objective	Means of measurement
UNDP Human Development Report Office	Gender Empowerment Measure	Seats in parliament held by women; Female legislator, senior officials, and managers; female professional and technical workers; Ratio of estimated female to male earned income.	Empowerment	Gender equality	Composite of three indicators.
UNIFEM	Progress of the World's Women 2008/9	Political accountability; women in parliaments; electoral quotas; political party membership; women in ministerial positions.	Accountability	Good governance	Mix of qualitative and quantitative survey data
University of California San Diego (Evans-Rauch)	Weberian Comparative State Data Project	N/A (not provided since their meaning is not clear)	Bureaucracy	N/A	Survey of experts.
World Bank	Country Policy and Institutional Assessment	Four clusters of criteria, namely: economic management, structural policies, policies for social inclusion and equity, public sector management for institutions.	Institutional environment	Enabling governance	Scoring assigned by World Bank staff <sup>18</sup>
World Bank Institute	Governance Matters V (1996-2005)	Six aggregate governance indicators (V&A, political stability and absence of violence, govt. effectiveness, regulatory quality, rule of law, and control of corruption).	Voice and Accountability (no specific focus)	Governance	276 variables measuring perceptions of governance, drawn from 31 separate data sources from 25 different organization (some of which feature in this matrix).
World Bank: Worldwide Governance Indicators	Voice and Accountability Index	Perceptions of extent to which citizens are able to participate in selecting their government; freedom of expression; freedom of association; free media.	Participatory democracy and accountability	Democratization	Mix of perception data

<sup>18</sup> The Bank's CPIA is scored by World Bank staff based on their experience in country against clusters of criteria and is designed to "measure the extent to which a country's policy and institutional framework supports sustainable growth and poverty reduction, and consequently the effective use of development assistance". It is similar in principle to many of the other indexes which are constructed in part on "expert" scoring. Although subjective, it can still be useful, particularly where triangulated with other sources.

<b>Source</b>	<b>Index/Tool/ Database</b>	<b>Indicator</b>	<b>V&amp;A Focus</b>	<b>V&amp;A Objective</b>	<b>Means of measurement</b>
World Economic Forum	Global Competitiveness Index	Institutions, infrastructures, macro economy, health and primary education, higher education and training, market efficiency, technological readiness, business sophistication, innovation.	Factors affecting economic development (not V&A)	Economic development	Expert ranking based on publicly available data
World Values Survey- University of Michigan	World Value Survey (WVS)	for example, Use of violence to pursue political goals.	Socio-economic/political change	Democratic development	Survey questionnaires from individual societies

## **Annex C – Case study summaries**

### **Annex C.1. DFID Governance and Transparency Fund (GTF)**

DFID’s Governance and Transparency Fund (GTF) programme is a one-off £133 million global fund for not-for-profit organisations to promote the accountability and responsiveness of governments.

The programme logframe is organised around the CAR framework. The programme goal is for governments to be more capable, accountable and responsive to meet the needs of poor people, as measured by a selection of global governance indicators at the output level.

The programme purpose is squarely aimed at building accountability through effective engagement by CSOs that represent the interests of citizens.

At the output level the programme identifies outputs across the CAR framework, covering capability, accountability and responsiveness. Analysis to date by the GTF Management of the 38 grantee inception logframes shows a spread of projects across the CAR framework, but with a bias towards accountability interventions:

- Capability projects include an Open Budget Initiative.
- Accountability projects include an accountability strengthening initiative in the water and sanitation sector through improving budget literacy, an initiative using media drama to increase rights awareness, a media strengthening initiative that promotes “national conversations” between citizens and government, an initiative to strengthen the advocacy capacity of independent media, an initiative to increase women’s participation in governance, a local government gender budgeting initiative and an initiative to enable conflict-affected groups to participate in peace making processes.
- Responsiveness projects include an initiative to improve transparency in the forest sector.

	Type of change (goals, outcomes and outputs)	Indicator	Means of Verification
<b>CAR</b>	<b>Goal:</b> Governments are more capable, accountable and responsive to meet the needs of poor people	<ul style="list-style-type: none"> <li>• GTF targeted countries improve their annual ranking on selected governance indices</li> </ul>	<ul style="list-style-type: none"> <li>• The Ibrahim Index, where relevant.</li> <li>• Government policy documents.</li> <li>• Evaluations of government policies and practices at national and local levels.</li> <li>• Governance and transparency global surveys and indicators.</li> <li>• WB Governance Indicators database &amp; in-depth country diagnosis.</li> <li>• IBP Budget Transparency Country Rankings.</li> <li>• Reviews of service delivery.</li> <li>• WB Governance Indicators database.</li> <li>• IBP Budget Transparency Country Rankings.</li> </ul>
<b>Capability</b>	<b>Output:</b> Leaders and Governments are better able to perform such functions as providing stability, and personal security, regulation, delivering social services and controlling corruption	<ul style="list-style-type: none"> <li>• Increase from x to y in the delivery of Government policies, services, and effectiveness of the management of public finances.</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence contained in GTF grantee reports and external evaluations of GTF funded projects.</li> </ul>
<b>Accountability</b>	<b>Purpose:</b> Strengthened civil society to help citizens effectively represent their views and interests and hold governments to account for their actions - at different levels in the governmental system	<ul style="list-style-type: none"> <li>• All 38 GTF projects are able to demonstrate achievement of their contributions to sustainable improvements in key aspects of good governance by the end of GTF funding.</li> <li>• Evidence of a sustainable improvement in civil society capacity and collective voice to demand improved governance and transparency from governments at different levels by the end of GTF funding.</li> <li>• Increase from x to y in the number and effectiveness of pro-poor policies and programmes as a result of civil society advocacy through GTF funded projects.</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence contained in GTF grantee reports and external evaluations of GTF funded projects.</li> </ul>

	Type of change (goals, outcomes and outputs)	Indicator	Means of Verification
	<b>Output:</b> Increased access by citizens to the decision making processes of government, parliaments or assemblies and greater impact on them	<ul style="list-style-type: none"> <li>• Increase from x to y of number of key information documents available to the media and public in a timely manner throughout the budget/policy cycle from 2008 to 2013.</li> <li>• Increased from x to y in the level of knowledge and participation by citizens about public budget issues and government policy and decision making from 2008 to 2013.</li> <li>• Increased from x to y in number of civil society coalitions working on budget and policy issues from 2008 to 2013.</li> <li>• Annual evidence of CSOs influencing Govt policy decisions and strengthening the effectiveness of watchdog institutions.</li> <li>• Annual evidence of progress in vulnerable people (disaggregated by gender, age, disability and other vulnerable groups as applicable) having a stronger organised voice in the passage and implementation of laws.</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence contained in GTF grantee reports and external evaluations of GTF funded projects.</li> </ul>
<b>Account-ability</b>	<b>Output:</b> Increased respect for human rights, the rule of law, a free media and freedom of faith and association by governments at different levels.	<ul style="list-style-type: none"> <li>• Perceived understanding of human rights and ability to claim rights improves from x to y between 2008 and 2013 by disadvantaged and vulnerable groups</li> <li>• Freedom, coverage and effectiveness of the media on issues that affect vulnerable and excluded people</li> <li>• Level of trust in State Broadcasting and other media amongst poor people</li> <li>• Number of associations freely formed and effectively functioning increased from x to y from 2008 - 2013.</li> <li>• Annual evidence of improved access and trust in the formal and customary legal systems by different stakeholders at different government levels</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence contained in GTF grantee reports and external evaluations of GTF funded projects.</li> </ul>
<b>Account-ability</b>	<b>Output:</b> Strengthened CSOs' engagement in the fight against corruption.	<ul style="list-style-type: none"> <li>• Reduction from x to y between 2008 and 2013 in levels of reported corruption in public agencies of particular relevance to poor people</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence contained in GTF grantee reports and external evaluations of GTF funded projects.</li> </ul>

