

Annex 1: IEM Terms of reference

Introduction

DFID has established the Mobilising for the Millennium Development Goals (M4M) programme in Nigeria. The programme will run for six years from mid-June 2012. M4M targets approximately 650,000 beneficiaries in three Northern Nigerian states,⁸⁰ among them at least 30,000 adolescent girls. It aims to make policy-makers and service providers more accountable and responsive to citizens, and, ultimately, to increase progress towards achieving the MDGs in Nigeria.

The M4M programme takes an Empowerment and Accountability (E&A) approach, based on the rationale that enabling excluded groups to have a stronger voice in decisions about policies and the distribution of resources increases poor people's access to the services and resources they need for their own development, consequently leading to better development outcomes.

GRM International has been appointed as the Service Provider (SP) to manage M4M. The inception phase commenced on 11 June 2012. DFID wishes GRM to act as its agent in the procurement and contracting of a supplier to provide an independent evaluation function throughout the project life cycle of the M4M programme. The Independent Evaluation Manager (IEM) for M4M is expected to be contracted for six and a half years from September 2012, including an inception period of six months.

Objective

The M4M programme offers an opportunity to build knowledge about the mechanisms of change that link empowerment and accountability interventions, working with local government in Nigeria, to the desired change amongst target groups: citizens, policymakers and practitioners. The objective of this contract is to identify and evaluate the causal mechanisms through which the M4M programme aims to make policy-makers and service providers in three Nigerian States more accountable and responsive to citizens. This includes assessment of specific projects supported by the M4M programme, the strengths and weaknesses of M4M and its approach as a whole, and the individual approaches adopted by programme partners.

Recipient

The main recipient of this work will be DFID Nigeria. Key audiences for the evaluation will include DFID more broadly; for example DFID's Empowerment and Accountability core team in Policy Division.

There is a strong aim that M4M should model and inform how the Conditional Grant Scheme (CGS) operated by the MDGs Office⁸¹ in the Federal Government of Nigeria (FGN) is run. The MDGs Office is therefore also a key audience.

M4M – Draft Programme Results Framework

The overall **Impact** of M4M is "Increased progress towards the MDGs in Nigeria".

The intended **Outcome** is "Policy-makers and service providers in three Northern Nigerian states more accountable and responsive to citizens."

The programme design is based upon DFID's Empowerment and Accountability (E&A) approach⁸². DFID will be carrying out a meta-evaluation of this approach and it is expected that the M4M evaluation will contribute to this. The consultants should therefore be prepared to incorporate some aspects of the meta-evaluation framework within this contracted work.

⁸⁰ Currently planned to Jigawa, Kano and Kaduna

⁸¹ Office of the Senior Special Assistant to the President on the Millennium Development Goals.

⁸² Further information is available on DFID's E&A approach (supplied with the M4M bidding docs?).

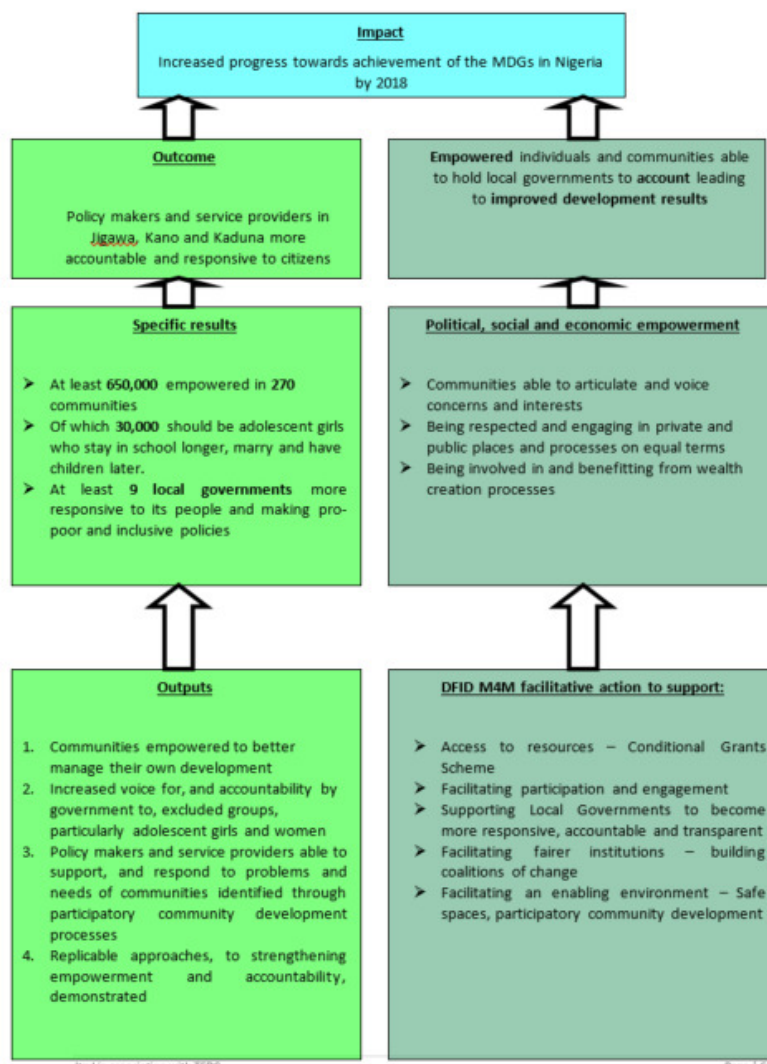
A draft diagrammatic results chain is included in the Figure overleaf. A more detailed break-down of programme outputs is given below.

Output 1: Communities empowered to better manage their own development

The programme is designed with the aim of transforming the relationships within communities and then between communities and the government. The Nigerian Government’s MDG local government conditional grant scheme (MDG/CGS), a nation-wide scheme to accelerate the achievement of the MDGs, will be using a participatory and community-based approach to planning. M4M will be informed by and build on the MDG/CGS methodology. Through a similar mechanism to the MDG/CGS, the programme will fund projects selected by the community up to a ceiling of £200,000 in each LGA (up to a maximum of £1.8M in total).

Output 2: Increased voice for and accountability by government to excluded groups particularly adolescent girls.

Deliberate efforts will be made to ensure that nobody is excluded from the community participation and decision making process. Outreach work will target hitherto excluded and under-represented groups. Adolescent girls and women will be a particular focus. They are virtually invisible in decision-making forums around service delivery in the north.



Output 3: Policy makers and service providers able to support, and respond to, problems and needs of communities identified through participatory community development processes.

The programme will engage with government and other service providers so that they are prepared for and able to respond to the increased voice of and raised expectations of communities.

Output 4: Replicable approaches to strengthening empowerment and accountability demonstrated.

To be fully successful the approach developed by the programme must be adapted and adopted to spread beyond the target States.

Scope of Work

The M4M programme will be managed by a Service Provider; GRM has been appointed to this role through an international competitive tendering process. GRM will contract the Independent Evaluation Manager (IEM) on behalf of DFID.

The M4M IEM will be responsible for:

- selection of key evaluation questions
- development of an evaluation framework and methodologies appropriate to the questions identified
- collection and analysis of primary and secondary data to address the evaluation questions
- delivery of evaluation reports based on this framework.
- the IEM will not conduct the M4M Annual Reviews, though it may be required to interact with the Annual Review team.

The work of the Service Provider and the IEM will intersect in a number of places around the programme's results architecture. Both programmes will need to co-operate to ensure a productive engagement. Specific points of interaction will include:

- The Logframe. This already exists, and will be refined by the Service Provider during M4M inception. The IEM may review indicators and data sources, with a particular view to their utility for evaluation
- The Theory of Change. This will be developed by the Service Provider during inception as the basis for its programming approach. Should the IEM take a theory-based approach to the evaluation, it will need to assess the utility of the M4M theory for evaluation, particularly attribution of results. The IEM may refine the theory of change in consultation with M4M stakeholders, including the Service Provider team
- The M&E system. The Service Provider will design and operate an M&E system to provide management information on implementation progress and emerging results; this will support management decision making and reporting to DFID. The IEM will discuss with the Service Provider who and which data may be used to support the evaluation.

The IEM will be required to successfully complete a six month inception phase (September 2012 – February 2013) for the work. Key deliverables for this period include:

- Work with the M4M Service Provider and DFID managers to finalise the results framework
- Work with DFID managers, the Service Provider and a wider selection of stakeholders to clearly review and revise the main M4M theory or the strand/s of the theory of change that will be evaluated
- Develop a set of clearly stated evaluation questions
- Design an evaluation framework for evaluation of these questions

- Identify existing data sources and data gaps against evaluation framework indicators
- Develop evaluation approaches, methodologies and tools for measuring outcome and impact indicators. Possible examples might be tools for measuring level of social inclusion; citizen action; legislative and policy changes; community input to budget; acceptance/inclusion of adolescent girls and women; civil society capacity and legitimacy; and service delivery satisfaction and improvement.
- Produce, as a key summative deliverable for the inception phase, an Evaluation Design Document (EDD), which encompasses: the revised agreed theory of change; the evaluation questions; the evaluation framework, including results indicators, and the data requirements of the evaluation; a description of the evaluation approach; elaboration of the use of existing data sources and the methods and tools used to be used to collect new data; description of the analyses to be employed; and structure of the evaluation report.
- Finalise the budget and agree an evaluation communications strategy
- Design and commission collection of baseline information
- Progress to full implementation will be dependent on the approval of the EDD, budget and communications strategy.

Key deliverables for the implementation phase will include:

- A clear and realistic strategy for analysis and dissemination of evidence gathered, contributing to on-going improvements to the programme, the way the mechanism is operated and the development of a stronger evidence base for future interventions
- Annual work plans and budgets which will deliver these Terms of Reference
- Design and commission baseline, and subsequent waves of data collection appropriate to the evaluation questions and evaluation framework.
- Evaluation reports that meet criteria for accountability and lesson learning.
- A series of more specific lessons-learning papers for use by M4M and its partners to improve the impact of its work during the course of the programme.

Analysis of the portfolio composition in terms of:

- Spread of risk
- Value for money/cost-benefit analysis
- Disaggregation of all results possible so that the differential impact on different groups, including men, women, girls and boys are better understood
- Compile findings in mid-term and end-term reports, for DFID managers and the service provider and make actionable and prioritized recommendations on how the programme could improve its overall impact

Throughout the programme, the Independent Evaluation Manager will be required to:

- Develop and operate an appropriate management structure to enable an on-the-ground presence, interaction with the M4M SP and grantees, maintaining sufficient flexibility to scale-up in response to additional funding
- Attend meetings with DFID managers and advise on the performance of M4M, the opportunities to pursue new thematic priorities and necessary modifications, to ensure outcome achievement and maximise impact

- Liaise with E&A meta-evaluation as required, to ensure consistent and generalisable data is generated at a meta-level to enable global learning
- Take responsibility for: procurement and management of all evaluation assignments, unless advised otherwise by DFID. This work would include defining the scope of the evaluation, terms of reference and assignment definition, contracting and organising the assignments of any short and long term consultants, trainers, local capacity development service providers, seminar/workshop leaders, participants and mentors.
- Pursue value for money by using smart commercial management practices, avoiding duplication, avoiding duplication, using data from other sources and working with others wherever possible.
- Potentially expand scope of work at a later stage to include provision of consultancy services on evaluation to other DFID Nigeria Governance programmes.
- Undertake additional relevant tasks as agreed with DFID managers.

Methodology

The bidders will need to develop and submit a detailed methodology to achieve these ToRs. However it is expected that successful bidders must display the following:

- A track record in delivering rigorous evaluations, preferably including theory-driven evaluations in the field of governance, an appreciation of the range of methods that may be appropriate, and the ability to suggest methodological choices from this range that are tailored to this intervention.
- Expertise in the successful application of in-depth qualitative and quantitative methods in evaluation and experience in using mixed methods purposefully. Additional expertise in participatory methods would be an advantage for analysing indicators of empowerment.
- Experience with approaches to evaluating grant funds and capacity building initiatives.
- Excellent understanding of the availability and quality of existing datasets, at national and sub-national levels, that can be used for baselines, and for analysis of programme impacts. Use of this understanding in developing an appropriate balance of secondary data analysis and primary data collection.
- An in-depth appreciation of innovation and best-practice in the challenging task of measuring and attributing results in governance interventions, especially on empowerment and accountability. This should also address how results may accrue different to women and men and girls and boys.
- Sound understanding of, and capacity to develop and use gender and poverty related disaggregated data
- The analytical capacity to draw implications from evaluation findings, developing evidence-based recommendations for policy and programming approaches.
- Proven ability to engage and build relationships with a number of stakeholders; both national and international.
- Proven ability to plan and carry out dissemination of evaluation findings, sharing information widely, but sensitively in Nigeria and internationally. Ability to show where the evaluation and its eventual findings fit in to the evidence base on empowerment interventions internationally and in Nigeria.

- Ability to design an evaluation strategy that represents good value for money, and shows an understanding of how the IEM might achieve efficiencies in conducting the evaluation.

It should be noted that while some aspects of the roll-out of M4M across the Local Government Administrations (LGAs) in the three States over the life of the programme might facilitate a experimental approach to the evaluation, DFID expects only a modest level of primary data collection within the evaluation. Tenderers are thus invited to propose a robust yet efficient approach to a mixed-methods evaluation.

Management Arrangements

The M4M Service Provider will liaise with and report to DFID Nigeria's Evaluation Adviser (who will be the Lead Adviser) and the Programme Manager in DFID Nigeria's Governance and Social Development Team over the IEM.

The IEM will report to the Steering Committee for the IEM contract. The purpose of this committee would be quality assurance of the IEM's work, including its independence, ensuring that international evaluation standards are met; relevance and future utilisation of the evaluation to a range of stakeholders. The Steering Committee will comprise of a representative from the M4M overall Steering Group, a representative from the E&A meta-evaluation, two Nigerian stakeholders, and at least one evaluation expert.

Reporting Requirements

At the end of the inception phase the Independent Evaluation Manager will prepare an Inception Report. This will include the EDD, implementation budget (programme and management components), implementation workplan (with proposed priorities), evaluation communications strategy, the results and findings from all inception activities, and any commentary required on specific issues especially any that differ from the original Technical and Commercial Proposals. If necessary, the Terms of Reference should be updated/revised in the light of inception phase analysis and planning.

In addition to the Inception Report, the following reports will be prepared during implementation and copied to DFID managers for comments:

- Evaluation strategy, framework and plan for the duration of the M4M programme.
- Annual work plans, procurement plans and budgets. These will be approved by DFID managers.
- Annual Progress Reports against delivery of these plans, especially at activity and output levels, shall be submitted to the Board in an agreed format.
- Mandatory financial reports:
 - Annual forecast of expenditures (the budget) disaggregated monthly – for the financial year April to March. This should be updated at least every 6 months
 - Six-monthly comparison of budget with actual expenditure
 - External audit report on the annual financial statements

These financial reports will present data by output as well as by type of expenditures (such as grants, training, workshops, consultancies etc.). The detailed requirements will be agreed with DFID during the inception phase.

