



# DFID BRACED KNOWLEDGE MANAGER EVALUATION PLAN

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## Acknowledgements

This Evaluation Plan has been prepared by Robbie Gregorowski and Gil Yaron - the BRACED KM Evaluation leads – with contributions from Lisa Howes and Sarah Standley. The plan was written in close collaboration with the wider KM consortium partners, the set of BRACED Implementing Partners, DFID counterparts, and the BRACED Fund Manager. The team is grateful to all those who contributed.

The views expressed in this report are those of the authors. They do not represent those of the BRACED KM or of any of the individuals and organisations referred to in the plan, unless acknowledged in references.

## Acronyms

ASP	Adaptive Social Protection programme
BRACED	Building Resilience and Adaptation to Climate Extremes and Disasters
CA	Contribution Analysis
CDI	Centre for Development Impact
CoI	Conflict of Interest
Component A	BRACED projects in the Sahel
Component B	BRACED projects in DFID focal countries at high risk of climate extremes
CoP	Community of Practice
DFID	Department for International Development (UK)
DRR	Disaster Risk Reduction
FM	Fund Manager
ICF	International Climate Fund
IDS	Institute for Development Studies
IKM	Interim Knowledge Manager (until October 2014)
IPs	Implementing Partners
KM	Knowledge Manager (from October 2014)
KMELs	Knowledge Manager Engagement Leaders
KPI	Key Performance Indicator
M&E	Monitoring and Evaluation
MoU	Memorandum of Understanding
NGO	Non-Governmental Organisation
ODI	Overseas Development Institute
SSC	Statistical Services Centre – University of Reading

- ToC Theory of Change
- ToRs Terms of Reference
- UEA University of East Anglia
- VFM Value for Money
- WB World Bank

## Executive summary

The BRACED Knowledge Manager Evaluation Plan provides an overall approach and detailed outline of how the KM plans to deliver a coherent package of evaluative activities across the project and programme over the next three years.

The Evaluation Plan reflects the KM's response to bring together a range of perspectives and demands from a set of key stakeholders within and across DFID, the World Bank, the BRACED Fund Manager, and the set of BRACED Implementing Partners. In particular the Evaluation Plan reflects a series of discussions with the DFID BRACED team, including the DFID Evaluation Advisers. Conceptually this Evaluation Plan forms an annex of the overall KM Implementation Plan which has been developed in parallel.

The purpose of the KM evaluation as presented in the Evaluation Plan is 'to help determine what works to build resilience to climate extremes'. The requirement is to provide robust evidence of 'what works, where, and why?' We have interpreted this as asking two slightly different questions:

- Do BRACED interventions work, and to what extent? This focuses primarily on robust causal inference.
- How, where, when and why do BRACED interventions work, and what can be learned / how can good practice be replicated? This focuses primarily on explanation.

Despite this slightly difference emphases, these two sets of questions are addressed with a single evaluation design. In order to ensure a degree of conceptual coherence across KM-

led evaluation under we have chosen an evaluation design grounded in realist evaluation principles that we feel is particularly suited to the task. This evaluation design is influenced by the realist evaluation design Itad devised and agreed with DFID and SEQAS for the DFID Building Capacity to Use Research Evidence (BCURE) evaluation.

The Evaluation Plan is structured around five proposed Evaluation Activities:

- Evaluation Activity 1 - Evaluating the BRACED Programme Theory of Change
- Evaluation Activity 2 - Evaluating the set of BRACED Resilience Strengthening Interventions
- Evaluation Activity 3 - BRACED Project-level Results:
  - Catholic Relief Services – Mali and Niger
  - Farm Africa – Ethiopia
  - Plan International – Myanmar
- Evaluation Activity 4 - World Bank Adaptive Social Protection Programme Evaluation
- Evaluation Activity 5 - Flexible KM Evaluation Resources

A detailed outline (but not full design) is provided for each Evaluation Activity which proposes: the key evaluation questions; overall evaluation design; data collection and data analysis methods; key issues for further discussion and clarification; and, and headline budget and workplan.

It is important to note that each of the Evaluation Activities is anticipated to undergo stand-alone Detailed Evaluation Design processes early in the Implementation Phase. And that each detailed evaluation design be subject to its own SEQAS review, subject to agreement with DFID and in line with the proposed KM Evaluation workplan.

The Evaluation Plan concludes with a brief summary of the priority next steps required to begin implementation of the Evaluation Plan.



# 1. Introduction

This document is the Knowledge Manager (KM) Evaluation Plan for the DFID Building Resilience and Adaptation to Climate Extremes and Disasters (BRACED) programme. It provides a detailed approach and outline of how the KM plans to deliver a coherent package of evaluative activities across the project and programme-level over the next three years. The Evaluation Plan responds directly to the DFID requirement in the original KM Terms of Reference (ToR) to:

- Output A – Produce a BRACED policy research and evaluation plan, including set of research and evaluations questions to be answered across the BRACED grant portfolio.
- Output b - Establish an Adaptive Social Protection programme research and evaluation plan in in close collaboration with the World Bank’s Independent evaluation group (IEG).

Specifically, the BRACED KM ToR require the KM to design and deliver ‘evaluations of BRACED portfolio to help determine what works to build resilience to climate extremes’ under three outputs:

- Output F – Project experimental evaluations on selected BRACED projects to determine the impact of BRACED projects on community resilience.
- Output G – Strategic evaluations to test the BRACED and ASP theory of change assumptions
- Output H - Synthesis review and meta evaluations undertaken on resilience as part of BRACED and ASP

The Evaluation Plan reflects the KM’s approach to addressing these requirements based on our understanding of the programme and the set of tensions and trade-offs that are inevitable given a programme with the scope and ambition of BRACED. Following detailed discussions with DFID counterparts (BRACED Programme Team as well as DFID Evaluation Department and DFID Statistics Advisers) throughout the BRACED KM Inception Phase, it was agreed that a stand-alone Evaluation Plan with more detail should developed for submission to SEQAS. This document is the SEQAS-focussed Evaluation Plan that reflects the process of discussion and agreement with DFID.

The purpose of the document is to present an overall Evaluation Plan - a comprehensive, coherent and focussed outline of how KM-managed resources for evaluation of BRACED at the project and programme-levels will be allocated to best meet a range of perspectives from a broad set of stakeholders (DFID evaluation and programme teams, project Implementing Partners (IPs), KM partners, and wider policy-makers and practitioners).

The Evaluation Plan sets out in detail the key evaluation questions, overall evaluation design, data collection and data analysis methods, key issues for further discussion and clarification, and headline budget and workplan for each of the five proposed Evaluation Activities that make up the KM Evaluation Plan:

- Evaluation Activity 1 - Evaluating the BRACED Programme Theory of Change
- Evaluation Activity 2 - Evaluating the set of BRACED Resilience Strengthening Interventions
- Evaluation Activity 3 - BRACED Project-level Results:
  - Catholic Relief Services – Mali and Niger

- Farm Africa – Ethiopia
- Plan International – Myanmar
- Evaluation Activity 4 - World Bank Adaptive Social Protection Programme Evaluation
- Evaluation Activity 5 - Flexible KM Evaluation Resources

It is important to note that each of the Evaluation Activities is anticipated to undergo separate detailed design processes early in the Implementation Phase. And that each detailed evaluation design be subject to its own SEQAS review, subject to agreement with DFID.

## 1.1. Structure of the Evaluation Plan

The Evaluation Plan is structured as follows:

- **Chapter 1. Introduction** – including the background and purpose of the plan, its core concepts, overall evaluation design, summary of inception phase activities, proposed implementation phase activities, BRACED M&E governance arrangements, KM evaluation management and resourcing, and a summary workplan and budget.
- **Chapter 2. KM Evaluation Outline of Activities** – which sets out how we have defined the set of five KM-led evaluation activities and how the set of Evaluation Activities relate to the BRACED Theory of Change and our Realist Evaluation design framework.
- **Chapter 3. Evaluation Activity 1 - Evaluating the BRACED Programme Theory of Change**
- **Chapter 4. Evaluation Activity 2 - Evaluating the set of BRACED Resilience Strengthening Interventions**
- **Chapter 5. Evaluation Activity 3 - BRACED Project-level Results** focussing separately on the three project the KM will provide individual evaluation support to:
  - Catholic Relief Services – Mali and Niger
  - Farm Africa – Ethiopia
  - Plan International – Myanmar
- **Chapter 6. Evaluation Activity 4 - World Bank Adaptive Social Protection Programme Evaluation**
- **Chapter 7. Evaluation Activity 5 - Flexible KM Evaluation Resources**
- **Chapter 8. Next Steps**
- **Annex** - Relevant documents which are too lengthy for the main text are included in the set of annexes, including the BRACED ToC diagram,

## 1.2. Background to the Evaluation Plan

### 1.2.1. What is BRACED and what is the role of the Knowledge Manager?

BRACED is a £140m programme which runs from August 2013 for four years. In December 2014 / January 2015 BRACED grants were awarded to 15 NGO consortia involving local government and civil society

organisations, research institutions, UN agencies and the private sector. BRACED is operating in 13 countries - Burkina Faso, Chad, Mali, Senegal, Niger, Mauritania, Sudan, South Sudan, Ethiopia, Uganda, Kenya, Myanmar, and Nepal - with many projects working across regions or countries.

The BRACED Knowledge Manager is a consortium led by ODI and involving ADPC, ENDA Energie, ITAD, Red Cross Red Crescent Climate Centre, Thompson Reuters Foundation and the University of Nairobi. Within the consortium Itad ([www.itad.com](http://www.itad.com)) is leading on BRACED KM monitoring and evaluation (M&E). The KM's job is to generate and assimilate knowledge from research, evaluation and a learning-by-doing approach about what works best to strengthen resilience and use this knowledge to inform better policy and practice at different scales. Its intended impact is to help BRACED and other linked programmes deliver a sustained and transformational impact on people's resilience to climate extremes, beyond the communities directly supported by funded projects, through building and sharing evidence. The ambition of the KM is two-fold:

- First, to support the different members of BRACED (NGO consortia, DFID advisers, component D implementers etc.) to produce robust evidence from research and evaluations and to communicate with each other so they can share experiences and knowledge, and learn together.
- Second, to generate and assimilate knowledge about what works to strengthen resilience (drawing on robust evidence from the BRACED programme and from outside BRACED) and promote the uptake of this knowledge by policy makers and practitioners to amplify the positive impact on resilience across geographies.

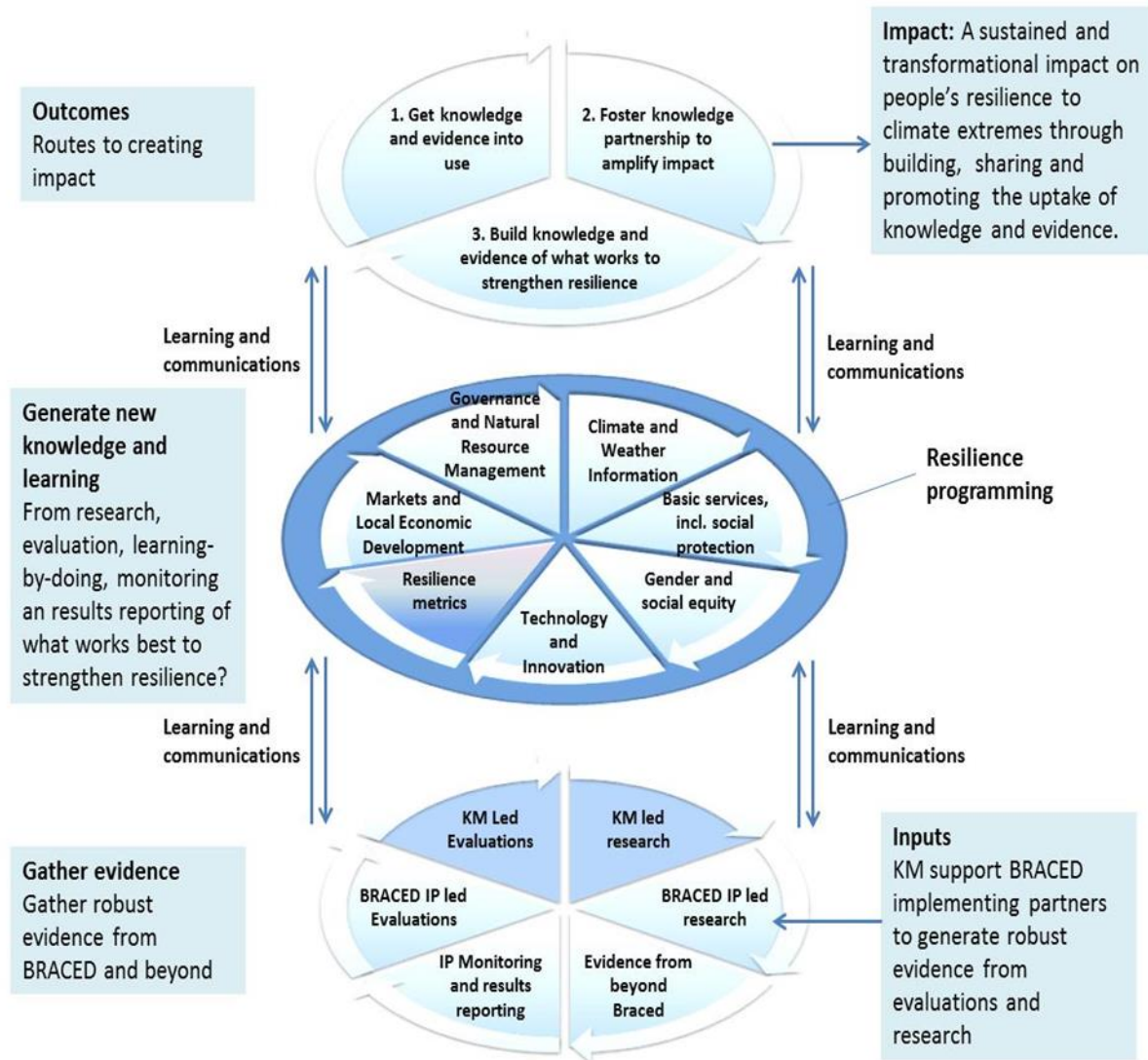
### 1.2.2. How does evaluation fit into the wider KM evidence and learning landscape?

During the Inception Phase, and in parallel to the Evaluation Plan, the KM has produced both an Inception Report which is reflective of the Inception Phase experiences and learning, and an Implementation Plan which elaborates on the KM's overall role on BRACED and outlines the core set of functions which the KM will deploy to support BRACED – monitoring, evaluation, research, learning and uptake, and communications. Conceptually this Evaluation Plan forms an annex of the overall KM Implementation Plan and should be read based on an understanding of these documents.

Fundamental aspects of the Implementation Plan that are relevant to the Evaluation Plan include and serve to situate KM-led evaluation in the wider context of BRACED and the KM include:

- A revised **BRACED Programme Theory of Change** (draft) – See **Annex 1** for the BRACED ToC diagram. A narrative supporting the ToC presented in the Implementation Plan and set out in more practical detail for IPs in the **KM M&E Guidance Notes** – Note 2 which were developed and presented to the set of BRACED IPs at the end of March 2015. Where feasible, throughout this document we have attempted to reference and 'locate' the five evaluation activities and key evaluation questions as they relate to the ToC. A parallel process is taking place between DFID, the KM and the FM to further revise and elaborate the BRACED ToC diagram to improve its clarity, particularly to more clearly illustrate the relationships between the four BRACED components A to D.
- A graphical representation of the **KM Theory of Change** – which illustrates a process of collecting robust evidence that involves a variety of different approaches, including forging partnerships with others outside BRACED, such as the sister Adaptive Social Protection Programme implemented by

the World Bank, and by offering ways BRACED members can share their experiences while drawing on existing evidence, so they can iteratively improve their programming and influence policies (enhanced when BRACED Component D comes on-stream).



- A set of **seven learning themes and key learning questions** - Based on analysis of the 15 BRACED project proposals and feedback from participants of the BRACED KM workshop held Dakar, Senegal in February 2015, the themes are intended to align the efforts of the KM, BRACED projects and other parts of BRACED on gathering learning and evidence of what works through evaluation and research, and provide a way of developing **set of seven thematic Communities of Practice (CoP)** organised around specific sets of project interventions. The seven themes and headline learning questions are outlined in the table below:

Learning themes	Headline questions
1. <b>Climate and weather information</b>	What works best in improving access to and use of climate and weather information to maximise resilience?
2. <b>Basic Services, incl. Social Protection</b>	What are the best ways to invest in basic services to ensure that they maximise the strengthening of resilience?
3. <b>Gender and social equality</b>	What are the best ways of empowering women and marginal social groups to maximise resilience?
4. <b>Technology and Innovation</b>	What are the best ways of supporting innovation, learning and the uptake of effective technologies to enhance resilience?
5. <b>Markets and Local Economic Development</b>	What are the best ways to strengthen markets and support local economic development to maximise resilience?
6. <b>Governance and Natural Resource Management</b>	What are the best mechanisms of engagement with the state, civil society and the private sector to strengthen resilience?
7. <b>Resilience Metrics and Concepts</b>	What combination of interventions at different scales works best to strengthen the resilience of poor people?



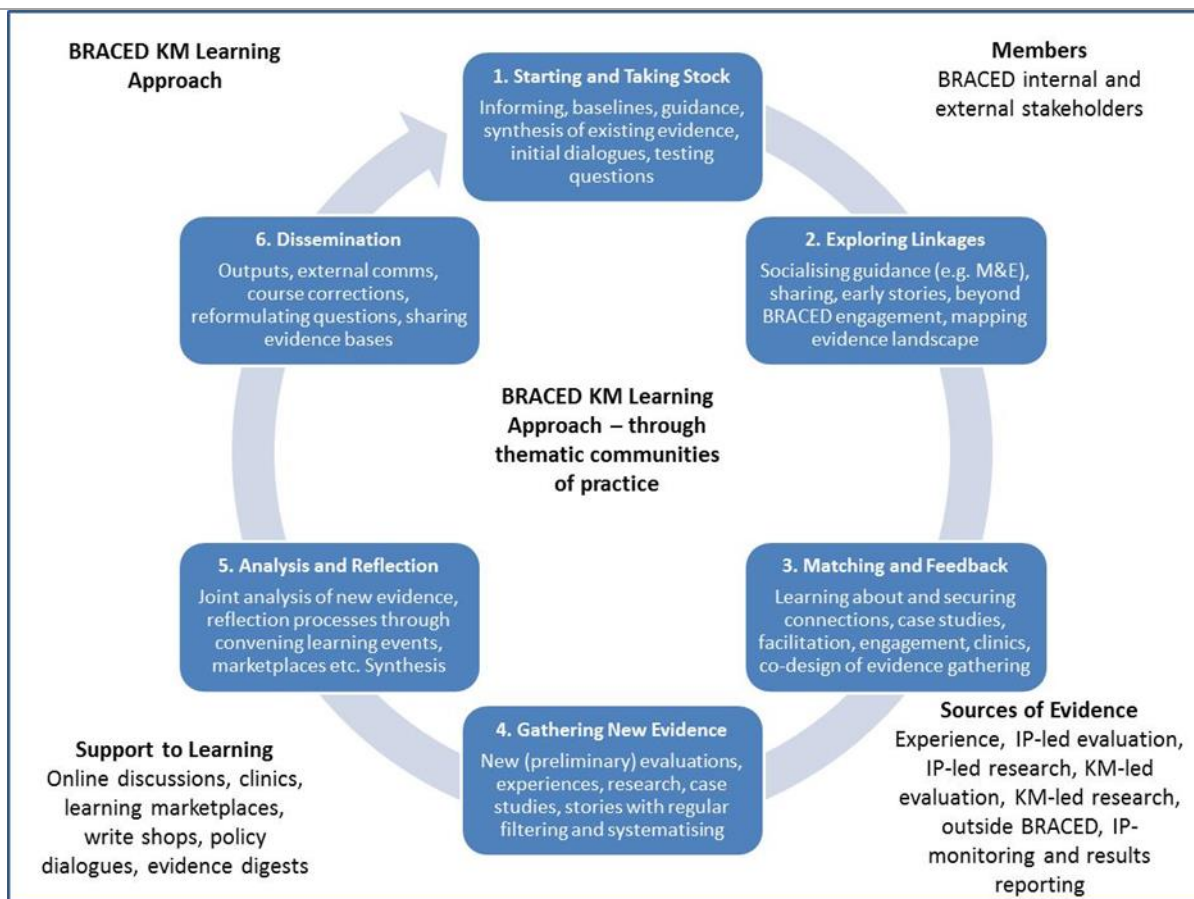
#### Learning questions – resilience programming

These seven themes all help to provide lenses on an overarching layer that asks more fundamental questions about the nature of resilience programming, a sample of which are:

- What are the most effective combinations of interventions to strengthen resilience in different contexts and at different scales?
- To what extent does strengthening resilience at one geographic scale rely on an entire country system or region being resilient?
- Which interventions or combinations of interventions lead to the most sustainable improvements in resilience in a changing climate
- Will sustained resilience require more fundamental transformation in economic, social or political systems?
- What factors serve to weaken resilience and how can they be countered?

- **Learning approach** through thematic communities of practice - The seven themes and the overarching element on 'resilience programming' offer an initial framework for organising the learning approach, and a way of creating communities of practice (CoP) in BRACED and beyond around specific sets of interventions and activities. The broad process for 'energising' each CoP, one major input of which will be the evidence and learning generated and synthesised through KM-led project and programme evaluation, is presented in the diagram below:





### 1.2.3. What is the role and functions of the KM M&E team?

In support of the KM purpose, the Itad-led M&E team is providing a set of activities based around three core components:

- Component 1 - BRACED M&E 'operations'** – Component 1 covers on-going BRACED M&E coordination, management, and leadership in order to deliver the BRACED KM Annual M&E Report. This will be the primary Annual M&E document which will collect and synthesise evidence and learning generated across the programme drawing together all the broad sources of evidence listed in the diagram above as the primary way of collating and synthesising evaluative evidence and learning generated across BRACED and feeding it into the wider KM Learning Approach. The Annual M&E Report is expected to be co-developed with the BRACED Fund Manager (FM), structured in line with the BRACED programme logframe and ToC, and will be written in support to the DFID Annual Review process.
- Component 2 - BRACED monitoring and routine results reporting** – Component 2 involves working in partnership with the set of 15 IPs the FM. Under Component 2, the KM M&E team have already produced a comprehensive set of M&E Guidance Notes which build and further elaborate on the Interim Knowledge Manager (IKM) M&E Guidance. In particular the KM M&E Guidance Notes focus on situating the ICF KPI 4 (BRACED programme outcome indicator 1 – number of people whose resilience has improved as a result of BRACED support) and ICF KPI 1 (BRACED programme output indicator 1.1 – number of people supported to cope) guidance against which the set of IPs is mandated to report against (and which for most has formed the basis of their M&E plans) within

a broader programme-level M&E framework which supports a minimum-level of consistent and robust results reporting across the programme.

