DFID- CAFOD Programme Partnership Arrangement

Mid-term Independent Progress Review

Final Report

Contents

Annexes Attached Separately

Acronyms

ADO	Accountability Development Officer
AIDS	Acquired immunodeficiency syndrome
AME	Asia / Middle East
ART	Antiretroviral therapy
BOND	UK membership body for NGOs working in international development
CAP	Community action plan
CCA	Climate Change Adaptation
CHH	Child-headed household
CHE	Community Health Educator
CHM	Complaints Handling Mechanism
CLT	Corporate Leadership Team
CRDP	Country Resource Development Plan
CSD	Country Strategy Development
CSO	Civil society organisation
CSP	Country Strategy Paper
DAC	Division of Advocacy & Communications
DFID	UK Department for International Development
DRR	Disaster risk reduction
EIA	Environmental Impact Assessment
FBO	Faith-based organisation
FHH	Female-headed household
HAP	Humanitarian Accountability Partnership
HH	Household
HIV	Human immunodeficiency virus
HVCA	Hazards Vulnerabilities Capacity Assessments
IDUs	Injecting drug users
INGO	International non-governmental organisation
INTRAC	International NGO Training and Research Centre
IPDF	International Programme Development Fund
IPR	Independent Progress Review
ILT	International Leadership Team
J1W	"Just One World" [CAFOD's Strategic Framework]
LAC	Latin America and Caribbean
MARPs	Most at-risk populations
MDGs	Millennium Development Goals
MHH	Male-headed household
MSM	Men who have sex with men

NGO	Non-governmental organisation
NRM	Natural resource management
OVC	Orphans and vulnerable children
PCM	Programme Cycle Management
PEU	Programme Effectiveness Unit
PLHIV	Person(s) living with HIV
PLT	Programme Learning Team
POA	Partner Organisation Assessment
POP	Partner Organisation Profile
PPA	Programme Partnership Agreement
PRP	Protracted Relief Programme (Zimbabwe)
PWD	People living with disabilities
SRI	Stigma Reduction Initiative
ToC	Theory of Change
ToR	Terms of Reference
V&A	Voice and accountability [tool]
VFM	Value for money
VIA	Vulnerability & Inequality Analysis [tool]
VMV	Vision, mission and values

Acknowledgements

Executive Summary

The Catholic Agency for Overseas Development (CAFOD) is the official development and humanitarian relief agency of the Catholic Church in England and Wales, and is part of Caritas International. With an annual income of approximately £60m, it works alongside people of all faiths and none, and with more than 480 partners in over 40 countries across the world to end poverty and injustice.

DFID's Programme Partnership Arrangements (PPAs) are agreements between DFID and organisations in whose development results they have confidence and to whom they wish to contribute strategically. CAFOD's current PPA is for three years starting in April 2011, with a provisional allocation of approximately £4.2 million. This provides unrestricted support to CAFOD's corporate strategic objectives as articulated in Just One World.

The purpose of this Independent Progress Review is to verify and supplement CAFOD's reporting to DFID, assess its action on DFID's feedback, evaluate the difference that DFID funding has made to CAFOD and assess its value for money. It will be used as a key tool in CAFOD's 18-month PPA performance assessment process. The scope of the evaluation is organisation wide given the unrestricted nature of the support.

The Review has been guided by the evaluation questions as outlined in the Terms of Reference provided by CAFOD, and guided by DFID/Coffey. These relate to relevance, efficiency, effectiveness, sustainability and results. The design of the evaluation was also informed by a conceptual framework which includes four main areas: Results, additionality of the investment; value for money and the added value for DFID of the PPA with CAFOD. The evaluation team used this conceptual framework and took a contribution analysis approach for assessment of additionality. Interviews, workshops and document review were the main methods of data collection. The team also conducted country visits to two countries, Zimbabwe and Kenya to test some of the findings at country and project/ partner levels.

The unrestricted nature of the PPA has posed methodological limitations which include managing the depth and breadth of the review as well as attributing change to the PPA. The team has managed this through using a team with diverse expertise and adopting an approach that focuses on assessing plausibility of contribution rather than testing attribution.