DFID will undertake:

- An inception review within 6 months of award of contract;

- Annual reviews thereafter;
- A full mid-term review; and
- A project completion review at the end of the programme

Annex 1. Roles

GRM will ensure:

- the procurement and contract management process is conducted in accordance with best practice in purchasing and supply
- the procurement cycle is transparently fair and open and free from malpractice
- the procurement is clear to all involved in the process
- the procurement process allows for redress
- that smart commercial management is deployed in the procurement cycle
- the candidate selection is adjudicated in accordance with DFID's stated criteria
- that a selected evaluator is recommended to DFID in accordance with DFID's stated time scales
- that it supports DFID in formulating an IEM Steering Committee, but not sit on the committee
- it contracts the successful IEM tenderer in line with DFID head contract terms and conditions
- that it makes payments to the IEM contractor according to agreed milestones, but that payments will only be made once the Steering Committee has advised that milestones have been satisfactorily met
- that it interacts closely with the IEM contractor on key pieces of the M4M results architecture, such as the Theory of Change, Logframe, and M&E data collection
 - GRM will not be responsible for the selected IEM contractor's performance in any way.
 - GRM will charge a management and finance fee for managing the procurement process and payments to the IEM.

DFID will:

- approve the IEM TORs and Procurement Plan
- participate in the Tender Panel. It is proposed that the Evaluation Adviser and Commercial Adviser are both on the panel
- Formulate (and Chair?) the M4M IEM Steering Committee. The committee will include a representative of the Federal Government of Nigeria, to be invited by DFID
- Receive final evaluation reports, as approved by the Steering Committee

The IEM Steering Committee will:

- Have oversight of the conduct and performance of the IEM contract
- Be the recipient of all IEM reports
- Be the approval body for all IEM reports
- Be the prime correspondent with the IEM contractor and the quality and content of IEM reports, and the conduct of the independent evaluation of M4M

The IEM contractor will:

- Conduct the evaluation of M4M to the highest professional standards, and within time and budget, including timely delivery of high quality such as required in the contract
- Report to the IEM Steering Committee
- Interact closely with GRM on key pieces of the M4M results architecture, such as the Theory of Change, Logframe, and M&E data collection

- Submit timesheets or similar, and, following IEM Steering Committee approval, invoices to GRM for payment in a timely manner.

Annex 2. Tender Process

GRM will manage a competitive tender process for contracting the M4M IEM. The key process details are provided below:

GRM will:

- Finalise, and agree with DFID, a Terms of Reference (TORs) for the M4M IEM contract.
- Agree with DFID a procurement process that accords with best practice in purchasing and supply

In the procurement process, GRM will:

- Establish a timetable for the procurement and contracting (see Table 5)
- Invite up to 6 firms with appropriate expertise to tender for the IEM contract, responding to the approved TORs. Firms may be international or Nigerian, but all teams are expected to include Nigerian providers.
- Agree a table of tender evaluation criteria with weightings (see Table 6)
- Formulate a tender evaluation panel, to include representatives of GRM (in a minority) and DFID
- Ensure a secure tendering process, which respects confidentiality of information
- Inform the tender outcome to tenderers, with an appropriate level of feedback
- Negotiate with, and contract, the selected tenderer.

Table 5. M4M IEM procurement timetable

No.	Task	Resp.	Deadline
1.	IEM TORs and procurement plan finalised	GRM	6 th July
2.	IEM TORs and Procurement Plan approved	DFID	13 th July
3.	Evaluation firms to be invited to tender identified	GRM	23 rd July
4.	Invitation To Tender sent out	GRM	27 th July
5.	Tender Panel established	GRM & DFID	2 nd Aug ⁸³ .
6.	Tenders received	Tenderers	28 th Aug.
7.	Tenders evaluated and preferred bidder selected	Tender Panel	7 th Sept.
8.	IEM contracted	GRM	14 th Sept.
9.	IEM on the ground	IEM	1 st Oct.

Table 6. Criteria for selecting external evaluation consultants

Technical		Weight (70%)
1.	Terms of Reference	5%
	Considerations: <ul style="list-style-type: none"> • Understanding of Terms of Reference and the required task • Adherence to terms of reference 	

⁸³ Note: Ramadan is approx. 20 July – 20 Aug

	<ul style="list-style-type: none"> Proposed interaction with M4M internal M&E 	
2.	Design and Methods	30%
	<p>Considerations:</p> <ul style="list-style-type: none"> Quality of proposed evaluation design Appropriate use of rigorous methods Evaluation framework Approach to counterfactual Approach to addressing accountability and learning dimensions of the evaluation Involvement of beneficiaries and use of beneficiary and stakeholder views Innovation 	
3.	Quality of Personnel	20%
	<p>Considerations:</p> <p><u>Team Leader</u></p> <ul style="list-style-type: none"> Relevant expertise/knowledge/qualifications Experience in leading, managing and undertaking evaluations of a similar scale and nature Experience in managing sensitivities with country partners/governments Quality of report writing Writing, communication and facilitation skills Evidence of delivery and team management <p><u>Evaluation Team</u></p> <ul style="list-style-type: none"> Relevant track record of individual team members in similar evaluation studies Quality of technical knowledge (for example, core skills in social science, empowerment and accountability, research, econometrics and/or statistics) Use of local consultants on team Experience of assessing gender equality in evaluations Experience of delivery, particularly in difficult environments Team balance and diversity Proportion of team drawn from firms' fulltime staff 	
4.	Evaluation Management	7%

	<p>Considerations:</p> <ul style="list-style-type: none"> • Team Backstopping and expert support from head office / senior staff • Ability to deliver to time-bound objectives • Approach to Quality Assurance • Management structure • Workplan • Division of Labour • Risk management • Working in insecure environments 	
5.	Corporate Track Record	8%
	<p>Considerations:</p> <ul style="list-style-type: none"> • Prior experience in implementing similar evaluation designs • Prior experience in proposed evaluation methods • Prior experience in surveys at village / community level and remote areas • Prior experience in Nigeria, particularly the North, and West Africa 	
Commercial		Weight (30%)
	<ul style="list-style-type: none"> • Understanding of Value for Money, and Value for Money approach • Fee rates: <ul style="list-style-type: none"> ○ appropriateness for size and complexity of task and level of responsibility, credentials and CVs and delivery record ○ composition - direct and indirect overheads, and profit margin ○ benchmarking rates with like-for-like quality and expertise ○ duration of fee rates application • Cost of surveys • Expenses policy • Cost control • Overall price for the job • Benchmarked assessment of tendered commercial terms • Tenderer liquidity and cash flow in relation to proposed budget 	

The selected tenderer will demonstrated the highest combined score across the scoring criteria. DFID seeks the most economically advantageous tender, taking account of all factors.

Other tender guidance and conditions:

- **Technical tender** - 25 pages maximum, with at least 10 pages dedicated to explaining the evaluation approach and methodology.
- CVs - maximum 3 pages. CVs additional to 25 page limit.
- Minimum font size 11 point and 2.5cm margins.
- **Commercial tender** - will use DFID's standard templates (1 - Fees, 2 - Expenses, 3 - Summary, 4 - Milestone payments, 5 - Breakdown) and table of inputs. The narrative to the commercial tender should include a VFM approach section.
- Technical and Commercial proposals should be two separate documents, in PDF format.
- Submission will be electronic, to GRM secure email address [GRM to set up M4M-IEM@grminternational.com for the purpose of the tender].
- Deadline for submission will be 12.00 (noon) BST, 28th August 2012. Receipt of tenders by the deadline will be notified by email.

Questions - tenderers may submit questions to GRM <above email address> until 5pm on 21st August 2012. [JB on leave 3-20 Aug incl.]

Annex 2: Evaluation design and methodology

Evaluation questions

The M4D ToC and logical framework were reviewed during the original inception phase and included an unpacking of the ToC and related causal relationships and assumptions. In response, a series of EQs and an evaluation matrix, describing what information would be required to test the theory, and how this information was to be gathered, was documented in the original EDD.

During May 2015 the IEM team worked collaboratively with M4D staff and DFID to identify a set of priority research topics to be examined under the IEM, aligned with the M4D ToC and logical framework, and the EQs documented in the original EDD. Further discussion and refinement of research topics continued during 2015 and early 2016. Through this process of identifying and agreeing research topics, the evaluation needs of both DFID and M4D were further clarified and taken on board by the IEM team. This then informed a revision of the original set of EQs which were documented in an Evaluation Design Paper prepared by the IEM in February 2016.⁸⁴

Figure 16 below sets out the EQs and related sub-questions, mapped against relevant Organisation for Economic Co-operation and Development (OCED) Development Assistance Committee (DAC) evaluation criteria.

It will not be possible to establish the impact of M4D through either the purely qualitative approach of the evaluation or through integrating M4D's own M&E data as the programme is not measuring its impact level indicators itself. Nevertheless, the IEM attempts to examine EQ 10 to the extent possible with the qualitative data collected through the evaluation – noting that this examination will be limited to the specific locations covered under the evaluation and that any conclusions cannot be generalised to the programme as a whole.

Cross-cutting issues which the EQs address include gender, social inclusion, capacity building and power relations. Issues of poverty, human rights and HIV/AIDS, environment and anti-corruption are not addressed as these are outside the scope of the evaluation as determined by the M4D ToC.

Issues related to power relations and capacity building are examined as part of EQ1, in terms of the way communities participate in governance processes. Gender is addressed through examining the role of Life Skills Clubs (LSCs) and girls' platforms and their relationship to AGs under EQ2. Issues of social inclusion as they relate to PWD are examined under EQ3, including building the capacity of PWD CBOs and influencing the provision of services for PWD.

Issues of power relations, gender and social inclusion are examined under EQ4, as they relate to the way in which AGs and PWD engage with PMs and SPs. Gender and social inclusion issues are examined under EQ6 in terms of the effectiveness of M4D's BFA strategy in improving service delivery for PWD and AGs. Issues related to capacity building, gender and social inclusion are examined under EQ7 as they relate to the sustainability of structures and acquired skills of M4D partner organisations, including PWD CBOs, girls' platforms and LSCs.

⁸⁴ IEM, *Evaluation Design Paper*, February 2016.

Figure 15: Key EQs, sub-questions and relevant OECD-DAC criteria

	Key Evaluation Questions	Sub-questions
Relevance	1. Are CBOs effective pathways for community participation in governance processes?	<ul style="list-style-type: none"> ▪ How have CBOs contributed to changes in the way communities participate in governance processes? ▪ To what extent has M4D's support to CBOs contributed to identified changes in participation? ▪ How effective is the use of CBOs as tools of community mobilisation?
Relevance	2. How useful is the Learning and Life Skills Club (LSC) concept to AGs and the community?	<ul style="list-style-type: none"> ▪ What are the incentives to join LSCs, for girls and their communities? ▪ Are LSCs and Girls' platforms functional? ▪ What are examples of good practices of girls' engagement? ▪ To what extent can these models be sustained over time, institutionalised locally or scaled?
Effectiveness	3. How effective has M4D's support been to PWD?	<ul style="list-style-type: none"> ▪ How has the engagement of PWD CBOs influenced government plans and resources to reflect the needs of PWD? ▪ How does the engagement of and support provided to PWD CBOs lead to increased responsiveness and accountability among service providers and policy makers, as well as the provision of better services? ▪ Are PWD seeing any changes in services? ▪ How do increases in accountability and responsiveness lead to improvements in service delivery for PWD? ▪ Is PWD access to, use of and satisfaction with basic services improving?
Effectiveness	4. What factors lead PMs and SPs to respond to citizens' demands?	<ul style="list-style-type: none"> ▪ What are the constraints to responsiveness, including but not limited to capacity? ▪ How are incentives changing among PMs and SPs? ▪ What factors are responsible for the success of LSCs, CBOs and PWD in engaging with PMs? ▪ To what extent have PMs responded? What constitutes a meaningful response and successful engagement?
Effectiveness	5. How are M4D's communications supporting replication and scale-up?	<ul style="list-style-type: none"> ▪ How effective is the messaging and targeting of M4D's communications? ▪ Who is reached by M4D communications and are these the right audiences?
Effectiveness	6. How effective is M4D's strategy on BFAs?	<ul style="list-style-type: none"> ▪ How does the BFA process lead to increased responsiveness and accountability among service providers and policy makers, as well as the provision of better services? ▪ What are the incentives for SPs and PMs to change their behaviour, how are these taken into account in the design of the BFAs, and how does the BFA process affect these? ▪ Are improvements in service delivery reaching marginalised groups such as adolescent girls and people with disabilities in specific BFAs and in the process overall?
Effectiveness	7. How effective is M4D's overall strategy in ensuring replication, crowding in and scaling up?	<ul style="list-style-type: none"> ▪ How have solutions, innovative and better-fit approaches influenced policy makers and service providers? ▪ How does the sharing and the promotion of solutions, innovative and better-fit approaches lead to increased responsiveness and accountability among service providers and policy makers?

	Key Evaluation Questions	Sub-questions
		<ul style="list-style-type: none"> ▪ How has the replication of solutions, innovative and better-fit approaches affected citizens' access to, use of and satisfaction with basic services? ▪ How do increases in accountability and responsiveness related to the adoption of solutions, innovative and better-fit approaches lead to improvements in service delivery?
Sustainability	8. What processes of accountable and responsive local governance supported by M4D are likely to continue without external assistance?	<ul style="list-style-type: none"> ▪ To what extent have M4D contributed to sustaining introduced structures and acquired skills by their partner organisations (i.e. CBOs, PWD CBOs, Girls' platforms, LSCs, PMs and SPs)? ▪ To what extent are changes in responsiveness and accountability among SPs and PMs tied to particular M4D initiatives? ▪ To what extent are M4D's approaches, solutions, innovative and better-fit approaches applied outside of/independent from the programme?
Relevance	9. What are the mechanisms through which improvements in accountability and responsiveness lead to improvements in basic services?	<ul style="list-style-type: none"> ▪ What are the specific pathways to improvements in access to, use of and satisfaction with basic services? ▪ How does this differ between sectors?
Impact	10. Is citizens' access to, use of, and satisfaction with basic services improving in M4D LGAS?	<ul style="list-style-type: none"> ▪ In which sectors are service improvements occurring? ▪ Who benefits from these improvements? ▪ What is the range of factors that drive service improvements?

Overall approach

The IEM approach draws on theory-based methodologies for evaluation, which in effect establishes a conceptual basis for the intervention(s) against which empirical evidence is collected and analysed to test and revise the validity of the theory. The 'theory' may be explicit or implicit, and broadly speaking it sets out an understanding of what change is expected, how it will come about, including important assumptions and contextual factors. It is not necessarily linear, and not everything in the theory is always known.⁸⁵

The evaluation is supporting both **accountability and learning** by presenting evidence at key points throughout the evaluation (not just at the mid and end-points) designed to support learning and adaptation within M4D during implementation. This is not just about the different products produced by the IEM, but importantly, the *process* of engagement and responding to different audiences.