- **Component 3 – KM-led evaluation activities** – Component 3 is the focus of this document.

A more detailed overview of the BRACED M&E ‘governance arrangements’ by key stakeholder group are provided in the Annex. The governance arrangements tables aim to summarise as simply as possible the major M&E roles and responsibilities of the various BRACED key stakeholders and how they relate to each other.

### 1.3. Purpose of the Evaluation Plan

The purpose of the Evaluation Plan is to set out clearly and in detail how the KM will design and deliver a set of ‘evaluations of BRACED portfolio to help determine what works to build resilience to climate extremes’ . The evaluations that make up the Evaluation Plan are required to cover:

- Experimental/Quasi-experimental evaluations of selected BRACED projects to determine the impact of BRACED projects on community resilience
- Strategic evaluations to test the BRACED and ASP theory of change assumptions
- Synthesis review and meta evaluations undertaken on resilience as part of BRACED and ASP

Tailoring the Evaluation Plan to meet these objectives requires the Evaluation team to balance a set of ‘trade-offs’ that are familiar to those designing and delivering ‘real-world’ evaluations:

- Between cost and methodological rigour;
- Between accountability and learning;
- Between the theoretical and the practical/feasible; and,
- Between causal inference and explanation.

The task of the Evaluation team has been to define the optimum balance between these sets of trade-offs whilst ensuring that the multiple perspectives/voices that have a stake in KM evaluation are satisfied.

#### 1.3.1. Evaluation utility and taking a practical approach

Two principals have guided the formation of the Evaluation Plan: evaluation utility and taking a practical approach. Evaluation utility – Under BRACED the two primary user groups are clearly the implementing partners (IPs) and DFID. Building on the central tenant of Michael Quinn Patton’ s Utilisation-Focused Evaluation<sup>1</sup>, that evaluations should be planned and conducted in ways that enhance the likely utilization of both the findings and of the process itself to inform decisions and improve performance, through the KM Learning Approach we have sought to define and engage the primary intended users and critically, worked with them to formulate the Evaluation Plan based on shared understanding and agreement on the following sequence of questions:

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<sup>1</sup> Utility-Focussed Evaluation - [http://betterevaluation.org/plan/approach/utilization\\_focused\\_evaluation](http://betterevaluation.org/plan/approach/utilization_focused_evaluation)

- What is the type of knowledge we are looking to generate through BRACED evaluation – instrumental, conceptual, and/or symbolic – and how will this knowledge be used and applied?
- What are the priority evaluation questions for each evaluation area?
- What intervention model or theory of change is being evaluated, both overall for the programme and under each evaluation activity?
- What are the most appropriate evaluation designs together with data collection and data analysis methods to generate credible findings that support intended use by intended users?

Taking a practical approach – Building on the utility-focussed approach, and with a programme as large and complex as BRACED, it is also necessary for the Evaluation Team to take a very practical approach in order to balance and overcome multiple and competing demands, risks and constraints. In essence this is about acknowledging and managing the usual trade-offs to be made between cost (limited KM evaluation resources) and a desire for methodological rigour but also the need to accept reality ‘on the ground’ . For example, defining the Evaluation Plan has required the Evaluation Team to work within the parameters/constraints of a programme where the set of project grant agreement contracts were signed in December 2014 based on IP M&E plans defined in the preceding year and hence critical decisions have already been made by IPs in conjunction with local stakeholders. Securing changes to project design at this stage to enable more effective evaluation has required significant and sensitive negotiation and is only sometimes successful.

Therefore, the Evaluation Plan, and across the set of five evaluation activities it comprises, aims to:

- Make the best use of scarce resources – Seeking to avoid M&E resource duplication where possible by: building on the evidence and learning generated by set of IPs across the programme through routine results reporting and using this as an evidence-base for KM-led evaluation; and complementing/bolstering the evaluations of small set of IPs with particularly methodologically rigorous designs rather than commissioning our own project-level evaluations.
- Balance potential tensions between accountability and learning / between robust causal inference and explanation / and between the internal and external validity of results and lessons generated.

How our overall design for KM evaluation addresses these trade-offs is set out in section 1.4 below, and what that means for the design and methods for each of the five separate evaluation activities is set out individually in more detail in Chapter 2.

## 1.4. Evaluation Design

The purpose of the KM evaluation as presented in the Evaluation Plan is ‘to help determine what works to build resilience to climate extremes’ . The requirement is to provide robust evidence of ‘what works, where, and why?’ We have interpreted this as asking two slightly different questions:

- Do BRACED interventions work, and to what extent? This focuses primarily on robust causal inference.
- How, where, when and why do BRACED interventions work, and what can be learned / how can good practice be replicated? This focuses primarily on explanation.



Despite this slightly difference emphases, these two sets of questions are addressed with a single evaluation design.

The BRACED programme (components A to D) and the set of projects it comprises are trying out multiple interventions to strengthen the resilience of poor people to climate extremes and disasters. The contexts they are working in are complex, with myriad contextual conditions influencing potential outcomes – climatic conditions, diverse historical institutional trajectories, variety in the stability of political and economic conditions, diverse government systems, different organisational cultures, and a wide range of participant characteristics (individuals’ identities, gender and ethnicities).

Contextual conditions in any of BRACED’ s projects are likely to be a strong influence on outcomes. With all these variables at play, there is strong potential for diverse outcomes across the BRACED projects. Given that the main emphasis of the evaluation is to learn what is effective in resilience strengthening and why (understanding interventions and context), we have chosen an evaluation design grounded in realist evaluation principles that we feel is particularly suited to the task. This evaluation design is influenced by the realist evaluation design Itad devised and agreed with DFID and SEQAS for the DFID Building Capacity to Use Research Evidence (BCURE) evaluation.

#### 1.4.1. Overall Evaluation Design – a lens for the BRACED programme

Despite the Evaluation Plan comprising of five relatively independent evaluation activities, we believe it important that the Evaluation Plan is framed using a single coherent evaluation design in order to ensure that KM-led evaluation meets its purpose as a coherent whole.

Realist evaluation assumes that the context makes important differences to the outcomes; that no intervention works everywhere, or for everyone. Realist evaluations focus on providing explanations of why interventions may or may not work, in what contexts, how and in what circumstances, and for whom, to help policymakers and practitioners understand how to choose and adapt policies and programmes for local contexts.<sup>2</sup>

To build explanations of why interventions may or may not work, realist evaluation identifies theories about how a project or programme is expected to work. These may be implicit or explicit theories that have informed the design of the programme interventions, as well as other relevant theories that offer alternative explanations. These are referred to as ‘programme theories’ (PTs). The programme theories for BRACED at the programme level are described in the BRACED programme theory of change in Annex 1. This may be considered as the common Theory of Change (CToC). The specific programme and project theories that each evaluation activity will explore are discussed in more detail in Chapter 2. .

Realist evaluation then focuses on understanding how contextual factors such as changes to the climate, political structures, cultural norms, location and participants shape and influence how the programme

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<sup>2</sup> Rycroft-Malone et al. (2012) Realist synthesis: illustrating the method for implementation research. *Implementation Science*, 7:33

theories play out in practice. The objective is to produce useable findings that can inform ongoing and future interventions, as well as providing robust evidence on effectiveness for accountability.

A realist evaluation is considered particularly appropriate for the following circumstances, according to Westhorp (2014, p.7):

- For evaluating new initiatives, pilot programmes and trials, or programmes that seem to work but ‘for whom and how’ is not yet understood;
- For evaluating programmes that will be scaled out, to understand how to adapt the intervention to new contexts; and,
- For evaluating programmes that have previously demonstrated mixed patterns of outcomes, to understand how and why the differences occur.

The BRACED programme and its component projects fit all of these circumstances. Indeed, Miyaguchi and Uitto (2015) attempt this for a review of Climate Change Adaptation Programme Evaluations.<sup>3</sup> The authors posit that adopting a realist approach to complex development projects, such as these CCA programmes, is indeed a useful way of providing applicable explanations, rather than generalizations or judgments, of what types of projects/activities work for whom, in what circumstances, and how, for future CCA interventions in developing countries.

#### **Causality in realist evaluation: contextualising ‘what works’**

As we have just noted, the explanations that realist evaluations produce focus on why interventions may or may not work, in what contexts, how and in what circumstances, and for whom. Context is understood as the most important influence on whether an intervention succeeds in activating a change process (often referred to as a ‘mechanism’) that will cause an outcome. Causation in realist evaluation therefore rests on understanding the influence of context on ‘mechanisms’ and outcomes. Context matters because it ‘turns (or fails to turn) causal potential into causal outcome.’<sup>4</sup>

Fundamental to realist evaluation is a generative understanding of causality (Pawson, Walshe, Greenhalgh, & Harvey, 2004, p. 2). In **generative** models, we can only infer a causal relationship between intervention A and outcome B by understanding **what is it about A that leads to B**. This involves unpacking the ‘black box’ that connects an intervention with its outcome – developing and testing theories about the underlying mechanism(s) at work.<sup>5</sup>

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<sup>3</sup> [http://web.undp.org/evaluation/documents/articles-papers/occasional\\_papers/Occasional\\_Paper\\_Climate\\_Change\\_Uitto\\_Miyaguchi.pdf](http://web.undp.org/evaluation/documents/articles-papers/occasional_papers/Occasional_Paper_Climate_Change_Uitto_Miyaguchi.pdf)

<sup>4</sup> Pawson, R. and Tilley, N. (1997) *Realistic Evaluation*, SAGE.

<sup>5</sup> For more discussion on generative vs other perspectives on causality, see also Stern, E., Stame, N., Mayne, J., Forss, K., Davies, R., and Befani, B. 2012. *Broadening the range of designs and methods for impact evaluations*. DFID Working Paper, 38. London, UK: Department for International Development. <http://www.dfid.gov.uk/R4D/Output/189575/Default.aspx> Other authors.

With its emphasis on the diverse interactions of contexts, mechanisms and outcomes, realist approaches steer away from the question ‘what interventions work best?’ This question does not make sense within a generative model of causality. An intervention is not viewed as a homogenous thing, but a series of mechanisms that each operate in different ways in different contexts.

Therefore, a more appropriate question for a realist evaluation is: ‘what is it about various interventions that works for whom in what circumstances, in what respects and how?’ The conclusion will not be ‘intervention X is better than intervention Y.’ Instead it will be something along the lines of: ‘remember A; take care of C; D can result in both E and F; Gs and Hs are likely to interpret I quite differently; if you try J make sure that you also consider K’ (Pawson & Tilley, 2004).

#### **Box 1: Definitions: context–mechanism–outcome (CMO) configurations**

**Mechanisms:** Forces or powers that cause things to happen. In BRACED, this largely relates to the decision making and actions of human beings: how people react to the opportunities presented by the BRACED programme (Wong, Westhorp, Pawson, & Greenhalgh, 2013).

**Contextual factors:** Conditions which influence *whether* mechanisms operate, and *which* mechanisms operate, for different groups of people (Westhorp, 2014). Contextual factors may include *individual* characteristics which affect how people respond to opportunities (e.g. gender, ethnicity, education); *interpersonal* factors which affect trust and buy-in (relationships between stakeholders and programme implementers); *institutional* factors (the rules, norms and culture of the organisation in which the intervention is implemented); and *infrastructural* factors (the wider social, economic and cultural setting of the programme) (Pawson and Tilley, 2004).

**Outcomes:** This term is used in realist evaluation to mean ‘short, medium and long-term changes, intended and unintended, resulting from an intervention’ (Westhorp, 2014)

Realist conclusions therefore are very sensitive to context, nuanced about why and for whom interventions are effective, but above all, aim to provide realistic and practical guidance that is evidence-based. It is for these reasons that we feel this is the most appropriate overall design for KM evaluation of BRACED.

#### **Identifying programme theories for the BRACED realist design**

The core idea underpinning realist evaluation is that different **mechanisms** can lead to a variety of outcomes in different contexts.<sup>6</sup> Realist evaluation researches how this might work in practice by identifying **context–mechanism–outcome configurations (CMOs)**. **CMOs** are integral to a realist evaluation design.

CMOs are theories depicting how we expect the BRACED programme to work: the **mechanisms** we think will be operating, the **contextual factors** that will need to be in place to allow them to operate, and the **outcomes** that will be observed if they operate as expected.

CMOs read as sentences: ‘in this context, that mechanism generates this outcome’ . (Westhorp, 2014).

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<sup>6</sup> Barbara Befani, Simone Ledermann and Fritz Sager (2007). Realistic Evaluation and QCA : Conceptual Parallels and an Empirical Application. *Evaluation*, 13: 171.

As noted above, realist evaluation identifies the underlying theories about how a programme is expected to work. In BRACED, we have identified PTs at three levels, all of which can be located with the CToC – the BRACED Programme ToC. These will be introduced here and then discussed in detail in Chapter 2 against the relevant proposed evaluation activities that make up the Evaluation Plan.

- **BRACED intervention** – individuals (likely households and communities in the context of BRACED) interacting with a specific resilience strengthening interventions. The CMOs describe mechanisms operating at very granular level. At this stage in the KM evaluation process, we do not have sufficient knowledge about which are the most important CMO configurations to investigate project by project across a programme as wide and diverse as BRACED. We anticipate that Evaluation Activity 2 - Evaluating the set of BRACED Resilience Strengthening Interventions – will focus most closely on theories at the intervention level and will draw on evidence generated through the BRACED M&E framework routine results reporting by IPs as a primary data source, complemented by specific KM-led synthesis methods under Evaluation Area 2 to explore and understand CMOs operating at this level. The KM’s seven learning themes should also provide a useful secondary framework for organising and understanding similar intervention level CMOs across contexts.
- **BRACED project** - sets of interventions organised through the fifteen BRACED projects which are broadly consistent and coherent in relation to ( ‘nested’ within) the BRACED programme logframe and theory of change and unified in terms of the BRACED programme outcome-level statement of ‘Poor people in developing countries with improved resilience to climate related shocks and stresses.’ A key challenge for the evaluation design is how to synthesise common lessons from projects across programme from the testing of project ToCs as set out in project evaluation plans. BRACED projects focus on a common outcome (O) (strengthened household resilience to CC, indicated by ICF KPI4) with projects employing different mechanisms (M) in different contexts (C). This suggests that it may be appropriate to use a realist approach to examine CMO configurations at this level in a complex programme. We are using project theories to describe a set of CMO configurations working together under the influence of a BRACED project. The project theories help us to understand the intervention features and combinations that are effective/not effective at activating ‘bundles’ of CMO configurations. Both of these involve ‘activating’ several CMO configurations. All BRACED projects are aiming to influence multiple CMOs to generate outcomes.<sup>7</sup> We anticipate that Evaluation Activity 3 - BRACED Project-level Results – where the KM proposes to work in more depth with three BRACED projects to rigorously identify extent of impact attributable to the project through quasi-experimental methods – will allow for an elaboration of the underlying CMO theories at play at the project level.
- **BRACED programme** – BRACED implicit intervention logic assumes the programme will inform change at the whole system level through the combination of all four programme components A to D. We must also have a frame/theory for understanding how the BRACED programme components are influencing systems change within their settings – taken to be national-settings. To describe this macro

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<sup>7</sup> We are using programme theories at the intervention level as a concept similar to the ‘causal packages’ discussed by John Mayne (2012) ‘Making Causal Claims’, ILAC Brief 26, ILAC/CGIAR. <http://mande.co.uk/blog/wp-content/uploads/2012/10/2012-Mayne12-ILAC-MakingCausal-Claimspdf.pdf>

picture of change, we have refined (and will further develop) the BRACED programme ToC. The draft BRACED programme ToC is our over-arching framework. It brings together the CMOs and three-levels of programme theories within a single systems frame. We anticipated that Evaluation Activity 1 - Evaluating the BRACED Programme Theory of Change – proposed to be delivered through a small set of BRACED country case studies where the set of BRACED components will be operating – will allow for an elaboration of the key CMOs implicit in the BRACED programme ToC, particularly the implicit intervention logic that BRACED is based upon – Components A & B (a set of 15 projects) plus Component C (a knowledge manager) plus Component D (support to national and local resilience strengthening capacity) will deliver an ‘amplified’ set of results which justifies the BRACED programme model and intervention logic. It is also anticipated that aspects

Given that this document sets out the broad KM Evaluation Plan, and that each of the five proposed Evaluation Activities is subject to DFID sign-off and SEQAS approval, we still have work to do in terms of further refining the overall BRACED programme theory of change. In addition and following DFID sign-off, each Evaluation Activity is anticipated to follow individual and separate detailed evaluation design processes early in Inception and in line with the headline workplan and budget presented in section 1.8 below. A key part of these detailed evaluation design processes will be the elaboration of specific CMOs for each evaluation activity according to their location within the three BRACED programme theory levels.

## 1.5. Evaluation Activities

Based on the requirements of the TORs, guidance from the DFID BRACED team, and in order to implement the evaluation design, we have developed five evaluation activities. The activities have elements which are interlinked but can be considered relatively stand-alone activities. The realist evaluation design will facilitate a degree of triangulation and synthesis both within and between evaluation activities and provides a level of coherence between the activities which further supports the KM to generate and assimilate knowledge from research, evaluation and a learning-by-doing approach about what works best to strengthen resilience and use this knowledge to inform better policy and practice at different scales. The table below presents an overview of the five evaluation activities which are described individually in more detail in Chapter 2.

Evaluation Activity	Focus of evaluation	Data sources	Main analytical method	Output
<b>Evaluation Activity 1 - Evaluating the BRACED Programme Theory of Change</b>	Focus on the effectiveness of the BRACED programme as a whole – components A-D	All available primary & secondary from BRACED projects; Primary and secondary data generated through KM-led small sample of BRACED country case studies	Contribution analysis in country cases	Two or three summative country studies produced in Year 3
<b>Evaluation Activity 2 - Evaluating the set of BRACED</b>	Focus on qualitative and explanatory synthesis of the set of project	Two primary data sources:	Synthesis method potentially	Two synthesis reports – one following mid-

<b>Evaluation Activity</b>	<b>Focus of evaluation</b>	<b>Data sources</b>	<b>Main analytical method</b>	<b>Output</b>
<b>Resilience Strengthening Interventions</b>	intervention 'packages' in order to draw lessons on what works and why in particular contexts.	- Project mid-term and final evaluations - Project routine results reporting	applying meta-ethnography	term and one following final evaluations
<b>Evaluation Activity 3 - BRACED Project-level Results:</b>	Primary focus is on robust causal inference - Do BRACED interventions work, and to what extent? Secondary focus on explanation - How, where, when and why do BRACED interventions work, and what can be learned?	Primary data generated by projects through M&E plans bolster by KM evaluation support	Experimental or quasi-experimental impact evaluation	Set of three project impact evaluation reports as set out below
• <b>Catholic Relief Services – Mali and Niger</b>	Quantitative measurement of change in outcome measured by ICF KPI4.  Testing the Project Theory of Change to understand what works and why	Household survey data  Focus groups and key informant interviews  Case studies	Experimental or quasi-experimental impact evaluation  Contribution analysis	A research paper  Reports at mid-term and year 3
• <b>Farm Africa – Ethiopia</b>	Quantitative measurement of change in outcome measured by ICF KPI4.  Testing the Project Theory of Change to understand what works and why	Household survey data  Focus groups and key informant interviews  Case studies	Experimental or quasi-experimental impact evaluation  Contribution analysis	A research paper  Reports at mid-term and year 3
• <b>Plan International – Myanmar</b>	Quantitative measurement of change in outcome measured by ICF KPI4. Assessment of effectiveness of 3 treatments on outcome  Testing the Project Theory of Change to	Household survey data  Focus groups and key informant interviews  Case studies	Experimental or quasi-experimental impact evaluation  Contribution analysis	A research paper  Reports at mid-term and year 3

<b>Evaluation Activity</b>	<b>Focus of evaluation</b>	<b>Data sources</b>	<b>Main analytical method</b>	<b>Output</b>
	understand what works and why			
<b>Evaluation Activity 4 - World Bank Adaptive Social Protection Programme Evaluation</b>	Non-BRACED, but similar 'sister' programme – ASP. Focus is on learning about adaptive social protection for strengthening resilience to climate extremes and disasters from review of evidence at the intervention level (Track 1 – WB ASP impact evaluation synthesis) and at the 'system' level (Track 2 – theory-based evaluation of ASP 'system' )	Track 1 – Synthesis of secondary data generated through WB ASP impact evaluations  Track 2 – Primary data generated by KM supplemented by secondary data generated by WB ASP programme	Track 1 – Synthesis – specific variant TBC following evaluability assessment  Track 2 – Theory-based design applying either Contribution Analysis or Process Tracing through two country studies	Track 1 – WB ASP impact evaluation synthesis report  Track 2 – Evaluation Report with two country study reports as annexes
<b>Evaluation Activity 5 - Flexible KM Evaluation Resource</b>	TBC	TBC	TBC	TBC

## 1.6. KM Evaluation Management and Resourcing

Within the KM, Itad has overall responsibility for M&E. To meet their responsibilities the Itad-led M&E team is providing a set of activities based around three core components as described in Section 1.2.3 above:

- Component 1 - BRACED M&E 'operations'
- Component 2 – BRACED monitoring and routine results reporting
- Component 3 – KM-led evaluation

This section of the Evaluation Plan briefly describes how the overall M&E Team has been structured and will function – 1.6.1 and 1.6.2. This is followed by more detail on how the KM will manage Component 3 in terms of Evaluation Activity design, commissioning, delivery, and quality assurance.