	Type of change (goals, outcomes and outputs)	Indicator	Means of Verification
<b>Responsiveness</b>	<b>Output:</b> Increased opportunities for people to influence and determine policy and legislation	<ul style="list-style-type: none"> <li>• Annual evidence of increased impact by pro-poor CSOs on Government in policy making and the passing of legislation.</li> <li>• Annual evidence of the state's ratification of relevant International Conventions affecting human rights particularly those that affect poor people.</li> <li>• Percentage increase from x to y between 2008 and 2013 of new laws that as bills were accompanied by a written technical analysis, opinion papers, and/or legislative study on the impact of such laws on poorer groups in society.</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence contained in GTF grantee reports and external evaluations of GTF funded projects.</li> </ul>
	<b>Output:</b> Improved implementation of policies that are shaped to meet the articulated needs and provision of services and public goods for vulnerable and excluded groups	<ul style="list-style-type: none"> <li>• Increase from x to y in vulnerable and excluded groups reporting enhanced access to, and satisfaction with, Government services and public goods between 2008 and 2013.</li> <li>• Number of actions which have contributed to pro-poor policies formulated and implemented increases from x to y between 2008 and 2013.</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence contained in GTF grantee reports and external evaluations of GTF funded projects.</li> </ul>

## **Annex C.2. DFID Samata Empowerment Through Resource Mobilisation (ETRM) programme, Bangladesh**

Samata is organised as a membership-based social movement supported by a staff of over 1200 (as of June 2006). It helps landless people to claim their legal entitlements to Government Khas<sup>19</sup> land and water bodies.

It does this directly and through advocacy for appropriate policy change and action at local and national levels. While land is Samata's entry point, it is active in supporting poor and landless people to access much wider public entitlements and representation. It was established as a social club in the 1970s and as an NGO in the early 1980s.

DFID's seven-year ETRM programme of support to Samata, which ended in 2008, included interventions to support changes in **capability** through supporting civil society advocacy for legislative change on land rights and related legislation.

The main focus of the Samata programme was, however, on direct and indirect mechanisms of **accountability**. This included direct accountability through building Samata group membership – with an emphasis on gender equality – and also strengthening networking between Samata and like-minded NGOs. DFID's support also targeted accountability by increasing poor women and men's participation in local political processes with the effect assumption that increased participation would increase **responsiveness**.

DFID's support also included an explicit link between accountability and **development impacts** as measured by improvements in livelihoods and poverty reduction

The logframe indicators and MOVs required very time – and resource-intensive participatory monitoring approaches which were not very efficient. The lesson learning from ETRM was to develop a more streamlined and easily collectable set of indicators. This learning has been built into the design of the baseline for the Manusher Jonno Fund which is discussed in Annex C.3 below.

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<sup>19</sup> Khas refers to Government land or water bodies which are not utilised and have by law been committed for use by the poor via transfer of deed

	Type of change (goals, outcomes and outputs)	Indicator	Means of Verification
<b>Capability</b>	<b>Output: Advocacy Programme</b> on priority land rights issues of poor people successfully implemented at local, regional and national levels.	<ul style="list-style-type: none"> <li>Significant progress made on changing the laws and regulations to the advantage of the poor on at least two major issues (eg. charland and ceiling legislation) and other land rights issues by EOP.</li> <li>Samata recognised as leading land reform advocate in Bangladesh.</li> </ul>	<ul style="list-style-type: none"> <li>Advocacy Cell Monitoring Reports</li> <li>Guidelines issued by GoB / MoL</li> <li>Samata direct and commissioned publications and reports</li> <li>Press coverage</li> </ul>
<b>Account-ability</b>	Purpose: Landless men and women in Samata’s programme area improve their livelihoods, become <i>socially and politically empowered, and able effectively to pressurise government, political and other elites</i> to address the needs and rights of poor men and women.	<ul style="list-style-type: none"> <li>All groups report increased social and political power and over 50% groups use this power to access other resources, independently</li> </ul>	<ul style="list-style-type: none"> <li>Specific sub-component studies (of PRA assessments below?) on effectiveness of gender and democratisation approaches in achieving empowerment indicators.</li> </ul>
<b>Vertical-direct</b>	<b>Output: Land Rights:</b> Samata group members supported in gaining access and title to khas land, water resources and other resource entitlements from government.	<ul style="list-style-type: none"> <li>Minimum of 10,000 and maximum of 24,000 acres of khas land, and over 4,000 acres of water bodies, recovered and distributed equally to men and women from landless households.</li> <li>Samata’s membership grows from 52,300 to 144,000 (50% women) by EOP, retaining social mobilisation focus of activities (group maturity indicators to be developed in year 1-2)</li> <li>Effective representation of land rights of poor in Thana &amp; District Land (and other) Committees.</li> </ul>	<ul style="list-style-type: none"> <li>Samata regular monitoring data collated into Annual Reports.</li> <li>Grassroots participatory review in phase 1 (years 1-2), to establish qualitative and process indicators of staff and member social mobilisation performance. This will also provide a baseline for monitoring “expansion with quality”. Follow-up impact assessments at years 4 and 6.</li> </ul>
<b>Vertical-direct</b>	<b>Output: Gender:</b> Gender equity promoted in all Samata activities and women supported to realise their social, economic and political rights.	<ul style="list-style-type: none"> <li>Indicators of enhanced organisational capacity for gender sensitive planning, implementation, monitoring and advocacy (gender balance, gender resource persons and gender analysis skills).</li> <li>Indicators of effectiveness of specific Women’s Groups (54 new WACs formed); shalishs (&gt; 300 per year in favour of women), and women’s representation in Samata’s federation committees</li> <li>Achievement against gender indicators of other outputs.</li> </ul>	<ul style="list-style-type: none"> <li>Samata regular monitoring data from PMES and Gender Cells, collated into Annual reports.</li> <li>Grassroots participatory review in phase 1 will include focus on gender sensitive indicators for follow-up in subsequent impact assessments in years 4 and 6.</li> </ul>

	Type of change (goals, outcomes and outputs)	Indicator	Means of Verification
<b>Vertical-direct</b>	<b>Output: LAND Network.</b> Network of like-minded NGOs supported in replicating Samata approach/model and policy advocacy in the region.	<ul style="list-style-type: none"> <li>Over 30,000 acres of khas land and up to 500 acres of water bodies recovered &amp; distributed equally to landless households.</li> <li>Network NGO membership grows from 161,000 to 256,000 (50% women) by EOP</li> <li>Effective representation of land rights of poor in Thana and District Land (and other) Committees in Network areas (NGOs represented on these committees grows from 22 to 30 by EOP).</li> </ul>	<ul style="list-style-type: none"> <li>Assessment of grant procedures by TA consultants and Samata LAND Cell by end of year 2.</li> <li>Sample of NGO network members assessed for performance and impact on a biennial basis.</li> <li>Annual conventions of LAND network members, facilitated by the LAND Co-ordinating Committee</li> </ul>
<b>Vertical - indirect</b>	<b>Output: Democratisation:</b> Poor men and women more effectively involved, and their interests represented, in local institutions and decision-making	<ul style="list-style-type: none"> <li>Component spreads from 10 to 42 Unions by end of project.</li> <li>Indicators, by gender, of participation (comparative voting levels in local / national elections during project period; number of women candidates for Union Parishads from Samata's membership).</li> <li>Disputes heard by Union Parishads and local shalish courts uphold rights of poor men and women.</li> <li>Linkages created between Samata member committees (VDCs, UDCs and ADCs) and parallel local government fora</li> </ul>	<ul style="list-style-type: none"> <li>Samata regular monitoring data from PMES and Democratisation Cells, collated into Annual reports.</li> <li>Participatory case studies of progress in years 4 and 6.</li> </ul>
<b>Developmental Impact</b>	Purpose: Landless men and women in Samata's programme area <i>improve their livelihoods</i> , become socially and politically empowered, and able effectively to pressurise government, political and other elites to address the needs and rights of poor men and women.	<ul style="list-style-type: none"> <li>Approx 400,000 member's (267,000 households') livelihoods improved as a direct result of Samata and LAND activities, expressed in terms of the Livelihood Framework.</li> <li>340,000 people from member households move above poverty line as a result of acquisition of 54,000 acres of khas.</li> <li>Women Samata members gain at least as much as male members and over 50% of women report enhanced role in family decisions.</li> </ul>	<ul style="list-style-type: none"> <li>PRA assessments in years 4 and 6, using baseline data collected in years 1-2, using new and old groups as comparison data, and national poverty data as benchmark for poverty line assessments.</li> </ul>

### **Annex C.3. DFID Manusher Jonno Rights and Governance Challenge Fund (RGCF), Bangladesh**

DFID is currently providing support for a Human Rights and Governance Fund managed by the Manusher Jonno Foundation (MJF) in Bangladesh. The fund will run until 2013, and is a follow-up to a DFID supported programme that came to an end in March 2008. To date, MJF has supported over 130 projects, with a focus on vulnerable women, children and workers, and marginalised social groups.