The team have looked at PPA and organisational results, the additionality of the PPA, a value for money assessment and finally the added value of the PPA. A summary of findings under each of these headings has been outlined below followed by some conclusions and recommendations.

PPA and organisational results

CAFOD has clearly invested time and effort into ensuring that the PPA logframe is reported against effectively using data, which it acknowledges is not perfect, but which the IPR team feels is reasonably robust. The IPR team concur with the results as presented in the logframe to DFID and find that the different thematic areas are largely on track to deliver against their projected outcomes.

There are some particular areas of good practice that are worthy of note around the development and use of monitoring tools (the Voice and Accountability Tool, the Quality of Life Tool). There are also some areas of good practice around the sectoral work, specifically the integration of DRR across CAFOD, the HIV programme and the roll out of the Stigma Reduction Initiative. Beyond the PPA

reported outcome areas, CAFOD also contributed to development results in 2011/12 through its humanitarian work, advocacy and development education work.

Relevance

CAFOD is committed to working with, and for the poor and most disadvantaged across its programmes and aims to do this using three main approaches. The first one of supporting organisations that are "locally rooted" does indeed hold true for some partners, but not for all and the IPR team challenge the assumption that being locally rooted results in more relevant programmes. The IPR team also found that needs assessments are not systematically conducted in the areas of work, and that it is mostly the partners who are responsible for doing this. CAFOD supports partners to do this through the accompanier model. There was some evidence that the use of tools such as the HIV Care Mapping Tool, Hazard Vulnerability Capacity Assessment and Voice and Accountability tools have contributed to ensuring that partners and programmes remain appropriate and relevant to the needs of poor and disadvantaged groups.

Evidence as to whether targeting the very poor and most disadvantaged is achieved or not is mixed, with examples of working with and for specific groups of people who could be categorised as poor and most disadvantaged and examples where there is a specific strategy to focus on different categories of poor (such as the DFID funded livelihoods programme in Zimbabwe which includes a social protection programme for the very poor as well as support for the less poor). There is some disaggregation in the PPA logframes which implies targeting of female headed households as well as male headed households. PPA reporting process itself has helped CAFOD targeting strategy in relation to developing gender disaggregation of PPA outcomes/output indicators at partner and project levels.

Effectiveness

CAFOD's distinctive offering can be summarised as its holistic approach to development, its faith identity and its partnership-based approach. The IPR team have found that the holistic approach is appropriate for the communities that CAFOD works with, and is reflected in the projects visited in the field which although may be labelled (for example) "livelihoods" could be working on HIV, Water and Sanitation, health and education. CAFOD's faith identity has the potential to, and does add value to CAFOD's work. It can be used as an entry point to communities and decision makers. The non NGO status of the church also enables CAFOD to work in areas and on subjects that other NGOs may not be able to work. However, it is noted that half of CAFOD's partnerships are Catholic based.

The partnership-based approach is at the core of CAFOD's theory of change. A key element of this is to develop the capacity of partner organisations so that they are both more sustainable and deliver higher quality development outcomes. This is done through a number of method and approaches including: accompaniment, training and exchange visits. There are positive examples of capacity building across all of these. There is however no organisational or country level summary that presents a picture of the extent to which the partners that CAFOD are working with are becoming stronger.

CAFOD is committed to learning and there is evidence of both internal and external learning. Internally, there has been investment and effort to ensure that staff learn; however the tools are not always fit for purpose – specifically Webpromise - and demanding workloads mean that making time for learning is challenging. There are a number of examples of thematic learning such as the Community of Practice around HIV. Others, such as livelihoods and gender communities of practice do not function to the same extent. CAFOD has contributed to sector-wide learning during the course

of the PPA through the PPA Learning Partnerships and has played a leading role in the Empowerment and Accountability, Resilience and Institutional Effectiveness groups.