Building on the original EDD, and broadly consistent with the Itad IEM technical proposal, the overall evaluation approach consists of the following **four main features**:

1. We are using a **theory-based approach** for the evaluation in order to evaluate M4D's ToC by looking at each component, the causal links and the assumptions within the theory, and seeking evidence that confirms or challenges the theory. We will utilise micro-ToCs, which are nested within the overall programme ToC in order to elaborate the causal chain of various components of the programme. This approach is considered suitable to a programme such as M4D, where the programme structure and activities are not determined in advance.

⁸⁵ A particular challenge with this type of work is that there are likely to be several theories of change at work – or disagreements about any one underlying theory. The key implication for the IEM is that it would need to work with M4D programme staff/stakeholders to better understand the most probable theory, and then collect empirical data that will help with iterative theory building, improved understanding and eventual refinement.

2. We are applying **elements of a developmental evaluation approach**, with a focus on both formative and summative evaluation objectives to support learning as well as accountability. Whilst developmental evaluation is associated with the facilitation of continuous development loops and supporting innovation and programme re-design – which is beyond the mandate of the IEM – it also seeks to situate evaluation away from the typical divide between formative or summative, and sees evaluation as an evolving process within and alongside the programme being evaluated. For the IEM, the latter is viewed as appropriate because the evaluation is intended to be useful to M4D when adapting and refining the programme, delivering evaluation results in a timely manner to help programme deliver maximum impact. We will also provide a summative evaluation of the programme’s overall impact, giving DFID an assessment of the results achieved.
3. We are using purely **qualitative approaches** to evaluate different levels within the M4D ToC and logical framework. Specifically, we are applying the following two methods which are further elaborated in a Section below:
 - A series of longitudinal case studies, conducted at two points in the programme’s lifespan. We are terming these a ‘first look’ and ‘second look’. The case studies use qualitative methods to explore how and why M4D’s programme achieves its results (or not as expected). These case studies are implemented in association with the Theatre for Development Centre (TfDC).
 - Triangulation with M4D’s project-monitoring data, to add robustness to the findings by showing to what extent they may apply to other areas where M4D is working.
4. We used **contribution analysis** as the main analytical approach for the evaluation to examine pathways of change within the M4D ToC and assess linkages between different programme components – how outputs relate to each other – as well as the causality from output to outcome, and from outcome to impact. Itad has used contribution analysis extensively as a suitable approach for theory-driven evaluations. It offered a rigorous and structured approach to evaluating the ToC against the evidence collected. Contribution analysis aims to demonstrate a plausible association between a programme and observed outcomes and impacts by building a credible, clearly evidenced contribution story.

We also examined the importance of **local contexts, community characteristics and political economy** in achieving the programme’s results. This helped us to assess what factors are required for the programme’s success, and whether the approach is likely to work elsewhere.

There was limited opportunity to coordinate with the policies and evaluations of other donors as part of the evaluation design. M4D is one of the few programmes in Northern Nigeria that works with LGAs – the only other programme of comparable size and focus is the USAID funded Leadership, Empowerment, Advocacy and Development (LEAD) programme. LEAD works in different locations to M4D (Bauchi and Sokoto states) and is predominantly focussed on building LGA capacity and has limited engagement with civil society. Other DFID governance programmes have worked/are working in the same three states as M4D (e.g. SAVI, SPARC, GEMS, PERL) – though predominantly with state government MDAs rather than LGAs. As such, whilst engagement with these programmes offered communications and engagement opportunities there was limited opportunity to minimise burdens and transaction costs on LGAs, CBOs and other stakeholders covered under the IEM.

Data sources

The primary data sources for the longitudinal case studies are in-depth-interviews (IDIs) and focus group discussions (FGDs) with different stakeholder groups. M4D project monitoring data is being used for triangulation is detailed below. A summary of data sources required for each EQ is shown below in Table 7. Specific data collection tools were designed for each case study.

M4D M&E data sources

- **Community Dialogue Action Scorecard (CDAS):** This scorecard takes the form of a self-assessment by supported CBOs facilitated by M4D and assesses a number of dimensions using a five-point scale within the three overall categories of organisation, engagement and influencing. In the case of Girls' platforms this scorecard is referred to as CDAS+.
- **Accountability, Responsiveness & Capacity Scale (ARCS):** This scale takes the form of a self-assessment by supported SPs/PMs (both formal and informal) facilitated by M4D and assesses a number of dimensions using a five-point scale within the two overall categories of accountability and responsiveness.
- **Demand database/log:** This is a log of demands made of M4D supported SPs/PMs, by CBOs, PWD CBOs and Girls' platforms. The demand database/log is administered by M4D Community Development Outreach Officers who are informed by partner organisations of the demands they make.
- **Better Fit Approach (BFA) design, evaluation and advocacy documents:** Design documents set out the objectives and scope of each BFA together with the appraisal case, and BFA evaluations assess the extent to which BFAs achieved their purpose and were successful. BFA advocacy documents are designed to promote tested BFAs deemed to be successful and encourage adoption elsewhere.
- **Records from Learning Events and Media Reports:** These are records made by M4D during Learning Events and Media engagements that the programme supports. The records focus on documenting: a) specific learning which M4D shared and b) the reach in terms of the organizations and individuals participating.
- **CBO Perception Survey:** This is a survey administered by M4D on an annual basis to all supported CBOs, PWD CBOs and Girls' platforms, and a sample of citizens. The survey measures the perceptions of their level of influence on SPs/PMs and is used to help triangulate with CDAS and CDAS+ scores.

In addition to these formalized monitoring mechanisms, other sources of evidence gathered by M4D within its M&E system include SP/PM admin and policy records, CBO records, M4D Reports and various action plans, minutes and other project documentation.

Table 7: Summary of data sources

Evaluation questions	Specific Data Requirements	Data Sources	
		IEM	M4D
1. Are CBOs effective pathways for community participation in governance processes?	<ul style="list-style-type: none"> • Evolution in the way communities participate in governance processes. • Trends in CBO organisation, engagement and influencing. 	<ul style="list-style-type: none"> • Focus groups among citizens in M4D LGAS • Individual interviews among CBOs, SPs and PMs 	<ul style="list-style-type: none"> • M4D CDAS results • Demand database/log
2. How useful is the Learning and Life Skills Club concept to AGs and the community?	<ul style="list-style-type: none"> • Evolution in the formation and capability of LSCs, and their engagement with CBOs and SPs/PMs. • Changes in the levels of responsiveness and accountability amongst SPs/PMs. • Trends in Girls Platform organisation, engagement and influencing. 	<ul style="list-style-type: none"> • Focus groups among LSC members and girls' champions • Individual interviews among SPs, PMs and CBOs 	<ul style="list-style-type: none"> • M4D CDAS+ results • Demand database/log

Evaluation questions	Specific Data Requirements	Data Sources	
		IEM	M4D
3. How effective has M4D's support been to PWD?	<ul style="list-style-type: none"> Evolution of the levels of capacity to make demands amongst PWD and their engagement with SPs/PMs. Changes in the delivery of basic services to PWD. Trends in PWD CBO organisation, engagement and influencing. 	<ul style="list-style-type: none"> Focus groups with PWD Individual interviews with SPs, PMs and CBOs who support PWD 	<ul style="list-style-type: none"> M4D CDAS results Demand database/log
4. What factors lead PMs and SPs to respond to citizens' demands?	<ul style="list-style-type: none"> Evolution in the engagement between CBOs (including PWD CBOs and Platforms of girls) and SPs/PMs. Changes in the levels of responsiveness and accountability amongst SPs/PMs. Trends in SP/PM accountability, responsiveness and capacity. 	<ul style="list-style-type: none"> Individual interviews among SPs, PMs and CBOs Focus groups among citizens 	<ul style="list-style-type: none"> Individual interviews among M4D ARCS results CBO Perception Survey Secondary external studies/reports⁸⁶
5. How are M4D's communications supporting replication and scale-up?	<ul style="list-style-type: none"> Trends in the way in which communication activities are used to support adoption and scaling up of M4D supported interventions amongst SPs/PMs. 	<ul style="list-style-type: none"> Individual interviews with SPs and PMs in M4D and non-M4D LGAs 	<ul style="list-style-type: none"> Records from Learning Events and Media Reports
6. How effective is M4D's strategy on BFAs?	<ul style="list-style-type: none"> Trends in the way BFAs are identified and defined, and how they are funded and implemented. Trends in the promotion, replication and scale-up of BFAs. 	<ul style="list-style-type: none"> Interviews with CBOs/partners delivering BFAs Interviews with SPs/PMs delivering services targeted by BFAs Focus groups with citizen beneficiaries of BFAs 	<ul style="list-style-type: none"> BFA design, evaluation and advocacy documents
7. How effective is M4D's overall strategy in ensuring replication, crowding in and scaling up?	<ul style="list-style-type: none"> Trends in the adoption and scaling up of M4D supported interventions amongst SPs/PMs. Changes in the evidence of assumptions underpinning how SPs/PMs adopt and replicate M4D supported interventions. 	<ul style="list-style-type: none"> Individual interviews with PMs and SPs Individual interviews with CBOs 	<ul style="list-style-type: none"> BFA advocacy documents Records from Learning Events and Media Reports
8. What processes of accountable and responsive local governance supported by M4D are likely to continue without external assistance?	<ul style="list-style-type: none"> Trends in the way M4D have used their financing modalities. Trends in the sustainability of organisational arrangements and skills developed within M4D partners. 	<ul style="list-style-type: none"> Individual interviews with PMs and SPs Individual interviews with CBOs 	<ul style="list-style-type: none"> SP/PM admin and policy records and CBO records Relevant M4D project documentation

⁸⁶ For example, from other governance programmes in Nigeria, including SPARC, SAVI and PERL.

Evaluation questions	Specific Data Requirements	Data Sources	
		IEM	M4D
9. What are the mechanisms through which improvements in accountability and responsiveness lead to improvements in basic services?	<ul style="list-style-type: none"> Evolution of engagement mechanisms between citizens, CBOs (including LSCs and PWD CBOs) and SPs/PMs. Evolution of changes in accountability and responsiveness amongst SPs/PMs (including towards women, girls and PWD). Evolution of changes in basic service delivery to citizens, in particular women, girls and PWD. 	<ul style="list-style-type: none"> Individual interviews with SPs, PMs and CBOs 	<ul style="list-style-type: none"> M4D CDAS results M4D ARCS results CBO Perception Survey
10. Is citizens' access to, use of and satisfaction with basic services improving in M4D LGAS?	<ul style="list-style-type: none"> Changes in citizens' access to, use of and satisfaction with basic services. 	<ul style="list-style-type: none"> Interviews with SPs, PMs and CBOs Focus groups with citizens 	<ul style="list-style-type: none"> SP/PM admin and policy records CBO Perception Survey

Methods and analysis

Longitudinal qualitative case studies

Each case study was used to examine an aspect of M4Ds work (e.g. related to causal pathways in the ToC) for specific cases (e.g. M4D partners and partner organisations) across multiple contexts (i.e. locations in which M4D works) in order to contrast and compare findings.

One of the challenges of selecting case studies for M4D is that it is a complex programme, operating through a number of interlinked outputs – outputs that continue to evolve as the programme learns. Therefore, there is no single clearly defined ‘population’ of cases from which to draw the IEM case studies (as would be the case if we were selecting say 5% of cases studies from a grant-based programme – where the grants are the unit of analysis).

To address this challenge, the IEM engaged in an extensive consultation workshop with M4D, DFID and key programme advisers to create a short list of research topics to be examined through case studies. The workshop process was structured in a way to develop a framework for selection from the bottom up, taking M4D’s staff in-depth understanding of their work, and drawing on their learning priorities. During the in-country workshop, a detailed account of which is reported separately,⁸⁷ a short list of research topics was generated using the process shown in Figure 17.

Figure 16: Process for short listing case studies during May 2015 M4D/IEM case study workshop

Presentations given by the IEM team during the workshop were based on the case study methodology documented within the IEM technical proposal and results of a preliminary fact-finding mission carried out in March 2015. These presentations focussed on: a) the objectives, characteristics, methodology, planned outputs and stakeholders of the IEM, b) indicative case study stages and timelines, covering a total of eight cases split over three rounds staggered over 2015–18 with each case consisting of ‘first’ and ‘second’ look case studies, c) linking case studies to the M4D theory of change and expanded analysis of change pathways within this as prepared by the IEM team, d) identifying the universe of potential case studies, and e) defining what constitutes a case study and reviewing dimensions specific to M4D which need to be considered. The workshop the consisted of five main steps, including:

- 1. A preliminary identification of M4D learning priorities** by participants during which they were asked to consider what ‘research information’ would potentially help them in their work, including but not limited to: a) understanding why an M4D approach or intervention has, or has not, worked and why, b) identifying programme adjustments which improve achievement of M4D results, and c) generating evidence about what (and how) results are being delivered by M4D at the outcome and impact levels.

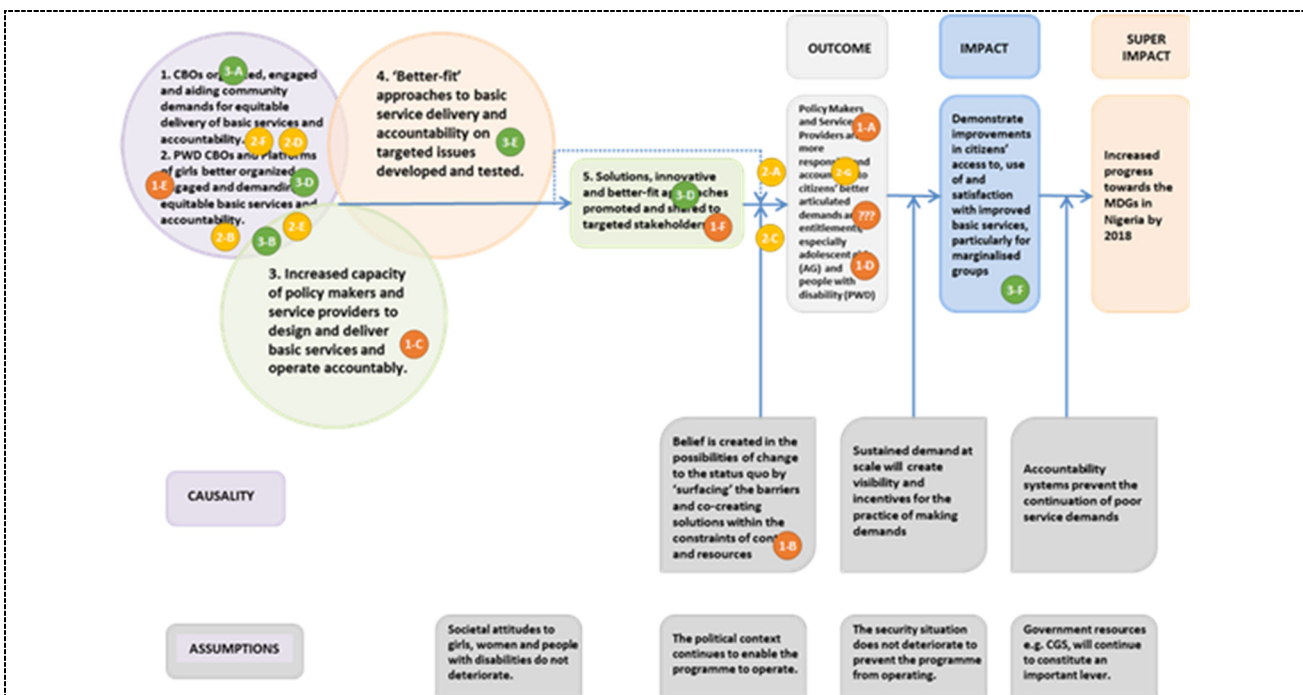
⁸⁷ IEM Joint IEM/M4D Case Study Workshop Report, 5 June 2015.