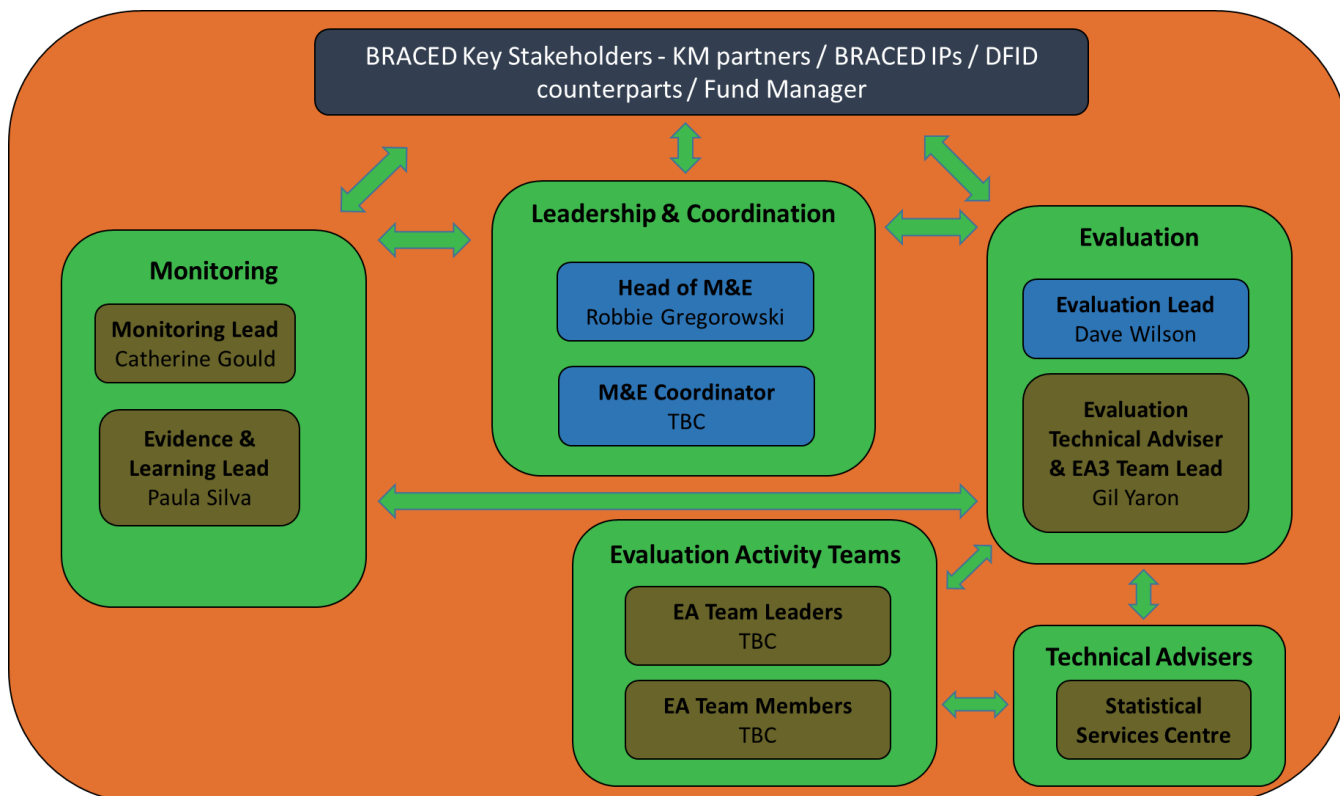
### 1.6.1. KM M&E Team Structure

The KM M&E Team is required to work iteratively and in a participatory way across a broad set of stakeholders – other KM partners, the set of BRACED IPs, various DFID counterparts, and the Fund Manager. To ensure these interactions are efficient and effective both internally within the team and externally with key stakeholders, Itad has defined a simple team management structure as well as a clear set of core roles and responsibilities.



### Core M&E Team Organogram

The diagram below illustrates the structure of the M&E Team. Itad staff members are located in the blue boxes and independent experts and organisations are identified in the brown boxes. The core of the M&E Team comprises of three sub-teams – Leadership and Coordination, Monitoring, and Evaluation. Although these are illustrated as separate units, the team members that make up the sub-team are expected to operate seamlessly both across the M&E Team and externally with BRACED key stakeholders. The arrows identify the key interactions.



#### 1.6.2. Core M&E Team Roles and Responsibilities

During the Inception Phase significant effort was made to develop and agree a clear set of roles and responsibilities across the M&E Team in order to provide clarity of task responsibility and encourage and empower individual team members within their roles. The key roles and responsibilities for each member of the three sub-teams that make up the core of M&E Team, as well as the Technical Advisers and Evaluation Activity Teams are set out in the table below.

Position	Core Roles & Responsibilities
<b>Leadership and Coordination</b>	
<b>Head of M&amp;E</b> <b>Robbie Gregorowski</b> <b>Itad</b>	<ul style="list-style-type: none"> <li>Overall strategic leadership and direction of BRACED KM M&amp;E including internal oversight of the Core M&amp;E Team as well as top-level representation of the Core M&amp;E Team with key BRACED stakeholders</li> <li>Ultimate responsibility for the quality, timely delivery of required M&amp;E products and deliverables as set out in the Implementation Plan and Evaluation Plan KM Evaluation Plan</li> <li>Provide internal quality assurance and final sign off on all products and deliverables across the KM M&amp;E Team</li> </ul>



	<ul style="list-style-type: none"> <li>• Provide technical advisory and thought-leadership in climate change resilience and adaptation M&amp;E to the Core M&amp;E Team as well as the wider set of BRACED stakeholders</li> <li>• Contribute to authoring of evaluation reports, academic articles, and evidence and learning synthesis products based on the evidence and new knowledge generated across KM-evaluation</li> </ul>
<b>M&amp;E Coordinator</b> <b>– Clare Shaw</b>	<ul style="list-style-type: none"> <li>• Primary contact on all contractual, management/work-planning and resourcing matters as set out in the Implementation Plan and Evaluation Plan KM Evaluation Plan</li> <li>• Day to day team management and coordination, including oversight of deployment of Technical Experts and Evaluation Activity Evaluation Teams</li> <li>• Monitoring and planning/coordinating the detailed implementation phase workplan to ensure timely delivery of milestones</li> <li>• Undertaking day to day contract and financial management tasks across the team and externally with ODI as the consortium lead, specifically with key ODI counterparts such as the BRACED KM Programme Manager</li> <li>• Coordinating and assisting in the delivery of events, workshops and meetings as the project demands</li> <li>• Identifying ‘critical pathways’ and constraints to successful delivering and putting in place solutions/strategies to resolve these</li> <li>• Undertaking desk-based data collection, data analysis, research tasks in support of the BRACED M&amp;E team</li> </ul>
<b>Monitoring</b>	
<b>Monitoring Lead</b> <b>Catherine Gould</b> <b>Independent</b> <b>Associate</b>	<ul style="list-style-type: none"> <li>• Leading BRACED monitoring and results reporting ‘operations’ by working in collaboration with the set of IPs and the FM including: <ul style="list-style-type: none"> <li>○ Leading M&amp;E team in regular BRACED KM Operations team meetings and follow up interactions</li> <li>○ Supporting KMEL and other key stakeholder M&amp;E training and capacity building</li> <li>○ Develop and present M&amp;E Guidance Notes inc. distribution &amp; checking translation</li> <li>○ Deliver 1-2-1 IP M&amp;E programmed support covering: <ul style="list-style-type: none"> <li>▪ Providing written feedback on IP milestone M&amp;E deliverables</li> <li>▪ Providing verbal feedback on IP milestone M&amp;E deliverables inc. coordination &amp; logistics</li> <li>▪ Collaborating on KM-led evaluation &amp; IP evidence and learning</li> <li>▪ Providing guidance &amp; QA on IP mid-term and final evaluations - internal 'SEQAS' function</li> </ul> </li> </ul> </li> </ul>
<b>Evidence and Learning Lead</b> <b>Paula Silva</b> <b>Independent</b> <b>Associate</b>	<ul style="list-style-type: none"> <li>• Leading the translation and synthesis of BRACED monitoring and results reporting into evidence and learning including: <ul style="list-style-type: none"> <li>○ Revising and enhancing the BRACED programme theory of change and logframe</li> <li>○ Developing a comprehensive BRACED project and programme M&amp;E system in partnership with the FM and IPs</li> <li>○ Providing prioritized high-level technical support &amp; QA to support &amp; advance IP M&amp;E</li> <li>○ Designing &amp; testing BRACED M&amp;E framework against logframe and ToC</li> <li>○ Synthesizing and interpreting data against key BRACED logframe indicators including KPIs 4, 1, 13 &amp; 15 in order to generate evidence and new knowledge</li> <li>○ Contributing evidence, new knowledge and learning to the BRACED KM Annual Evidence and Learning Report &amp; supporting KM inputs into the DFID BRACED Annual Review process</li> <li>○ Feeding into and support wider KM evidence and learning processes</li> </ul> </li> </ul>

<b>Evaluation</b>	
<b>Evaluation Lead</b> <b>Dave Wilson</b> <b>Itad</b>	<ul style="list-style-type: none"> <li>• Leading the planning and technical delivery of the Evaluation Plan</li> <li>• Leading the coordination and technical oversight of Evaluation Team Leaders and Evaluation Teams responsible for the delivery of each of the Evaluation Activity Areas</li> <li>• Engaging the set of BRACED key stakeholders in the planning and delivery of the Evaluation Plan</li> <li>• Undertaking a range of technical evaluation delivery roles as an Evaluation Team member on selected Evaluation Activities</li> <li>• Ensuring the seamless interaction across the Core M&amp;E Team in relation to the Evaluation Plan in particular between the Monitoring Unit and the Evaluation Unit</li> </ul>
<b>Evaluation Technical Adviser</b> <b>Gil Yaron</b> <b>Independent Associate</b>	<ul style="list-style-type: none"> <li>• Provide technical direction and strategic guidance to the Evaluation Lead and Head of M&amp;E across the Evaluation Plan as well as to key stakeholders, particularly wider KM, DFID and IPs</li> <li>• Provide internal technical advisory and quality assurance in terms of evaluation design across the set of Evaluation Activities that make up the Evaluation Plan at key stages: design, inception, data collection, and reporting.</li> <li>• Evaluation Activity 3 Team Lead on one or more Evaluation Activities, likely in relation to Evaluation Activity Area 3 – Project-level Results</li> <li>• Contribute to authoring of evaluation reports, academic articles, and evidence and learning synthesis products based on the evidence and new knowledge generated across KM-evaluation</li> </ul>
<b>Technical Advisers</b>	
<b>Technical advisers - Evaluation design and statistical advisory</b> <b>Statistical Services Centre</b> <b>Independent Organisation</b>	<ul style="list-style-type: none"> <li>• Provide ‘call down’ statistical advisory services covering: <ul style="list-style-type: none"> <li>○ Experimental and quasi-experimental evaluation design</li> <li>○ Statistical methods and data analysis/quality assurance</li> <li>○ Sampling strategies</li> <li>○ Household survey design</li> <li>○ Composite indicator frameworks</li> </ul> </li> <li>• Support Core Evaluation Team in the following areas: <ul style="list-style-type: none"> <li>○ Focussed support to Evaluation Activity 3 – Project-level results evaluation in terms of: <ul style="list-style-type: none"> <li>▪ Project evaluation design-phase – working with IPs and Core Evaluation Team quasi-experimental evaluation design, sample sizes, survey design etc.</li> <li>▪ Project evaluation surveying – advising on survey administration and quality assurance of data collection</li> <li>▪ Project evaluation reporting – joint production of project evaluation deliverables with particular focus on academic publications</li> </ul> </li> <li>○ Broad advisory support to Core Evaluation Team in terms of design of other Evaluation Activities set out in the Evaluation Plan e.g. Evaluation Activity 4 Adaptive Social Protection (ASP) programme – advising on the evaluability assessment of synthesis of WB-led impact evaluations of ASP</li> <li>○ Wider support to BRACED KM – including support to IPs under M&amp;E Component 2 – IP monitoring and results reporting</li> </ul> </li> <li>• Presentation and discussion of new knowledge and lessons in the context of measuring resilience by applying methodologically robust methodologies – quasi-experimental designs etc.</li> </ul>
<b>Climate change resilience measurement technical advisory</b>	<ul style="list-style-type: none"> <li>• Provide ‘call down’ climate change resilience measurement technical advisory services covering: <ul style="list-style-type: none"> <li>○ Composite indicator frameworks for measuring resilience in different contexts</li> </ul> </li> </ul>

<b>Pool of experts Independent Associates</b>	<ul style="list-style-type: none"> <li>○ Developing, further refining and reporting lessons learned in relation to International Climate Fund (ICF) Key Performance Indicator (KPI) frameworks for systematic climate change resilience programme results reporting</li> </ul>
<b>Evaluation Activity Teams</b>	
<b>Evaluation Activity Team Leaders Pool of experts Independent Associates</b>	<ul style="list-style-type: none"> <li>• Working in partnership with the Evaluation Unit, particularly the Evaluation Lead and the Evaluation Technical Adviser, responsible for: <ul style="list-style-type: none"> <li>○ Leading the design and delivery of each Evaluation Activity, ensuring the EA design is appropriate, robust and feasible</li> <li>○ Drafting the Detailed Evaluation Design as well as the key evaluation deliverables this defines</li> <li>○ Managing, leading and overseeing the wider Evaluation Activity Team members</li> <li>○ Providing technical advisory and thought-leadership in climate change resilience and adaptation evaluation methods relevant to the Evaluation Activity</li> <li>○ Working in partnership with the Core M&amp;E Team as well as the wider set of BRACED stakeholders to ensure that results generated through the Evaluation Activities are successfully translated into evidence and new knowledge in support of the wider BRACED KM</li> <li>○ Working with the Head of M&amp;E and Evaluation Lead to ensure for the quality, timely delivery of all Evaluation Activity deliverables</li> </ul> </li> </ul>
<b>Evaluation Activity Team Members Pool of experts Independent Associates</b>	<ul style="list-style-type: none"> <li>• Working under the direct guidance of the Evaluation Team Leader to contribute to the design and delivery of each Evaluation Activity</li> <li>• Provide Evaluation Activity-focussed expertise in evaluation data collection and data analysis methods</li> <li>• Provide Evaluation Activity-focussed expertise in aspects of climate change resilience and disaster risk management</li> <li>• Working in partnership with the Core M&amp;E Team as well as the wider set of BRACED stakeholders to ensure that results generated through the Evaluation Activities are successfully translated into evidence and new knowledge in support of the wider BRACED KM</li> </ul>

### 1.6.3. Evaluation Plan Delivery

This section elaborates specifically on the team structure and capacities engaged to deliver the Evaluation Plan. In response to DFID enquiry on the high level of technical evaluation capability and capacity required to deliver the Evaluation Plan, we have restructured the Evaluation Team. The aim is to ensure that the Evaluation Team have access to the specialist statistical, econometric, and climate resilience expertise ‘at their fingertips’ . Specifically we have:

- Engaged Gil Yaron as the Evaluation Technical Adviser, sitting alongside the KM M&E Lead.
- Added Dave Wilson, an Itad-staff member, as the Evaluation Lead.
- Agreed support to KM Evaluation from two organisations:
  - The Statistical Services Centre at the University of Reading; and,
  - The Centre for Development Impact - Itad’ s sister organisation.

It is not the intention that Itad or the wider KM will personally deliver each of the evaluation activities from within the KM Core Team. Rather we propose drawing on support from across a 3-tiered team structure as set out in the right hand side of the organogramme and composed of:

- **Evaluation team** – KM evaluation will be managed by a two-person core team composed of the Evaluation Lead (Dave Wilson) and the newly appointed Evaluation Technical Adviser (Gil Yaron). Their primary function will be to coordinate the high quality design and delivery of the package of evaluation activities that make up the Evaluation Plan. They will play a top-level interface role with DFID, KM, FM and BRACED IP counterparts to ensure the Evaluation Plan is designed and delivered to a high standard – generating robust evidence and knowledge which is internally coherent with and feeds into the wider KM implementation plan, as well as providing evaluative evidence and knowledge which meets wider stakeholders needs including that of DFID. The Core Evaluation Team’s role is expected to be particularly important and intense during the phase of Evaluation Plan approval and the subsequent detailed design of each Evaluation Activity early in Implementation. The Core Evaluation Team will be responsible for outlining the design of each evaluation, engaging the specific technical experts to support the detailed design and commissioning of each evaluation, and engaging and inducting the specific evaluation teams commissioned to deliver each evaluation activity, particularly the set of Evaluation Team Leaders – one for each of the five Evaluation Activities.
- **Technical Advisers** – Evaluating BRACED is a complex both technically (measuring resilience-strengthening results in the context of complex contexts and climate extremes) and logistically (working with and across 15 sets of projects each with their own consortia). Both the Evaluation Team and each of the teams delivering the five Evaluation Activities will require access to specialist expertise to help ensure the evaluations designed and commissioned are as methodologically robust as possible. We have assembled a small team of technical experts who can be engaged on a ‘call-down’ basis to provide specialist technical advice and quality assurance across the set of Evaluation Activities, as and when required. The technical experts are expected to provide niche expertise in:
  - Experimental and quasi-experimental evaluation design
  - Statistical methods and data analysis/quality assurance
  - Sampling strategies
  - Household survey design
  - Composite indicator frameworks

The core of the technical expertise is anticipated to come through the **Statistical Services Centre (SSC)** at the University of Reading (<http://www.reading.ac.uk/ssc/index.php>) with which Itad has a pre-existing Memorandum of Understanding. SSC have agreed to provide statistical support across KM evaluation, and in particular in support of Evaluation Activity 3 – Project-level results evaluation in terms of:

- Project evaluation design-phase – working with IPs and Core Evaluation Team quasi-experimental evaluation design, sample sizes, survey design etc.

- Project evaluation surveying – advising on survey administration and quality assurance of data collection
- Project evaluation reporting – joint production of project evaluation deliverables with particular focus on academic publications

In addition, the KM Evaluation Team will be able engage and draw on the expertise of Itad' s joint venture with the Institute for Development Studies (IDS) and the University of East Anglia (UEA) – the **Centre for Development Impact (CDI)** (<http://www.ids.ac.uk/cdi>). CDI contributes to learning and innovation in the field of impact evaluation, through the use of appropriate, mixed method, and robust evaluation designs. CDI' s current focus is:

- Exploring a wide range of evaluation designs and methods, including complexity theory, systems thinking and different approaches to causal inference, in order to understand what works, for whom, why, and in what context.
  - Designing appropriate methodologies for evaluating complex interventions in challenging contexts, such as: interventions in emergent, dynamic and uncertain situations (such as conflict), those that are multi-sector in nature (like nutrition or empowerment), and those not readily amenable to counterfactual construction (such as value chains).
  - Better understanding the realities of the evaluation process, such as when evaluations are conducted under severe resource (or other) constraints, the politics of evaluation, and the use of evidence.
- **Evaluation Activity teams** – The Evaluation Team will assemble dedicated Evaluation Activity Teams to deliver each of the five Evaluation Activities. Each Evaluation Team will led by an Evaluation Team Leader who will combine the required technical evaluation skills with the relevant climate resilience expertise. The Core Evaluation Team will draft the broad TORs for each Evaluation Activity which will include the Evaluation Team structure and expertise. Once a suitable Evaluation Team Leader has been engaged, he/she will work with the Core Evaluation Team to engage other team members and draft the detailed Evaluation Activity Design for DFID / SEQAS approval. It is anticipated that most Evaluation Team Leaders and the majority of their evaluation team members will be externally engaged either as independent experts or through specialist consultancy firms and academic organisations. If feasible and appropriate, it may be that members of the wider KM including the country-based Knowledge Manager Engagement Leaders (KMELs), Core Evaluation Team and pool of Technical Experts play a role on specific Evaluation Teams. A brief illustration of some of the KM expertise from across the set of KM partner that we have in mind to call upon to make up the Evaluation Teams is presented in the box below.

**Illustration of the KM expertise available to undertake Evaluation Team roles**

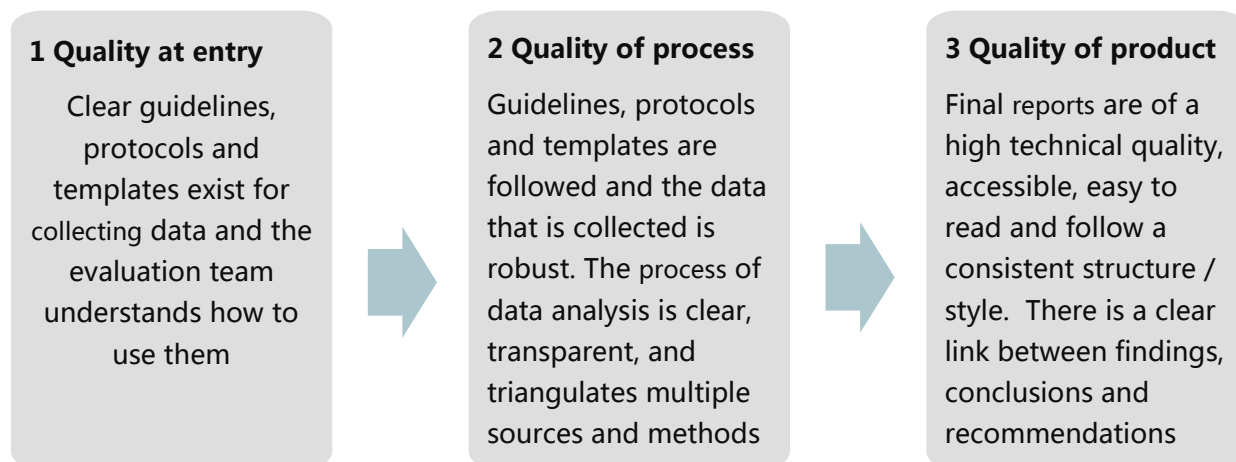
- Francesca Bastagli (ODI) to play a key role in both the track 1 and track 2
- Aditya Bahadur (ODI) to help with resilience conceptualisation and synthesis across three 'As' .
- Emily Wilkinson or Liz Carabine (ODI) to help with the framing of the support to CRS evaluation on natural resource governance interventions. Liz is a natural resource governance expert.
- Atiq Ahmed (ADPC), Maarten van Aalst (ODI) or Lindsey Jones (ODI) to help with the framing of support to the Plan Myanmar evaluation on climate information. Atiq in particular will be important as the KMEL for Plan Myanmar and an expert on climate services/use of climate risk information. ADPC has its own evaluation unit.
- Acclimatise – John Firth or Richenda Connell or Catherine Simonet (ODI) to help with framing support to the Farm Africa group on markets and local economic development.
- ENDA' s team on using climate information (e.g. Moussa Na Abou Mamouda, KMEL) or Lawrence Flint.
- Maggie Opondo is a world leading expert on gender and vulnerability, and Virginie Le Masson (ODI) can both support the evaluation area 2 on synthesising gender/resilience results across the portfolio.

## 1.7. Quality Assurance

The KM Evaluation Quality Assurance (QA) system includes the following elements:

- Internal QA: The Core Evaluation Team (Robbie Gregorowski and Gil Yaron) will be responsible for overall QA across the set of Evaluation Plan activities. They will do this by:
  - Selecting, appointing and briefing appropriate Evaluation Team Leaders and Evaluation Team Members for each Evaluation Activity;
  - Overseeing the production and then formally reviewing the evaluation designs and inception reports of each of the five Evaluation Activities; and,
  - Appraising the evaluation process and all outputs, ensuring a robust methodology is followed and high quality deliverables are produced for each of the five Evaluation Activities. As part of the internal QA process all primary deliverables will also be reviewed by a professional proof reader.
- External QA: Further discussion is required with DFID on the nature and requirements of external QA. We suggest that the Detailed Evaluation Designs, Inception Report, and Final Reports for each of the five Evaluation Activities are all subject to DFID and SEQAS review and sign-off. However we recognise that this has resource implications.