CAFOD's monitoring and evaluation systems and processes have changed and improved since 2005. There has been a development and scale up of monitoring tools in collaboration with partners and these have been used in the PPA reporting. The benefits of the evaluation policy are filtering through. There is some evidence that M&E is leading to changes at the project level – for example the HIV monitoring tools have been useful for enabling staff and partners to identify gaps in programming. However, the PCM process seems to be creaking under the weight of data, tools, and reporting requirements, and is still geared more towards the traditional grant making model. Institutionally funded projects are monitored more rigorously than those supported by general funds, except where the latter contribute to PPA or Match-Fund results frameworks. There is clearly more work to be done by CAFOD in improving its monitoring systems.

CAFOD has recently increased its investment in innovation, and programmes are taking the opportunity to take risks and invest in different projects. There is some anecdotal evidence that the Innovation Fund is contributing to learning. There is also some evidence that CAFOD partners and programme staff are using learning from the application of monitoring tools in their programme design.

Sustainability

The IPR team looked at sustainability from three perspectives: the sustainability of CAFOD organisational change processes (from the PPA investment), the sustainability of CAFOD's partners (from CAFOD's investment) and the sustainability of the change at the project level (from partner's investment). The sustainability of change processes in CAFOD was on the whole considered positive, specifically: the programmatic approach; investing in long term partnerships and innovation. Others are considered less sustainable such as CAFOD's involvement in the PPA Learning Groups which is dependent on PPA sponsorship. That said, the impact in terms of learning and collaboration as a result of the relationships between individuals and agencies are likely to continue.

Unlike some other similar sized organisations, CAFOD does not set clear time limits on its partnerships. However, the fact that some have become stronger organisations, some are embedded in local and national context, and that they work closely with governments would imply that they were sustainable entities.

A rapid assessment of 5 Evaluations provided to the IPR team found that the extent to which the project outcomes for beneficiaries were considered sustainable was positive with just one being unsustainable.

Efficiency

The fact that CAFOD has been awarded PPA funding itself indicates a level of confidence within DFID that CAFOD has the relevant processes, systems, staffing and practices in place to deliver value for money over the life of the PPA. Furthermore, the findings of an external review by MANGO appear largely to endorse this view of CAFOD developed by KPMG/DFID during the PPA appraisal. MANGO's report does not identify any significant uncontrolled risks to value for money, but it does, however, flag a number of opportunities within existing decision-making processes for a more explicit approach to analysing value for money.

The IPR team findings support the view that CAFOD takes the issues of value for money and how to evidence it seriously, with significant internal debate and specific initiatives in-hand. Moreover,

while the PPA has certainly provided additional stimulus, the motivation for this interest appears to come from within CAFOD itself, as a part of its approach to on-going organisational development.

That said, the extent to which value for money is explicitly considered in resource allocation decision-making appears to declines as one moves down through the organisation. There are two observations in particular:

- Firstly, systematic reviews are not routinely undertaken as part of the regional and country resource allocation process. Allocation of resources to and within country programmes appears largely driven by historical precedent, with only limited justification requirements and challenge;

- Secondly, the extent to which performance and cost data are used in combination to inform decision-making at regional and country level could be strengthened, notwithstanding ad hoc initiatives such as the Action for Better Governance project.

There are some areas that require attention in order to demonstrate value for money. These relate mainly to understanding the cost implications of different approaches in order to achieve outcomes in specific contexts. As demonstrated from the attempt to adopt a cost model of value for money as part of this IPR, there are many variables which make this challenging. However, it is the view of the IPR team that building up a picture would provide CAFOD with a deeper understanding of what it considers value for money.

Attributable impacts of PPA funding on results, relevance, effectiveness and efficiency

Results – The PPA has been invested in International programmes as well as broader organisational programmes, and an assessment of the PPA logframe achievements show that they are on track to deliver results. There is therefore an indirect link, and it can be deduced that the PPA has contributed to CAFOD's delivery of development results. If a more direct investment (through restricted funding) had been made to programmes, it could be argued that there would be a greater quantity of results. However, factors of sustainability, quality of results and who these results are benefiting must be considered also. It is the assertion of the IPR team that for the reasons outlined above; the PPA funds have and will continue to improve the quality and quantity of results across the organisation.