MJF's stated purpose is to ensure these social actors are "capable of demanding their rights" and to create a conducive environment for them by enhancing the "responsiveness, capability, accountability and transparency of government and business institutions". Its overarching goal is linked to **long-term development impacts**, in that it aims to contribute to a situation where poor people's rights, security and well-being are ensured by accountable and transparent institutions.

MJF supports projects that promote the voice of marginalised groups through rights awareness (**demand-side accountability**). It assumes that through membership of civil society associations and access to information on rights, these groups will make informed claims that in turn will improve the **responsiveness** of both government and the private sector.

A number of its grantees focus on more formal types of **vertical accountability** by encouraging poorer groups to become involved with 'union positions' – the lowest level of local government – through lobbying, monitoring and standing as candidates. MJF supports initiatives that seek to improve the environment for marginalized citizens, through legislative change and is thus also working on **capability**.

	Type of change (goals, outcomes and outputs)	Indicator	Means of Verification
<b>Development impact</b>	<b>Goal:</b> Improved well-being of poor women, men and children in Bangladesh	By 2015 Bangladesh will <ul style="list-style-type: none"> <li>• Have reduced income poverty compared with the 2006 HIES</li> <li>• Have improved rank in Human Development Index and Gender Development Index</li> <li>• Be on track to meet MDG targets</li> </ul>	<ul style="list-style-type: none"> <li>• UNDP's HDI and GDI</li> <li>• World Bank's Household Income and Economic Survey (HIES)</li> <li>• GoB and other donor agency reports.</li> </ul>
<b>Development impact</b>	<b>Purpose:</b> Poor and vulnerable people, particularly women and children, have access to measurably better quality services and enjoy improved security	By 2012: <ul style="list-style-type: none"> <li>• Improved security, justice and medical care facilities for 2 million targeted women and their families</li> <li>• Employees in formal and non-formal sectors receive increased wages and better working conditions</li> <li>• Increased income and improved access to resources for 0.5 million of the most vulnerable and socially excluded</li> <li>• Increased access to services for 23.5 million of the most vulnerable and socially excluded</li> <li>• Reduction in the worst forms of child labour and exploitation amongst 1.2 million children</li> <li>• Enacted policies (including laws and regulations) are pro-poor and functional to ensure the rights and entitlements of the target group</li> </ul>	<ul style="list-style-type: none"> <li>• MJF evaluation report</li> <li>• Project evaluation report</li> <li>• Impact assessment report (MJF phase 1)</li> <li>• Annual reports of MJF partners</li> <li>• MJF commissioned case studies</li> <li>• BBS report</li> <li>• Health and Demographic survey report</li> <li>• Bangladesh economic review report</li> </ul>
<b>Accountability</b>	<b>Output:</b> Poor and vulnerable people are active to prevent and protect rights violations	<ul style="list-style-type: none"> <li>• 60% of 16.5 million targeted are organized to deal with rights violation issues</li> <li>• 70% of 1 million targeted understand and articulate their rights</li> <li>• 50% of 16.5 million poor and vulnerable demand their needs in public fora</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly reports</li> <li>• Annual reports</li> <li>• Annual scoring analysis report</li> <li>• Project baseline report</li> <li>• Final evaluation reports</li> <li>• Midterm evaluation report</li> <li>• Evaluator's Summary report</li> <li>• Annual programme review report</li> </ul>

	Type of change (goals, outcomes and outputs)	Indicator	Means of Verification
<b>Responsiveness</b>	<b>Output:</b> Public service providers and institutions more aware, responsive and accountable to poor and vulnerable people	<ul style="list-style-type: none"> <li>Local institutions are aware of their roles and responsibilities</li> <li>50% of targeted service providers are responsive to poor and vulnerable people</li> <li>24 million beneficiaries are using more public services and resources</li> <li>Justice system in 50% of project areas are functioning through               <ul style="list-style-type: none"> <li>-ensuring community legal services</li> <li>-increased utilisation of legal aid fund</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Quarterly reports</li> <li>Annual reports</li> <li>Annual scoring analysis report</li> <li>Project baseline report</li> <li>Final evaluation reports</li> <li>Midterm evaluation report</li> <li>Evaluator's Summary report</li> <li>Annual programme review report</li> </ul>
<b>Capability</b>	<b>Output:</b> Pro-poor and inclusive policies adopted and implemented	<ul style="list-style-type: none"> <li>Targeted stakeholders are engaged in pro-poor policy making processes</li> <li>At least 7 policies/laws are drafted in a consultative way</li> <li>At least 4 laws/policies enacted and implemented by GoB to ensure rights of women, children, workers and other vulnerable groups</li> </ul>	<ul style="list-style-type: none"> <li>Policy papers</li> <li>Different research reports to monitor that vulnerable groups are benefiting from policy change</li> <li>Workshop reports</li> <li>Advocacy strategy papers</li> </ul>
<b>Accountability</b>	<b>Output:</b> Strengthened Human Rights and Governance sector able to influence government policies and practices	<ul style="list-style-type: none"> <li>30% increase of MJF partners' representation in government committees and task forces</li> <li>MJF actively participates in national regional platforms and coalitions on HR&amp;G issues</li> <li>MJF supported research, dissemination and events on HR&amp;G issues actively influence government policies</li> </ul>	<ul style="list-style-type: none"> <li>Annual scoring</li> <li>Mid-term and final evaluation report</li> <li>Financial Appraisals</li> <li>Partners' reports</li> <li>MJF annual reports</li> <li>Newsletters and Clippings</li> <li>MJF evaluation reports</li> </ul>

#### **Annex C.4. UNIFEM Gender and Democratic Governance (GDG) programme**

UNIFEM's Gender and Democratic Governance (GDG) programme is targeted at procedural reform for enhanced accountability and responsiveness. It is based on the understanding that many macro-level progressive institutional changes have been initiated, but are poorly integrated and implemented.

The programme – which has completed its inception phase in 2009, and is moving into a five-year implementation phase – is designed to build gender-responsiveness into institutional mechanisms and processes of service delivery in a set of six to 10 pilot countries.

The number of pilot countries will increase over the implementation phase, and will begin with the following:

- In Morocco, the programme seeks to build a culture of performance in the delivery of social justice for women; increase women's access to social justice provision and information on their rights under the law; and build a systematic feedback loop on the quality of services from women users to service providers.
- In Tajikistan, the aim is to enhance public service delivery for women, specifically in the area of social security by analyzing and addressing institutional barriers in service provision to women at the district level and building local-level accountability.
- In Rwanda, the programme aims to build the capacity of the new independent Gender Observatory (which monitors and evaluates progress on gender equality and reports to the Parliament) to understand and address gaps in meeting demands of women and men farmers for agricultural services.

The **accountability** element of the programme focuses on improving the quality of interaction between service providers and users through new or strengthened institutional mechanisms at the local level.