Our approach to the internal QA of each of the five Evaluation Activities is structured according to three stages: quality at entry, quality of process and quality at exit:



The Detailed Evaluation Designs for each of the Evaluation Activities will provide relevant QA details for each of the three stages according to the nature and requirements of each.

## 1.8. Ethical standards and transparency of information

It is important that across and throughout the Evaluation Plan we uphold ethical principles in how we collect and store data. In terms of data collection, a number of steps will be taken:

- First, we will work with all evaluation partners but particularly the IPs to ensure that informed consent of stakeholders will always be sought. Stakeholders will be informed of why we are collecting data and how we intend to use it, and will be offered the opportunity to withdraw from the process at any time.
- Second, all data will be collected under the guarantee of confidentiality. If it is decided that we want to attribute evidence to a particular stakeholders (IPs and/or direct BRACED beneficiaries), we will seek their consent first. Both of these considerations will be integrated into the data collection and data analysis protocols for each of the Evaluation Activities.

In terms of data storage, Itad has a data protection policy which includes a specific protocol for data handling and surveys and includes clauses on confidentiality and anonymity.

Throughout, we will adhere to DFID' s evaluation principles on ethics and transparency (as well as the other principles). In accordance with DFID' s evaluation policy:

- It is our responsibility to identify need for and seek the necessary ethics approval and identify possible ethical challenges the evaluation may raise and seek to address these issues. We will ensure we avoid harm to participants and that their participation will be free from external pressure. We will also assure confidentiality of information, privacy and anonymity of participants.
- In line with both the UK Government' s Freedom of Information Act and the International Aid Transparency Initiative, we will make available evaluation reports through DFID and other portals (if



acceptable to DFID). We will also make the underlying data sets available where appropriate allowing for legal obligations and the need to protect confidentiality.

#### Principles:

- Do no harm
- Equity
- Protect - informed consent all the way through

#### Purposes:

- Promote good practice
- Enhance status of evaluation
- Protect all parties
- Help build culture for quality evaluation

We need to confirm with DFID what the expectations are in terms of transparency. We are aware of DFID's Open and Enhanced Access Policy and the fact that the practical aspects of implementing this policy are nascent. DFID (R4D) has limited capacity and capability to host open data, however, it is adequate for hosting evaluation reports and similar documents. Given the range of data collection and data analysis methods envisaged under the Evaluation Plan it is anticipated that some of the data generated will be primarily quantitative in nature (e.g. data generated through Evaluation Activity 3 – BRACED project results which entail experimental or quasi-experimental designs). The KM Evaluation Team will need to work both with DFID and the relevant BRACED IPs to decide and agree on appropriate platforms to host this data. More broadly, the data generated across the other Evaluation Activities will tend to be qualitative in nature and therefore perhaps not suited to open data storage on 3rd party platforms.

It should be noted that 'open data' means access to registered users. Registration requires users to summarise what they want to use the data for, confirm they will adhere to ethical requirements (e.g. not try to identify or contact survey respondents, etc.) and to confirm they will not use for commercial purposes. Differential levels of access can be set for different data sets. Hence more restrictive access can be imposed where there may be ethical concerns – e.g. qualitative data.

Given all these factors, Itad commits to:

- Adhering to DFID's evaluation policy principles (including those on ethics and transparency);
- Submit the DFID-approved evaluation reports to R4D for hosting;
- Host the major reports on our website for the foreseeable future, and other portals as agreed with DFID; and,
- Within the lifespan of the Evaluation Plan, we will respond to reasonable and bona fide requests for access to data.

Principles of 'open data' access have implications for the way data is collected and managed (e.g. consent, ethics, etc). Itad is continually working on improving data collection and management processes to comply with ethical principles whilst ensuring transparency and availability of data.

## 1.9. Communications, Dissemination and Learning



Details on the written products that will be delivered by each Evaluation Activity are provided in the outlines of each Evaluation Activity in Chapter 2. The major reporting requirements for each Evaluation Activity are as follows:

- 1 Detailed Evaluation Design Report, Workplan and Budget
- 2 Evaluation Inception Report
- 3 Evaluation Report(s) plus supporting Annexes

Section 1.1.2 outlines how evaluative evidence generated under the KM Evaluation Plan will seamlessly feed into the wider KM evidence and learning landscape. The process for integrating KM Evaluation into the wider KM is further detailed in the BRACED KM Implementation Plan.

## 2. KM Evaluation – Outline of Activities

Through a process of discussion with DFID and WB ASP stakeholders we have developed detailed outlines of five Evaluation Activities that form the Evaluation Plan and respond to our overall evaluation design. We have endeavoured to accommodate the multiple demands for evaluative activities on BRACED from a range of different key stakeholder perspectives and to ‘shape’ them into a coherent and complementary Evaluation Plan. We have also endeavoured to outline each Evaluation Activity in sufficient detail to meet the often divergent needs of different audiences – KM partners, DFID BRACED team, DFID Evaluation Advisers, and the SEQAS review. To reiterate, it is anticipated that each Evaluation Activity undergo separate detailed evaluation design processes which will be commissioned and overseen by the Core Evaluation Team according to the headline workplan set out in Section 1.10. These will provide the granular detail that is beyond the scope of this Evaluation Plan by developing:

- Evaluation matrices with detailed sub-EQs building on the headline EQs;
- For our Realist Evaluation design, an articulation of the theories to be explored in terms of more explicit and detailed CMO configurations, project theories, as well as a more explicit and focussed narrative on how each are situated or ‘nested’ within the BRACED draft programme ToC (CToC);
- For the Evaluation Activities that we propose adhere particularly closely to the Realist Evaluation design (Evaluation Activities 1 and 2), the Core Evaluation Team together with the respective Evaluation Activity Team Leaders will develop clear and robust evaluation protocol and templates which respond to established Realist Evaluation process good practice as developed by leading proponents such as Ray Pawson<sup>8</sup> and as outlined by initiatives such as the Rameses Projects, particularly Rameses II<sup>9</sup>
- Specific data collection and data analysis tools and methods, including topic guides for interviews, templates for data collection, and fully developed survey questionnaires;
- For the Evaluation Activity 3, the detailed designs will include detailed sampling strategies including sample sizes as well as fully developed beneficiary / household questionnaires; and,
- Detailed workplans and budgets with individual Evaluation Team roles, responsibilities and inputs as well as the specific timing of activities and deliverables.

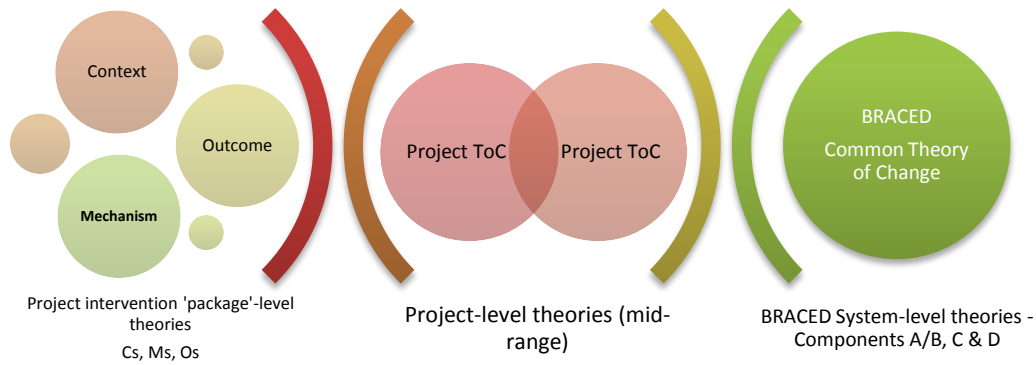
### 2.1. Locating the KM Evaluation on the BRACED Theory of Change

As introduced in Section 1.4.1, the figure below illustrates conceptually how intervention-level CMOs, project theories and the BRACED CToC relate to each other, framing the theories at different levels of change.

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<sup>8</sup> [http://www.rimes.it/pdf/Pawson\\_Realistsynthesis\\_chp4.pdf](http://www.rimes.it/pdf/Pawson_Realistsynthesis_chp4.pdf)

<sup>9</sup> [http://www.ramesesproject.org/index.php?pr=Home\\_Page](http://www.ramesesproject.org/index.php?pr=Home_Page)

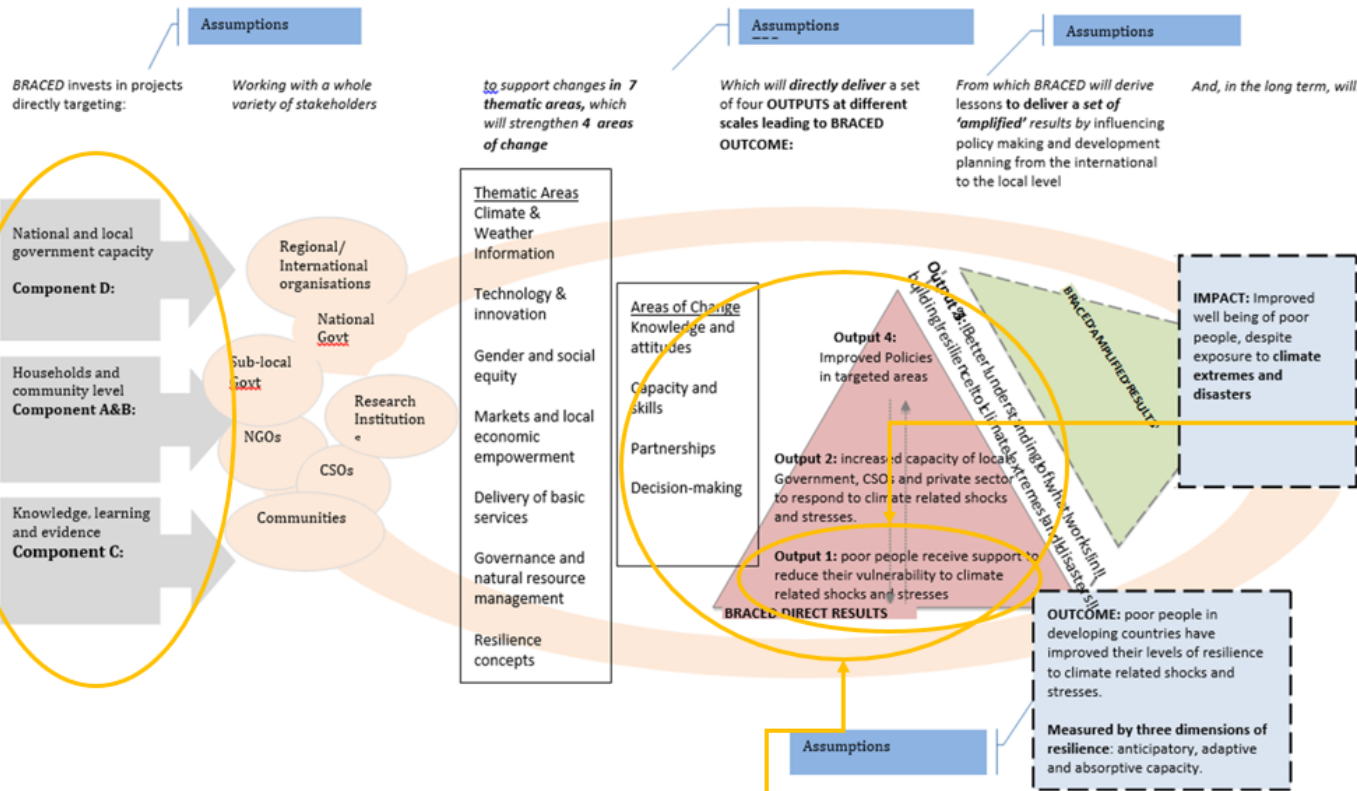


The BRACED CToC (draft BRACED programme ToC) provides a consistent and relatively robust overarching framework to situate and frame BRACED interventions, projects and the programme as a whole, as well as the key evaluation questions (excluding the ASP EQs) that relate to each Evaluation Activity. This provides us with the conceptual framework for the Realist Evaluation design, encapsulating and illustrating the principle elements. As previously explained, the BRACED programme ToC is in the process of review and revision to improve its clarity around a shared vision of programme purpose. That the Realist Evaluation design is flexible and iterative is fortunate as will allow for a clearer illustration of how each of the Evaluation Activities ‘maps’ to the BRACED CToC in due course, as well as a more detailed elaboration of which change pathways / results chains each of the key evaluation questions is targeted to test and explore. For the purpose of the Evaluation Plan, outlined below is a simple illustration of how the three main Evaluation Activities map to the ToC.

**EA1 - Evaluating the BRACED Programme Theory of Change**

- What evidence is there that the BRACED programme, operationalised through a components A-D, has delivered resilience strengthening results at the national level?
- Which components have delivered results, and is there evidence at the country-level that BRACED as a programme is 'greater than the sum of its parts'?

**Figure 1: BRACED Theory of Change**



**EA3 - BRACED Project-level Results**

- To what extent has beneficiary resilience increased?
- Which interventions worked or failed to work, for whom and why?

- EA2 - Evaluating the set of BRACED Resilience Strengthening Interventions**
- Across the BRACED project portfolio, how and why have different 'packages' of interventions strengthened resilience in particular contexts?
  - What can be learned from across the BRACED portfolio about future resilience strengthening programming?

## 2.2. KM Evaluation Questions

A key activity in the inception phase was the definition of the key evaluation questions across the Evaluation Plan. This was completed in discussion with the DFID BRACED counterparts, particularly the DFID BRACED Evaluation Advisers. The main aim of this was to align the evaluation questions (EQs) more clearly with the purpose of the KM evaluation: ‘To help determine what works to build resilience to climate extremes’. The requirement is to provide robust evidence of ‘what works, where, and why?’ And to ensure that across the Evaluation Plan the EQs taken together as a set will answer the two underlying objectives:

- Do BRACED interventions work, and to what extent? This focuses primarily on robust causal inference.
- How, where, when and why do BRACED interventions work, and what can be learned / how can good practice be replicated? This focuses primarily on explanation.

The table below outlines the key EQs under each Evaluation Activity. How the EQs for each Evaluation Activity link to the Realist Evaluation design through programme theories is set out in the following chapters. We envisage that the specific sets of sub-evaluation questions will be defined in the Detailed Evaluation Design phase for each Evaluation Activity.

Evaluation Activity	Key Evaluation Questions
<b>Evaluation Activity 1 - Evaluating the BRACED Programme Theory of Change</b>	<ul style="list-style-type: none"> <li>• What evidence is there that the BRACED programme, operationalised through a components A-D, has delivered resilience strengthening results at the national/system-level?</li> <li>• Which components have delivered results, and is there evidence of ‘synergies’ between the components that means that BRACED as a programme is ‘greater than the sum of its parts’ ?</li> </ul>
<b>Evaluation Activity 2 - Evaluating the set of BRACED Resilience Strengthening Interventions</b>	<ul style="list-style-type: none"> <li>• Across the BRACED project portfolio, how and why have different ‘packages’ of interventions strengthened resilience in particular contexts?</li> <li>• What can be learned from across the BRACED portfolio about future resilience strengthening programming?</li> </ul>
<b>Evaluation Activity 3 - BRACED Project-level Results:</b> <ul style="list-style-type: none"> <li>• Catholic Relief Services – Mali and Niger</li> <li>• Farm Africa – Ethiopia</li> <li>• Plan International – Myanmar</li> </ul>	<p>The same key questions across all three project evaluations:</p> <ul style="list-style-type: none"> <li>• To what extent has beneficiary resilience increased?</li> <li>• Which interventions worked or failed to work, for whom and why?</li> </ul>
<b>Evaluation Activity 4 - World Bank Adaptive Social Protection Programme Evaluation</b>	<ul style="list-style-type: none"> <li>• Track 1 - What evidence can be generated and what lessons can be learned from a synthesis of ASP impact evaluations about adaptive social protection for strengthening resilience to climate extremes and disasters?</li> <li>• Track 2:</li> </ul>

	<ul style="list-style-type: none"><li>○ To what extent is ASP contributing to the effectiveness and capacity of national SP systems?</li><li>○ Based on evidence from the ASP, what are the critical factors that either enable or constrain the capacity of a country' s system to design and implement adaptive social protection policy and programming?</li></ul>
<b>Evaluation Activity 5 - Flexible KM Evaluation Resource</b>	<ul style="list-style-type: none"><li>• TBC</li></ul>

## 2.3. Realist Evaluation Design and the Evaluation Activities

The table below presents an overview of the five Evaluation Activities within the overall Realist Evaluation design.

Evaluation Activity	Realist Evaluation focus
<b>Evaluation Activity 1 - Evaluating the BRACED Programme Theory of Change</b>	<ul style="list-style-type: none"> <li>Focus on the BRACED programme' s contribution to a country system conceptualised through sets of project theories linked to BRACED 'component' / programme theories and nested within overall BRACED CToC</li> </ul>
<b>Evaluation Activity 2 - Evaluating the set of BRACED Resilience Strengthening Interventions</b>	<ul style="list-style-type: none"> <li>Focus on synthesis of BRACED project intervention packages CMO configurations through data generated from two sources:               <ul style="list-style-type: none"> <li>Project mid-term and final evaluations</li> <li>Project routine results reporting</li> </ul> </li> </ul>
<b>Evaluation Activity 3 - BRACED Project-level Results:</b> <ul style="list-style-type: none"> <li>Catholic Relief Services – Mali and Niger</li> <li>Farm Africa – Ethiopia</li> <li>Plan International – Myanmar</li> </ul>	<ul style="list-style-type: none"> <li>Qualitative testing of assumptions and determinants of progress along impact pathways from Outputs to Outcomes within the ToC (context and mechanism).</li> <li>Extent of measured change in outcome</li> </ul>
<b>Evaluation Activity 4 - World Bank Adaptive Social Protection Programme Evaluation</b>	<ul style="list-style-type: none"> <li>Not directly applicable</li> </ul>
<b>Evaluation Activity 5 - Flexible KM Evaluation Resource</b>	<ul style="list-style-type: none"> <li>TBC</li> </ul>

## 2.4. Overall challenges and limitations

Limitations to evidence and learning about how best practice can be replicated particularly in terms of transferability - The essence of BRACED is that all programme components, but particularly explicitly the 15 projects, are working towards the same outcome and impact – improving the resilience to climate related shocks and stresses of poor people in developing countries. The Realist Evaluation design suggests that the different projects as well as the various programme components are all working towards this same outcome but through a very broad range of different CMO configurations. The evaluation design provides us with a unifying framework within which to assess BRACED results which are delivered in very different contexts. This supports robust results assessment but does not mean that results delivered and evidence generated through one CMO configuration can be generalised – transferred to another context, scale or setting. It is important to recognise this from outset in terms of the limits to lesson learning under KM evaluation.

### 3. Evaluation Activity 1 - Evaluating the BRACED Programme Theory of Change

#### 3.1. Evaluation Activity Summary

Evaluation title	Evaluating the BRACED Programme Theory of Change
Focus of evaluation	Focus on the effectiveness of the BRACED programme as a whole through two or three country studies where all of the components that make up BRACED are being implemented – A plus C and D
Data sources	All available primary & secondary from BRACED projects plus component D suppliers in two or three sample countries; Primary data generated by KM-led country studies
Key evaluation questions	Two-key questions <ul style="list-style-type: none"> <li>• What evidence is there that the BRACED programme, operationalised through a components A-D, has delivered resilience strengthening results at the national/system-level?</li> <li>• Which components have delivered results, and is there evidence of ‘synergies’ between the components that means that BRACED as a programme is ‘greater than the sum of its parts’ ?</li> </ul>
Main analytical methods	Contribution analysis in two or three country studies, based on sets of project theories linked to BRACED ‘component’ / programme theories and nested within overall BRACED CToC
Primary output	Two or three country studies produced at the end of Year 3
Primary and secondary audiences	<ul style="list-style-type: none"> <li>• Primary audience – DFID as well as other Development Partners interested in investing in resilience at national / system-level, particularly with relevance to informing the DFID business cases for future resilience strengthening programmes.</li> <li>• Secondary audience groups are the global agencies and decision makers such as the GCF and GEF that inform global decisions about \$ billions of investments in climate change programmes</li> </ul>
Budget allocation	£250,000

#### 3.2. Background to BRACED Component A-D

‘We have less evidence on what types of policy work well at building resilience across communities within a country. There are strong positive externalities associated with the knowledge of what works well and less well in economy-wide resilience building.’ (BRACED KM ToR, para. 31, p. 11)

The BRACED KM ToR go on to explain:

‘To deliver these outcomes BRACED has four Components:

- **Component A:** Grants to consortia, alliances or partnerships of NGOs, local government, private sector and research organisations to scale up actions on the ground to build the resilience of people to cope with climate extremes in the Sahel.



- **Component B:** Grants to consortia, alliances or partnerships of NGOs, local government, private sector and research organisations to scale up actions on the ground to build the resilience of people to cope with climate extremes in DFID focal countries at risk of climate extremes.
- **Component C:** Support to build and share evidence on adaptation and DRR and identifying what policy and institutional changes are needed to build the resilience of people in developing countries to climate extremes.
- **Component D:** Support to build the capability and capacity of developing countries and regional organisations to prepare and plan for the expected increases in the frequency and severity of climate extremes.

Together these four components will directly benefit people at risk from climate extremes, and provide evidence on the importance of, and how to, integrate climate change, disaster risk reduction and development programmes. One of the challenges to BRACED is to avoid “just” funding good adaptation projects that build resilience to climate extremes without considering long term sustainability, and policy and institutional change. There are likely to be limits to the extent to which poor communities can develop resilience on their own. Economic diversification may entail better links to markets or seeking jobs elsewhere for parts of the year. Other forms of local support from outside the community may also help break or reduce the efficacy of mechanisms by which communities are indirectly adversely affected by weather and climatic shocks. Most successful interventions for resilience have therefore also aimed to influence policy and help reform local to national governance systems. BRACED will therefore also support a broader set of interventions that improve policies and promote empowerment and accountability. (BRACED KM ToRs, paras. 41-44, p. 13-14)

The essence of the design of Evaluation Activity 1 is to test the extent to which the components that make up the BRACED programme have been successful in meeting the ambition outlined above in terms of delivering results not just to directly to people at risk from climate extremes but also in terms of informing broader policy and institutional change at the national / system-level.