Relevance – The PPA has not directly impacted on relevance, although there is some evidence that the tools that are used for reporting against the PPA have enabled partners to consider relevance in their programming. The reporting has also led to greater attention to disaggregation of data.

Effectiveness - The unrestricted nature of the PPA has enabled CAFOD to invest in partnerships over the long term to enable partners to scale-up in terms of both quality and scope of their programmes. It has also enabled CAFOD to invest in the core costs of partners which has contributed to their sustainability. The PPA has provided funds and impetus to increase investment in innovation and learning and the PPA investment is linked with specific initiatives such as the PPA Learning Forums and the recently commissioned value for money review. The PPA has acted as a catalyst and a driver for certain organisational change processes such as improving monitoring systems, developing and investing in monitoring tools and ensuring a reasonably good coverage of using the tools to report against the logframe to DFID. The PPA has also enabled CAFOD to deliver greater and better quality results through partners for poor and disadvantaged people.

Efficiency – the unrestricted PPA modality in itself is an efficiency gain as requires relatively little setting up of parallel systems, and there is some evidence that the use of core funds has enabled leveraging of other funds (for both CAFOD and partners). It has also acted as a catalyst for considering and analysing issues relating to efficiency and value for money.

Impact and Value for Money of the PPA Funding

The PPA investment in CAFOD has represented value for money for DFID due to the modality and CAFOD's approach and way of working. The unrestricted nature of the PPA funding model has enabled CAFOD to invest in longer term partnerships and invest in projects or initiatives that may otherwise have been overlooked. It has enabled leveraging of funds for both CAFOD and partners which would imply a high element of value for money. The PPA has acted as a catalyst and a driver for certain organisational change processes such as improving monitoring systems, developing and investing in monitoring tools and ensuring a reasonability good coverage of using the tools to report against the logframe to DFID. The PPA has also enabled CAFOD to deliver greater and better quality results through partners for poor and disadvantaged people.

Some of the ways in which CAFOD has provided value for money include:

- *Stronger Southern CSOs* – the review has found evidence that some CSOs are stronger as a result of CAFODs work. This is not, however systematically tracked across the board and the review team are unable to present a definitive picture of the extent to which Southern CSOs are stronger.

- *Partners working for very poor* – the review has found some evidence that partners are working with and for the benefit of the very poor such as orphans and vulnerable children in Zimbabwe, pastoralists in Kenya and the elderly in Cambodia. There is also evidence that appropriate levels of needs assessment, analysis and monitoring of the extent to which partners are working for the very poor are not consistent across the programmes making presenting a definitive judgement of this challenging.

- *Greater understanding of international development issues* – there is evidence that CAFOD has contributed to sectoral discourse. An example is the work on measuring results for Empowerment and Accountability that CAFOD has led on as part of the PPA Learning Groups

- *CAFOD influences agents of change* – there is evidence that CAFOD works closely with the church and some of its organisations (e.g. CARITAS) and that they have helped influence policy dialogue and projects. An example of this is the work done in Swaziland where political leaders of the main opposition parties were brought together in order to promote tolerance and commit to working strategically and to reducing inter party conflicts.

- *Reach due to the relationship with the Church* – there is some evidence that the church capillary system is significant, particularly in emergency situations. Evidence of the benefits were noted in Zimbabwe and South Sudan.

- *There are also examples of CAFOD using innovative approaches across the organisation* (not linked to a specific fund) such as: the development of some of the monitoring tools; the Stigma Reduction work; some of the advocacy work and engaging with Bishops to work on Peace initiatives.