2. **Prioritising different roles associated with the case studies** by workshop participants in order to capture the perspective of the programme and inform how case studies are developed and presented.
3. **Formulating case study research questions** during which participants were asked to review learning priorities identified earlier and to develop potential case study research questions. Participants were asked to consider a number of dimensions covered during presentations given by the facilitators, in particular how case studies could be used to explore particular parts of the M4D Theory of Change. A total of 19 research questions were identified and participants were then asked to map each of these to the M4D Theory of Change as shown in the diagram below for reference.

One of the strengths of the case study approach is that it is a useful way to capture the complexity of change processes and to ensure sufficient understanding of contextual factors and unexpected pathways to change. This depth of understanding is very valuable, but within typical resource constraints it is usually necessary to undertake the case study data collection in a fairly small/concentrated location. So, for instance, if an initiative (e.g. on phonics) is operating in many schools and with many potential school children from different communities, it is likely that only relatively few locations are used for FGDs, interviews, observations, etc. For this reason, the validity of the case study is improved where it can be triangulated with a more generalisable data set.

M4D M&E data is therefore being selectively used to: a) triangulate case study findings within planned briefing notes on common findings/lessons, for example, through synthesising the findings of BFA related case studies with M4D’s own assessments/evaluations of BFAs, and b) use to triangulate overall findings against the M4D ToC within planned case study synthesis reports and the final evaluation report.

Figure 17: Linking M4D’s own M&E data to IEM evaluation questions and case study evidence



Formulating case study definitions during which participants reviewed research questions identified earlier and developed these into a more detailed case study definition, including a summary description of the case study and identifying what groups, geographic levels, sectors and interventions would be targeted under the case study. In addition, each definition documented what level of the intervention logic the case study would focus on and when would be the most appropriate year to carry out the first case study, given the status of M4D initiatives intended to be covered. The 19 original research questions were translated into 11 case study definitions.

Prioritising and selecting case studies during which participants were guided to apply a number of criteria for doing so, including: a) timing of the case study (i.e. giving priority to those topics which can be assessed in 2015), b) relevance of the case study to programme learning, c) whether or not case study topics may be better examined by M4D using

the programmes operational research component, and d) the extent to which results are/will be visible given the stage in implementation of M4D initiatives intended to be covered. After this step, four initial case study definitions were prioritised.

The primary output of this workshop was a short-list of 11 case study definitions. During the process of developing this short-list, six categories of cases relevant to the IEM were assessed for each definition in plenary. These categories covered: a) ToC/logframe level, b) types of intervention to be examined (e.g. BFAs, support to CBOs), c) beneficiary groups to be targeted (e.g. citizens, women and girls, PWD), d) geographic levels to be covered (e.g. state, LGA, ward), e) sectors to be targeted (e.g. health, education), and f) case study timing/scheduling.

Eight case studies were designed and carried out by the IEM – derived from the 11 short-listed definitions developed during the workshop. A priority set of three case study research topics were selected from the short-list and were further refined in discussion with DFID and M4D.

Based on further consultations with M4D and DFID, the IEM submitted a Proposed 2016 Case Studies report⁸⁸ in March 2016 documenting the remaining five case studies to be carried out under the assignment – drawing from the short-list of 11. This report was prepared in parallel to the Evaluation Design Paper and the formulation of elaborated definitions for case studies 4-8 informed, and were informed by, the rationalisation of EQs documented in the design paper. Further adjustments were made to the research focus of these studies in discussion with the ESC as they underwent detailed design.

Six of the eight case studies were implemented using a longitudinal design that includes, for each study, a baseline and end-line. These case studies have been staggered across two rounds to enable evidence and learning to be made available to the programme and stakeholders during the lifetime of M4D. In practice, because of the IEM starting sometime after M4D, the use of the term baseline is problematic because considerable work has already taken place. In implementing the case studies we therefore prefer to use the terms ‘first look’ and ‘second look.’

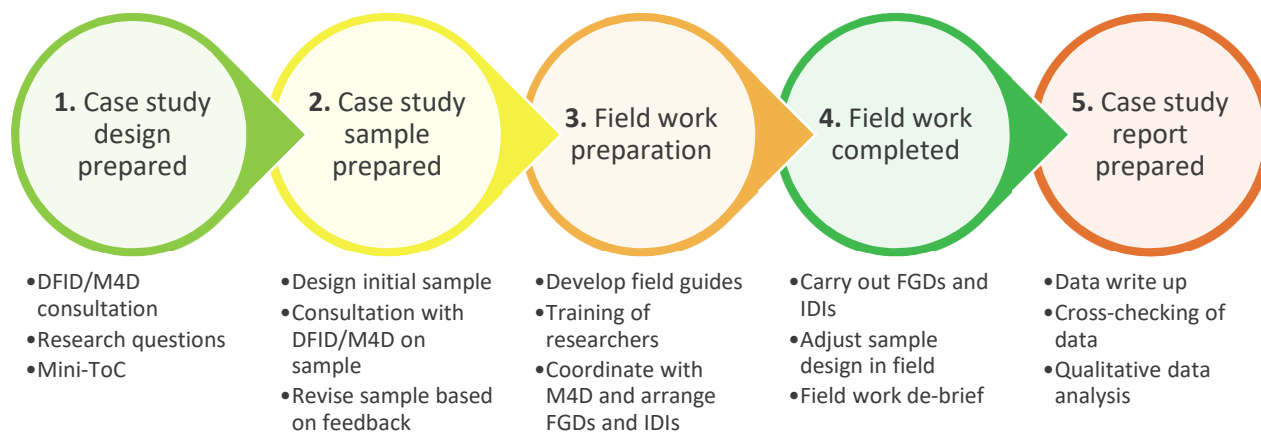
The ‘first look’ constitutes a baseline situation that is specific to that case study at that time (even where this is after the start of the programme overall) and is more formative than summative in focus – documenting early lessons and recommendations that M4D can use to strengthen programme achievement and performance. Conversely, the ‘second look’ effectively forms an end-line for a case study, and is more summative than formative.

The second round of case studies did not take place until October 2016 and the IEM is now scheduled to be completed by the end of May 2018. As a result of these schedule changes, it has been necessary to make some adjustments to the case study timeline – which had originally envisaged all eight case studies consisting of first and second looks, split across three rounds of first looks and three rounds of second looks. Consequently, to ensure that second looks for case studies 1–6 are completed in time for case study findings to be synthesised and fed into the preparation of a final evaluation report in early 2018, they were consolidated into a single round taking place in 2017. In addition, case studies 7 and 8 were standalone single looks.

Annex 5 shows the case studies and how they map against the 10 evaluation questions listed earlier. We use individual case studies to examine specific cases in specific contexts and combine and contrast results across case studies to help answer the broader evaluation questions - ensuring complete coverage of the EQs once all case studies are completed. A summary of all eight case studies can be found at Annex 7, including research topics, and micro theories of change. Experience shows that it is best to tailor the case study approach to each M4D intervention, so that the sampling of locations to visit, people to talk to and strategies for selecting participants in group work is informed by the type of intervention and its context. A detailed approach to doing this is set out in individual case study reports and a summary of the steps involved is set out below and outlined in Figure 18.

⁸⁸ IEM (31 March 2016) *Proposed 2016 Case Studies*.

Figure 18: Outline of case study process



Develop specific case study designs: Based on the agreed research topic for a given case study, the IEM prepares a design paper. This paper sets out the approach to be taken for the case study and incorporates: a) a review of how the case study fits into the overall evaluation design, including how it will be used to examine relevant elements of the M4D ToC, b) research questions and sub-questions to be addressed in the case study, c) a discussion of factors to be considered when designing the sample of locations and stakeholders, and d) a draft micro-ToC which elaborates the causal chain of the programme component that the case study is intended to examine.

Research topics for the case studies examine cross-cutting issues of gender, social inclusion, capacity building and power relations. Issues of poverty, human rights and HIV/AIDS, environment and anti-corruption are not explicitly addressed as these are outside the scope of the evaluation as determined by the M4D ToC.

As can be seen from the research focus of each study at Annex 7, issues of gender as they relate to AGs are examined in case studies 2, 3, 4 and 7. Issues of social inclusion as they relate to PWD are examined in case studies 4, 5 and 7. Issues of capacity building are examined in case studies 1, 3 and 7 and issues of power relations are examined in case studies 1 and 7.

To decide what the detailed focus of the case studies should be, consistent with the overall research topic, we apply a set of guiding criteria, as follows:

Contrast and comparison. Though the case study structure will have a standard core, the thematic focus of the case studies themselves will need to be selected so that there is a range of examples across the suite that enables some like-for-like comparison and contrast between different thematic approaches to draw out learning from both.

Geographical spread. M4D is operating in three states so we want to make sure that the case studies are as evenly spread across the states as possible. We look for some examples that can show within-state comparison and some that offer comparison between states.

Practical trade-offs. We also have to factor in logistical and other factors, in particular the timing of the case study work (in relation to M4D's own processes) and the potential for learning that is relevant and timely for the programme staff and other stakeholders.

The case studies use exclusively qualitative methods and employ a contribution analysis approach. Qualitative methods are particularly useful for: a) understanding participatory processes and allowing citizens to speak in their own words, b) exploring processes of change and contextual factors, c) analysing the links between stakeholders and networks in bringing about social change, and d) testing the M4D ToC and the strength of the causal links in it.

Design the case study sample: The sample for each case study is designed by the core IEM team in collaboration with TfDC and M4D. The first step is to select locations (state, LGA and wards) for the case study, taking into consideration the three guiding criteria of contrast/comparison, geography and practical trade-offs as described above. A preliminary sample of locations is documented within the case study design paper (including different options for creating the sample) and reviewed and agreed with the ESC. Once locations are selected, respondents are then sampled by the research team in line with the focus of the case study.

Prepare for case study fieldwork: Once the sample for a case study has been agreed then detailed topic guides are prepared for each group of respondents targeted under the study. The IEM core team are responsible for preparing these topic guides in discussion with TfDC and they are intended to be used as a guide rather than a formal questionnaire. The questions documented in each topic guide cover the key points to be covered during fieldwork, but also allow enough space for the research team to follow up interesting issues as they emerge. The research team use the topic guides to probe for more details and ask for examples where relevant.

After topic guides have been completed, the IEM core team conduct training sessions for the Theatre for Development Centre (TfDC) team in order to ensure field researches fully understand the objectives of each case study and the topic guides. This training incorporates security briefings (including travel protocols, communications, driver training and emergency procedures), case study background, sampling, data collection, and analysis and write-up processes.

Carry out case study fieldwork: Case study data is collected using FGDs and IDIs. FGDs offer an informal, interactive and cost-effective method for gaining a variety of opinions. IDIs are used where individuals potentially have a lot to say and where it is impractical to convene focus groups among target audiences. Recruitment of participants is conducted by the TfDC team, using a screening form, letter of authority and confidentiality statement provided by the IEM core team.

Data write-up, cross-checking and qualitative data analysis: The data analysis process for each case study consists of three steps. First, all FGDs and IDIs are audio recorded and written up by TfDC using a standard template provided by Itad, a sample of which are quality assured by the IEM case study team. This ensures comprehensive and consistent analysis of the data. Second, Skype debriefs are held with the TfDC team to ensure that their insights and contextual knowledge are captured. Third, the write-ups are reviewed, collated, coded and analysed by the IEM case study team. Finally, on the basis of these collated write-ups, individual draft case study reports are prepared and submitted to the independent ESC members for review, feedback and finalisation.

The standard template for writing up FGD and IDI transcripts allow for the following details of respondents to be documented, including: a) their location (state, LGA and ward – as appropriate), b) the type of respondent (e.g. AG, PWD, CBO representative, PM, SP, etc.), and c) the type of organisation with which they are associated (e.g. LSC, LGA or ward-level CBO). For some FGDs (e.g. of LSCs), the age of participants is also documented. This data is coded and used to compare the views of different sample groups and locations. Whilst personally identifiable information is not included in case study reports, the collection of this data enables data to be disaggregated and analysed, including by location and type of respondent.

In addition to data collected during the case study field as set out above, as part of the IEM's iterative contribution analysis approach, interviews with selected key informants will take place over February 2018 as required to address any information gaps or areas where further clarification is needed. These key informants may include: a) representatives of other development partners implementing, or planning to implement, programmes with similar objectives to those of M4D (e.g. USAID LEADS and State2State programmes), b) representatives of other DFID programmes where linkages with M4D exist (e.g. PERL), and c) M4D programme staff and lead technical advisers.

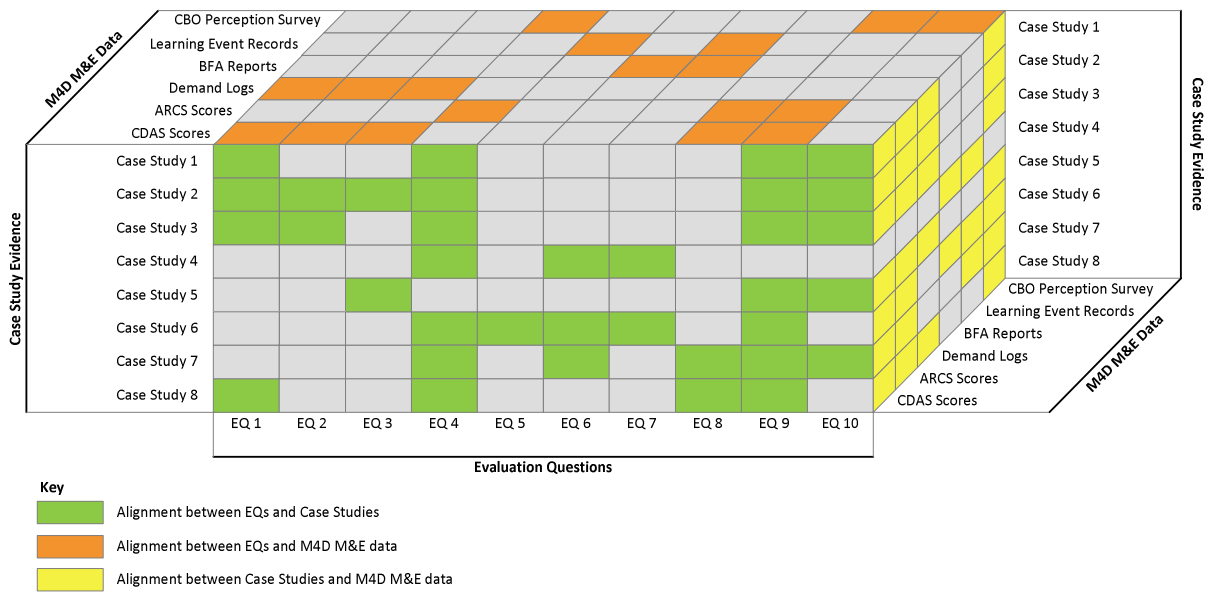
Triangulation with M&E and other data

One of the strengths of the case study approach is that it is a useful way to capture the complexity of change processes and to ensure sufficient understanding of contextual factors and unexpected pathways to change. This depth of understanding is very valuable, but within typical resource constraints it is usually necessary to undertake the case study data collection in a fairly small/concentrated location. So, for instance, if an initiative (e.g. on phonics) is operating in many schools and with many potential school children from different communities, it is likely that only relatively few locations are used for FGDs, interviews, observations, etc. For this reason, the validity of the case study is improved where it can be triangulated with a more generalisable data set.