### 3.3. Any key issues requiring further clarification and agreement

The following key issues require further clarification and agreement before the Detailed Design Phase:

- Component D has not yet been commissioned by DFID and hence implementation is not envisaged to commence until late 2015 at the earliest. Further details and timetable from DFID on the location and nature of Component D which has not yet been commissioned – which countries, with which partners delivering, and with what level of resource? It is anticipated that Component D will be focussed in Component A Sahel countries but until Component D is commissioned is will not be possible to define the purposive sample for the two or three countries that will make up the country studies.
- Further discussion with DFID on the BRACED Programme ToC is required in order to elaborate on the key anticipated change pathways linking BRACED components A to D (what might be termed ‘component’ theories), as well as the critical assumptions supporting these change pathways in complex national systems. This should include an explanation of the key synergies linking component A (projects on the ground to build the resilience of people to cope with climate extremes

in the Sahel) with Component D (Support to build the capability and capacity of developing countries and regional organisations to prepare and plan for the expected increases in the frequency and severity of climate extremes) as well as the links with component C (the role the KM plays in generating and sharing evidence and new knowledge on resilience strengthening best practice to inform policy and programming).

- It is important also to have a discussion with DFID in terms of agreement on a realistic timetable for maturation of effect at the national system level. In particular, we would like to discuss if it is reasonable to expect evidence of system-level change from delivery from Component D within what will be approximately two years, under phase 1 of BRACED?
- Finally, it is important to recognise that, to an extent, the KM will be evaluating its own role and performance in delivering Component C under this Evaluation Activity 1. As part of our function, the KM is setting up an M&E framework to report results against the programme logframe. This includes reporting rigorously and transparently against Output 3 – Understanding what works in resilience building – which is the output the KM is primarily responsible for delivering. We are designing an M&E system which is reflective, representative of change, and learning-orientated; even when the learning is generated through failure. However our relative lack of independence in assessing the relative contribution of Component C to wider results delivered at the national/system level may be interpreted as a conflict of interest (CoI). We will work with DFID to define how we best mitigate this potential CoI. The CoI could potentially be largely mitigated through a combination of two factors:
  - Engaging an Evaluation Team including an Evaluation Team Leader who are independent of the KM and its partners; and,
  - Ensuring that the focus of the country studies relates primarily to understanding the CMO configurations/project theories in a particular country context rather than assessing questions of BRACED programme organisational structure, niche and effectiveness which are better suited to a DFID-commissioned independent external evaluation of the programme as a whole.

Given this combination of factors, the detailed design of Evaluation Activity 1 is not deemed a top priority and, assuming DFID agreement, is anticipated to be placed on hold until late 2015.

### 3.4. Evaluation objectives and overall design

As explained above, the objective of Evaluation Activity 1 is to assess whether BRACED components taken together have delivered resilience strengthening results as a coherent whole. And then to understand if these synergies provide a template for future resilience programming which supports not just to directly to people at risk from climate extremes but also in terms of informing broader policy and institutional change at the national / system-level. The purpose of the country studies is to provide a deep dive into BRACED changes within a country context. The country study design will enable us to gather our own primary data on the wider aspects of the BRACED CToc in that country (BRACED change pathways as well as establishing and testing critical enabling and constraining factors in the wider external environment or context). Our own primary data will be supplemented by secondary data generated by the BRACED project

IPs operating in that country as well as by wider secondary data sources that relate to the policy and programming context and environment in that country.

The link to our overall Realist Evaluation design comes through elaborating sets of project theories linked to BRACED 'component' / programme theories which are nested within overall BRACED CToC. During the Detailed Evaluation Design the Evaluation Team will need to bring together key stakeholders from the relevant project IPs, the component D supplier, the KM and DFID in order to develop a consistent and shared understanding of how the project to programme theories are conceptualised in order to bring about the anticipated change. This country-specific BRACED ToC will form the basis of the change pathways the Evaluation team will explore and assess. We will assemble and analyse the evidence to support these project to programme theories using a Contribution Analysis-based method. It is anticipated that each of the two or three countries will have theories which are similar enough to allow for them all to be situated within the BRACED CToC, supporting a degree of lesson learning about what works, where and why in particular contexts.

### 3.5. Selection of the country cases

The resource allocation should allow for two or perhaps three relatively in-depth country studies. BRACED is working in the following Sahel countries – Burkina Faso, Chad, Mali, Mauritania, Niger, Senegal, and Sudan. We will therefore need to make our selection based on a purposive sample based on the following approach. According to Yin, multiple cases in a design such as the one we are using are selected according to replication logic not a sampling logic. Cases are not meant to be representative or add up numerically to support a finding (the example Yin gives is that cases are not respondents to a survey). Cases are chosen as if they were a series of experiments. Some cases might be chosen because although they present differences in some contextual features, they are expected to show similar results to each other (literal replication). Other cases are chosen because they are expected to show contrasting patterns of results, for predictable reasons (theoretical replication). We propose to follow the replication logic as this is consistent with our overall realist evaluation design as it allows us to investigate our programme theories in diverse contexts.

The project and programme theories outlined above when further elaborated will predict certain outcomes if certain contextual conditions are present. As we already know that contexts will exert a strong influence on outcomes, we would expect a wide range of findings to emerge from the cases: some will confirm the theories, others will generate new ones. For BRACED, the range of country contexts is diverse, as has already been mentioned. The conditions for resilience strengthening at the system-level vary enormously, from conditions that could be considered relatively favourable, to typical conditions that offer mixed situations, through to very challenging conditions. However, we do not yet know what conditions do support improved resilience strengthening policy and programming, and fully expect counter-intuitive findings to emerge from the evaluation. Assuming that our country selection will be purposive by applying the criteria that all the key components of BRACED need to operational, one option to guide our selection

if three countries are selected would be to group the countries into three broad case types: i) favourable, ii) typical, and, iii) challenging – with one country selected for each:<sup>10</sup>

- ‘Favourable’ cases offer, on first viewing, the most favourable conditions, for example, a high degree of stability, ordered and established institutional practices, and some climate change adaptation / disaster risk reduction resourcing at the national level, and political buy-in to the need for enhanced resilience strengthening policy and programming. Senegal probably falls into this category.
- ‘Typical’ cases are where the contextual conditions are mixed but could offer some degree of political stability and established institutions to support resilience strengthening. Burkina Faso, Niger and Sudan may fall into this category.
- ‘Challenging’ cases are where the contextual conditions could, according to pre-conceived assumptions, create difficulties for supporting resilience strengthening at the national/system level, such as volatile political environments, authoritarian governments and weakly established institutional practices. Mali and Chad may fall into this category.

Guided by this selection and in consultation with the key stakeholders listed above, the Evaluation Team will arrive at the two or three country study selection.

### 3.6. Implementation process

We will use Contribution Analysis as an organising framework to support country study data collection and data analysis. Contribution Analysis (CA) seeks to address the attribution and causality questions systematically and rigorously by exploring the contribution a programme is making to observed results, in order to infer a plausible and evidence-based causal link.

We will adapt the CA approach to understand the contribution the BRACED programme is making to the wider resilience strengthening system in a country. We particularly would like to look for other influencing factors, and unanticipated results, both positive and negative. We will use the CA process to look at the influence (both enabling and constraining) of external factors and to develop alternative explanations for outcomes to assess and contextualise the potential contribution of the BRACED programme components.<sup>11</sup> There is a well-defined process to follow in a CA approach, which the 2008 ILAC Brief lays out in detail; we show our adapted version in the box below:

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<sup>10</sup> These categories are only intended to be loose markers to aid our selection. They are intended precisely to challenge assumptions of what are favourable conditions for resilience strengthening policy and programming.

<sup>11</sup> “Contribution analysis: An approach to exploring cause and effect”, John Mayne, ILAC Brief 16 May 2008 Accessed 21.07.14, from [http://www.cgiar-ilac.org/files/ILAC\\_Brief16\\_Contribution\\_Analysis\\_0.pdf](http://www.cgiar-ilac.org/files/ILAC_Brief16_Contribution_Analysis_0.pdf)

**Summary of steps in Evaluation Activity 1 – BRACED Country Study Contribution Analysis**

Step 1: Set out the outcomes that have been evidenced

Step 2: Using the assessment against the EQs, identify the areas of the BRACED CToC to which the outcomes relate (project and component/programme theories)

Step 3: Collate the relevant evidence on that aspect of the CToC and related programme theories

Step 4: Assemble and assess the BRACED programme' s country contribution story, and the alternative explanations

Step 5: Seek out additional evidence

Step 6: Revise and strengthen the contribution story, document the alternative explanations, enabling/constraining factors and validate the BRACED programme' s contribution.

Adapted from Mayne, 2008

Primary and secondary data collection methods and tools will be elaborated in more detail through the Detailed Evaluation Design phase, following clarification of the key issues outlined above. But as an overview, we intend to use the following tools and methods consistently across each country study:

- Key informant interviews with a range of informants: BRACED beneficiaries and project teams; Component D suppliers and Component D beneficiaries, wider organisational leaders and key informants, both directly involved in BRACED programme delivery and those key informants who are position on the 'outside looking in' at BRACED in a particular country context;
- Adapted Delphi panels with key individuals in the BRACED countries (6-8 key experts in their field per country - The principle of the Delphi approach is that stakeholders are consulted as experts in their field. We will use an adapted version of the Delphi panel technique to answer questions about the whole system of resilience strengthening, the role of the BRACED programme theories and potential outcomes. The Delphi tool would be used to answer the how and why/why not questions. We would also ask the selected key experts to reflect on topics such as power and politics, and predict likely outcomes for BRACED-type programme interventions to which we could return in subsequent evaluation stages. We will use the Delphi tool to first contextualise the PTs within the country and government setting, and subsequently to generate explanations for emerging outcomes. The Evaluation Team is unlikely to have the specialist knowledge of the local system, and so the Delphi tool will provide an important grounding to help the evaluation team' s interpretations of the country case data. A Delphi panel is anonymous, panellists do not meet in person and outputs are combined, so sensitive topics can potentially be broached. The Delphi method would be most useful for combining the views of individuals at different levels in a country system or hierarchy who would not normally meet in person. It is also useful for consulting senior-level staff who are very experienced with the workings of their organisations and are willing to speak frankly. We would look for panellists to give us comparative perspectives from different levels within

the national system, for example, mid-level civil servants, heads of department, senior-level civil servants and policy advisors.

- Focus Group discussions – we will use focus groups to understand the relative contribution of project theories to higher order programme theories. Due to their public nature, focus group discussions work best with participants who have experiences in common and where the topics can be general enough for public discussion. These might be individuals who work on or have been beneficiaries of the same BRACED project, have recently been at the same event, or it could be individuals who have similar positions within government.
- Workshops and interviews with the BRACED implementing teams across Component A project, wider members of the Component C KM responsible for synthesising and disseminating new knowledge, or Component D suppliers.
- Reviews of documentary evidence both from within the BRACED programme and more broadly from across the national resilience strengthening evidence, policy and programming domains. E.g policy committee meeting minutes and performance frameworks.
- Adapting Web 2.0 technology in terms of social media tools and platforms in terms of monitoring increasing media coverage of climate change adaptation and resilience strengthening news stories which may be attributable to the BRACED programme.

## 4. Evaluation Activity 2 - Evaluating the set of BRACED Resilience Strengthening Interventions

### 4.1. Evaluation Activity Summary

Evaluation title	Evaluation Activity 2 - Evaluating the set of BRACED Resilience Strengthening Interventions
Focus of evaluation	Focus on qualitative and explanatory synthesis of the set of project intervention 'packages' in order to draw lessons on what works and why in particular contexts.
Data sources	All primary and secondary data available from BRACED project IPs particularly from two consistent data sources: <ul style="list-style-type: none"> <li>• Project routine results reporting in line with KM-developed M&amp;E framework</li> <li>• Consistent set of project Mid-term Review and Final Evaluations</li> </ul>
Key evaluation questions	Two key evaluation questions: <ul style="list-style-type: none"> <li>• Across the BRACED project portfolio, how and why have different 'packages' of interventions strengthened resilience in particular contexts?</li> <li>• What can be learned from across the BRACED portfolio about future resilience strengthening programming?</li> </ul>
Main analytical methods	KM evaluation team synthesis potentially applying meta-ethnography as the synthesis method
Primary output	2-stage Macro-Evaluation and Synthesis Report: <ul style="list-style-type: none"> <li>• Interim Synthesis Report – following analysis and delivery of set of 15 Project Mid-term Review reports</li> <li>• Final Macro-Evaluation and Synthesis Report – following delivery and analysis of set of 15 Final Evaluation Reports</li> </ul>
Primary and secondary audiences	Primary audience
Budget allocation	£300,000

### 4.2. Background to BRACED resilience strengthening interventions

As already discussed, the set of 15 BRACED projects focus on delivering various 'packages' of interventions in order to directly support vulnerable people on the ground to build the resilience to cope with climate extremes. In line with our Realist Evaluation Design, these 'packages' of interventions consist of very different CMO configurations, unified through a common project and programme outcome – poor people in developing countries with improved resilience to climate related shocks and stresses. Whilst Evaluation Activity 3 will work with a sample of three projects to apply experimental evaluation designs to quantify the extent to which projects have delivered results, Evaluation Activity 2 will focus on process, through qualitative and explanatory synthesis in order to bring together evidence from across the set of projects in order to draw overall conclusions and lessons in answer to the BRACED KM' s second objective:



- How, where, when and why do BRACED interventions work, and what can be learned / how can good practice be replicated?

We will do this by bringing together four key elements of the BRACED programme:

- BRACED project intervention package CMO configurations as outlined in each project' s theory of change, which are in-turn aligned to the draft BRACED programme logframe and ToC;
- BRACED project results reporting as defined by the KM-led programme and project M&E framework:
  - Project routine results reporting in line with KM-developed M&E framework;
  - Consistent set of project Mid-term Review and Final Evaluations;
- KM Evaluation Team-led synthesis method;
- KM Learning Approach – in particular the seven resilience Learning Themes operationalised through the Thematic Communities of Practice as introduced in Section 1.2.2.

### 4.3. Any key issues requiring further clarification and agreement

The major area that requires final clarification and agreement between DFID and the KM related to clearly defining the purpose and scope of the project mid-term and final evaluations which need to be aligned with the objective of Evaluation Activity 2 in terms of defining a common set of EQs for each project to systematically address through their mid-term and final evaluations. As part of the wider KM-developed BRACED project and programme M&E framework, the KM M&E team is presently developing an additional M&E Guidance Note to provide project IPs with the detail they require in terms of planning and commissioning their evaluations.

In summary, the KM is suggesting that the project evaluations should be IP-led and focussed as follows:

- **Mid-term evaluations** – to be focused on answering EQs around course-correction derived from learning about initial intervention package implementation. Key EQs will be:
  - What has your project learned about delivering your package of interventions?
  - What unanticipated, positive or negative, enablers or constraints have you encountered?
  - What have you had to change or adapt in terms of your intervention package design and why?
- **Final-evaluations** – to be focussed on answering EQs around documenting results in terms what has worked (and not worked) and why? Key EQs will be:
  - What results have your packages of interventions delivered?
  - What have you learned about what works in particular contexts and why?
  - Based on your new knowledge and understanding, what revisions have you made to your project-level ToC particularly in terms of specific intervention CMO configurations?



## 4.4. Evaluation objectives

In essence, Evaluation Activity 2 will be process-orientated and explanatory in nature in order to complement the more experimental evaluation design under Evaluation Activity 3. As illustrated by the outline mid-term and final EQs outlined above, the focus of the overall Evaluation Activity will be specific and granular in terms of the project intervention CMO configurations. These are generally clearly outlined to a good level of detail in the set of project ToCs. The ultimate objective of the Evaluation Activity 2 is to support both project and wider KM learning through a process of synthesis, which will systematically synthesise across projects and draw out generalizable lessons at three levels: intervention theories, project theories and ultimately back to the over-arching BRACED CToC.

## 4.5. Synthesis method

This section again draws on Itad' s experience in the design of the DFID BCURE Evaluation and the synthesis method developed for that evaluation.

The synthesis task needs to be done in a systematic way, framed by the mid and final evaluation EQs and the intervention, project and programme theories, and with a clear method that considers the relevance and quality of the evidence for the explanations we are seeking.

There are a range of approaches to evaluation synthesis.<sup>12</sup> Although our over-arching evaluation design is grounded in a realist approach we do not propose to do a pure realist synthesis. Instead, we draw upon three of the theoretical foundations and key principles that distinguish a realist synthesis approach:

- The search for and appraisal of evidence is purposive and theoretically driven: our ten programme theories and over-arching CToC are central to interrogating the evidence.
- Multiple types of information and evidence can be included: we will draw from multiple sources within the modules, for example, coded interview data, documentary data and analysed reports.
- The findings from the synthesis focus on explanations: these help the reader to understand why (or not) the interventions work and in what ways.<sup>13</sup>

Within this broad framework of a realist synthesis we propose to use meta-ethnography<sup>14</sup> as our method for synthesising evidence from across the projects. Meta-ethnographic synthesis aims to generate a “whole” (result) that is greater than the sum of its parts (the individual data sources).<sup>15</sup> Meta-

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<sup>12</sup> Barnett-Page & Thomas (2009). Methods for the synthesis of qualitative research: a critical review. *BMC Medical Research Methodology* 9:59.

<sup>13</sup> Rycroft-Malone et al. (2012) Realist synthesis: illustrating the method for implementation research. *Implementation Science*, 7:33

<sup>14</sup> Despite its name, meta-ethnography is used across the social sciences; it was developed in the field of educational research.

<sup>15</sup> Noblit GW, Hare RD (1988) *Meta-Ethnography: Synthesizing Qualitative Studies*. London: Sage ; Noblit and Hare cite Strike and Posner's (1983) definition of synthesis as an activity in which separate parts are brought together to form a

ethnography is about interpreting the evidence to reveal similarities and discrepancies among the accounts of the phenomenon under study.<sup>16</sup>

Meta-ethnography employs three rounds of synthesis:

- First, the **translation** of concepts from individual studies into one another, to yield over-arching concepts. This step focuses on reciprocation between the evidence sources.
- Second, a **refutational synthesis**, which involves exploring and explaining differences and contradictions between individual sources.
- Thirdly, a **lines-of-argument (LOA) synthesis**, which is interpretive.<sup>17</sup> It is essentially about inference: what can we say of the whole based on selective studies of the parts?

Under Evaluation Activity 2 we propose to conduct two-rounds of meta-ethnography synthesis. We expect this to generate a relatively robust accumulation of evidence around a core set of lessons about what works, where, how, why and for whom. The intention is that these lessons can be relatively seamlessly fed into the wider KM lesson learning landscape and infrastructure through the seven learning themes and CoPs introduced earlier and elaborated in more detail in the KM Implementation Plan.

A simple outline of how we will implement the synthesis method is described in the next section.

## 4.6. Implementation process

We envisage two rounds of synthesis and reporting in line with the project mid-term and final evaluations outlined above. Data collection based on project routine results reporting is based on an annual cycle according to the BRACED KM M&E framework but synthesis of the data generated through this process would be brought into line with the two evaluation rounds.

The specific protocol for implementing the synthesis method will be elaborated at the Detailed Evaluation Design phase once project M&E plans (which include project ToCs, routine results reporting templates, and mid and final evaluation plans) have been signed off by the KM in line with KM M&E Guidance.

We envisage that each round of synthesis will follow a 4-stage process:

- **Step 1: Identifying the data sources to be included:** We have identified the two key sources of data that the synthesis will draw on. The synthesis approach relies on having a consistent and robust data management across the whole programme. The KM Evaluation Team have taken steps to put this in place through the M&E Guidance which provides the set of IPs with a consistent framework for project-level results reporting through a small number of tailored tools / methods that together comprise a project and programme-level M&E system (See KM M&E Guidance for notes on each of the following – Methodology for reporting against ICF KPI 4, Guidance Note on baselines, Guidance Note on Areas

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'whole'. [Strike K and Posner G (1983) Types of synthesis and their criteria. In Knowledge Structure and Use. Edited by Ward S and Reed L. Philadelphia: Temple University Press]

<sup>16</sup> Barnett-Page & Thomas (2009) (Op. Cit).

<sup>17</sup> Noblit & Hare (1988).

of Change process indicators, Guidance Note on 3As outcome indicators, and Guidance Note on Evaluative Monitoring of the external environment). In addition and related specifically to the other data source – the project evaluations – the KM M&E Team is in the process of developing a Mid-Term and Final Evaluation Guidance Note to share with the set of 15 project IPs.

- **Step 2: Selecting data for extraction from within sources for relevance and quality:** Under the second step, a further selection of data is made. Following our overall realist design, data to be extracted will be prioritised according to their relevance to the intervention and project theories and their quality. Specific protocol for assessing data relevance and quality will be developed during the Detailed Evaluation Design Phase. The relevance of data relates to the insight that data extracts can provide to addressing the mid-term and final EQs as well as more broadly the insights which support intervention and project-level CMO configurations. Assessing the quality of extracts is more interpretative. Quality of routine results reporting as well as each project' s overall M&E plan has already been assessed and will continue to be periodically assessed through the KM' s Annual M&E reporting process.
- **Step 3: Synthesis using meta-ethnography method:** We will then proceed to synthesize the data using our proposed meta-ethnography method. This is done using the three rounds outlined above.
- **Step 4: Drawing conclusions and establishing lessons:** The purpose of the synthesis is to generate robust answers to Evaluation Activity 4 objective in terms of generating conclusions and lessons from across the set of 15 projects in terms of: how, where, when and why do BRACED interventions work, and what can be learned / how can good practice be replicated? Therefore our conclusions and lessons will cover:
  - Assessments of the BRACED packages of interventions in terms of outcomes, contribution and causal explanations for these;
  - Verifying/not verifying the CMO configurations that deliver the intervention results including reporting the causal explanations in particular contexts as well as identifying any CMOs that have emerged through project learning;
  - Where evidence is weak or inconclusive, identify interesting possibilities for future testing through new evaluations, programming or wider KM research; and,
  - Defining a set of practical (and potentially generalizable) lessons on designing, financing, implementing BRACED / wider resilience strengthening interventions.

It is anticipated that the synthesis process will be largely desk-based but that some triangulation of the data generated through the evaluations and routine results reporting will be required. This could be conducted through a combination of a small number of project visits as well remote discussions through Skype. Whilst the KM Evaluation Team will 'hand-over' the conclusions and lessons generated through the synthesis process to the wider KM to communicate and disseminate, the KM Evaluation Team will also look for occasional opportunities to further discuss the evidence and new knowledge generated by engaging sets of IPs (perhaps according to resilience learning theme similarities) as wider KM events to which IPs are invited.