Recommendations

For Country Teams and the Programme Effectiveness Unit:

1. CAFOD should build on the CSP roll out process and:

    a. Develop high level results frameworks (at sector or country programme level) which help to summarise delivery across the whole programme. This would focus on areas such as **reach, capacity building** (including information about modality such as accompaniment, training, partnering etc), and indicate how the

country programme is delivering results at **household, local, national levels (split by service delivery and structural change)**. If appropriate the sector results frameworks would include results relating specifically to the sector (such as knowledge and attitudes on HIV, food security etc.)

b. Conduct **Country Programme Evaluations** every two to five years to fit in with the life-span of the CSP. These should be conducted by a team of at least two who are external to the programme. However the team may consist of senior staff from other country programmes or London. This will provide an opportunity for a closer review of planned and actual work. It is recommended that this process starts immediately as part of the CSP roll out process or once the pilot phase is complete, i.e. from April 2013.

2. Clarify **the minimum standards** necessary for partnership given CAFOD's core commitments (such as conducting Vulnerability and Inequality Assessments, clarifying target group, ensuring good monitoring and evaluation practice).

3. If working for poor and most disadvantaged people (and understanding their needs) remains a priority of CAFOD, it is recommended that the VIA tool is rolled out, is mandatory, and this roll out is adequately resourced.

4. If strengthening the capacity of partners continues to be a priority for some types of partnerships, ensure that the **objectives of the partnerships are clear and measures** are in place to monitor the success and cost implications of the different approaches (training, accompanier, learning events etc)

5. Agree what CAFOD's niche is and ensure that staff and partners have appropriate skills and resources to develop this. For example if supporting partners to be stronger and deliver better programmes (through for example capacity building or accompaniment) is corporately agreed as the niche, ensure that the programme staff are appropriately skilled to do this.

For Corporate Leadership Team

6. **Continue to develop the partnership policy or statement as soon as possible**. This should include clear indications of what the underpinning theory of change is, what is expected from CAFOD and what is expected from the partner. The partners need to be segmented to do this – and the different types of partners/partnerships potentially require a different theory of change/model of working with them.

7. **Accelerate some of the really important processes** that are currently underway (specifically the CSP roll out) through a heavy front loaded investment. These include: new CSP roll out; developing country level results frameworks and periodic reviews; clarifying partnership model, policy and framework and testing this across the different programmes. This will help ensure a greater programmatic approach with a focus on specific groups, provide clarity on the modes of working, as well as enable country teams to draw inferences on what is working well, where, why and for whom.

8. The extra work and importance of country staff and partners engaging with the CSP process is recognised and as such should be **adequately staffed and resourced** to ensure that it is done to an equal standard across the countries (and that the CSP guidance is consistent with other policies and processes)

9. Start developing a **model that tracks costs** for different types of programmes, outcomes and partnerships. Review this periodically to see whether there are any general patterns arising. This should be tested at the country level to ensure that data is relevant, but learning and inferences could be drawn both at country and corporate levels. This would

help CAFOD to understand what modalities of support and programme design work well (value and outcome) and what level of investment may be required in different contexts. One way to do this could be to structure budgets according to outcomes to allow clearer line of sight between costs and outcomes.

10. Given the increasing demands that are going to be made on country programme staff, and the assumption that quality will be maintained and increased, **a review of whether the country programmes are being adequately resourced should be conducted**. If the countries cannot be appropriately resourced to deliver against expectations, CAFOD should consider reducing the spread of countries it works in and partners it works with. It is noted that a country focusing process has already recently taken place.

For DRR thematic area:

11. The IPR team would echo the recommendations of the DRR review to maintain the momentum of the integration, 'The impact of DRR activities are based on: 1) how they reduced the risk of and from disasters; 2) how they reduced the (potential) direct impact of disasters; **and** 3) how they reduced the expected recovery time in the event of a disaster. Linking all DRR outputs, outcomes and impacts to the three principle DRR objectives will assist CAFOD and partners conduct consistent assessments and reviews of DRR programmes and activities.' Furthermore, programmes that integrate DRR need to ensure a balance is maintained between opening up dialogue with various levels of government and building the community managed process.

12. It is felt that at this midterm point CAFOD may wish to introduce a different outcome indicator which more adequately reflects the particular focus of this thematic area of the logframe, namely 'Climate Change Adaptation and Hazard Risk Reduction'. Country Annual Reports are starting to provide evidence of the contribution of the HVCAs to how resilience has been built at the community level post-hazard. Perhaps a process or qualitative indicator could be used at the outcome level to better reflect the depth and quality of the DRR programming underway.