M4D M&E data was therefore selectively used to: a) triangulate case study findings within planned briefing notes on common findings/lessons, for example, through synthesising the findings of BFA related case studies with M4D's own assessments/evaluations of BFAs, and b) use to triangulate overall findings against the M4D ToC within planned case study synthesis reports and the final evaluation report.

In order to guide this process we have taken the key data sources documented in earlier and have mapped these against both the case study research areas and the IEM evaluation questions as shown in Figure 19 below. Where there is an intersect between case study evidence and M&E data (shown by the yellow coloured cells), this data may be useful for triangulating case study evidence within briefing notes on common findings/lessons. Where there is an intersect between case study evidence and evaluation questions (green coloured cells) and between M4D M&E data and evaluation questions (orange coloured cells), this M&E data may be useful in helping to prioritise areas of analysis within case study synthesis reports.

Figure 19: Linking M4D’s own M&E data to IEM evaluation questions and case study evidence



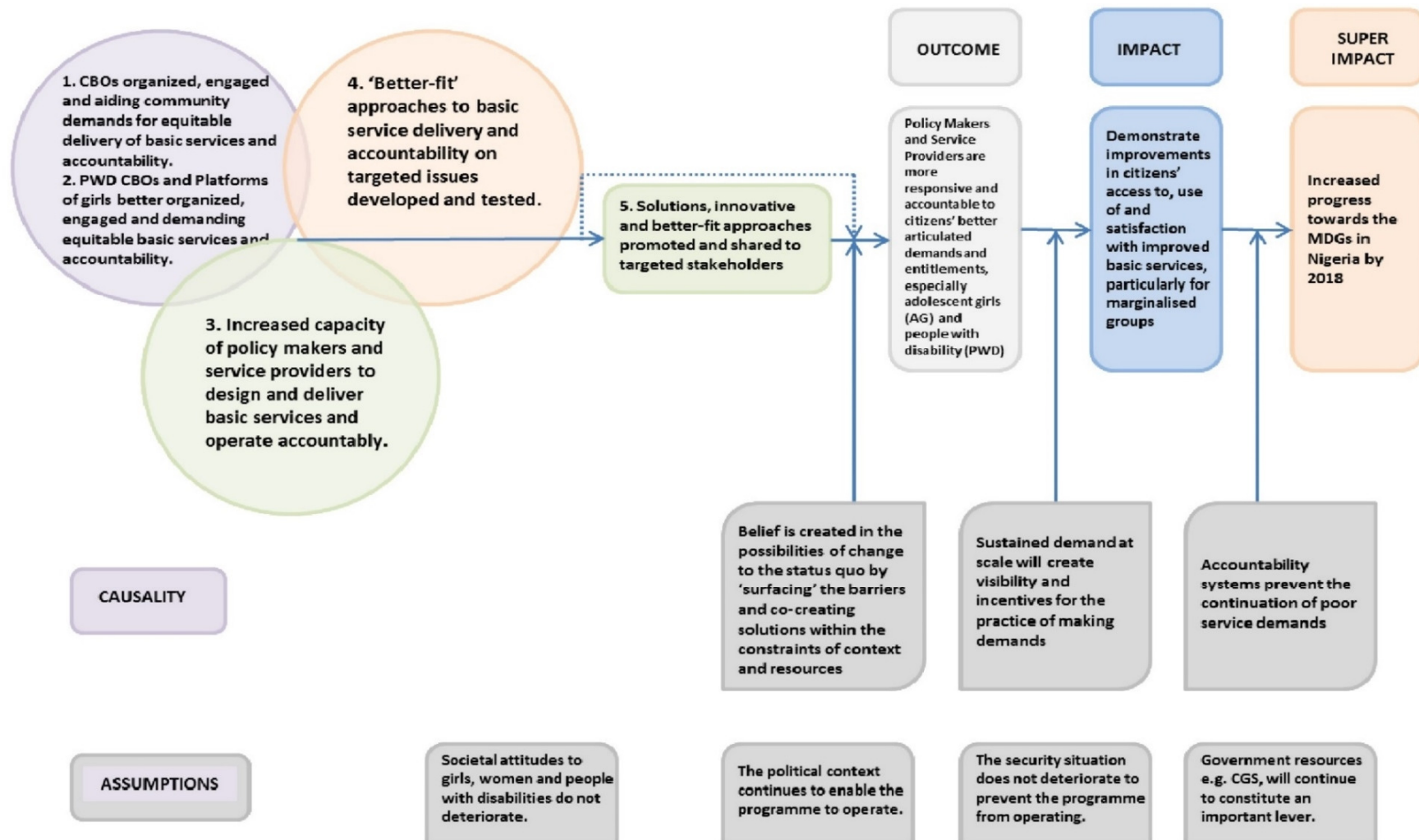
Ethics

The key ethical issue faced in the evaluation was protecting and managing the confidentiality of stakeholder views at the local level. Access to these the actors involved navigation with the close collaboration of M4D partners, in order to avoid the evaluation negatively impacting the relationships that M4D and its partners may have worked hard to develop.

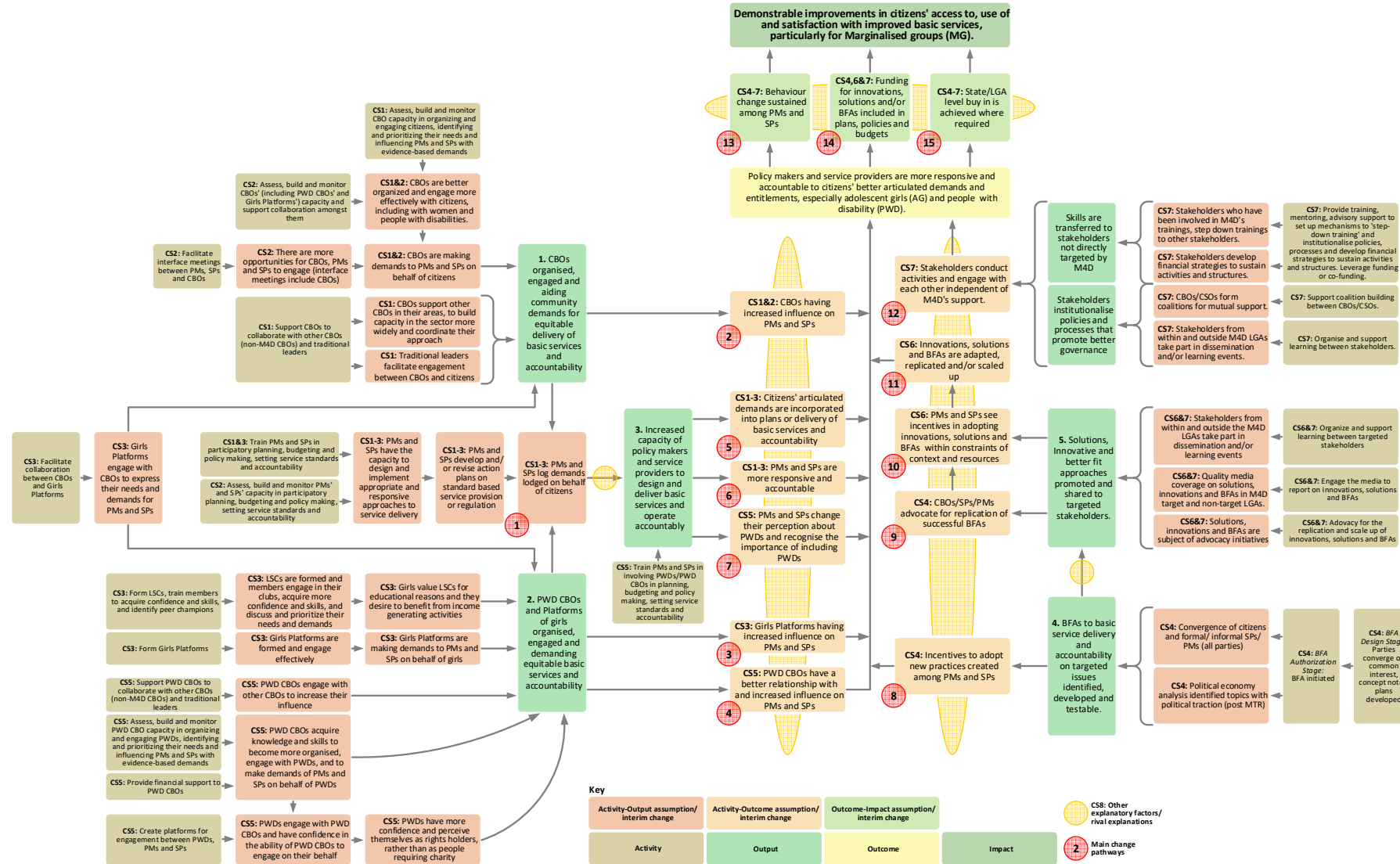
The evaluation team sought to collect data in an appropriate and respectful manner, taking into account cultural and ethical concerns. Where possible, potential interview respondents were contacted several weeks in advance to enable the evaluation to fit into busy government and beneficiary schedules. Access to government and community level stakeholders was facilitated by M4D partners and TFDC, who had local knowledge about the protocols and etiquette involved in accessing the stakeholder groups. Field trips were scheduled to allow sufficient time for researchers to be able to change their plans in order to fit in with the fast-changing schedules and commitments of stakeholders. Researchers were also respectful of participants’ time, and frequently cut interviews short or changed venues to enable stakeholders to participate. Researchers were also mindful of questions that might be inappropriate in particular contexts.

We ensured informed consent was obtained from all individuals before commencing data activities, with consent obtained at the beginning of interviews to record the discussion and to use the insights gained. These are contained in the individual case study field research guides. Unique anonymous interview codes were attached to each transcript and referenced in the case studies. Where the content of quotes had the potential to identify an individual, this information was removed.

Annex 3: M4D Theory of Change



Annex 4: Consolidated micro-ToCs with key change pathways identified



Annex 5: Mapping of change pathways against evaluation questions and research topics

		1	2	3	4	5	6	7
		Are CBOs effective pathways for inclusive community participation in governance processes?	What factors lead PMs to respond to demands? What are the constraints to responsiveness, including but not limited to, capacity?	How can LSCs promote basic service delivery and accountability?	To what extent are BFAs promoting basic service delivery and accountability and how sustainable, replicable and scalable are they?	How effective has M4D's support been to PWD? What factors encourage or inhibit the adoption of the social model of disability?	How effective is M4D's overall strategy in ensuring replication and scale-up of successful initiatives in both M4D and non-M4D LGAs?	What processes of accountable and responsive local governance supported by M4D are likely to continue without external assistance?
1	Are CBOs effective pathways for community participation in governance processes?	CP 2, 3 & 4	CP 2, 3 & 4	CP 2 & 3		CP 4 & 7		
2	How useful is the Learning and LSC concept to AGs and the community?		CP 3	CP 3				
3	How effective has M4D's support been to PWD?		CP 4 & 7			CP 4 & 7		
4	What factors lead PMs and SPs to respond to citizens' demands?	CP 6	CP 6	CP 6	CP 8 & 9			
5	How are M4D's communications supporting replication and scale-up?				CP 9			
6	How effective is M4D's strategy on BFAs?				CP 8 & 10		CP 8 & 10	
7	How effective is M4D's overall strategy in ensuring replication, crowding in and scaling up?				CP 8 & 9		CP 11, 13, 14 & 15	
8	What processes of accountable and responsive local governance supported by M4D are likely to continue without external assistance?						CP 11, 12, 13, 14 & 15	CP 12, 13, 14 & 15
9	What are the mechanisms through which improvements in accountability and responsiveness lead to improvements in basic services?	CP 1, 2, 5 & 6	CP 1, 2, 5 & 6	CP 2 & 3	CP 8 & 9	CP 4 & 7	CP 10	
10	Is citizens' access to, use of, and satisfaction with basic services improving in M4D and non-M4D LGAs?	CP 2, 3 & 4	CP 2, 3 & 4	CP 3	CP 8 & 9	CP 4 & 7	CP 11, 13, 14 & 15	CP 12, 13, 14 & 15

Annex 6: Achieved sample

Figure 20: Consolidated achieved sample cases studies 1-8

Case study	Research topic	First look		Second look	
		IDIs	FGDs	IDIs	FGDs
Case Study 1	The role of Community Based Organisations as pathways for inclusive community participation in Governance	18	8	18	8
Case Study 2	Factors that Support or Constrain Policy Makers and Service Providers response to Citizen Demands	24	6	26	6
Case Study 3	The Role of Life Skills Clubs in promoting basic service delivery and accountability	18	8	15	8
Case Study 4	The Effectiveness of the Better Fit Approach in promoting improved basic service delivery and accountability	37	8	33	8
Case Study 5	The Effectiveness of M4D's Support to People With Disabilities	24	6	23	6
Case Study 6	The Effectiveness of M4D's Overall Strategy in Ensuring Replication and scale up of successful initiatives	22	-	21	-
Case Study 7	Processes of Accountable and Responsive Governance supported by M4D that are likely to continue without External Assistance	28	-	n/a	-
Case Study 8	Key influencing factors that contribute to improvements in local governance and the success of the M4D programme	38	-	n/a	-
Overall Total		209	36	136	36

Figure 21: Detailed sample first and second look case studies

State/LGA	Informant	First look case study		Second look case study	
		IDIs	FGDs	IDIs	FGDs
Case Study 1 Kano (Garun Mallam and Dawakin Tofa LGAs)	M4D staff	2	-	2	-
	State-level PMs and SPs	3	-	3	-
	LGA-level SPs and PMs	5	-	6	-