## 5. Evaluation Activity 3 - BRACED Project-level Results

### 5.1. Summary of BRACED Project-level Results – Overall approach and design

#### 5.1.1. Rationale for and summary of main quantitative evaluation designs

All BRACED projects seek to increase the resilience of people vulnerable to climate extremes. This outcome is reported on for the International Climate Fund (ICF) key performance indicator four (KPI4) and is typically captured by a number of variables relating to types of capital and ability of people to use these in the face of climate extremes. Project evaluation plans have focussed on measuring how this outcome indicator changes for project beneficiaries but it is important to recognise that there are other drivers of change for this outcome in project intervention areas. Government, private sector, development partner and CSO activities that have nothing to do with BRACED can all lead to changes in this outcome. This makes it difficult to attribute quantitative changes in the resilience outcome to a particular BRACED project. Comparing baseline and end of project data does not solve the problem as the observed change is due to project and external effects. What is missing is a counterfactual – the resilience indicator for project beneficiaries in the absence of the project.

Review of project M&E plans by the newly appointed KM Evaluation Technical Advisor confirmed feedback from DFID Evaluation Advisors that attribution was not adequately addressed in existing plans. We have therefore proposed changes to the design of implementing partner (IP) M&E to strengthen attribution by adding experimental or quasi-experimental components to their designs. These components of the evaluation aim to generate a counterfactual.

Options for doing this include<sup>18</sup>:

#### Experimental

- (randomized control trials = RCTs)

#### Quasi-experimental

- Propensity score matching
- Regression discontinuity

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<sup>18</sup> For a non-technical overview see -

[http://www.3ieimpact.org/media/filer\\_public/2012/05/14/mgaardreexperimentalquasiexperimentaldesignsjan2010.pdf](http://www.3ieimpact.org/media/filer_public/2012/05/14/mgaardreexperimentalquasiexperimentaldesignsjan2010.pdf)

For a more technical discussion see the World Bank Handbook on Impact Evaluation –

<https://openknowledge.worldbank.org/bitstream/handle/10986/2693/520990PUB0EPI1101Official0Use0Only1.pdf?sequence=1>

- Regressions (including instrumental variables)

We are at a very early stage of engagement with implementing partners on experimental or quasi-experimental design options and for this reason are not going to go into detail on particular options. However, important points to note at the outset are:

- The practical reality of implementation will determine design options - IPs have been negotiating and scheduling project activities with local partners and stakeholders over the past year and, at this point, there are significant practical constraints in changing project implementation plans. Nonetheless, all IPs plan to phase their implementation over time and this creates a “pipeline” of people waiting for the project to arrive in their area. These “late intervention” groups are potential control groups.
- Implementing partners do not want control groups outside projects – there are ethical concerns in having communities who never benefit from project interventions and also practical constraints as IPs have already negotiated where they will be working with government and/or local stakeholders. This rules out a simple quasi-experimental difference-in-difference (D-D) design comparing treatment (project) and external control groups.
- The short-listed projects we are working with (discussed further below) have designed their implementation around villages or communities within larger districts (townships, communes or woredas). Villages or communities provide suitable units for randomisation as part of an RCT. A simple D-D design could be used within such a cluster RCT.
- The potential for quasi-experimental designs such as propensity score matching or those using instrumental variables to produce effective counterfactuals depends on having good data on variables that explain why individuals join the treatment group. We can expect IPs to collect data on familiar variables such as location, age, education and assets but capturing factors such as individual dynamism or risk aversion within survey data is much more difficult. We have to consider whether it is realistic for IPs to collect the necessary data.
- Regression discontinuity designs (RDD) require clear criteria for allocation to the treatment group e.g. income for eligibility for social protection. RDD then makes it possible to compare outcomes for those marginally below and above the eligibility cut-off point. In contrast, the packages of interventions offered to strengthen resilience to climate extremes are unlikely to have such clear eligibility criteria.
- Finally, attribution of a quantitative outcome measure is just one component of the project evaluation. IP M&E plans must explain how and why their intervention works and for whom. All of the projects we consider in this section have developed detailed theories of change (ToCs) and their M&E plans must provide a mix of qualitative and quantitative methods to interrogate these ToCs. The realist evaluation design for the programme requires this evidence. Consequently, the existing overall IP M&E design has been retained and this section of the report focusses on changes proposed to strengthen attribution of the quantitative outcome measure together with a summary of the existing plans.

In the week prior to this report we have engaged with the project teams to make the case for strengthening attribution. In doing this we have proposed three areas of support:

1. Technical support on statistics (drawing on the Statistical Services Centre at Reading University) and econometric analysis
2. Contributing to the cost of additional survey work required to attribute the project outcome
3. Working with the project team to produce knowledge products from the evaluation (such as a paper for publication)

We have had agreement in principle from two of the IPs subject to agreement from local partners. The following sub-sections outline the proposed approach but this will evolve in discussion with IPs and their local partners.

#### 5.1.2. Process for project selection

Following a meeting with DFID BRACED counterparts in April 2015 the KM Evaluation Team agreed it would conduct a review and screening of Component A and B projects to ascertain which would be most suitable for inclusion as partners in Evaluation Activity 3 based on the DFID and KM aspiration to deliver a set of project evaluations with experimental or quasi-experimental designs.

The KM Evaluation Team decided that the criteria for assessing project suitability should start with the robustness of their proposed M&E plan methodology. The second step was to assess whether such evaluations could add interesting findings to the body of knowledge on resilience and the third step, whether or not they were willing to work in partnership with the KM to maximize robustness/new knowledge contribution to KM evaluation.

The methodology we employed for narrowing down the selection was to discount all the projects as follows:

- Any projects that received a red/bronze in the initial assessment and significant concerns were raised on their original methods.
- Any projects that have not considered a quantitative component to their evaluations in any form.
- Any projects that have chosen to invest less than £100,000 in evaluation work on the basis that our KM investment would not be enough to elevate the work to a suitable level.
- Any projects that do not have any form of baseline information or do not plan to collect baseline information that could support quantitative/quasi-experimental evaluations

For the remaining projects, we conducted more thorough desk reviews based on a template assessing a number of dimensions. Based on these reviews, we shortlisted 5 projects that meet the basic criteria that they are methodologically strong enough to support project-KM Evaluation Team joint working on experimental or quasi-experimental designs.

The shortlisted projects for KM evaluation partnering are:

- CA Burkina
- CA Ethiopia (potential to work across both CA projects)
- CRS Mali & Niger
- Plan Myanmar
- Farm Africa Ethiopia

The projects reviewed but not recommended for KM evaluation partnering are:

- AFL Sahel
- WHH Burkina

Of the five shortlisted projects, the KM Evaluation Team suggested to DFID that we approach the following projects to work in partnership with the KM:

- **CRS Mali & Niger**
- **Farm Africa Ethiopia**
- **Plan Myanmar**

## 5.2. Catholic Relief Services – Mali and Niger

### 5.2.1. Evaluation Activity Summary

Evaluation title	Scaling-Up Resilience to Climate Extremes for over 1.5 Million People in the Niger River Basin of Niger, Burkina Faso, and Mali
Focus of evaluation	Identifying and understanding the project contribution to strengthening resilience to climate extremes for target populations
Data sources	<ul style="list-style-type: none"> <li>• A longitudinal beneficiary (household) panel survey</li> <li>• Proposed household survey (supporting an experimental or quasi-experimental design)</li> <li>• Key informant interviews</li> <li>• Focus groups and group interviews</li> </ul>
Key evaluation questions	To what extent has beneficiary resilience increased? Which interventions worked or failed to work, for whom and why?
Main analytical methods	Regression analysis (quantifying beneficiary outcome) Qualitative assessment (evaluation questions on context and mechanism)
Primary output	Reports, presentations, academic paper
Primary and secondary audiences	DFID Governments/Development partners interested in resilience programming

### 5.2.2. Brief Evaluation Context

A project theory of change (ToC) has been developed based on:

- Review of the literature, engagement with stakeholders and a CRS conceptual framework based on access to six types of capital;
- PDG-phase participatory assessments and design validation workshops with key stakeholders including community members in 53 villages of 9 communes in the proposed intervention areas.

This ToC argues that the project will reduce risks from droughts and floods and increase resilience to climate extremes for 1.5m people in 30 Communes if: 1. evidence-based, scalable technical solutions are disseminated and adopted equitably and at scale; 2. national and commune government structures, their resources, and stakeholder networks provide an enabling policy environment; and 3. learning and evidence-based decision-making is institutionalised;

The ToC is translated into five Outputs as shown in the Figure below.

1. Vulnerable men and women strengthen livelihoods and prevent malnutrition
2. Agro-pastoralist communities manage assets to adapt to a changing climate
3. Commune and village structures institutionalise disaster risk reduction
4. Vulnerable women increase participation in decision making and assume role as change agents
5. Stakeholders cultivate learning and practice evidence-based decision making



Current insecurity in Mali makes it particularly difficult to plan detailed household survey work. For this reason the proposed experimental or quasi-experimental design component (discussed below) would only apply to the intervention in Niger.

In Niger, existing implementation plans call for the intervention in 6 Communes in year 1 and a further 6 Communes in year 2. The intervention itself will be expanded to include additional components in year 2 i.e. the treatment will not necessarily be directly comparable between Communes. In addition, there are socio-economic and agro-ecological differences between Communes.

In any Commune, certain elements of the intervention will occur at Commune level (e.g. establishing a Commune level early warning group) and hence all villages in the Commune will potentially benefit.

### 5.2.3. Quantifying the difference that the project makes to the project outcome

In Niger, there are many contextual differences between areas and numerous other interventions and external factors that may affect progress towards the outcome in each area. Hence in order to attribute outcome level change to the project, we need to compare progress for individuals taking part in the project with similar individuals in Communes that have not (yet) benefited.

Following discussion with the IP there is an interest in trying to find a way of doing this within the constraints of implementation arrangements that have already been agreed with local partners.

We have discussed the following elements of a cluster randomised control trial (RCT) or a quasi-experimental design for doing this:

#### Option 1

1. Identify the minimum number of individuals and villages needed for a late intervention control. This is the minimum sample size required to identify statistically significant changes in the variables that will make up ICF KPI4. The KM working with the Statistical Services Centre, University of Reading will help with this.
2. Project partners identify early and late intervention pairs of villages within each Commune scheduled to start implementing in year 1. The project starts working with early intervention communities in the first half of year 1 but will only start working with late intervention communities in year 3. In order to attribute change to the project, early and late intervention areas need to be distinct. "Leakage" from early to late intervention communities will lead to an underestimate of project outcome change. In practice, as the intervention in one community may affect a neighbouring community, pairs of communities should be geographically separate. Some commune-level interventions will occur i.e. small grants and early warning groups although the bulk of the intervention is at the village level. Comparison of individuals in early and late intervention villages will therefore underestimate the project contribution to outcomes to the extent that late intervention villages have already benefited from Commune-level interventions.
3. Discussions with the CRS team confirm that it is realistic to look for statistically significant changes in measures of resilience in the two years between early and late intervention (mid year 1 Vs mid year 3).
4. From each pair of villages, the KM team will randomly assign which is an early and which is a late intervention community. If it is not possible to randomly assign which villages are early and which are late (if implementation agreements have already been signed) it would be still be possible to

compare individuals from early and late intervention villages but there is a considerable risk that the two types of village are systematically different (e.g. the better organised villages or politically more powerful go first). This will make it much more difficult to say how much difference the project itself has made to observed differences in outcome, although we can try and control for differences between villages using econometric techniques.

5. Household surveys will be undertaken at the baseline in year 1 and in early or mid-year 3. A longer gap will provide more time for the project to demonstrate improved outcomes but the practical needs of the IPs will be the most important consideration.
6. If resources permit, a follow-up survey after year 3 (e.g. year 4) should also be undertaken to measure outcome changes over a longer period (although it will not be possible to compare this to outcomes for those who have not benefited from the project).

We have considered and rejected the option of quasi-experimental design with control groups outside of the project. The main reason for this is the ethical concern of having control groups that will not benefit from the project.

## Option 2

Instead of comparing early and late intervention villages within a specific Commune, it would be possible to compare early intervention villages in Commune A with late intervention villages in Commune B. This would require delaying implementation in one or two Communes until year 3.

This is a more problematic design in some ways:

- It is more difficult to get matching pairs of villages across separate Communes; and
- Delaying implementation to year 3 in a whole Commune may not be possible;

However, it would have the advantage that late intervention Communes would not implement any project activities until year 3.

In practice, as it is unlikely that we could randomly assign matched paired villages in option 2 to early or late intervention, we would need to consider a quasi-experimental design with differences between individuals in different Communes controlled by econometric techniques such as Propensity Score Matching (PSM). Being able to effectively control for these differences depends on being able to access consistent data to proxy the differences. While the household survey will collect data on socio-economic variables such as education and asset ownership, it is much more difficult to generate variables that capture cultural or complex institutional differences. Our discussion with the IP indicates that CRS has used PSM in Niger before with limited success and there would be some resistance to using this approach again.

### 5.2.4. Testing the project theory of change (ToC)

The IP links each Output area to the ToC by setting out causal chains for each Output and the assumptions linking Outputs to the project Outcome.

For each Output, the IP identifies key issues for M&E to focus on based on:

- Who changes?

- What changes?
- How it changes?
- Why?
- Assumptions required

These could be re-phrased as detailed evaluation questions (although they currently are not set out in this way). This would facilitate comparison with the evaluation questions set by other projects. Indeed, the KM will produce a short sub-set of common evaluation questions across all the projects.

The quantitative and qualitative methods proposed to address the key M&E issues include:

A longitudinal beneficiary (household) panel survey – the principal source of data for ICF KPI4. Our assessment is that the PI will find it very difficult to limit the drop-out rate to their target of 20% for a panel drawn from agro-pastoralist communities without payment. If the effective drop-out rate is much higher (as our experience suggests it will be if relying on occasional, short duration researcher visits to communities) it would be better to rely on rounds of a household survey (with the experimental or quasi-experimental design) for ICF KPI4 and longitudinal evidence from qualitative methods.

Key informant interviews – stated in the project M&E document as being “with project staff on the appropriateness of project design elements, best practices, and lessons learned” . Given the ToC focus on institutional change, interviews with those running local institutions will also be required.

Focus groups and group interviews - with project participants to gather their views on project success, activities, and impact of the program.

#### 5.2.5. [Headline phasing and Year 1 activity breakdown](#)

This is the subject of on-going discussion with the IP. Activities are expected to include:

- Statistical and technical advice on experimental or quasi-experimental design;
- Statistical and technical advice on sampling;
- Guidance/good practice examples on use of qualitative methods in theory-based evaluation

## 5.3. Farm Africa – Ethiopia

### 5.3.1. Evaluation Activity Summary

Evaluation title	Stimulation of market based mechanisms to build the resilience of 339,140 climate vulnerable people in Ethiopia
Focus of evaluation	Identifying and understanding the project contribution to strengthening resilience to climate extremes for target populations and institutions
Data sources	<ul style="list-style-type: none"> <li>• NDVI rangeland monitoring</li> <li>• Full sample HH Survey</li> <li>• Small Sample Panel Survey</li> <li>• Analysis of mobile banking &amp; mobile information survey (if available)</li> <li>• Focus Group Discussions</li> <li>• Self-Assessment scorecards for institutions and organisations</li> </ul>
Key evaluation questions	To what extent has beneficiary resilience increased? Which interventions worked or failed to work, for whom and why?
Main analytical methods	Regression analysis (quantifying beneficiary outcome) Qualitative assessment (evaluation questions on context and mechanism)
Primary output	Reports, presentations, academic paper
Primary and secondary audiences	DFID Governments/Development partners interested in resilience programming

### 5.3.2. Brief evaluation context

Drawing on Farm Africa's work in Ethiopia and specific consultations, the project has developed theories of change for three groups of beneficiaries:

- Rural households living in areas where pastoral and agro-pastoral livelihoods are dominant
- Rural households living in areas where agricultural livelihoods are dominant
- Rural-urban migrants, who have left pastoral livelihoods and are living in small towns in pastoral regions

These are used to set out different pathways to increased resilience (and components of an ICF KPI4 measure) for these groups.

The overall project ToC differs conceptually from the projects above in making institutional strengthening at a national and regional level a separate outcome. The two project outcomes are therefore: improved household resilience; and improved institutions for climate smart investments. These are supported by four outputs (in summary): citizen access to financial services; rural citizen improved natural resource base and better access to information; environmentally sustainable economic opportunities for urban and peri-urban beneficiaries; and Partnerships and evidence to improve public & private investments to the national climate and green growth strategy (CRGE).

In terms of evaluation design we need to note that a number of interventions (e.g. access to credit and economic opportunities) will be offered across communities with the expectation that certain individuals

take these up (self-selection). There are reasons to expect beneficiaries to differ from those who do not take up these opportunities (potentially, for example, related to existing livelihoods and income but also attitude towards risk and personal dynamism). This has an implication for the evaluation design.

Secondly, it is not possible to evaluate the effect of strengthening institutions at a national and a regional level by looking at changes in specific local communities. There may be some changes to household outcomes but most of the effect will be reflected in changes to policy and practice and spread over a much wider area.

### 5.3.3. Quantifying the difference that the project makes to the project household resilience outcome

Following discussion with the project team, the IP confirms they are interested in adding an experimental or quasi-experimental component to their evaluation.

Our suggestion is to create temporary control groups by phasing the project intervention in certain areas. It will be possible to compare early (first half of year 1) and late (second half of year 3) intervention groups. Self-selection of beneficiaries can be accounted for by random sampling in target communities at the start of the intervention (before it is taken up) and subsequently identifying beneficiaries from the survey that have self-selected (say after 6 months). This will allow beneficiaries in early intervention groups to be compared retrospectively with beneficiaries in late intervention groups. It will, however, require additional work to do this (tracing original survey participants) and may compress the time available to observe changes in the KPI4 outcome. It would take the following form:

Start of year 1	Baseline household survey in early intervention kebeles Baseline household survey in late intervention kebeles
N months later (N=6?)	Identification of beneficiaries in early intervention kebeles & tagging of initial survey responses
Month 4, year 3	Baseline household survey in late intervention kebeles End-of project household survey in early intervention kebeles
N months later (N=6?)	Identification of beneficiaries in late intervention kebeles & tagging of initial survey responses

Further discussion is needed on whether similar but non-neighbouring early and late intervention kebeles (villages) are drawn from the same project woreda (district) or whether there should be early and late intervention woredas. As well as practical constraints, this will depend on whether institutional strengthening and private sector investments affect the whole woreda. The following is written to illustrate early and late kebeles within a given woreda.

1. Identify the minimum number of individuals and kebeles needed for a late intervention control. This is the minimum sample size required to identify statistically significant changes in the variables that will make up ICF KPI4. We also have to allow for "losing" some beneficiaries when subsequently attempting to trace them and link with baseline survey records. The KM working with the Statistical Services Centre, University of Reading can help with this (or LTS could use their University of Edinburgh-based statistical advisor).

2. Project partners identify early and late intervention pairs of kebeles within each woreda scheduled to start implementing in year 1. The project starts working with early intervention communities in the first half of year 1 but will only start working with late intervention communities in year 3. In order to attribute change to the project, early and late intervention areas need to be distinct. "Leakage" from early to late intervention communities will lead to an underestimate of project outcome change. In practice, as the intervention in one community may affect a neighbouring community, pairs of communities should be geographically separate.
3. Discussions with the Farm Africa team confirm that it is realistic to look for statistically significant changes in measures of resilience in the two years between early and late intervention (mid year 1 Vs mid year 3).
4. From each pair of kebeles, the KM team would randomly assign which is an early and which is a late intervention community. If it is not possible to randomly assign which kebeles are early and which are late (if implementation agreements have already been signed) it would be still be possible to compare individuals from early and late intervention kebeles but there is a considerable risk that the two types of kebele are systematically different (e.g. the better organised kebeles or politically more powerful go first). This will make it much more difficult to say how much difference the project itself has made to observed differences in outcome, although we can try and control for differences between kebeles using econometric techniques.
5. Household surveys will be undertaken at the baseline in year 1 and in early or mid-year 3 with follow-up beneficiary identification as discussed above. A longer gap will provide more time for the project to demonstrate improved outcomes but the practical needs of the IPs will be the most important consideration.
6. If resources permit, a follow-up survey after year 3 (e.g. year 4) should also be undertaken to measure outcome changes over a longer period.

#### 5.3.4. Identifying the difference that the project makes to the project institutional strengthening outcome

The project team propose measuring changes in a "climate smart scorecard for all targeted institutions and organisations. This draws on evaluation tools already in use in Ethiopia. However, it is important to recognise that this project is a very small player in the national and regional CRGE institutional landscape. Given the much larger programmes in this space it is not reasonable to attribute change in this scorecard to the project. Our recommendation is to instead rely on qualitative assessment and contribution analysis by skilled and experienced professionals to test this element of the theory of change.

#### 5.3.5. Testing the project theory of change (ToC)

The IP ToC Figure enumerates a large number of assumptions that are subsequently discussed. These are a valuable source of evaluation questions but currently these are not reflected in the "provisional evaluation questions". As the provisional questions are developed we hope they will be.

A set of provisional formative evaluation questions have been presented as follows:

- How relevant are the project objectives for the target groups; how relevant the activities and outputs with the outcomes and impact & how appropriate the scale of intervention?

- Which beneficiaries are adopting which activities and why? What are the barriers to adoption? How does this differ by gender and location?
- What is the quality of implementation? What opportunities are there to share lessons learned and deliver improvements across regions, in terms of delivery approach, timeliness and costs per input/output?
- What evidence suggests the project will be able to achieve outcomes?
- How many beneficiaries are being reached (disaggregated by gender)?
- What changes can be observed related to the project activities?
- What are the unexpected consequences from project activities?
- What results are being achieved in each output? Is there evidence to support the assumptions in the theory of change?
- To what extent does the evidence suggest that the results achieved are likely to be sustained or replicated by others?
- What adjustments can be made to the delivery approach for the second year of the project?

The set of provision summative evaluation questions is as follows. As noted above, these could be strengthened by clearer reference to the carefully constructed ToC.

- How relevant are the project objectives for the target groups; how relevant the activities and outputs with the outcomes and impact & how appropriate the scale of intervention?
- Have project outcomes been achieved and can changes in outcome level indicators be attributed to the project?
  - Improvements in people' s resilience (KPI 4)
  - Improvements in the institutional environment support climate smart investment (PDO indicator 1)
  - Individuals reached by the project (Outcome Indicator 3)
- Have project impacts been achieved and to what extent can progress against impact indicators be attributed to the project?
- How do quantified benefits accruing to beneficiaries compare with implementation costs?
- How do project impacts differ across beneficiary groups (disaggregated by gender)?
- What changes have occurred in the policy and institutional environment, and to what extent can these be attributed to the project?
- To what extent does the evidence suggest that the results achieved are likely to be sustained or replicated by others?
- What are the lessons learned from this project to inform future resilience programming?