For the Livelihoods thematic area

- It is recommended that the Livelihoods Team revisit the ambition to group together "livelihoods programmes" in the light of the challenges associated with trying to group the numerous disparate projects under one theme. Finding a way to do this that captures the holistic and diverse nature of the support will enable the teams to be clear about results it is delivering.

For the Accountability thematic area

13. Reorganise how accountability is managed with partners as a long term project: The results of the accountability work (HAP minimum standards, complaints handling mechanism) have well exceeded milestones. To build on this success, CAFOD arguably needs to review (with a view to scaling up the investment in accountability work) the resources dedicated to managing this theme. Given the demand from partners and indeed the initial signs of success in building effectiveness amongst CAFOD teams and partners, additional resources could look to link up CAFOD teams and partners who could learn/support each other. The resources could also support country programme officers who may well be implementing the accountability work at the same time as implementing crucial project/programme activities. The resources could be deployed using the 'advocacy accompaniment' model to build on existing good practice and avert any delay in support to partners.

For Policy thematic Area:

14. CAFOD would benefit from an explicit statement to recruit more country programme staff with advocacy skills and in particular to support the development of advocacy skills in country programme managers. This would go a long way to building a coherent approach to building advocacy capacity in partners, who in turn provide the evidence to support other forms of advocacy (such as northern) within the organisation.

1. Introduction

The Catholic Agency for Overseas Development (CAFOD) is the official development and humanitarian relief agency of the Catholic Church in England and Wales, and is part of Caritas International. With an annual income of approximately £60m, it works alongside people of all faiths and none, and with more than 480 partners in over 40 countries across the world to end poverty and injustice.

DFID's Programme Partnership Arrangements (PPAs) provide approximately £360 million to international non-governmental organisations (INGOs) and civil society organisations (CSOs) and are part of DFID's overall strategy to alleviate poverty and promote peace, stability and good governance. The DFID results-based agenda demands a rigorous assessment of the effectiveness of funds disbursed to ensure that they are managed to provide value for money and impact.

The PPAs are agreements between DFID and organisations in whose development results they have confidence and to whom they wish to contribute strategically. DFID thus provides flexible funding for INGOs who have been vetted and selected through an assessment process which includes a proposal from the INGO, a business case developed by DFID, a due diligence assessment from DFID and an articulation of results which they are required to report against. Reporting is based on mutually agreed outcomes and performance frameworks against which grantees report on an annual basis. CAFOD's PPA reporting framework includes annual milestones and targets for work in livelihoods, disaster risk reduction (DRR) and HIV sectors, and for building capacity in civil society advocacy and downward accountability.

CAFOD's current PPA is for 3 years (April 2011 to March 2014) with a provisional annual allocation of £4,177,643. CAFOD has been in receipt of a PPA since 2001, with £8.9 million between 2001-2005, £11.1 million between 2005 and 2008 and £13.18 million between 2008 and 2011. These have all provided unrestricted support to CAFOD's corporate strategic objectives. They have represented no more than 10% of CAFOD's annual income.

1.1. Purpose of the Evaluation

The purpose of this Independent Progress Review is to verify and supplement CAFOD's reporting to DFID, assess its action on DFID's feedback, evaluate the difference that DFID funding has made to CAFOD and assess its value for money. It will be used as a key tool in CAFOD's 18-month PPA performance assessment process which will inform the allocations for the remaining 18 months. It will also feed into both the CAFOD and the PPA fund-level evaluation of the PPA in 2014.

1.2. Scope and Focus of the Evaluation

Given the unrestricted nature of the PPA investment, the scope of this evaluation has been organisation wide with a specific focus on the PPA logframe thematic areas, outcomes relating to the additionality of the PPA and also factors relating to value for money. These are all elaborated on in the methodology section below.