	Ward-level SPs and PMs	2	-	2	-
	LGA-level CBOs	2	-	1	-
	Ward-level CBOs	4		4	
	Female citizens	-	4	-	4
	Male citizens	-	4		4
	Total	18	8	18	8
Case Study 2	M4D staff	2	-	2	-
	State-level PMs and SPs	4	-	6	-
	LGA-level SPs and PMs	6	-	6	-
	Informal PMs	2	-	2	-
	LGA-level CBOs	2	-	2	-
	LGA-level PWD CBOs	2	-	2	-
	Ward-level CBOs	4	-	4	-
	Girls' platform	-	2	-	2
	LSC mentors	2	-	2	-
	LSC	-	2	-	2
	PWDs	-	2	-	2
	Total	24	6	26	6
Case Study 3	M4D staff	2	-	3	-
	State-level PMs and SPs	2	-	1	-
	LGA-level SPs and PMs	6	-	4	-
	Ward-level SPs and PMs	2	-	2	-
	LGA-level CBOs	2	-	2	-
	Ward-level CBOs	4		3	

	LSC members	-	6	-	6	
	AG platforms members	-	2	-	2	
	Total	18	8	15	8	
Case Study 4	M4D staff	8	-	7	-	
	Kaduna (Igabi LGA) Kano (Sumaila and Garun Malam LGAs) Jigawa (Miga and Malam Madori LGAs)	Formal PMs and SPs	17	-	15	-
	Informal PMs and SPs	4	-	4	-	
	CBOs	8	-	7	-	
	Citizens	-	8	-	8	
	Total	37	8	33	8	
Case Study 5	M4D staff	6	-	6	-	
	Jigawa (Malam Madori LGA) Kaduna (Kachia LGA) Kano (Garun Mallam LGA)	Formal PMs and SPs	11	-	11	-
	Informal PMs	3	-	2	-	
	PWD CBOs	3	-	3	-	
	PWDs	-	6	-	6	
	Total	24	6	23	6	
Case Study 6	M4D Staff	2	-	3	-	
	Jigawa (Ringim and Roni LGAs) Kano (Dawakin Tofa and Tofa LGAs)	Formal PMs and SPs	9	-	8	-
	Informal PMs and SPs	3	-	3	-	
	CBOs	4	-	5	-	
	Media	2	-	-	-	
	GP Members	2	-	1	-	
	Total	22	-	21	-	
Case Study 7	Jigawa (Mallam Madori LGA) Kaduna (Kachia LGA) Kano (Sumaila LGA)	M4D staff	3	-	N/A	N/A
	Formal PMs and SPs	11	-	N/A	N/A	
	Informal PMs and SPs	2	-	N/A	N/A	

	CBOs (directly targeted)	3	-	N/A	N/A
	CBOs (not targeted)	3	-	N/A	N/A
	Other Stakeholders	6	-	N/A	N/A
	Total	28	-	N/A	N/A
Case Study 8 Jigawa (Miga LGA) Kaduna (Kudan LGA) Kano (Dawakin Tofa LGA)	M4D staff	3	-	N/A	N/A
	Formal PMs and SPs (directly targeted)	3	-	N/A	N/A
	Formal PMs and SPs (not targeted)	3	-	N/A	N/A
	Informal PMs and SPs (directly targeted)	3	-	N/A	N/A
	Informal PMs and SPs (not targeted)	1	-	N/A	N/A
	CBOs (directly targeted)	6	-	N/A	N/A
	CBOs (not targeted)	5	-	N/A	N/A
	GP member (directly targeted)	6	-	N/A	N/A
	Girls Group Member (not targeted)	1	-	N/A	N/A
	Other stakeholder/influencer (not targeted)	7	-	N/A	N/A
	Total	38	-	N/A	N/A

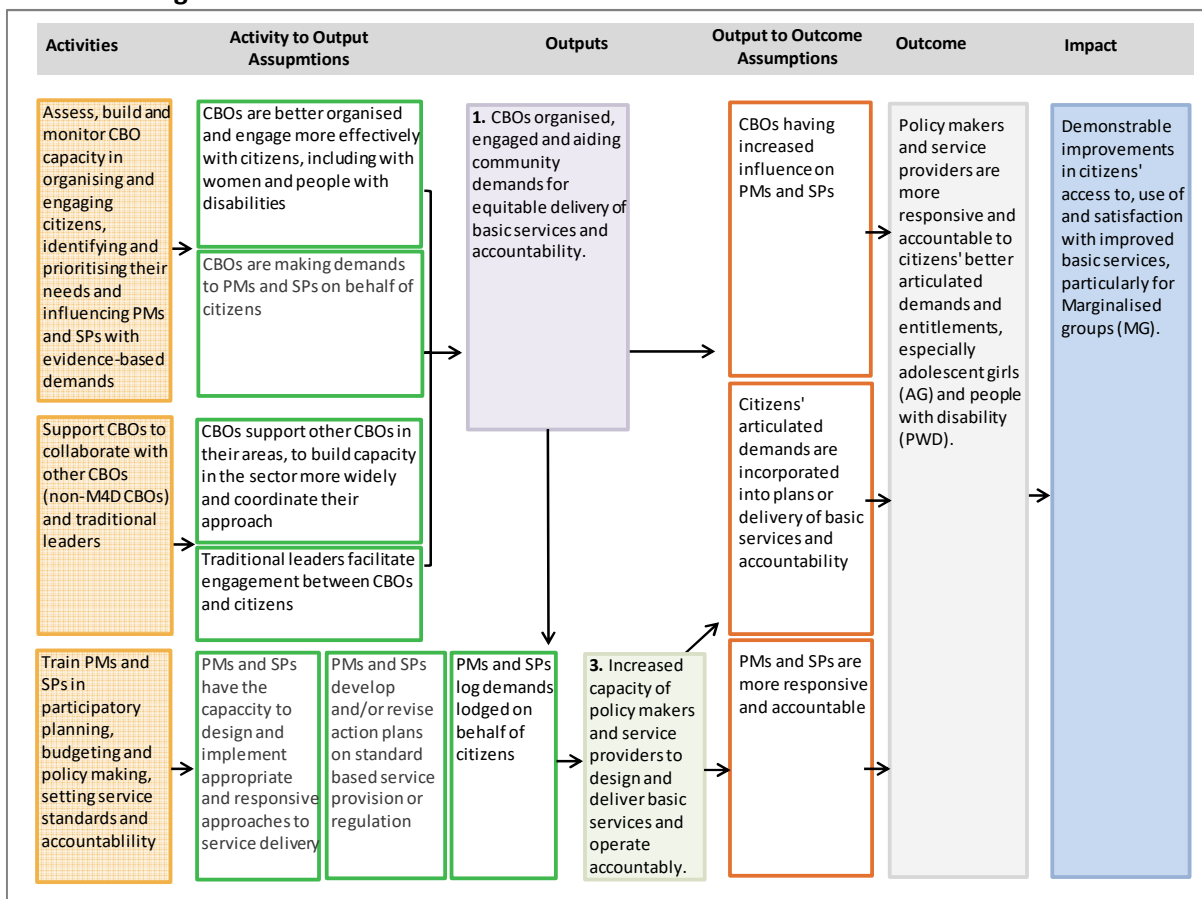
Annex 7: Case study micro theories of change and research objectives

Case study 1: The role of community-based organisations as pathways for inclusive community participation in governance

Research Topic: Are CBOs effective pathways for inclusive community participation in governance processes?

Micro-ToC summary: M4D assesses, builds and monitors the capacity of CBOs to enable them to engage effectively with citizens, including marginalised citizens, identify and prioritise their needs and make well-formulated, evidence-based demands to SPs and PMs. M4D aims to pave the way for CBOs to create linkages with other (non-M4D supported) CBOs to promote wider community participation in governance processes and to promote coordinated efforts among CBOs. At the same time, M4D builds the capacity of SPs and PMs and promotes links between supply- and demand-side stakeholders to facilitate community engagement and strengthen capacities and willingness to respond to citizens’ demands. As a result of these changes, PMs and SPs factor citizens’ demands into their planning and increasingly respond to them. It is envisaged that this will ultimately lead to better access to, use of and satisfaction with improved basic services, particularly for marginalised groups.

Micro-ToC diagram



Research objectives

The research question for the first case study was originally defined as follows:

Are CBOs effective pathways for inclusive community participation in governance processes?

The study focuses on output-to-outcome and outcome-to-impact causality, examining to what extent, and how, M4D support to CBOs has contributed to: (a) the capacity of CBOs to engage citizens, make demands and hold PMs/SPs to account; and (b) changes in the delivery of basic services as a result of changes in the capacity of CBOs.

The specific areas of investigation include:

Phase 1: Activity-to-output causality

- To what extent has M4D's support to CBOs contributed to identified changes in participation?
- How have CBOs contributed to changes in the way communities participate in governance processes? How inclusive has this participation been? How has this changed in the last two years?
- To what degree are women meaningfully involved in consultation and governance approaches?
- How effective is the use of CBOs as tools of community mobilisation? Are there other methods that are potentially more effective?
- To what extent are LGA-level CBOs supporting ward-level CBOs, both those supported by M4D and other CBOs?

Phase 2: Output-to-outcome causality

- How and why are changes in responsiveness and accountability among SPs and PMs tied to their relationships with CBOs?
- In the last two years has there been any change in the accountability of PMs to citizens, including more direct contact between PMs and citizens?
- To what extent are citizens and CBOs looking to the LGA and government sources for funding?

Phase 3: Outcome-to-impact causality

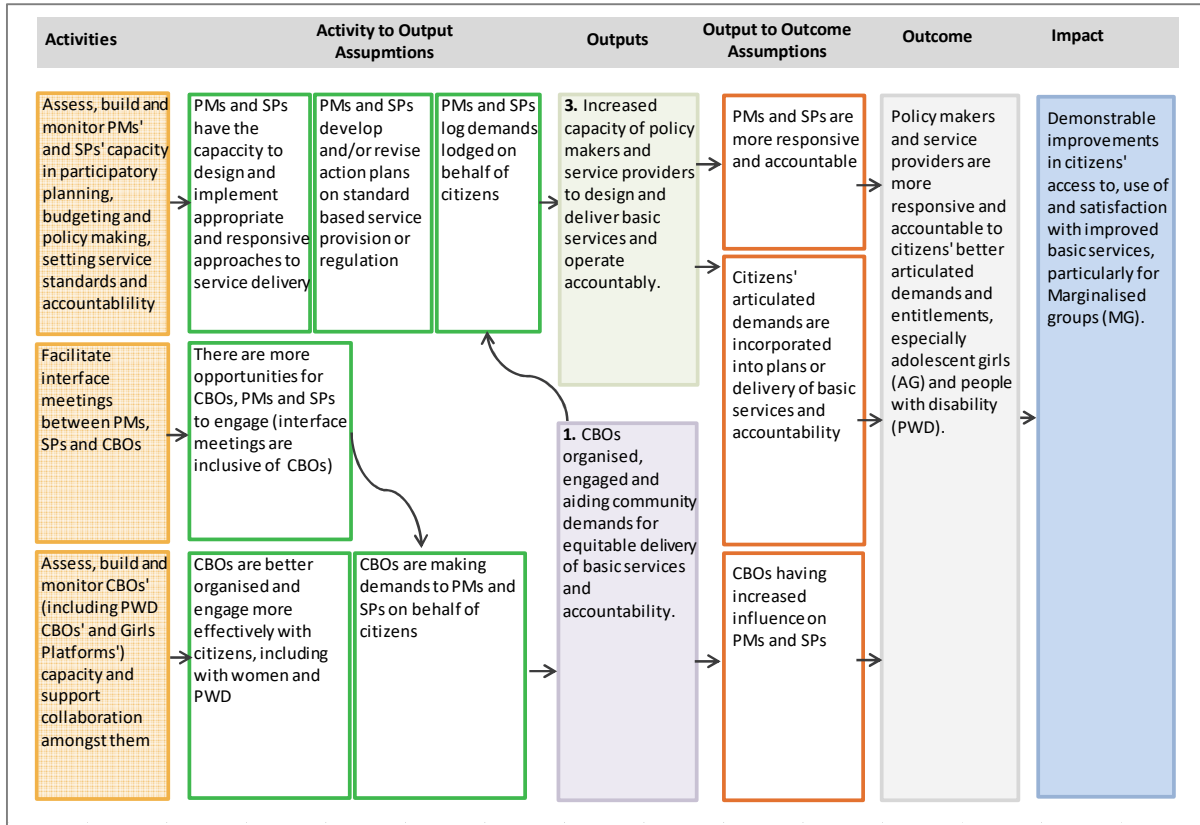
- How are citizen's access to, use of and satisfaction with basic services improving due to changes in the capacity of CBOs?
- To what extent are CBOs and citizens successful in securing the release of government funds for service improvements, rather than relying on self-help approaches or ad hoc donations from wealthy citizens.

Case study 2: Factors that support or constrain policy makers' and service providers' response to citizens' demands

Research Topic: What factors lead PMs to respond to demands? What are the constraints to responsiveness, including but not limited to capacity?

Micro-ToC summary: M4D builds the capacity of SPs and PMs in participatory planning, budgeting and policy making, setting service standards and accountability. At the same time, M4D builds the capacity of CBOs, including PWD CBOs and Girls' platforms, and supports collaboration among them to be able to better influence PMs and SPs and represent the views of marginalised groups. By facilitating interface meetings between PMs, SPs and CBOs, M4D aims to generate more opportunities for both sides to come together and for CBOs to make demands. This increased collaboration, as well as increased capacities of demand and supply side, is envisaged to lead to CBOs having more influence and PMs' and SPs' logging of citizens' demands. As a result of these changes, PMs and SPs factor citizens' demands into their planning and increasingly respond to their demands. It is envisaged that this will ultimately lead to better access to, use of and satisfaction with improved basic services, particularly for marginalised groups.

Micro-ToC diagram



Research objectives

The research question for this case study was defined as follows:

To what extent have PMs and SPs responded to citizens' demands and to what extent have constraints to responsiveness (e.g. institutional capacity) been addressed?

The study focuses on output-to-outcome and outcome-to-impact causality, examining to what extent, and how, M4D support to PMs and SPs has contributed to (a) changes in the responsiveness and accountability of SPs and PMs to citizen's demands (especially PWD CBOs and girls' platforms); and (b) changes in the delivery of basic services as a result of changes in the responsiveness and accountability of SPs and PMs.

Specific areas of investigation include:

- What factors are responsible for the success of LSCs, CBOs and PWD engaging with PMs and SPs?

To what extent have PMs and SPs responded? What constitutes a meaningful response and successful engagement?