The programme tackles **responsiveness** by emphasising the role of performance-based procedural reform backed up by strengthened management information system and 'feedback loops' of evidence from service users.

The programme builds in a set of effect assumptions linking improved accountability and responsiveness to improved **development outcomes (rather than impacts)** in the governance of the provision of public goods and services as measured by the accessibility and quality of service provision.

An important part of the programme is building evidence-based organisational change in each country and on developing a global data set of best practice. Therefore, there is a strong emphasis on indicators and information.

	Type of change (goals, outcomes and outputs)	Indicator	Means of Verification
<b>Account-ability</b>	<b>Outcome:</b> Increased influence of women and gender equality advocates in the governance of service delivery	<ul style="list-style-type: none"> <li>Quality and frequency of women's interaction with service providers</li> </ul>	<ul style="list-style-type: none"> <li>Women clients satisfaction surveys</li> <li>service providers assessment</li> </ul>
	<b>Output:</b> Women users have structured access to institutional oversight mechanisms	<ul style="list-style-type: none"> <li>Quality/No. of changes in institutional oversight mechanism to enable women's participation</li> </ul>	<ul style="list-style-type: none"> <li>Analytical reports</li> </ul>
	<b>Output:</b> Women's recommendations for service improvements are accepted and implemented	<ul style="list-style-type: none"> <li>Percentage and increase over time of acceptance of women's recommendation over prioritized services</li> </ul>	<ul style="list-style-type: none"> <li>Analytical reports</li> <li>Key informant interviews</li> </ul>
<b>Respons-iveness</b>	<b>Outcome:</b> Gender responsiveness is built into operational processes (for example, incentive systems, operational procedures, performance measures, monitoring and oversight mechanisms, and management information systems)	<ul style="list-style-type: none"> <li>Change in quality of operational procedures in support of gender equality</li> </ul>	<ul style="list-style-type: none"> <li>Analytical reports</li> <li>Key informant interviews</li> </ul>
	<b>Output:</b> Gender-responsive MIS are sex-disaggregated and accessible to women users	<ul style="list-style-type: none"> <li>Existence of sex disaggregated data in MIS</li> <li>No. of MIS systems enhanced or created that ensure sex-disaggregated tracking</li> <li>Number of women accessing MIS data</li> </ul>	<ul style="list-style-type: none"> <li>Technical reports</li> <li>Key informant interviews</li> </ul>
	<b>Output:</b> Monitoring system tracks women's access to services	<ul style="list-style-type: none"> <li>No. of database categories with information on women's access to services</li> <li>No. of case studies that analyse women's access to services</li> <li>No. of country level assessments that track women's access to services</li> </ul>	<ul style="list-style-type: none"> <li>Database outputs</li> <li>Compiled case studies</li> <li>Country level reports</li> </ul>
<b>Develop-mental Impact</b>	<b>Goal:</b> Improving the governance of the provision of public goods and services in women's interest	<ul style="list-style-type: none"> <li>Number of women using services</li> <li>Quality of service provider performance</li> <li>Women's perception of accessibility, quality and relevance of services</li> </ul>	<ul style="list-style-type: none"> <li>Record of service providers document improved services to women</li> <li>Official documents &amp; statistics</li> <li>Women clients satisfaction surveys</li> </ul>

### Annex C.5. DFID Civil Society Umbrella Programme (CSUP), Uganda

DFID has provided approximately £7 million for a Civil Society Umbrella Programme (CSUP) in Uganda. It targets accountability by strengthening civil society's engagement with government in pursuit of pro-poor policies and outcomes.

The programme seeks principally to strengthen **accountability** through building awareness of rights within civil society and providing capacity building for CSOs to engage with government at different levels of policy making and implementation.

- The programme seeks to raise awareness and encourage increased involvement of Ugandans in monitoring rights. This is being achieved by the widespread use of media, radio, print and TV as well as training community members and duty-bearers in rights based issues and policy awareness.
- A total of 28 grantees have been funded through CSUP in order to work across pro-poor policy areas to engage with government at all levels so as to influence and monitor policy according to issues relevant to poor people. This has included providing data, research and views directly to policy makers and duty-bearers.
- Capacity building of CSOs was explicitly provided through training and learning events so as to improve capacity, institutional knowledge and networks amongst CSOs.

The **accountability** element of the programme focuses on vertical accountability and building up the demand side amongst groups and networks at the local level, mediated and facilitated through programme grantees.

National-level CSOs engage directly with ministries and parliamentarians on pro-poor policy issues and have become instrumental in influencing policy development and monitoring.

An example of this is the lobbying and influence of organisations for a new Domestic Violence Bill which is due to be heard this year. There is a wide raft of pro-poor policy targets under CSUP including improving accountability in education and health, as well as upholding and monitoring rights of women, children, minorities and disabled groups.

There is also direct work with communities and the media on changing attitudes and behaviours on development issues such as domestic violence. This comes under the banner of informal institutional change and is an example of corresponding work on **capability**.

	Type of change (goals, outcomes and outputs)	Indicator	Means of Verification
<b>Vertical Accountability</b>	<b>Purpose:</b> Civil society interacting with government at all levels to effect pro-poor policies, social progress and democratization	<ul style="list-style-type: none"> <li>Evidence that CSOs influence government policy to benefit poor and disadvantaged groups by end 2006</li> <li>CSOs representing the poor to effectively hold government to account on key pro poor commitments</li> <li>Improved observation of human rights as recognised by international statutory instruments and enshrined in the constitution</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
<b>Vertical Accountability</b>	<b>Output:</b> Poor Ugandans increasingly aware of and able to exercise their human rights	<ul style="list-style-type: none"> <li>Increase in no. of poor people benefiting from voter education programs across the nation.</li> <li>Increase in voter education</li> <li>Increased involvement in Ugandans in monitoring of social, economic, political and civil rights</li> <li>Increase in numbers of issue-based forums on political obligations.</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
<b>Vertical Accountability</b>	<b>Output:</b> CSOs engaged with government at all levels in the development of a pro poor environment	<ul style="list-style-type: none"> <li>Increase in numbers and diversity of CSOs bringing voices of the poor to influence government policy through participatory processes</li> <li>Evidence that a diverse range of CSOs are producing policy analysis from a poverty perspective and using this to influence government policy and resource allocation</li> <li>GoU incorporating CS contributions into national policies and into district plans.</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
<b>Vertical Accountability</b>	<b>Output:</b> CS holds government to account on its pro poor commitments and monitors implementation of pro poor policy.	<ul style="list-style-type: none"> <li>Increase in numbers of CSOs monitoring the implementation and impact of pro poor policies including establishing mechanisms to do so.</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
<b>Vertical Accountability</b>	<b>Output:</b> CSOs have increased capacity to effectively pursue the above objectives.	<ul style="list-style-type: none"> <li>CSOs effectively articulating their concerns and influencing debates on their respective roles and responsibilities vis-à-vis government at all levels</li> <li>CSOs effectively participating in government consultations on legislation and actions on the NGO Bill.</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>

### **Annex C.6. DFID Media for Democracy and Accountability in DRC**

The DFID media project is a component of DFID's broader DRC Good Governance programme being implemented by the UNDP. The effect assumption of this project is that functioning media will contribute to capability in the form of a state that enjoys long-term peace.

The media as an agent for democracy and development is central to most mainstream conceptions of Governance. According to DFID<sup>20</sup>, the media is relevant to governance for two main reasons: first, the provision of balanced, accurate information is considered critical for citizens to be able to hold their governments accountable; second, the media is critical to the formation of public opinion.

The media is seen as critical to the exercise of freedom of expression because it provides a platform for democratic debate. The project recognises the relationship between capability – the enabling environment for a functioning media through effective regulation – and accountability through media platforms that increase access to, and use of, information, allowing for expression of voice.

A monitoring and evaluation system is being carefully designed to generate panels of citizens that will provide qualitative and quantitative assessments of progress against key indicators spelled out in the logframe.