1.3. Organisation Context

CAFOD is the **official Catholic aid agency for England and Wales.** CAFOD is also the England and Wales representative of the global **Caritas** network, a federation of 170 international Catholic aid agencies. As a development agency of the Catholic Church, mandated by the Bishops' Conference of England and Wales, CAFOD draws on the heritage of Catholic Social Teaching and Scripture to inform its work.

The Strategic Framework **"Just One World"** (J1W) provides a framework for international programmes, development education projects, policy influencing and advocacy as well as fundraising and organisation development. It commits CAFOD and their partners to working with and for the benefit of the poorest and most disadvantaged communities. *Change*, *faith identity* and *partnership* are stated as being three inter-woven elements, which together define CAFOD's distinctive approach to achieving its four Strategic Aims. These include *increasing power and influence*; *promoting sustainable development*; *achieving peace, security and recovery;* and *building partnerships in the Catholic community*. Just One World also lays out a set of "priorities" for the International Programme, Advocacy Programme and work with the Catholic Community.

CAFOD sees its strength lying in its relationships with its **partners**[1], over 480 of whom they work with, in more than 40 countries across the world. How these partnerships have evolved and developed over the years is touched upon below. Its relationship with the Catholic community in England and Wales is based upon evidence of, as well commitment to, supporting these partners to reach the poorest and most vulnerable. The 2012 **income** for CAFOD was £61m, an increase of £5 from the previous year[2]. Approximately 50% of this is restricted funds and 50% unrestricted. Institutional funding is higher than ever before (up from £15m in 2008/9 to £21.3m[3] in 2011/12 and from 34% of overall income to 41% of overall income)[4]. Approximate grant disbursement by regions include £21.5m to Africa, £4.8m to Latin America and Caribbean (LAC) and £5.5m to Asia and the Middle East (AME). 78% of CAFOD's income is disbursed on international and emergency work, 11% on education, advocacy and campaigning and 11% on fundraising and governance costs. CAFOD's high level of voluntary income[5], gives it the ability to be flexible in the use of funds, and the PPA has added to this, with a total unrestricted income in 2011 of £29.6m. CAFOD places a high emphasis on the value of "stewardship".

> **Box 1: CAFOD's definition of Stewardship**
>
> CAFOD strives "to be good stewards of all the resources entrusted to us. We endeavour to be openly accountable for our work, transparent in our decision making, focusing on positive change through systematically evaluating our impact and effectiveness."
>
> Just One World

J1Wdoes not organise CAFOD's ambitions by sectors but, rather, acknowledges that the problems and solutions for poor people are multifaceted and diverse, and as such, CAFOD could be considered as a **generalist** organisation. Whilst offering expertise in a small number of technical sectors, CAFOD's primary aim is to support partners in developing the expertise, connections or other resources they identify as necessary to be effective in their own areas of operation and context. Despite this, CAFOD reports against the PPA along sectoral lines. The largest investment in grants by **sector** is work in Disaster Relief, followed by Sustainable Livelihoods[6], followed by Human Rights, HIV and advocacy. Sustainable Livelihoods, HIV and advocacy outcomes all have specific outcomes and outputs articulated and reported against in the PPA logframe.

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[1] Trustees Report and Financial Statement, 2012
[2] Trustees Report and Financial Statement, 2012
[3] Income trends for 10 years (internal document)
[4] Note that between 4% and 8% of this respectively was from the PPA – and therefore unrestricted
[5] in 2010/11 voluntary income was £33.6m
[6] This figure maybe higher than the actual as "Sustainable livelihoods" is used as a catch all by programme staff

CAFOD manages a decentralised budgeting system with a centralised treasury. In general, CAFOD has a hybrid management structure whereby some programmes are managed from overseas offices with support staff (such as East Africa Region), while other programmes are managed from the London office (such as the AME model of decentralisation).

Each region has evolved differently. Some are managed from London, others overseas. They are structured and grouped differently. East Africa includes 5 countries all bordering each other and managed from a Regional Office whilst Asia and Middle East includes 12 diverse countries ranging from Cambodia to Afghanistan with the Regional Manager based in London. Similarly, the nature of CAFOD's approach differs between countries and regions. Even within geographical regions, country offices vary – some are managed primarily from a regional office (e.g. Zambia) and others have a country office.