The quantitative and qualitative methods proposed to address the key M&E issues include:

- NDVI rangeland monitoring - uses a new method developed by LTSI to monitor rangeland condition in the 3 Ethiopian project areas by use of satellite data in order to show the effect of improved management methods.
- Full sample HH Survey – this is a key source of evidence for ICF KPI4. Extension of the original plan is proposed to allow for an experimental or quasi-experimental component.
- Small Sample Panel Survey – currently proposed that one village in each of the sites will be used to triangulate findings from the rest of the population and to help identify the type of households which become beneficiaries in that population. If there is identification and tracking of beneficiaries in the larger household survey this may not be required.
- Analysis of mobile banking & mobile information survey (if available)
- Focus Group Discussions – Some of these FGDs will be conducted using the Qualitative Impact Protocol (QUIP) developed by the University of Bath.
- Self-Assessment scorecards -Climate Smart Investment Capacity Assessment and small enterprise health assessment will be requested from targeted organisations and institutions. These are potentially useful but care will be needed to ensure questions are understood in the same way by different respondents.

#### 5.3.6. Headline phasing and Year 1 activity breakdown

This is the subject of on-going discussion with the IP. Activities are expected to include:

- Statistical and technical advice on experimental or quasi-experimental design;
- Statistical and technical advice on sampling;
- Guidance/good practice examples on use of qualitative methods in theory-based evaluation



## 5.4. Plan International – Myanmar

### 5.4.1. Evaluation Activity Summary

Evaluation title	Building the resilience of 356,074 people across Burma to climate extremes: saving lives, protecting livelihoods, improving institutional coordination, and influencing national policy
Focus of evaluation	Identifying and understanding the project contribution to strengthening resilience to climate extremes for target populations
Data sources	<ul style="list-style-type: none"> <li>• A literature review/desk</li> <li>• A Community and Township level survey</li> <li>• Household survey</li> <li>• School Survey</li> <li>• Key Informant Interviews</li> <li>• Focus Group Discussions</li> <li>• Community level case studies</li> <li>• BBC Media Action Climate Asia survey</li> </ul>
Key evaluation questions	To what extent has beneficiary resilience increased? Which interventions worked or failed to work, for whom and why?
Main analytical methods	Regression analysis (quantifying beneficiary outcome) Qualitative assessment (evaluation questions on context and mechanism)
Primary output	Reports, presentations, academic paper
Primary and secondary audiences	DFID Governments/Development partners interested in resilience programming

### 5.4.2. Brief evaluation context

The project ToC clearly illustrates the pathways that are expected to lead from short-term changes to the improved resilience outcome. Five major activity themes are mapped onto the ToC but as some activities are restricted to certain project partners, the logframe considers three common outputs (in summary: community member capacity; institutional strengthening; and evidence for policy).

This is a complex project with three implementing partners, each using a particular combination of interventions within the activity themes but a shared resilience outcome (in part captured by ICF KPI4). From an evaluation design perspective we can think of this intervention or treatment as having three arms (one for each project partner).

The ICF KPI 1 requires allocation of beneficiaries into targeted “high intensity” and “medium intensity” categories. While this categorisation must be used for reporting purposes, it is probably not sufficiently detailed to use for the evaluation design, as this also needs to take account of critical climatic and geographic differences across the project. These are shown in the Table below (extracted from the Project M&E plan Annex 1).

**Table 5: Population of Targeted Township and communities**

State	Climatic Zone	Township	Rural/Urban	Est. population of township	# of targeted communities per township	# of targeted beneficiaries per township
Ayerwaddy	Coastal	Laputa	Rural	325,747	11	9,597
Rakhine	Coastal	Kyaukphyu	Rural	153,454	30	29,435
	Coastal	Taungup	Rural	142,605	40	62,829
Kayin	Coastal	Hpa An	Rural	365,000	20	12,199
Mandalay	Central Dry	Meiktila	Rural	200,000	30	16,374
Shan	Hilly	Kengtung	Rural	247,963	17	8,751
Mon	Coastal	Mawlamyine	Urban	267,834	5	26,229
Yangon	Coastal	Dagon Seikan	Urban + Rural	115,104	5	16,441
<b>Total</b>				<b>1,817,707</b>	<b>158</b>	<b>181,855</b>

There are important practical constraints to consider. In Myanmar, INGOs have to obtain specific pre-approval from the government to implement particular projects/interventions. The townships in the Table above and specified villages have already identified for interventions and the partners have already received approval from the regional/local government authorities. Consequently, the number of intervention communities and their locations must be regarded as fixed for the evaluation.

Based on discussions with the Plan Myanmar project and M&E team the following approach has been agreed in principle but is subject to discussion and approval by the project partners management team on 20 May.

#### 5.4.3. Quantifying the difference that each treatment arm makes to the project outcome

There are many contextual differences between areas and numerous other interventions and external factors that may affect progress towards the outcome in each area. Hence in order to attribute outcome level change to the project, we need to compare progress for communities in each treatment arm with similar communities that have not (yet) benefited. That is to say for each project partner (treatment arm) we will need to ensure we are comparing like with like: coastal/rural communities with coastal/rural and hilly with hilly.

The project M&E document has already identified a household survey with control groups and/or a phased implementation to quantify changes at the outcome level (Annex 1 p42). However, the project team explicitly recognise that the design will need to be developed with the KM team.

We have discussed and agreed in principle the following elements of a cluster randomised control trial (RCT) for doing this:

- Each project partner identifies early and late intervention pairs of communities in comparable but separate areas. The project starts working with early intervention communities in the first half of year 1 but will only start working with late intervention communities in year 3. In order to attribute change to the project, early and late intervention areas need to be distinct. "Leakage" from early to late intervention communities will lead to an underestimate of project outcome change. In practice, as the intervention in one community may affect a neighbouring community, pairs of communities should be geographically separate. As there is only one Hilly Township, early and late

intervention communities will have to come from the same Township. The same is true for the one Central Dry Township. The challenge for implementing partners (IPs) will be to find similar communities in the same township where project activities in the early intervention community will not influence households in the paired late intervention community. For Coastal townships, IPs may have the option of identifying pairs of similar communities in separate townships.

- Discussions with the Plan Myanmar team confirm that it is realistic to look for statistically significant changes in measures of resilience in the two years between early and late intervention.
- The minimum sample size required to identify statistically significant changes in the variables that will make up ICF KPI4 has to be estimated (the KM team will do this in collaboration with the project team). This will determine how many communities will be needed in each early and late intervention cluster and how many households will need to be sampled within that cluster. We know that as project partners have scheduled fairly linear implementation over three years it is difficult for them to “keep back” late intervention communities. Consequently, there is significant pressure to minimise the number of clusters used for comparison but it is possible to compensate for this to some extent by increasing the sample size within clusters.
- From each pair of communities, the KM team will randomly assign which is an early and which is a late intervention community.
- Household surveys will be undertaken at the baseline in year 1 and in early or mid-year 3. A longer gap will provide more time for the project to demonstrate improved outcomes but the practical needs of the IPs will be the most important consideration.
- If resources permit, a follow-up survey after year 3 (e.g. year 4) should also be undertaken to measure outcome changes over a longer period (although it will not be possible to compare this to outcomes for those who have not benefited from the project).

We have considered and rejected the option of quasi-experimental design with control groups outside of the project. One reason for this is the ethical concern of having control groups that will not benefit from the project. In the Myanmar context it is also simply not feasible to add control groups as the project has had to get permission from Government to undertake agreed interventions in specific communities.

If random allocation of early and late intervention pairs of communities is not possible, a second-best option will be to treat this as a quasi-experimental design and match survey respondents in early and late intervention sites.

The project M&E document suggests that the BBC Media Action Climate Asia survey could provide evidence for attribution. However, for this to work it would have to effectively do the job of the household survey – with large sample sizes in treatment and control communities, targeted questions for ICF KPI4 and two survey rounds. This is unlikely to be practical. The Climate Asia survey is better used as one of the tools for testing aspects of the project ToC (see below).

#### 5.4.4. Testing the project theory of change

The IP has identified a number of evaluation questions (below) based on the ToC:

- To what extent was the BRACED Beda Alliance project successfully designed and implemented?

- What impact did the BRACED funding have on increasing the resilience of people in Burma, particularly women and children?
- What processes used and results obtained by the BRACED Beda Alliance project worked best to increase the resilience of vulnerable people and the effectiveness of institutions?
- Are project results the “right ones” for the “right people” (i.e. are they benefitting the poorest and most marginalized groups in ways that build resilience)?
- To what extent has the BRACED Beda Alliance project contributed to improving an enabling environment for resilience-building? Has it reached beyond the initial boundaries of the project?
- How sustainable are the impacts of the activities funded by BRACED?
- Was it successful in working towards the longer term outcome and impact as presented in the ToC?
- To what extent did the project represent good VFM?
- Gender – to what extent did the project contribute to increased equality between women and men, boys and girls? To what extent was the project gender transformative?
- Child-centeredness – to what extent were children involved in the project, what was the impact on boys and girls of their participation in the project and how did the project affect girls and boys, directly or indirectly, positively or negatively?
- Non-discrimination and inclusion – who benefited from the project and who was excluded, and why? How were marginalised/ vulnerable groups included?
- Conflict sensitivity – what effects did the project have on conflict dynamics and how was conflict sensitivity addressed through project implementation?
- Environment – how did project activities promote and complement environmental sustainability and protection and did this promote resilience?

All of these questions are relevant and useful. In addition, we would suggest that the project make the assumptions and stakeholders in the ToC explicit and identify questions to test key assumptions.

There will also be opportunities to investigate how and why packages of activities worked more or less effectively in different contexts e.g. the conditions required for microfinance to strengthen the resilience of women and children. We expect this to feed into strengthening lesson learning and scaling.

The proposed methods to address these evaluation questions include:

- A literature review/desk study – national policies and international evidence in this area
- A Community and Township level survey – evidence on institutional resilience policy and practice
- Household survey – the principle source of data for ICF KPI 4
- School Survey – regular monitoring of school-based project activities on boys and girls
- Key Informant Interviews - a semi structured interview template will guide interviews with project alliance partners; wider NGO/INGO networks; local government counterparts; and project stakeholders to track implementation and local context

- Focus Group Discussions - conducted with a cross section of communities to: (i) validate survey information, and (ii) collect community level perceptions on climate change impacts, adaptation and resilience requirements.
- Community level case studies - This will involve identifying a person, family, place or event that directly relates to the theme of the project, and will be explored in-depth using a process-tracing methodology.
- BBC Media Action Climate Asia survey – to track individual awareness of and responses to climate change on a national scale, as well as communication modes, preferences, drivers and constraints.

#### 5.4.5. Headline phasing and Year 1 activity breakdown

This is the subject of on-going discussion with the IP. Activities are expected to include:

- Statistical and technical advice on experimental or quasi-experimental design;
- Statistical and technical advice on sampling;
- Guidance/good practice examples on use of qualitative methods in theory-based evaluation

## 6. Evaluation Activity 4 - World Bank Adaptive Social Protection Programme Evaluation

### 6.1. Evaluation Activity Summary

Evaluation title	Evaluation Activity 4 - World Bank Adaptive Social Protection Programme Evaluation
Focus of evaluation	Non-BRACED, but similar 'sister' programme – ASP. Focus is on learning about adaptive social protection for strengthening resilience to climate extremes and disasters from review of evidence at the intervention level (Track 1 – WB ASP impact evaluation synthesis) and at the 'system' level (Track 2 – theory-based evaluation of ASP 'system' )
Data sources	<ul style="list-style-type: none"> <li>Track 1 – Synthesis of secondary data generated through WB ASP impact evaluations</li> <li>Track 2 – Primary data generated by KM supplemented by secondary data generated by WB ASP programme</li> </ul>
Key evaluation questions	<ul style="list-style-type: none"> <li>Track 1 - What evidence can be generated and what lessons can be learned from a synthesis of ASP impact evaluations about adaptive social protection for strengthening resilience to climate extremes and disasters?</li> <li>Track 2: <ul style="list-style-type: none"> <li>To what extent is ASP contributing to the effectiveness and capacity of national SP systems?</li> <li>Based on evidence from the ASP, what are the critical factors that either enable or constrain the capacity of a country' s system to design and implement adaptive social protection policy and programming?</li> </ul> </li> </ul>
Main analytical methods	<ul style="list-style-type: none"> <li>Track 1 – Synthesis – specific variant TBC following evaluability assessment</li> <li>Track 2 – Theory-based design applying either Contribution Analysis or Process Tracing through two country studies</li> </ul>
Primary output	<ul style="list-style-type: none"> <li>Track 1 – WB ASP impact evaluation synthesis report</li> <li>Track 2 – Evaluation Report with two country study reports as annexes</li> </ul>
Primary and secondary audiences	<ul style="list-style-type: none"> <li>Primary audience groups are DFID, the World Bank, and those interested in social protection as a tool to promote adaptation/resilience</li> <li>Secondary audience groups are the global agencies and decision makers such as the GCF and GEF that inform global decisions about \$ billions of investments in climate change programmes</li> </ul>

### 6.2. Background to ASP – BRACED joint working

As outlined in Chapter 1 and with respect to the World Bank (WB) Adaptive Social Protection Programme (ASP) programme, the original BRACED ToR request that the KM:

- Output B - **Establish an Adaptive Social Protection programme research and evaluation plan** in close collaboration with the World Bank's Independent evaluation group (IEG).

Specifically, the BRACED KM ToR require the KM to conduct:

- Output G – **Strategic evaluations to test the BRACED and ASP theory of change assumptions**
- Output H - **Synthesis review and meta evaluations undertaken on resilience as part of BRACED and ASP**

Funded by DFID through a multi-donor trust fund, the objective of the ASP programme is to increase access to effective adaptive social protection systems for poor and vulnerable people in the Sahel. It does this through actions that increase funding to adaptive social protection programmes, strengthening the capacity of countries' social protection systems to implement social protection programmes and by working with recipients to maximise the impact of adaptive social protection in the context of basic service delivery. ASP, currently with US\$75 million, will be implemented over a four year period, starting in 2014. The countries involved are Chad, Burkina Faso, Mali, Mauritania, Niger and Senegal.

Both BRACED and ASP are active in the same countries, both are seeking to strengthen resilience to climate extremes and disasters and both are active over a similar time period.

This outline reflects and builds on a set of preliminary discussions during the Inception Phase between the WB ASP Programme and Evaluation teams, and the BRACED KM on the nature and scope of the BRACED KM's potential support to ASP evaluation, as well as a parallel set of discussion with the DFID Humanitarian Resilience Advisor who is the lead contact for the ASP in DFID. Presented below is an outline of the key aspects of the discussion to date and some suggestions as to how they could be developed into a more coherent set of KM-led ASP evaluation activities for joint DFID and ASP sign-off.

### 6.3. Any key issues requiring further clarification and agreement

The intention is that this note forms the basis of a second, much more detailed discussion, which brings together the ASP and DFID. This discussion needs to focus on the technical feasibility of the options, and the related resource implications – as there are of course trade-offs to be made. At the moment the various stakeholders (DFID, World Bank ASP programme team, World Bank evaluation unit) have a range of varying expectations which need to be discussed in much more depth before finalising the scope of the support. Central to this discussion will be to cover:

- Joint discussion of the different perspectives of DFID and the WB in terms of where the focus of the KM-led evaluative work should be given limited resource, and agreement on how allocate resources to best meet multiple objectives;
- Joint headline discussion between DFID, WB and the KM Evaluation Team over the technical / logistical feasibility and added value of synthesising the set WB-funded ASP impact evaluations work across the six countries, before a KM-commissioned evaluability assessment is commissioned; and,

- Further exploration, discussion and agreement on key evaluation terms, particularly ‘system-level’ in the context of ASP – countries and interventions.

## 6.4. Summary of DFID and WB ASP Evaluation Expectations

The table below summarises in our understanding the perspectives of DFID and WB relative to the ASP evaluation. We then present a short elaboration of how the two perspectives could be addresses under two discrete tracks / work streams.

<b>DFID ASP evaluation expectations</b>
<p>DFID interest in applying BRACED KM to ASP has a number of inter-related strands which can be summarised according to the following key questions:</p> <ol style="list-style-type: none"> <li>1. What can be learned about adaptive social protection for strengthening resilience to climate extremes and disasters?</li> <li>2. What overlaps / synergies / complementarity is there with BRACED programming in countries where ASP is being delivered?</li> <li>3. Does ASP provide the evidence-base for future DFID programming in adaptive social protection?</li> </ol> <p>DFID would like to see a <b>two-phased approach</b> to the joint learning on ASP, with phase 1 focused on 2015-18, and a potential phase 2 thereafter (2018-21, beyond the current timeframes of the programmes).</p> <p>Phase 1 includes two key elements or tracks:</p> <ul style="list-style-type: none"> <li>• <b>Track 1</b> is an investigation into producing a <b>synthesis of the planned ASP impact evaluations</b>.</li> <li>• <b>Track 2</b> is a <b>theory based evaluation of the ASP “system”</b> in a small sample of countries, which is the focus of much of the methodological detail outlined below.</li> </ul>

<b>WB ASP evaluation expectations</b>
<p>The World Bank has planned a set of evaluation activities for ASP, including impact evaluation (household level), process evaluation, targeting analysis and other types of assessment. Impact evaluations are already underway in two of the six ASP countries. These will not look explicitly at ASP dimensions at this stage, rather the way in which social protection programmes change levels of welfare, with resilience as a secondary component. Additional impact evaluations are in the process of design for the other countries but will only start to consider ASP dimensions when programming gets under way and will only look at results over 2-3 year periods once they start. These will be staggered. The WB Evaluation Team suggested these impact evaluations may not be methodologically or thematically comparable – at least not for a quantitative synthesis. Hence, there is no clear sense that the KM will have a set of impact evaluations to synthesize before the end of the KM’ s contract period and we should not rely on those results.</p> <p>Rather, the WB ASP team expressed clear demand for the BRACED KM to address a set of specific knowledge gaps in relation to <b>the processes and institutional arrangements that ASP requires ‘at the system level’ within an entire country context</b>, and particularly knowledge and understanding that would complement household level impact work. Hence, the WB request is relatively closely aligned to the DFID Track 2 work.</p>

## 6.5. Track 1 – Synthesis of ASP impact evaluations



## Track 1 detailed design – propose next steps

Drawing on the DFID ASP evaluation expectations above, the key evaluation question the synthesis of ASP impact evaluation would attempt to answer is:

- What evidence can be generated and what lessons can be learned from a synthesis of ASP impact evaluations about adaptive social protection for strengthening resilience to climate extremes and disasters?

The critical next step under Track 1 will be to conduct a **rapid evaluability assessment** to further explore the technical and logistical feasibility of an ASP impact evaluation synthesis review, and the extent to which it will be possible to answer the key evaluation question. The evaluability assessment will report on the comparability/generalisability of results generated across the set of impact evaluations, the likely utility of the evidence and new knowledge that a synthesis would generate as well as to whom, and the logistical feasibility of attempting to conduct some form of synthesis review given the staggered commissioning of the ASP impact evaluations. The evaluability assessment would also likely cover:

- Broader primary and secondary data sources and reliability, beyond the ASP impact evaluation data;
- Overall synthesis review design and methods limitations;
- Key internal and external evaluation / review risks;
- Key synthesis skills requirements; and,
- Key partnering arrangements – between DFID, ASP and KM at programme and project / country level.

An important next step before commissioning the evaluability assessment will be to receive and review the latest version the ASP evaluation plan which is due at the end of May 2015.<sup>19</sup>

## 6.6. Track 2 – Theory-based evaluation of the ASP ‘system’

Our proposed outline approach and design for the Track 2 evaluation is as follows:

### Key Evaluation Questions

We propose two headline questions to guide the framing of the system evaluation:

1. To what extent is ASP contributing to the effectiveness and capacity of national SP systems? (relates to DFID outcome indicator 2 for ASP)
  - a. Sub-questions – to be discussed
2. Based on evidence from the ASP, what are the critical factors that either enable or constrain the capacity of a country’s system to design and implement adaptive social protection policy and programming? (relates to ASP Output indicator 2)
  - a. Sub-questions – to be discussed

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<sup>19</sup> In terms of source material this note has been prepared using Annex 10 of the Inception Report – Sahel Adaptive Social Protection Program, draft July 21, 2014 and Annex 8 of the same report.

## **Evaluation framing**

Drawing on the ASP Results Framework we propose to focus on the following three dimensions of a national adaptive social protection system:

- Links between the social protection system with CCA and DRM
- Analysis of Social protection strategy with CCA and DRM aspects included
- Understanding of the capacity of the core SP system to design and implement adaptive social protection policy and programming

## **Evaluation design outline**

Building on the overall Evaluation Plan design which applies a Realist Evaluation approach, we propose a theory-based design – for establishing and then testing the critical change pathways and assumptions by which the ASP programme theory of change and intervention logic will inform adaptive social protection at the system level.

We need to define an appropriate design and methodology for identifying and confirming causal processes or ‘chains’ up to the system level. Our detailed evaluation design process is likely to choose between Contribution Analysis and Process Tracing for identification / confirmation of causal processes or chains and ASP’ s relative contribution to these.

Given relatively limited resources and the relatively small number of countries where the ASP programme is anticipated to be credibly contributing to system-level change, we will take a purposive approach to sampling – with the selection of two or three countries where ASP is best placed to inform adaptive social protection at the national system level. Given the current resource allocation for this stream of work, no more than two countries is logistically feasible.

## **Proposed evaluation methods**

Specific data collection and data analysis methods will be further defined during the detailed design phase. However, an indicative set of potential data collection methods which will be primarily qualitative are likely to include:

- Periodic synthesis of ASP routine results reporting data
- Periodic review of ASP impact evaluation data (if available)
- Set of key informant interviews and focus group discussions
- Textual analysis of system-level SP policy and programming documentation
- Broader document review and analysis

Potential data analysis methods would include synthesis and triangulation across set of data collection methods, expert judgement of the KM evaluation team plus set of thematic experts and applying textual analysis.

## **Track 2 detailed design – propose next steps**

Agreeing key evaluation parameters with DFID and WB teams – the KM Evaluation Team would appreciate a workshop-style discussion with key ASP and DFID counterparts to agree the purpose and scope of Track 2 evaluation which would cover:

- Further refining the key and sub-evaluation questions;
- Agreeing key definitions including how to define the system-level, which is potentially 3-tiered concept:
  - Country system – national SP systems
  - Country system – local government systems
  - Programme system - as defined by ASP Inception Report Annex 3.1 page 11
- We would also present some parameters to the evaluation design, in particular suggesting the evaluation scope not go as far as assessing the effectiveness of systems in strengthening resilience (ultimate impact), but rather maintain a clear focus on the extent to which national systems take up elements of adaptive social protection in policy and programming.