There are five panels in five main urban areas of DRC, composed of five people each. Panel members are a mixture of people with some journalism experience and average 'users' of the media. They have tried to ensure a balance of men and women on the panels, and include representatives of civil society and people who travel frequently between rural and urban areas. The panels will meet twice a year to discuss and respond to a questionnaire. In this way, they will monitor the general situation of the media in Congo and how it is evolving, while presenting the view of 'ordinary' but interested people from across the country.

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<sup>20</sup> DFID (2008) Briefing: Media and Good Governance – a DFID Practice Paper. May 2008.

	Type of change (goals, outcomes and outputs)	Indicator	Means of Verification
<b>Capability</b>	<b>Goal:</b> An inclusive and accountable political system, with an effectively functioning state enjoying long-term peace.	<ul style="list-style-type: none"> <li>• None provided</li> </ul>	<ul style="list-style-type: none"> <li>• None provided</li> </ul>
<b>Capability</b>	<b>Output:</b> Improved regulation and legislation of the media sector. CSAC established as an independent and fully functioning regulator. CSAC and OMEC/UNPC enabled by appropriate legislation to work with the media profession and civil society to ensure the media is free and regulated in an open, transparent and even-handed manner.	<ul style="list-style-type: none"> <li>• CSAC endowed with the legal, financial and human resources to be able to function effectively with good internal management</li> <li>• Number of incidences of state-sponsored media suppression and attacks against press-freedom</li> <li>• Number of disputes filed by official media bodies upon violation of existing laws and regulations by media outlets/journalists</li> </ul>	<ul style="list-style-type: none"> <li>• Reports by CSAC/HAM, JED and panels</li> <li>• Reports by JED, IREX, RSF</li> <li>• Reports by CSAC, OMEC and UNPC</li> </ul>
<b>Account-ability</b>	<b>Purpose:</b> A better-regulated, more diverse and professional media that will help improve access by Congolese citizens to quality information with which they can hold decision-makers to account.	<ul style="list-style-type: none"> <li>• Number of major outlets adhering to professional standards and ethics</li> <li>• Level of public confidence that media outlets serve as neutral watchdogs of good governance/democracy</li> <li>• Regulation in place to ensure a more diverse and viable media (community, private and public)</li> </ul>	<ul style="list-style-type: none"> <li>• Reports by CSAC/HAM, OMEC and UNPC</li> <li>• Reports by panels</li> <li>• Reports by JED, CSAC/HAM, OMEC, etc.</li> </ul>
<b>Account-ability</b>	<b>Output:</b> Professionalisation of the media. Through support to local training institutions, NGOs and CSOs: journalists, technicians, managers, editors become more organised, professional, skilled and resilient to abuses of power	<ul style="list-style-type: none"> <li>• Improvement in training quality by established institutions and service providers</li> <li>• Number of quality in-depth stories and articles in major media outlets on project-related themes</li> <li>• Number of managers having benefitted from training in management relevant to their needs</li> </ul>	<ul style="list-style-type: none"> <li>• Reports by partners (especially IPP/JDC)</li> <li>• Reports by content sub-contractor and partners</li> <li>• Reports by partners</li> </ul>

	<b>Type of change (goals, outcomes and outputs)</b>	<b>Indicator</b>	<b>Means of Verification</b>
<b>Account-ability</b>	<p><b>Output:</b> Development of local content promoting peace, democracy and good governance.</p> <p>Independent public interest media content is supported that promotes democracy, accountability and peace-building and helps ensure information, education, edutainment, and a voice for the population.</p>	<ul style="list-style-type: none"> <li>• Number of good-quality programmes dedicated to news analysis, democracy and accountability</li> <li>• Impact of local content related to democracy and accountability on citizens (incl. local edutainment)</li> <li>• Quality and independence of coverage of democracy &amp; accountability issues on major media outlets</li> </ul>	<ul style="list-style-type: none"> <li>• Reports by content sub-contractor, panels and media research companies</li> <li>• Reports by panels, content sub-contractor and media research companies</li> <li>• Reports by panels and content sub-contractor</li> </ul>
<b>Account-ability</b>	<p><b>Output:</b> Strengthening business management towards economic sustainability of media enterprises</p> <p>The media sector becomes increasingly well-managed, more economically and commercially sustainable, through the provision of know-how and through reliable measurements of audience and markets.</p>	<ul style="list-style-type: none"> <li>• Number of major media outlets with viable business plans in place</li> <li>• % of private major media outlet revenues derived from advertising (except community media)</li> <li>• Number of major media outlets using reliable data produced in DRC to tailor programmes to different audiences and enhance advertising revenue</li> </ul>	<ul style="list-style-type: none"> <li>• Reports by partners</li> <li>• Reports by partners (call for bids on advertising)</li> <li>• Reports by partners (call for bids on audience research)</li> </ul>
<b>Account-ability</b>	<p><b>Output:</b> Provision of independent public service broadcasting nationally and locally</p> <p>Support to enable the gradual institutionalisation of a public service broadcasting mindset by helping grow community radio, ensure sustainability and indigenisation of Radio Okapi, and assist the national broadcaster to become more independent from Government.</p>	<ul style="list-style-type: none"> <li>• Number of community radio stations considered as ‘professional’ and organised in networks supported by donors</li> <li>• Concrete steps towards greater sustainability of Radio Okapi</li> <li>• Concrete steps towards transformation of RTNC into a true public-service broadcaster</li> </ul>	<ul style="list-style-type: none"> <li>• Reports by partners (call for bids on Community Radio)</li> <li>• Reports by FH</li> <li>• Reports by partners and panels</li> </ul>

### **Annex C.7. World Bank National Program for Community Empowerment (PNPM), Indonesia**

The overall objective of the National Program for Community Empowerment (PNPM) is to reduce poverty and improve local-level governance in rural areas of Indonesia through the provision of investment resources to support productive proposals developed by communities, using a participatory planning process.

The rural arm of the PNPM is the Kecamatan Development Program (KDP), which was launched by the government in 1998 and has now almost completed its second phase. From 1998 to 2006, KDP covered 34,233 of the poorest villages in Indonesia - approximately 49 percent of the 69,956 villages in the country.

The voice and accountability element of the programme focuses on vertical accountability, with local governance strengthened through the interaction of community members and local government officials around planning processes. The project elements relating to vertical accountability and responsiveness are:

- Support to villagers' capacity and willingness to participate in local planning processes, measured by observable changes in participation.
- Support to local government councils to engage with local community development, measured by observable changes in engagement.

The programme also has a very strong instrumental link to development impact, with clear indicators and MOVs established for household expenditure, economic internal rate of return (EIRR) for four main infrastructure types, social service access, and health and education impacts. MOVs include sophisticated survey instruments commissioned from independent consultants.

This type of intervention is typical of a portfolio of World Bank Community Driven Development (CDD) projects that focus on participation and empowerment at the local level. These include:

- Burkina Faso: Second Community Based Rural Development Project.
- Guinea: Village Communities Support Program (Phase II).
- Philippines: Kapitbisig Laban sa Kahirapan-Comprehensive and Integrated Delivery of Social Services (KALAHYAN-CIDSS) Project.