Case study 3: The role of life skills clubs in promoting basic service delivery and accountability

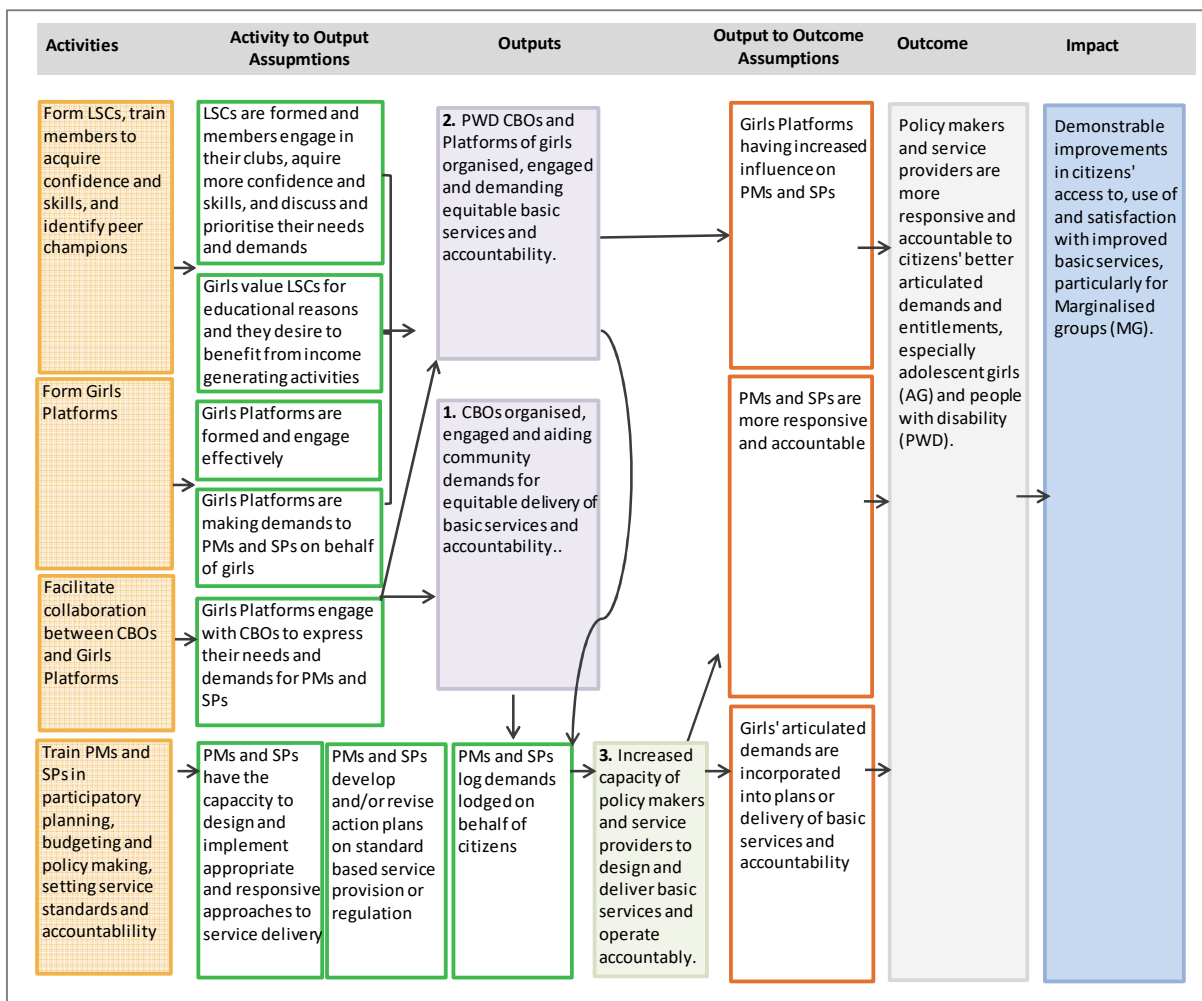
Research Topic: How can LSCs promote basic service delivery and accountability?

Micro-ToC summary: M4D forms LSCs, assesses the members' skills and aims to build and monitor their capacity in conducting needs analysis, civic education, negotiation, conflict management, communication, leadership and financial literacy. Peer champions are identified to represent their LSCs in LGA-level Girls'

platforms. M4D also aims to facilitate collaboration between CBOs and LSCs/Girls’ platforms and builds the capacity of SPs and PMs to strengthen capacities and willingness to respond to AGs’ demands.

In the short term, it is envisaged that these activities enable LSCs to discuss and prioritise their needs and demands, which are then represented by their peer champions in the Girls’ platforms. It is envisaged that the peer champions engage either directly with PMs and SPs by making demands of them or engage with CBOs, who take their demands upwards. In the medium term, it is envisaged that this will lead to PMs and SPs logging the girls’ demands, considering them in their planning and eventually responding to them. Ultimately, this will then lead to better access to, use of and satisfaction with improved basic services, particularly for marginalised groups.

Micro-ToC diagram:



Research objectives

The research question for this case study was defined as follows:

How can LSCs promote basic service delivery and accountability?

The study focuses on output-to-outcome and outcome-to-impact causality, examining to what extent, and how, M4D support to LSCs and AG platforms has contributed to: (a) the engagement of adolescent girls in governance processes; and (b) changes in the delivery of basic services as a result of changes in the engagement of adolescent girls.

The specific areas of investigation include:

1. To what extent are LSCs and Girls' platforms functional?
2. What are the barriers to involving girls (e.g. cultural attitudes)?
3. What are examples of good practices of girls' engagement?
4. Are LSCs and Girls' platforms effective in promoting equitable basic service delivery and accountability, thereby resulting in PMs and SPs addressing the particular needs of AGs?
5. To what extent are these approaches effective? Does M4D address constraints to non-M4D communities that seek to replicate them?
6. To what extent can these models be sustained over time, institutionalised locally or scaled?

Case study 4: The effectiveness of the better-fit approach in promoting improved basic service delivery and accountability

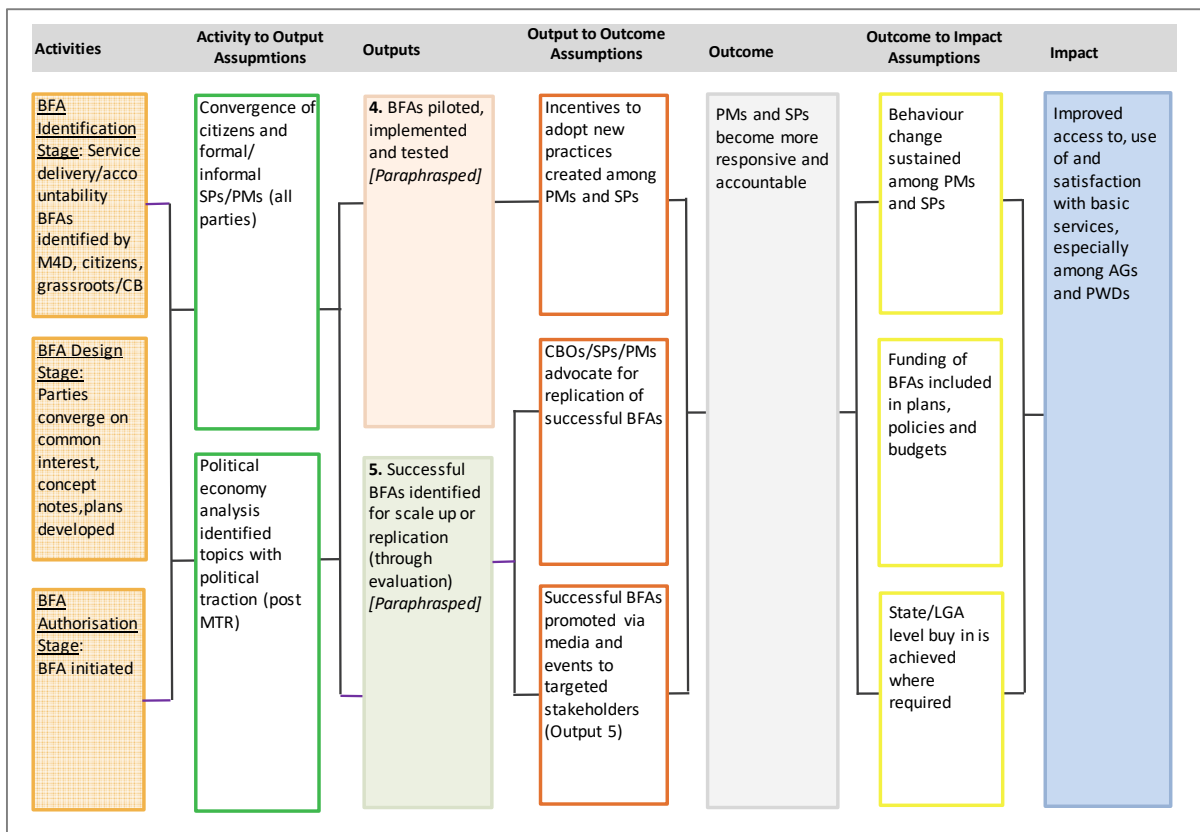
Research Topic: To what extent are BFAs promoting basic service delivery and accountability and how sustainable, replicable and scalable are they?

Micro-ToC summary:

M4D works with communities, grassroots organisations/CBOs, PMs and SPs to identify BFAs to problems in service delivery and accountability at the LGA level. BFAs can be programme or community initiated and identified by any stakeholder party (M4D, citizens, PMs/SPs). BFAs go through a process of 'convergence' that aims to ensure that common interests are shared between citizens and all stakeholders involved. M4D then facilitates the development, implementation, evaluation and advocacy of BFAs in collaboration with targeted stakeholders.

By demonstrating the success of the BFAs in the short term, it is envisaged that those BFAs will then be replicated or scaled up in other LGAs where similar service delivery and accountability problems exist. By directly engaging citizens and stimulating engagement with PMs and SPs on BFAs to address common issues and foster buy-in, it is envisaged that PMs and SPs will become more responsive and accountable to citizen needs. Improved responsiveness and accountability through demonstrable BFAs will, in the long term, lead to better access, use of and satisfaction with basic services for citizens, including marginalised groups.

Micro-ToC diagram:



Research objectives

The research question for this case study was defined as follows:

To what extent are BFAs promoting basic service delivery and accountability and how sustainable, replicable and scalable are they?

Specific areas of investigation are:

- The effectiveness of M4D’s BFA strategy and how it leads to replication and scaling-up.
- The factors that lead PMs and SPs to respond to citizens’ demands.
- The mechanisms through which improvements in accountability and responsiveness lead to improvements in basic services, especially for marginalised groups.

This study has both a summative and developmental purpose. In summative terms, the objective is to assess what M4D has achieved so far and provide a baseline against which to evaluate change. In developmental terms, the objective is to provide guidance to the programme to enable M4D to adapt and improve during its implementation phase. The study will also establish links between other evaluation questions to enable the synthesis of findings across case studies as part of the preparation of learning briefs.

Referring to Output 4’s micro-ToC, there are three phases of causality Output 4 aims to achieve which directly contribute to the core elements of M4D’s ToC from the activity to impact level. This study explores these phases by addressing the specific research questions set out below.

Phase 1: Activity to output causality

- How does the BFA identification and design stage lead to convergence and improved political traction?
- How are the needs of marginalised groups (AGs and PWD) accounted for during the development and implementation of BFAs?

Phase 2: Output to outcome causality

- How does the BFA process lead to increased responsiveness and accountability among SPs and PMs?
- What are the incentives for SPs and PMs to change their behaviour and how does the BFA process affect these?

Phase 3: Outcome to impact causality

- Are increases in accountability and responsiveness leading to improvements in service delivery, and in the process overall?
- How do improvements in service delivery BFAs reach marginalised groups (AGs and PWD)?
- How does M4D's communication, advocacy and dissemination activity support replication and scale-up of successful BFAs?

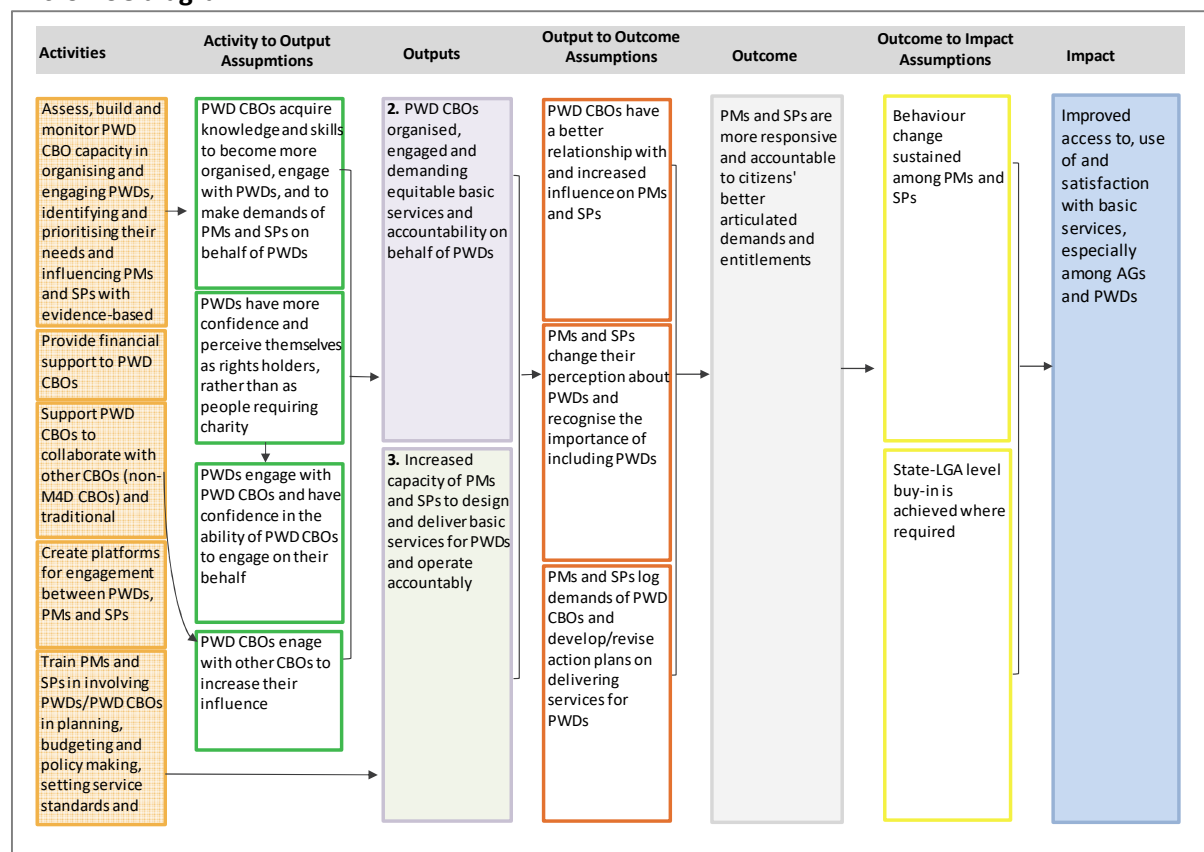
Case study 5: The effectiveness of M4D's support to people with disabilities

Research Topic: How effective has M4D's support been to people with disabilities? What factors encourage or inhibit the adoption of the social model of disability?