## 7. Evaluation Activity 5 - Flexible KM Evaluation Resources

### 7.1. Evaluation Activity Summary

Based on discussion with DFID BRACED counterparts it was agreed that it was sensible to hold a relatively small resource for flexible and responsive evaluation activities. The rationale is two-fold:

- It is impossible to predict all the evaluation questions that are likely to emerge within the first three months of the implementation phase; and,
- The context in which BRACED is engaging is inherently complex and unpredictable. It is likely that during the course of BRACED phase 1, one or a number of BRACED countries will encounter an unpredicted and sudden onset climate extreme or disaster. An event of this nature is likely to raise a number of interesting evaluation and learning questions which go to the essence of BRACED programming. Having some resource will allow for the KM Evaluation Team to respond rapidly to such an occurrence.

Initial discussions with DFID on the possible use of any flexible KM evaluation resource have indicated the funds could be focussed on:

- Component D – As discussed under Evaluation Activity 1, BRACED Component D is intended to build the capability and capacity of developing countries and regional organisations to prepare and plan for the expected increases in the frequency and severity of climate extremes. A component D supplier has yet to be engaged and the component is not yet commissioned. We will discuss with DFID counterparts the nature of any Component D-focussed EQs that could be explored with the flexible resourcing once the timetable for commissioning the component has been confirmed.
- The Performance Fund – please refer to the KM Implementation Plan for further details.
- The Rapid Response Fund – please refer to the KM Implementation plan for further details.

## 8. KM Evaluation Plan next steps

The final chapter of the Evaluation Plan summarises the proposed next steps for KM Evaluation – overarching and then by Evaluation Activity.

### 8.1. Overarching

We hope that this Evaluation Plan provides DFID with sufficient clarity and detail on KM Evaluation throughout the BRACED Implementation Phase. The Core Evaluation Team would appreciate a short conversation with key DFID counterparts, particularly the DFID Evaluation Adviser and the lead SEQAS Reviewer before any formal review of the document is made in order to clearly introduce the purpose of and context within which the Evaluation Plan was written.

Following DFID and SEQAS comments on the document it would be useful to have discussion on the overall Evaluation Plan resource allocation as well as the respective allocation between Evaluation Activities, as well as the broad sequencing, critical risks and remaining uncertainties identified across the document.

A particular issues which we would like to discuss with DFID relates to the risk associated with the timeframe required for maturation of BRACED effect. In implicit response to this the headline workplan illustrates that a majority of KM Evaluation activities and resources are orientated in the last three months of the programme. Technically this is because the evaluations tend to be designed to reflect full maturation of effect in terms of results delivered within the BRACED phase 1 timeframe. Logistically it is also because Evaluation Activities tend to be dependent on project results reporting following final evaluations etc. We would appreciate a discussion of ways to mitigate the risks this presents.

### 8.2. Evaluation Activity Next Steps

#### 8.2.1. Evaluation Activity 1 - Evaluating the BRACED Programme Theory of Change

Further information is required on the nature and the timing of the commissioning of Component D. As we suggest this Evaluation Activity is put on hold until there is more information on Component D, this is not considered urgent or high priority by the Core Evaluation Team. In due course discussion with DFID over the purposive country study selection will be important.

#### 8.2.2. Evaluation Activity 2 - Evaluating the set of BRACED Resilience Strengthening Interventions

Agreement with DFID and the KM on the nature and scope of project mid-term and final evaluations is the urgent next step. The KM team has discussions in place with FM to agree the parameters and then translate these into the remaining M&E Guidance Note – Note 7 by the end of May 2015. As part of this discussion it will also be important to further agree and elaborate with the KM and IPs the parameters and process for project routine results reporting that forms the other primary data source for Evaluation Activity 2 – fields to be added to the FM-managed Grant Management System, frequency of project reporting, and extent to which projects believe they can flexibly adjust and refine their own M&E plans to meet the requirements of the programme M&E framework – 3As, Areas of Change and Evaluative Monitoring.

The Core Evaluation Team would also appreciate DFID and SEQAS feedback on the proposed meta-ethnography based synthesis method in due course.

### 8.2.3. Evaluation Activity 3 - BRACED Project-level Results:

- Catholic Relief Services – Mali and Niger
- Farm Africa – Ethiopia
- Plan International – Myanmar

As presented in the Evaluation Activity 3 outline, this is most urgent and time-critical area for agreement and 'sign-off' by DFID as the three projects selected are imminently collecting baseline data. In advance of this round of data collection, the Core Evaluation Team needs to:

- Further discuss and agree the nature of the KM – project partnership to support the enhance evaluation designs. This includes further exploring the implications of our proposal to each project both in terms of technical and logistical feasibility, and in terms of resourcing. This agreement will need to be formalised in some form of signed agreement.
- Rapidly engaging the technical support of the statistical experts through the Statistical Services Centre in order to review, quality assure and strengthening baseline survey designs and questionnaires in line with the proposed designs.

We anticipate that the above need to be agreed and in place by early June 2015.

### 8.2.4. Evaluation Activity 4 - World Bank Adaptive Social Protection Programme Evaluation

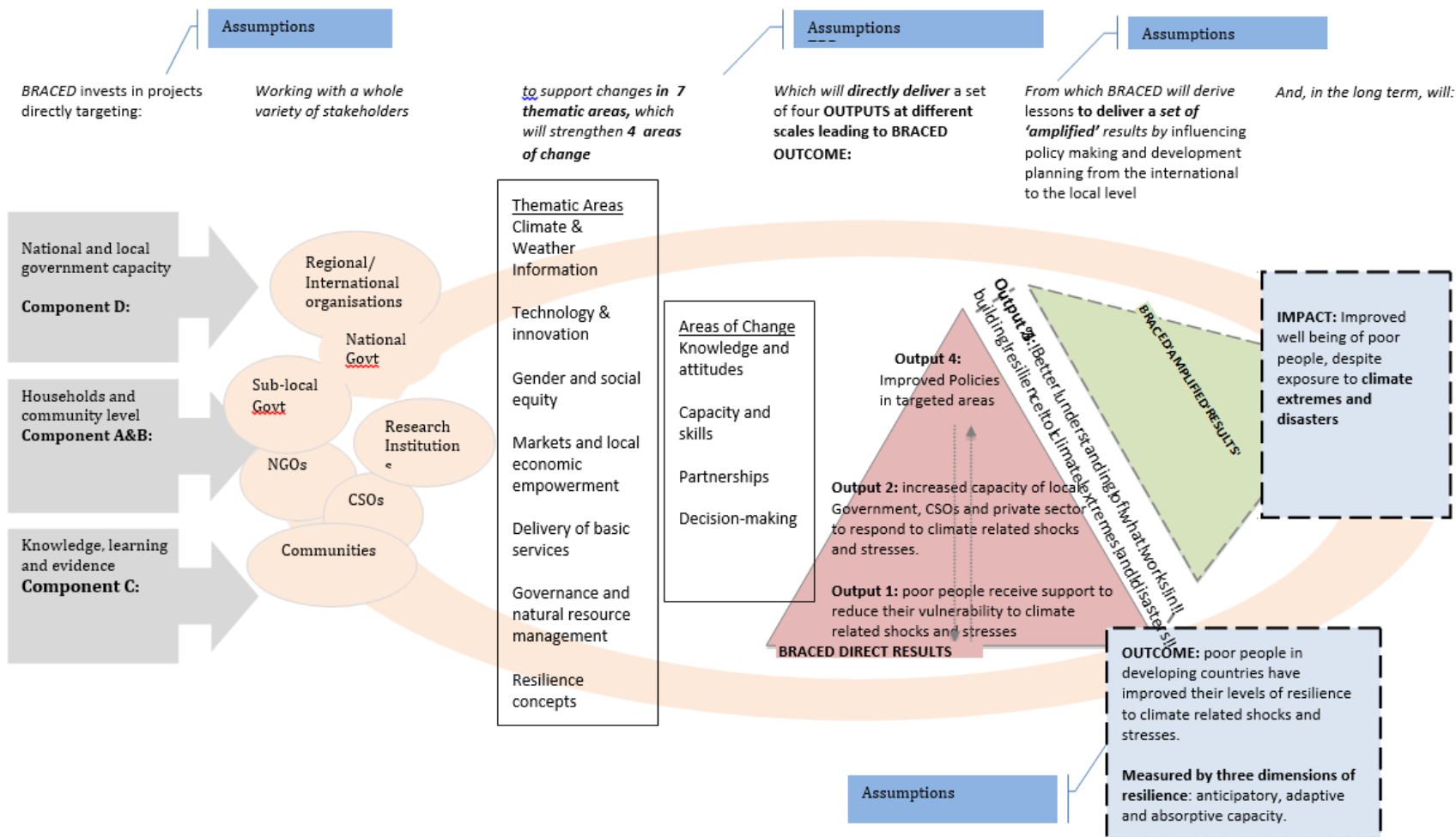
Further discussion and clarification, bringing the KM, DFID and the ASP together, is relatively urgently required in order to further define the nature, scope and expectation of ASP-focussed evaluation. Following the receipt of the revised and updated ASP Evaluation Plan (expected by end of May 2015), the KM proposes to convene a virtual workshop of the key stakeholders to discuss these issues, including the technical and logistical feasibility of both the Track 1 (Synthesis of ASP impact evaluations) and Track 2 (Theory-based evaluation of the ASP 'system' ) and or to agree a shared vision for ASP evaluation. This discussion should also include an elaboration of evaluation scope relative to resources.

### 8.2.5. Evaluation Activity 5 - Flexible KM Evaluation Resources

Although not urgent, it would be useful to create an on-going discussion with DFID counterparts on the potential focus and set of emerging EQs that the flexible resourcing could be dedicated to answering. It is anticipated that this could begin in late June / early July 2015.

# Annex – BRACED Programme Theory of Change diagram (draft)

**Figure 1: BRACED Theory of Change**



## Annex - BRACED M&amp;E 'Governance Arrangements' Overview

Lead stakeholder	Key M&E activities / Source of evidence	Frequency (of reporting, key activity)	Other critical stakeholders involved	Work planning / Timing	Key reference documents
<b>1 - Implementing Partners</b>					
	1.1 - Project-level monitoring activities as set out in project M&E plans to FM – IP M&E milestones and against IP methodologies for KPI 1 & 4 guidance	Quarterly / Annual	FM / KM M&E teams	From contract signature	IP grant agreement / IP revised M&E plan and budget
	1.2 - Project-level to programme level monitoring and results reporting to KM - against KM-led 3As, Areas of Change and Evaluative Monitoring Guidance and in line with IP M&E plans	Quarterly / Annual	KM M&E team	From Y1 end of Q1	FM guidelines and KM M&E guidance notes 4, 5 & 6 / IP revised M&E plan
	1.3 - Mid term evaluation (MTE) (Scope TBC)	Once - mid-term	KM M&E team	Y2 Q2-Q4	KM M&E guidance note 7
	1.4 - Final evaluation (FE) (Scope TBC)	Once - Year 3 Q3-4	KM M&E team	Y3 Q 2-Q4	KM M&E guidance note 7
	1.5 - Wider and on-going IP-led internal evidence & learning from IP-monitoring, evaluation & research activities primarily driven off 1.1 & 1.2 activities (some Ips resourced to a high level and other IPs not really resourced at all)	On-going, dependent on individual IP timetables/plans	KM M&E team / KM research team / KM L&U team	In line with IP MERL and broader planning	IP revised M&E plan, particularly ToC. Wider IP MERL and research plans
	1.6 - Engagement in KM-led evaluation as set out in ERP - primary or secondary contributions of data/information/learning (specific role of IPs TBC in ERP)	Ad hoc based on agreement and nature of evaluation activity	KM M&E team / KM research team / KM L&U team	In line with ERP workplan	KM Evaluation and Research Plan (ERP) / Detailed Evaluation Activity design document
	1.7 Contribution to KM-led research	Ad hoc based on agreement and nature of research activity	KM research team	In line with ERP workplan	KM Evaluation and Research Plan (ERP)
	1.8 - Engagement in KM-led thematic CoPs as part of wider KM evidence & learning landscape	timetable/plans for specific CoPs	KM L&U team / KM Communications team	On-going	KM/L&U team communications and guidance docs on CoPs.



BRACED KM EVALUATION PLAN

Lead stakeholder	Key M&E activities / Source of evidence	Frequency (of reporting, key activity)	Other critical stakeholders involved	Work planning / Timing	Key reference documents
<b>2 - Knowledge manager</b>					
<b>Component 1 - BRACED M&amp;E 'operations'</b> - on-going BRACED programme-level M&E coordination, management, and leadership including	2.1 - Designing and testing the BRACED monitoring plan against logframe and ToC	Year 1, Q1 and Q2. Then annually.	FM M&E team. KM M&E Team. Implementing Partners. DFID. Wider KM.	From contract signature, Y1 Q1 and Q2 and then annually	KM M&E guidance. IKM M&E guidance. FM IP Guidelines. BRACED revised logframe and revised Theory of Change.
	2.2 - Collating, cleaning, synthesising and interpreting data against key BRACED programme logframe indicators including KPIs 4, 1, 13 & 15, as well as the three more qualitative and explanatory indicator frameworks – Dimensions of Change, the 3As Approach, and Evaluative Monitoring	Annually	KM M&E team. Implementing Partners. KM M&E Team.	Y1 Q4, Y2 Q4, Y3 Q4	KM M&E guidance. IKM M&E guidance.
	2.3 - Producing relevant components of BRACED Annual M&E Report as against the programme logframe and supporting the DFID BRACED Annual Review process by summarising results, evidence and learning generated across KM, FM and IPs	Annually	KM M&E team. Implementing Partners. KM M&E Team.	Y1 Q4, Y2 Q4, Y3 Q4	
	2.4 - Feeding into and supporting wider KM evidence and learning processes	Ongoing	KM M&E team, KM Research Team, KM L&U team	On-going	
<b>Component 2 - BRACED monitoring and routine results reporting</b> - working in partnership with IPs & the FM	2.5 - Developing BRACED M&E Guidance Notes	Year 1, Q1 and Q2. Then annually.	FM M&E team. KM M&E Team. Implementing Partners. DFID. Wider KM.	From contract signature, Y1 Q1 and Q2 and then annually	KM M&E guidance. IKM M&E guidance. FM IP Guidelines. BRACED revised logframe and revised Theory of Change.
	2.6 - Delivering 1-2-1 IP M&E programmed support	Q2 onwards	KM M&E Team. Implementing Partners	Q2 onwards, demand-led and ad hoc	IP logframes, ToCs and M&E plans. BRACED M&E Guidance notes. IKM M&E guidance. FM guidelines
	2.7 - Providing guidance & QA on IP mid-term and final evaluations - internal 'SEQAS' function	Year 1 (tbc)	KM M&E Team. Implementing Partners	Year 1 (tbc - dependent on timing of MTRs and IP needs)	M&E guidance note 7
	2.8 - Providing prioritised high-level technical support and QA to support & advance IP M&E / evidence and learning through technical pool - sampling, surveying, composite indicator design, bespoke evaluation methods	Year 1 Q2 onwards	KM M&E Team (and technical pool of experts)	Q2 onwards, demand-led and ad hoc	
	2.9 - Offering 'ad hoc' / on-going / emergent M&E support, guidance & learning through series of M&E 'clinics', webinars, and knowledge products	Year 1 Q2 onwards	KM M&E Team (and technical pool of experts), KM L&U team	Q2 onwards, demand-led and ad hoc	
	2.10 - Working with FM to develop and ensure seamless monitoring and routine results reporting	Year 1, Q1 and Q2 and then ongoing (particularly annual reflection/revision)	KM M&E Team. FM M&E Team. Implementing Partners	From contract signature, Y1 Q1 and Q2 and then annually	FM Guidelines. KM M&E guidance notes. IKM M&E Guidance Notes.

BRACED KM EVALUATION PLAN

Lead stakeholder	Key M&E activities / Source of evidence	Frequency (of reporting, key activity)	Other critical stakeholders involved	Work planning / Timing	Key reference documents
<b>2 - Knowledge manager cont.</b>					
<b>Component 3 - BRACED Evaluation (and Research) Activities</b> (see the KM Evaluation Plan for further details) - Designing, commissioning and delivering a set of KM-led BRACED evaluations to maximise learning across the BRACED programme on 'what works' in building resilience to climate extremes and disasters.	Evaluation Activity 1 - Evaluating the BRACED Programme Theory of Change	Once - End of Year 3 - 2 or 3 country study reports	KM Core Evaluation Team, Evaluation Activity Team, Component D supplier, Relevant project IPs, wider national stakeholders - policy-makers, planners and programmers, other key Development Partners	Y3 Q4	Evaluation Plan, Detailed Evaluation Activity Design document (pending in Implementation Phase), BRACED programme ToC
	Evaluation Activity 2 - Evaluating the set of BRACED Resilience Strengthening Interventions	Twice through two rounds- following Mid-term and Final evaluations	KM Core Evaluation Team, Evaluation Activity Team, Complete set of 15 project IPs, some wider key informants including small sample of direct beneficiaries	Y2 Q3-4 - first round / Y3 Q3-4 - second round	Evaluation Plan, Detailed Evaluation Activity Design document (pending in Implementation Phase), BRACED programme ToC
	Evaluation Activity 3 - BRACED Project-level Results: - Catholic Relief Services – Mali and Niger - Farm Africa – Ethiopia - Plan International – Myanmar	3 rounds of data collection and reporting - Baseline / Mid-term / End-line	KM Core Evaluation Team, Evaluation Activity Team, KM Evaluation/ Statistical Advisers / Project IP partners / DFID Evaluation and Statistics Advisers	Y1 Q2 - design and baseline / Y2 Q3-4 mid-term / Y 3 Q4 end-line	Evaluation Plan, Detailed Evaluation Activity Design document (pending in Implementation Phase), BRACED programme ToC
	Evaluation Activity 4 - World Bank Adaptive Social Protection Programme Evaluation	Track 1 - ASP impact evaluation synthesis - Once end of BRACED phase 1 in Y3 Q4 (or when set of ASP impact evaluations are delivered) / Track 2 - theory-based evaluation of ASP 'system' - will report twice at the ASP mid-term and at phase 1 closure	KM Core Evaluation Team, ASP Evaluation Activity Team,	Track 1 - unlikely to report until end of BRACED phase 1 in Y3 Q4 (or when set of ASP impact evaluations are delivered), Track 2 - ASP Y2 Q3-4 - first round / Y3 Q3-4	Evaluation Plan, Detailed Evaluation Activity Design document (pending in Implementation Phase), ASP Evaluation Plan (forthcoming), ASP Impact Evaluation Study design documents, ASP programme ToC
	Evaluation Activity 5 - Flexible KM Evaluation Resources	TBC - envisaged to be responsive to events and emergence of newkey EQs through out BRACED lifecycle	KM Core Evaluation Team, Evaluation Activity Team(s), DFID BRACED counterparts, relevant Ips	TBC	Evaluation Plan, Detailed Evaluation Activity Design document (pending in Implementation Phase)

BRACED KM EVALUATION PLAN

Lead stakeholder	Key M&E activities / Source of evidence	Frequency (of reporting, key activity)	Other critical stakeholders involved	Work planning / Timing	Key reference documents
<b>3 - Fund Manager</b>					
	3.1 Agreeing IP contractual milestones around M&E (e.g. Logframe revision and baselining)	Year 1, Q1	FM M&E team. Implementing Partners. KM M&E Team	From contract signature, Y1 Q1 all agreed and then reviewed on an individual basis if necessary	
	3.2 Developing BRACED FM Grant Management Guidelines	Year 1, Q1 with ongoing review (particularly on an annual basis)	KM M&E Team. FM M&E Team. Implementing Partners	Year 1 Q1, but reviewing regularly (particularly annually)	
	3.3 - Working with KM to develop and ensure seamless monitoring and routine results reporting	Year 1, Q1 and Q2 and then ongoing (particularly annual reflection/revision)	FM M&E Team. KM M&E Team. Implementing Partners	From contract signature, Y1 Q1 and Q2 and then annually	FM Guidelines. KM M&E guidance notes. IKM M&E Guidance Notes.
	3.4 Coordinating routine results reporting of IPs on a quarterly and annual basis - accountability and contractual milestones focus. Collating and synthesising data. Production of quarterly and annual BRACED-wide reports. Responsibility for financial reporting and synthesis	Quarterly/Annual	FM M&E Team. KM M&E team.	From Year 1 Q2.	BRACED FM Grant Management Guidelines. IP MRR Quarterly and Annual Reports. BRACED quarterly and annual reports.
<b>4 - DFID</b>					
	4.1 Oversight, review and sign-off of FM and KM BRACED M&E plans and systems (e.g. Revised log-frame and ToC, guidance)	Year 1 Q1 and on-going as necessary (review on annual basis articularly)	DFID Programme Manager, DFID Lead Advisers, FM M&E Team, KM M&E Team	Year 1 Q1 and on-going as necessary (review on annual basis articularly)	BRACED revised log-frame and ToC. KM M&E Guidance Notes. FM Grant Management Guidelines.
	4.2 Contributions to ICF KPI reporting as relevant from BRACED (KPI 1 and 4)	Year 1 Q1 and on-going via BRACED annual reports particularly	DFID Programme Manager, DFID Lead Advisers, FM M&E Team, KM M&E Team	Year 1 Q1 and on-going via BRACED annual reports particularly	BRACED Annual M&E Reports.
	4.3 Contribution of relevant data, tools, information, reflection and learning from wider DFID projects and beyond (connectivity to other data sources/bodies of knowledge)	Periodic and ongoing	DFID Programme Manager, DFID Lead Advisers, FM M&E Team, KM M&E Team	Periodic and ongoing	
	4.4 Facilitating linkages with ASP Programme	Periodic and ongoing	DFID ASP Programme Manager, WB ASP staff, DFID Programme Manager, DFID lead advisers, KM M&E Team	Periodic and ongoing	
<b>5 - World Bank ASP team</b>					
	5.1 Facilitating linkages with BRACED projects - ensuring key M&E data and outputs (e.g. Pilot project Impact evaluation reports) are shared and available as appropriate and possible	Periodic and ongoing	WB ASP staff, DFID ASP Programme Manager, BRACED Programme Manager (DFID), KM Core Evaluation Team	Periodic and ongoing	ASP Pilot Project Impact Evaluation Reports. ASP Programme documentation (logframe, ToC, M&E framework, M&E Annual Reports, etc.)



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This material has been funded by UK aid  
from the UK government; however the  
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