	Type of change (goals, outcomes and outputs)	Indicator	Means of Verification
<b>Capability</b>		•	•
<b>Accountability</b>	<b>Intermediate Result:</b> Villagers participate in a process to plan, select and manage basic social and economic infrastructure provided through block grants.	<ul style="list-style-type: none"> <li>• Min. 40% participation rate of women and poorest community members in planning and decision-making meetings</li> </ul>	<ul style="list-style-type: none"> <li>• Monthly and annual project cycle reporting through facilitators</li> </ul>
<b>Responsiveness</b>	<b>Intermediate Result:</b> Local government councils use their improved skills to fulfil their local community development functions.	<ul style="list-style-type: none"> <li>• By end of 2009, &gt;70%* of local government councils are actively involved in PNPM management and oversight.</li> </ul>	<ul style="list-style-type: none"> <li>• National Management Consultant (NMC) monthly and annual reports, PNPM governance study</li> </ul>
<b>Development impact</b>	<b>Result:</b> Villagers in PNPM-Rural locations benefit from improved socio-economic and local governance conditions	<ul style="list-style-type: none"> <li>• Improved HH expenditure rates and improved access to economic and social services in a minimum of 2,300 poor subdistricts in 2008; min. of 2,600 subdistricts in 2009</li> <li>• EIRR<sub>s</sub> &gt;30% for major rural infrastructure types</li> <li>• Through the CCT pilot, improved health and education indicators in 130 kecamatan in 5 provinces:</li> </ul> <p><u>Health:</u></p> <ul style="list-style-type: none"> <li>• immunization coverage for 12–23 month olds increases by 10% points from 38% in 2005 to 48% in 2010;</li> <li>• Prenatal care visits increase by 10% points from 56% in 2005 to 66% in 2010;</li> <li>• Deliveries assisted by trained professionals increase by 10% points from 40% in 2005 to 50% in 2010.</li> </ul> <p><u>Education:</u></p> <ul style="list-style-type: none"> <li>• increased primary school enrollment rates from 96.5% in 2005 to 97% in 2010;</li> <li>• Increased junior high school enrollment rates from avg. of 57% in 2006 to 72% in 2010.</li> <li>• &gt;80% satisfaction levels from beneficiaries regarding improved services and local level governance.</li> </ul>	<ul style="list-style-type: none"> <li>• 2007 baseline survey and 2009 impact survey</li> <li>• Economic analysis study in 2009</li> <li>• 2007 baseline survey repeated 2008 and/or 2009</li> <li>• Monthly field reports, surveys and field reports at end of each project cycle</li> </ul>

NB Figure is 40% in a different table in PAD

### **Annex C.8. DFID Financial Management Reform Programme (FMRP), Bangladesh**

DFID’s FMRP is designed to develop “accountable and transparent institutional management and operational arrangements for aggregate fiscal discipline, strategic prioritisation of expenditure and improved performance during budget execution.”

The programme’s primary focus is on improving efficiency and transparency through:

- Improved accounting systems and improving transparency of accounts.
- Rules and procedure changes (for example, Treasury rules; general financial rules).
- New budgetary regime in place.
- New Medium Term Budgetary Framework (new concept piloted in 16 ministries).
- Trying to integrate stand-alone systems.
- Networks to connect field accounts (across all districts and divisional offices).
- Formalising and standardising auditing process: focussing on particular ministries so that the Principal Accounting Officers in that Ministry can be held to account by Parliament.

Within the programme there are important accountability elements. These focus on strengthening **horizontal accountability** and **horizontal responsiveness**, with support to the Ministry of Finance, selected line ministries, the Auditor General and Parliamentary Committees through the following project components:

- Component 1: To strengthen auditing practice and information for improved parliamentary scrutiny of public financial management .
- Component 2: To build the capacity of the Finance Division of the Ministry of Finance in order to enhance Aggregate Fiscal Management and to develop the regulatory framework for Financial and Performance management.
- Component 3: To enhance resource allocation, utilisation and financial/ resource/ performance management capacity in line ministries.
- Component 4: To enhance Financial Management Reporting Systems.
- Component 5: To build the capacity of the Financial Management Academy as a sustainable centre of excellence for financial management training in government.

Those involved in the programme have noted how the capacity building of Auditor General Office staff and subsequent social audits have revealed the power of assessing budget implementation (expenditure tracking, activities and outcomes).

Annual publication of the detailed budget has improved accountability and transparency and greatly increased the level of public debate on resource and policy issues. Although this was not an output specified in the logframe, the programme worked with the government of Bangladesh to ensure that the budget information was published in both paper and electronic formats. This has ensured that far greater information on spending decisions is in the public domain and has contributed to greater public debate.

There is the potential in the long-term to move towards a system of accountability driven by decent information on budget implementation and impacts, with an oversight for the Auditor General and with civil society oversight at different levels. However, this is more a case of evolution rather than revolution.

The programme OPR reported that accountability responsiveness process needs to be strengthened further, specifically that “Public Accounts Committee (PAC) support should be strengthened in order to apply pressure to Principle Accounts Officers to react to Audit reports.”

The programme demonstrated that combining reform of central government ministries and strengthening civil society into a single project may not be effective.

There are a number of reasons for this, but perhaps the most significant is that it is very difficult to engage and build the levels of trust in a Ministry of Finance if you are at the same time strengthening civil society’s ability to challenge decisions. DFID experience in other countries (for example, Nigeria, is that running two parallel projects, one to strengthen government institutions and another to strengthen civil society, is much more effective.

	Type of change (goals, outcomes and outputs)	Indicator	Means of Verification
<b>Capability</b>			
<b>Accountability</b>	<b>Purpose (Component 1)</b> To strengthen auditing practice and information for improved parliamentary scrutiny of public financial management.	<ul style="list-style-type: none"> <li>General (C&amp;AG) and Public Accounts Committee (PAC) publish timely and focused commentary on integrity of fiscal information and propriety and effectiveness of public expenditure.</li> </ul>	
<b>Responsiveness</b>	<b>Purpose (Component 2)</b> To enhance Aggregate Fiscal Management and to develop the regulatory framework for Financial and Performance management	<ul style="list-style-type: none"> <li>Finance Division's (FD) capacity strengthened to undertake Analysis and Monitoring of fiscal policy issues, Budget Framework and budget performance</li> <li>FD's capacity enhanced to develop Administrative/Legal/ Technical Framework for Fiscal management, Internal Control and Reporting.</li> </ul>	
<b>Responsiveness</b>	<b>Purpose (Component 3)</b> To enhance resource allocation, utilisation and financial/ resource/ performance management capacity in line ministries	<ul style="list-style-type: none"> <li>Within overall guidance framework from MoF 12 Line Ministries develop improved approaches to resource/ financial management/performance management and utilisation focused on strategic priorities including poverty alleviation.</li> </ul>	
<b>Responsiveness</b>	<b>Purpose (Component 4)</b> To enhance Financial Management Reporting Systems	<ul style="list-style-type: none"> <li>Improved internal control and quality of financial/management report</li> </ul>	
<b>Responsiveness</b>	<b>Purpose (Component 5)</b> To build the capacity of FIMA as a sustainable centre of excellence for financial management training in Government	<ul style="list-style-type: none"> <li>Percentage utilisation of FIMA exceeds 80% and improves annually from 2001/02.</li> <li>Annual 'customer' satisfaction survey indicates responses in the upper range of the scoring.</li> <li>External peer review in 2004 confirms standard achieved</li> </ul>	
<b>Development impact</b>	<b>Goal:</b> To improve the efficiency and effectiveness of the allocation of resources and to achieve more equitable and improved public service delivery.	<ul style="list-style-type: none"> <li>Progressive annual increase in allocation of resource towards economic growth and poverty alleviation.</li> <li>Progressive improvement in the efficiency and effectiveness of social spending.</li> <li>Improved equity in service delivery to vulnerable groups (for example, defined by region and/or gender).</li> </ul>	

### **Annex C.9. DFID State Accountability and Voice Initiative (SAVI), Nigeria**

SAVI is one of four linked DFID-funded programmes operating at state level in Nigeria, initiated in 2008. The other programmes, with which it has close working relationships, are focused on education, health and governance.

Originally SAVI was one output of the SPARC (State Programme for Accountability, Responsiveness and Capability) programme on the governance of public finance, planning and civil service reforms. DFID decided that the civil society mobilization component of this programme should be established as a stand-alone voice and accountability initiative. SAVI sets out to strengthen the role of civil society in supporting state governments to deliver better services to the Nigerian public.

Overall, the suite of programmes aims to promote the more efficient and effective use of Nigeria's own resources to achieve the MDGs.