Micro-ToC summary: M4D selects PWD CBOs, assesses their capacity through the participatory self-application of the Community Dialogue Action Scorecard (CDAS), and provides training and mentoring support where needed. This enables the CBOs to engage PWD in the communities and helps PWD identify and prioritise their needs so the CBOs can then engage with PMs and SPs on behalf of their constituency. M4D also provides financial support to PWD CBOs to catalyse efforts and supports them in working with other CBOs to increase their influence. M4D also provides capacity building to PMs and SPs and creates platforms for PWD CBOs, PMs and SPs to engage with one another. M4D's intention is that this support increases the capacity of PWD CBOs to work effectively and influence PMs and SPs with evidence-based demands.

M4D's capacity-building support to PMs and SPs is intended to enable them to better design and deliver basic services for PWD, as well as change discriminatory attitudes towards PWD. For PMs and SPs to recognise the importance and value of engaging PWD is intended to promote their pro-active engagement with them to log their demands and develop and revise action plans to deliver services to them. This should lead to the increased responsiveness and accountability of PMs and SPs to PWD's better articulated demands and entitlements. Mechanisms such as laws and financial agreements are introduced to sustain responsiveness and accountability, which ultimately improves access to, use of and satisfaction with basic services.

Micro-ToC diagram:



Research objectives

The research question for this case study was defined as follows:

How effective has M4D’s support been to people with disabilities? What factors encourage or inhibit the adoption of the social model of disability?

The study focuses on output-to-outcome and outcome-to-impact causality, examining to what extent, and how, M4D support to PWD has contributed to: (a) the engagement of PWD in governance processes; and (b) changes in the delivery of basic services as a result of changes in the engagement of PWD.

The specific areas of investigation include:

- To what extent has M4D made a contribution to PWD CBOs acquiring knowledge, skills, and capacity to become more organised?
- How have PWD CBOs contributed to changes in the way PWD participate in governance processes and what is M4D’s contribution in this?
- To what extent have PWD CBOs made demands of SPs and PMs on behalf of PWD and how has M4D contributed to enabling them to do this?
- How has the engagement of PWD CBOs influenced government plans and resources to reflect the needs of PWD?
- How does the engagement of and support provided to PWD CBOs contribute to increased responsiveness and accountability among service providers and policy makers?
- How do increases in accountability and responsiveness lead to improvements in service delivery for PWD?
- Is PWD access to, use of and satisfaction with basic service improving? Is it reasonable to conclude that M4D has contributed to this?

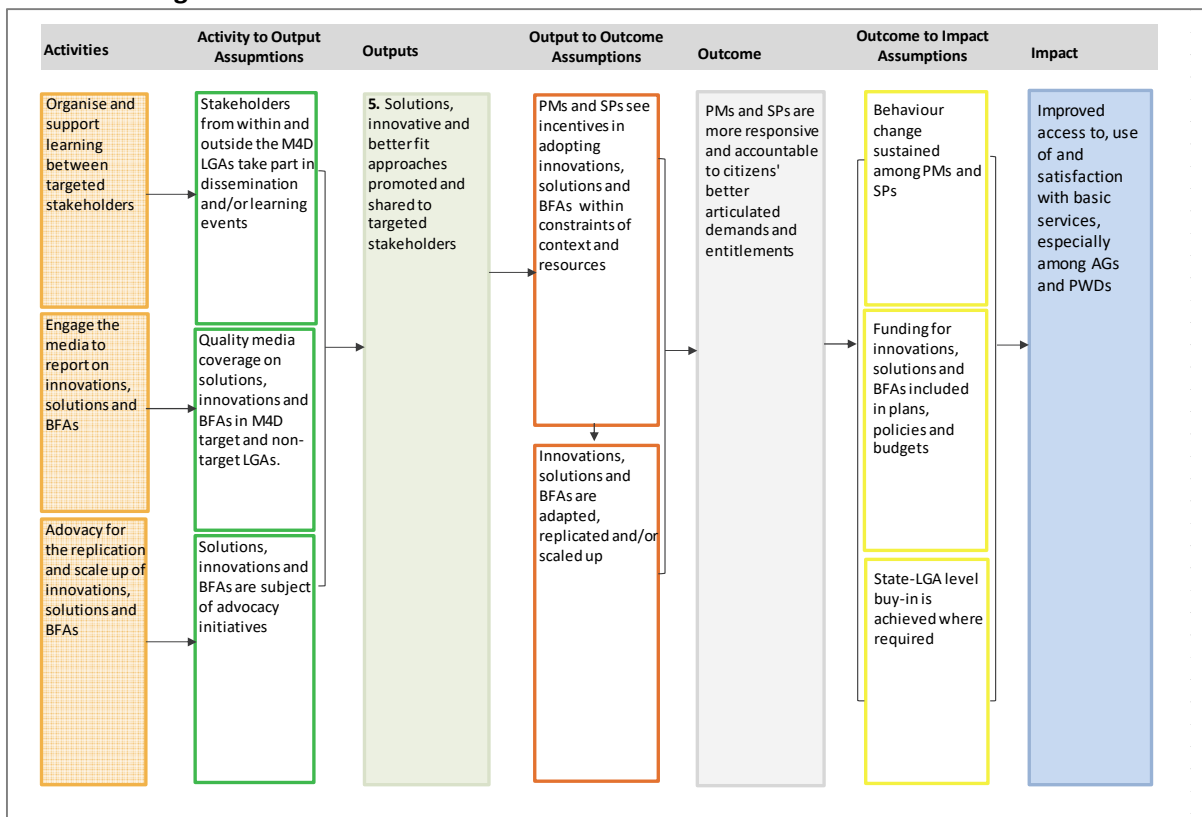
Case study 6: The effectiveness of M4D’s overall strategy in ensuring replication and scale-up of successful initiatives

Research Topic: How effective is M4D’s overall strategy in ensuring replication and scale-up of successful initiatives in both M4D and non-M4D LGAs?

Micro-ToC summary: M4D aims to promote and share successful solutions, innovations and BFAs to targeted stakeholders including communities, grassroots organisations/CBOs, PMs and SPs. The programme seeks to identify successful initiatives for replication and scale-up, and support learning and dissemination with targeted stakeholders from within and outside M4D’s target states. Advocacy activities that are facilitated between stakeholders and wider media advocacy efforts are intended to promote and raise awareness for replication and scale-up.

By demonstrating the successful initiatives to targeted stakeholders in the short term, it is envisaged that those stakeholders will be incentivised to replicate or scale-up in other LGAs where similar service delivery and accountability problems exist. By directly engaging citizens and promoting successful initiatives with PMs and SPs to address common issues and foster buy-in, it is envisaged that PMs and SPs will become more responsive and accountable to citizen needs. Improved responsiveness and accountability through sustained replication and scale-up will, in the long term, lead to better access, use of and satisfaction with basic services for citizens, including marginalised groups.

Micro-ToC diagram:



Research objectives

The research question for this case study was defined as follows:

How effective is M4D’s overall strategy in ensuring replication and scale-up of successful initiatives in both M4D and non-M4D LGAs?

Specific areas of investigation are:

- The effectiveness of M4D's strategy and how it leads to replication and scale-up.
- The factors that encourage PMs and SPs to adopt and replicate M4D approaches without M4D's support.
- How M4D's communications support replication and scale-up.

This study has both a summative and developmental purpose. In summative terms, the objective is to assess what M4D has achieved so far and provide an indicative baseline against which to evaluate change. In developmental terms, the objective is to provide guidance to the programme to enable M4D to adapt and improve during its implementation phase. The study will also establish links between other evaluation questions (EQs) to enable the synthesis of findings across case studies as part of the preparation of learning briefs.

Referring to Output 5's micro-ToC, there are three phases of causality Output 5 aims to achieve which directly contribute to the core elements of M4D's ToC from activity to impact level. This study explores these phases by addressing the specific research questions set out below.

Phase 1: Activity to output causality

- To what extent have successful solutions, innovations and BFAs been promoted and shared with targeted stakeholders through learning and advocacy activities in M4D and Non-M4D locations?
- How have M4D's efforts to engage media led to improved coverage and promotion in M4D and non-M4D locations?

Phase 2: Output to outcome causality

- To what extent have the solutions, innovations and better-fit approaches the M4D programme supports, contributed to convincing policymakers and service providers that change is possible within the constraints of context and resources?
- How does the sharing and the promotion of solutions, innovative and better-fit approaches through M4D's communication work, contribute to increased responsiveness and accountability among service providers and policy makers?
- To what extent have solutions, innovative and better-fit approached been replicated and scaled up and how has M4D contributed to this?

Phase 3: Outcome to impact causality

- How has the replication and scale-up of solutions, innovative and better-fit approaches affected citizens' access to, use of and satisfaction with basic services?
- How do increases in accountability and responsiveness related to the adoption of solutions, innovative and better-fit approaches contribute to improvements in service delivery?

Case study 7: Processes of accountable and responsive governance supported by M4D that are likely to continue without external assistance

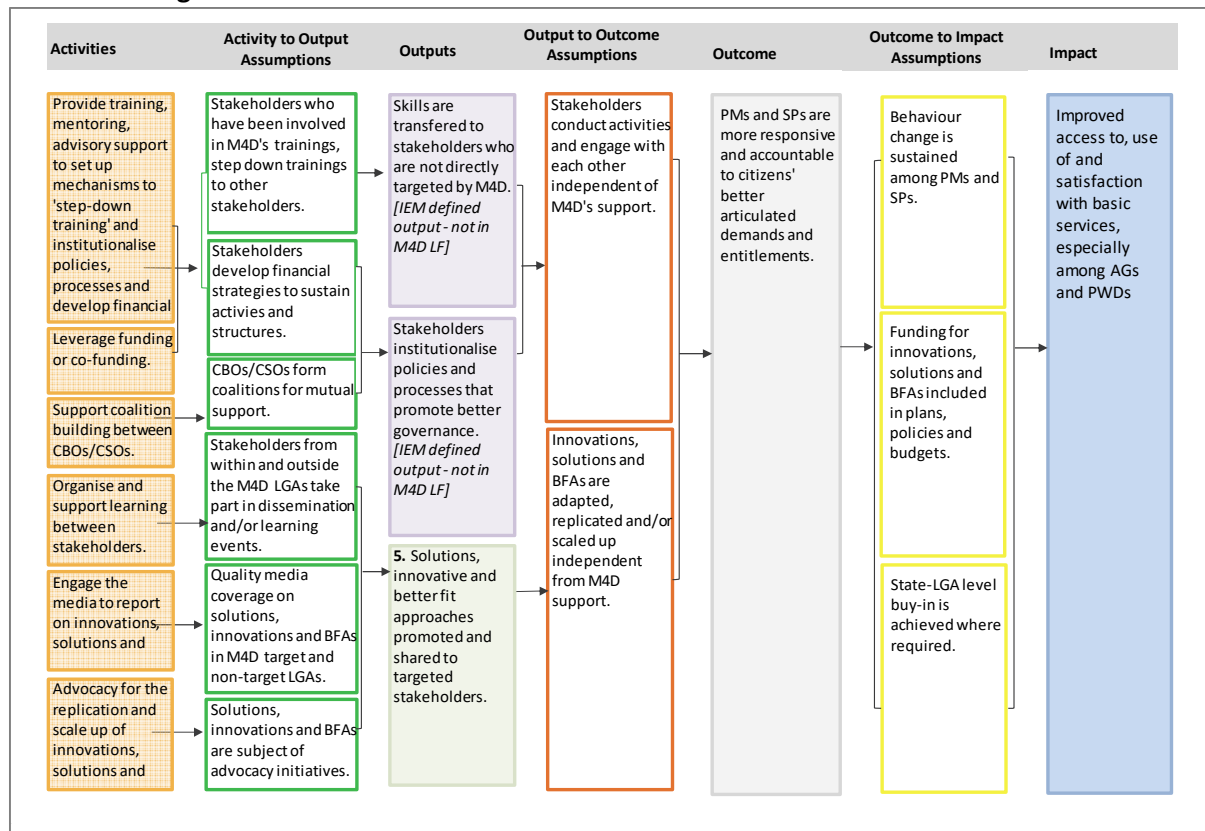
Research Topic: What processes of accountable and responsive LG supported by M4D are likely to continue without external assistance?

Micro-ToC summary: M4D employs sustainability strategies to incentivise a change in behaviour among targeted stakeholders (e.g. CBOs, SPs, PMs) and independent/proactive engagement between supply and demand side. It is expected that this will ensure that improvements in government responsiveness and

accountability are sustainable and ultimately improve services for citizens, including marginalised citizens, on a long-term basis.

M4D introduced various funding modalities in an attempt to prevent dependency among the CBOs and SPs/PMs and to ensure that the stakeholders were able to themselves leverage sufficient funding for the continuation of M4D-related activities. It was also recognised that it was not enough to train current LGA and CBO leaders, as this may result in sustainable outcomes being too heavily reliant on those individuals with whom M4D engaged directly. Instead, M4D promoted ‘step-down trainings’ within and between CBOs and government institutions to ensure that the capacity of organisations was increased rather than simply that of targeted individuals. They also trained local stakeholders on Political Economy Analysis (or ‘Power Mapping’ as it is referred to by the programme), which helped CBOs build coalitions and strategic partnerships, target key influencers and ensure government buy-in.

Micro-ToC diagram:



Research objectives

The research question for this case study was defined as follows:

What processes of accountable and responsive LG supported by M4D are likely to continue without external assistance?

This study has both a summative and developmental purpose. In summative terms, the objective is to assess what M4D has achieved so far and provide a baseline against which to evaluate change. In developmental terms, the objective is to provide guidance to the programme to enable M4D to adapt and improve during its implementation phase. The study establishes links between other evaluation questions (EQs) to enable the synthesis of findings across case studies as part of the preparation of learning briefs.

This study explores the following research questions:

Phase 1: Activity-to-output causality

- How has M4D contributed to sustaining introduced structures and acquired skills by their partner organisations (i.e. CBOs, PWD CBOs, Girls' platforms, LSCs, PMs and SPs)?
- How have M4D used their financing modalities in a way that did not create dependencies and expectations for future funding?
- How and why have M4D partners engaged with each other proactively and independent from M4D's support

Phase 2: Output-to-outcome causality

- How and why are changes in responsiveness and accountability among SPs and PMs tied to particular M4D initiatives?
- How and why are changes in local governance supported by M4D creating incentives for changed behaviour among policy makers and service providers?
- How and why are M4D's approaches, solutions, and innovative and better-fit approaches applied outside of/independent from the programme?

Phase 3: Outcome-to-impact causality

- How is citizen's access to, use of and satisfaction with basic services improving due to changes in PMs and SPs behaviour beyond the implementation of specific M4D funded approaches?

Case study 8: Key influencing factors that contribute to improvements in local governance and the success of the M4D programme

Research Topic: What other factors, independent of M4D's programme, are contributing to improvements in local governance? Which features of the local context contribute to the success of M4D's intervention?

Micro-ToC summary:

No micro-ToC was prepared for case study 8. Instead, the case study explores what other explanatory factors/rival explanations (e.g. socio-economic factors or other interventions) are evident within the different causal pathways within the M4D ToC.

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