The initiative aims to catalyse coalitions between civil society and government through, for example, joint school management boards, and other forms of partnership to bring about reforms in key sectors. This includes the promotion of new legislation. It also aims to improve the public functions of key actors in V&A processes, such as the State House of Assembly, independent monitors and the media.

SAVI is based around three thematic areas: (i) design and implementation of advocacy projects that address key service delivery issues; (ii) support to independent monitoring, research and policy analysis; and (iii) enhancing the effective functioning of the State House of Assembly.

The initiative is principally focused on the **accountability relationship**, in that it seeks to both strengthen civil society to make demands on the authorities and improve the ways in which members of state assemblies interact with and respond to citizens. Overall, SAVI's goal is linked to the MDGs and as such is geared towards improved **development impacts**.

	Type of change (goals, outcomes and outputs)	Indicator	Means of Verification
<b>Account-ability</b> <b>Vertical</b>	<b>Purpose:</b> State governments increasingly held accountable for delivery of public services	<ul style="list-style-type: none"> <li>• Evidence that policy formulation and planning increasingly responsive and evidence based and consistent with the achievement of the MDGs</li> <li>• Contract completion rates improve annually in all states from 2009 onwards</li> <li>• Extent and quality of media reporting improved from 2010 on transparency and accountability issues raised by the programme.</li> </ul>	<ul style="list-style-type: none"> <li>• Review of selected sector plans</li> <li>• Programme surveys/health and education MIS</li> <li>• SGAs, PAVS reports</li> <li>• Operation and use by governments of knowledge management system</li> <li>• PEFA assessments</li> <li>• SEEDS benchmarking reports</li> <li>• Reports of Public Procurement Units</li> <li>• Commissioned surveys</li> </ul>
<b>Account-ability</b> <b>Vertical</b>	<b>Output:</b> Capacity of civil society for evidence-based advocacy strengthened	<ul style="list-style-type: none"> <li>• Skills and capability strengthened in key areas including policy analysis, M &amp; E, strategic advocacy and communications</li> <li>• Generation of new evidence on issues key to a range of SHs</li> <li>• Evidence used in policy advocacy</li> <li>• Decisions increasingly reflect better use of independently produced evidence.</li> </ul>	<ul style="list-style-type: none"> <li>• Survey of CSOs</li> <li>• Independent QA review</li> <li>• M&amp;E of communications products</li> </ul>
<b>Account-ability</b> <b>Vertical</b>	<b>Output:</b> Coalitions between state and civil society established and operational	<ul style="list-style-type: none"> <li>• State governments establish new/improved accountability and feedback mechanisms in response to civil society demands</li> <li>• Accountability mechanisms operating to the satisfaction of a majority of canvassed citizens in 80 % of States by Yr 5</li> <li>• Civil society coalitions are developed to respond to issues and are capable of leveraging reform</li> </ul>	<ul style="list-style-type: none"> <li>• Citizen survey</li> <li>• Internal reports on capacity development activities</li> <li>• Reports from external M&amp;E agency</li> <li>• Research, policy analysis and independent monitoring</li> <li>• Benchmarking of SHAs; oversight effectiveness reports from expert panel</li> <li>• Poll and reports of access monitoring system</li> <li>• Media tracking initiatives</li> </ul>

	<b>Type of change (goals, outcomes and outputs)</b>	<b>Indicator</b>	<b>Means of Verification</b>
<b>Responsiveness</b>	<b>Output:</b> Responsiveness, accountability and capability of State Houses of Assembly increased	<ul style="list-style-type: none"> <li>• SHAs exercise improved review of the annual budget in relation to the attainment of the MDGs</li> <li>• Citizen's access to their MPs improved and feedback and accountability mechanisms established and used</li> <li>• In at least 35 % of advocacy projects members of SHAs are perceived to have played a positive role</li> </ul>	As above
<b>Developmental Impacts</b>	<b>Goal:</b> Nigeria's own resources used efficiently and effectively at state-level to achieve national MDGs	<ul style="list-style-type: none"> <li>• Improved government performance in capability, accountability and responsiveness.</li> <li>• Reduced infant and child mortality</li> <li>• Reduced maternal mortality</li> <li>• Reduced incidence of TB and malaria</li> <li>• Progress towards universal primary education</li> </ul>	<ul style="list-style-type: none"> <li>• CGA and individual SGAs</li> <li>• Demographic and Health Survey</li> <li>• Education and Health Information Management Systems</li> <li>• Core Welfare Indicators Questionnaire</li> </ul>

### **Annex C.10. DFID Poorest Areas Civil Society Programme (PACS), India**

The Poorest Areas Civil Society Programme (PACS) was initiated by DFID India in 2001. It was conceived as a 7-year programme that would strengthen civil society to assist some of India's poorest populations – in clusters of the poorest 100 districts of six states – to realise their rights and entitlements effectively and sustainably. PACS is about to enter phase 2 and expects to integrate an increasing focus on indicators and assessment.

The programme had five main strands: (i) improved self-governance, (ii) women's empowerment, (iii) social cohesion, (iv) policy advocacy and (v) self-help to meet basic needs. The main beneficiaries of the Programme were women and socially excluded groups. PACS ended in 2008, having worked with over 600 Civil Society Organizations (CSOs).

The Programme was based on the hypothesis that there is pervasive 'entitlement failure' in India's poorest states and that this is the main cause of continuing poverty. Government response to incidences of violence against women, discrimination against lower caste groups and the consistently poor quality of basic services was considered to be lacking.

In this context, CSOs were to be strengthened so that they could empower citizens to demand a greater degree of accountability and responsiveness from government and service providers.

The project worked on **demand-side accountability** through its focus on mobilization of women and other marginalised groups, and the development of viable local institutions capable of representing the poor and facilitating **voice**. It assumed that there would be a supply-side reaction of increased **responsiveness** of government policies and programmes to these groups, as well as support for the participation of marginalised groups in local government, reflecting **vertical accountability**.

The overall Programme goal of 'Realisation of the rights and entitlements of poor and socially excluded Indians in poorest areas', was related to **long-term development impacts**, with indicators based around improved health and educational outcomes.

	Type of change (goals, outcomes and outputs)	Indicator	Means of Verification
<b>Account-ability vertical</b>	<b>Output:</b> More effective and inclusive civil society empowering women and social excluded groups to demand and claim their rights and entitlements	<ul style="list-style-type: none"> <li>• 15 000 additional CBOs led by target groups &amp; 35 000 existing CBOs consolidated</li> <li>• CBOs federated and engaging in policy lobbying at district level</li> <li>• 40% of CSOs/CBOs applying tools for accountability and transparency</li> </ul>	<ul style="list-style-type: none"> <li>• Programme progress reports</li> <li>• Project social and equity audit reports</li> <li>• Publications media reports on civil society activities</li> </ul>
<b>Account-ability Vertical</b>	<b>Output:</b> More inclusive local government supporting the full participation and voice of poor women and socially excluded groups in development	<ul style="list-style-type: none"> <li>• Increase in representation of target groups in local government bodies</li> <li>• 80% of CBOs/CSOs working in partnership with local level bodies to monitor and ensure improved service delivery to target groups</li> <li>• 80% of CBOs/CSOs challenge social and cultural barriers that exclude target groups' participation</li> </ul>	<ul style="list-style-type: none"> <li>• Independent evaluations and case studies</li> <li>• Programme reports and annual reviews</li> </ul>
<b>Respon-siveness</b>	<b>Purpose:</b> Government policies and programmes more responsive to the rights and entitlements of poor women and socially excluded groups	<ul style="list-style-type: none"> <li>• Increased public expenditure on health, education and social protection priorities for women and socially excluded groups</li> <li>• More institutions providing access to markets and finance for target groups</li> <li>• Greater democratisation of representative institutions at all levels</li> </ul>	<ul style="list-style-type: none"> <li>• Government data</li> <li>• Gender and social participatory poverty and vulnerability surveys</li> <li>• DFID and independent evaluation of programme</li> </ul>
<b>Respon-siveness</b>	<b>Outputs:</b> Improved access to entitlements and sustainable livelihood opportunities for poor women and socially excluded groups	Over 80% increase in target groups accessing <ul style="list-style-type: none"> <li>• entitlements to social transfer schemes</li> <li>• quality basic services</li> <li>• livelihood services</li> </ul>	<ul style="list-style-type: none"> <li>• Programme progress report</li> <li>• Independent evaluations and case studies</li> </ul>
<b>Develop-ment impacts</b>	<b>Outputs:</b> Reduced discrimination against women and girls	<ul style="list-style-type: none"> <li>• Sex ratio improved by greater value place on girl children</li> <li>• Decrease in gender gaps in wages and increased women's control over land and housing titles</li> <li>• Improved men's awareness on women's rights issues</li> </ul>	<ul style="list-style-type: none"> <li>• Baseline and repeat surveys</li> <li>• Qualitative case studies on gender relations</li> <li>• Programme reviews</li> </ul>
<b>Develop-ment impacts</b>	<b>Goal:</b> Realisation of the rights and entitlements of poor and socially excluded Indians in poorest areas	<ul style="list-style-type: none"> <li>• Improved incomes, health and educational outcomes for up to 5 million women and people from socially excluded groups in poorest districts of six states</li> </ul>	Government data: <ul style="list-style-type: none"> <li>• Budget outturns</li> <li>• National sample surveys</li> <li>• District Information System for Education</li> <li>• National family health survey</li> </ul>

### **Annex C.11. DFID Partnership Programme Arrangements (PPAs), Latin America**

DFID has established Partnership Programme Arrangements (PPAs) in Latin America with 12 major NGOs. These will run from 2008 to 2011 and each partner organization will be allocated £1.4 million.

This constitutes a change in the way in which DFID works in the region, where it has previously worked through the World Bank and IADB. Funding channelled to the NGOs is untied and can be used for any programme or project related to the joint overall strategic objectives.

One example is Plan International's support for a children's parliament in Bolivia. The PPAs represent DFID's main engagement with organizations working on the ground in Latin America and is the one of the key mechanisms through which DFID addresses its priorities in the region.

DFID has developed a framework that sets out common objectives and outlines how mutual goals will be achieved with partner NGOs. The overall shared purpose of DFID and the PPA agencies is 'to reduce poverty and inequality through empowering civil society to address social, economic and political exclusion'.

Two of the strategic objectives that will contribute to the purpose are directly related to **voice** and **accountability**. These are 'more accountable public and political systems for effective delivery of services, and good governance in the region' and 'Poor and marginalised people have a greater voice in decisions that affect their lives'. These objectives relate to both the **demand-side** and the **supply-side** of the **accountability** relationship.

Relevant 'proxy' indicators have been drawn from the global logframes of the 12 PPA organizations. These indicators will provide quantifiable evidence of the changes taking place through the work of the partners. This will also minimise the need for PPA agencies to generate additional monitoring information.

	Type of change (goals, outcomes and outputs)	Indicator	Means of Verification
<b>Account-ability</b>	<b>Strategic Objective:</b> More accountable public and political systems for effective delivery of services and good governance in the region	<ul style="list-style-type: none"> <li>• Extended coverage of social services to older people specifically in the area of health and non-contributory pensions</li> <li>• Increase in number of partners stating that they benefit from constructive engagement with government</li> <li>• Communities have influenced the policies and practices of power holders on poverty reduction and the realisation of rights through regional and country governance initiatives</li> <li>• Partners are involved in monitoring public policies at local level and have influenced the policies and practices of power holders</li> <li>• Increase in legislation and public to support the establishment/ development of formal and informal mechanisms for engaging young people in the planning, management and monitoring and evaluation of service delivery.</li> <li>• Documented examples of key national policy changes</li> </ul>	Not available
<b>Account-ability</b>	<b>Strategic objective:</b> Poor and marginalised people having a greater voice in decisions that affect their lives	<ul style="list-style-type: none"> <li>• Older people’s organisations are proactively engaging with policy makers and presenting policy recommendations</li> <li>• Local organisations successfully holding decision makers to account in relation to accessing resources</li> <li>• Citizens are engaged in partnerships for demand led governance at local, regional and national levels</li> <li>• Marginalised groups demonstrate greater awareness of their rights</li> </ul>	Not available

### Annex C.12. World Bank Measuring Empowerment (ME) initiative

A World Bank team has developed a framework and a set of indicators to measure empowerment in the Bank’s project interventions. This has been applied in policy and programme contexts in Bangladesh, Ethiopia and Jamaica.

The framework defines empowerment as transformative choice, which can be exercised by individuals or groups in the state (as citizens), market (as economic actors) and social domains. The framework identifies three degrees of empowerment: (1) existence of choice (2) exercise of choice and (3) outcomes of choice.

The most directly relevant element of the framework for V&A is the state domain. Here the framework has three sub-domains and attendant concepts: (1) justice, with the concept of accessible justice; (2) politics with the concept of participatory democracy and (3) public service delivery with the concept of citizen voice and social (direct vertical) accountability

Domain	Concept/theme	Instrument and Indicator (disaggregated by social and economic group in analysis)
State (justice)	<ul style="list-style-type: none"> <li>• Accessible justice</li> <li>• Frequency of use of justice system</li> <li>• Fairness of justice system</li> <li>• Ability to complain about justice system</li> <li>• Safety and security of citizens</li> </ul>	Survey module generating data on: <ul style="list-style-type: none"> <li>• Recall data on types of justice system used, frequency of use</li> <li>• Perception scoring of fairness of treatment and outcomes, social difference in treatment, accountability, ease of use</li> </ul>
State (politics)	<ul style="list-style-type: none"> <li>• Participatory democracy</li> <li>• Critical and independent voting choice</li> <li>• Use of accountability mechanisms</li> </ul>	<ul style="list-style-type: none"> <li>• Recall data on frequency of elections at different levels, voting entitlements, voting behaviour (including independence of decision making)</li> <li>• Perception scoring of interest in elections, knowledge of parties, involvement in political processes (including aspirations), fairness of electoral process, accountability of elected officials</li> </ul>
State (public service delivery)	<ul style="list-style-type: none"> <li>• Citizen voice/ social accountability</li> <li>• Accessible/ quality/ relevant services</li> </ul>	<ul style="list-style-type: none"> <li>• Perception/Recall data on service availability, accessibility, and making complaints</li> <li>• Recall data on services used</li> <li>• Perception scoring of quality, accessibility and effectiveness of complaints (distinguishing by social group)</li> </ul>

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## DFID STATEMENT OF PURPOSE

DFID, the Department for International Development: leading the British Government's fight against world poverty. One in six people in the world today, around 1 billion people, live in poverty on less than one dollar a day. In an increasingly interdependent world, many problems – like conflict, crime, pollution and diseases such as HIV and AIDS – are caused or made worse by poverty.

DFID supports long-term programmes to help tackle the underlying causes of poverty. DFID also responds to emergencies, both natural and man-made.

DFID's work forms part of a global promise to:

- halve the number of people living in extreme poverty and hunger
- ensure that all children receive primary education
- promote sexual equality and give women a stronger voice
- reduce child death rates
- improve the health of mothers
- combat HIV and AIDS, malaria and other diseases
- make sure the environment is protected
- build a global partnership for those working in development.

Together, these form the United Nations' eight 'Millennium Development Goals', with a 2015 deadline. Each of these Goals has its own, measurable, targets.

DFID works in partnership with governments, civil society, the private sector and others. It also works with multilateral institutions, including the World Bank, United Nations agencies and the European Commission.

DFID works directly in over 150 countries worldwide, with a budget of some £5.3 billion in 2006/07. Its headquarters are in London and East Kilbride, near Glasgow.

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