CAFOD's Change Agenda

The last 15 years have seen CAFOD change and professionalise in a number of ways that are significant to this and previous PPAs, some of which will be touched upon in this report. CAFOD has grown from a total income of £26.5m in 2001/02 to £60.1m in 2011/12[7]. The decentralisation process started in 1998 with the opening of an office in Nairobi, and since early 2000s CAFOD has shifted from being largely a grant-making organisation to one that works more programmatically with partners. More recently there has been investment in, and improvement of, aspects of the monitoring and evaluation system. Learning systems have been formalised by establishing Programme Learning team within the International Division (2008). Corporate tools and guidance for strategic planning have been introduced, as for example, there is now a "corporate position" and process before a national office is set up and a Supply Chain Management Process and Risk Management has been introduced. CAFOD has a corporate change process, which is being co-ordinated under a portfolio called *Building a Sustainable Future*.

Box 2: Building a Sustainable Future Achievements and Plan plans[8]

Phase 1 achievements mainly consisted of reviews such as the review of the Programme Effectiveness Unit (PEU) function, organisational analysis, financial and IT reviews. On top of this the International Division (ID) refocusing exercise was completed and finalised in April 2010 (resulting in the planned exit from 5 countries and actual from 1 country to date) and the launch of 'Evidencing Just One World.'

Phase 2 will see the development of a corporate theory of change, taking forward 'Evidencing Just One World', a review of strategic and corporate planning and a sustainable financial management model.

Programmatically, CAFOD has also developed over the period. It was awarded the Humanitarian Accountability Partnership (HAP) certification in 2009, and invested in improving and developing numerous tools, including the Voice and Accountability (V&A) tool which assists in building partners' capacity and monitors progress in advocacy, as well as tools for monitoring progress in HIV. More recently there has been an effort to articulate clearly its approach to partnership, drawing together and consolidating the work that comes under Sustainable Livelihoods as well as an increased corporate commitment to gender. The introduction of thematic reviews provides an example of how

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[7] Income trends for 10 years
[8] Highlights taken from Building a Sustainable Future Phase 2

CAFOD is thinking more organisationally. The introduction of Thematic Reviews is an example of the organisation wide thinking (such as the review of HIV and advocacy accompaniment).

1.4.   Logic and Assumptions

The logic and assumptions relating to the PPA was that it would support the delivery of the objectives articulated in J1W.

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Box 3: The Four Aims in Just One World

Aim 1: Increasing power and influence

Aim 2: Promoting sustainable development

Aim 3: Achieving peace, security and recovery

Aim 4: Building our partnerships in the Catholic Community

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CAFOD sees its primary role[9] as:

- Supporting the poorest and most disadvantaged in acquiring or accessing the skills, resources and opportunities required to manage and direct their own wellbeing and development.

- Offering relief and protection to those overwhelmed by poverty or disasters in ways that support them to achieve or regain the capacity to manage their own wellbeing and development.

- Seeking change in the systems and structures which cause the imbalance of power either through direct influence or by the example we set as a community and as individuals.

Key to this is CAFOD's commitment to the long term development of civil society, investing locally in the capacity of individuals and groups to be able to access and influence the resources, decisions and environment that affect their lives and those of their wider communities.

1.5.   Overview of PPA Funded Activities

CAFOD has selected to use the PPA funds which are currently £4.2m per year, to invest in its strategic aims as articulated in J1W. As such there are no specific activities that have been funded by the PPA or that can be isolated and directly attributable to the PPA. However it is CAFOD's belief that the strategic change process was supported by previous PPA funding and therefore indirectly contributes to the effectiveness of all international programming, policy influencing and development education work.

Based on the assumption that the improved organisational processes contribute to the delivery of results at the beneficiary level, CAFOD has elected to report against five outcomes as articulated in the logframe (Annex I). These include: Sustainable livelihoods, Disaster Risk Reduction (DRR), HIV and AIDS, Policy Influence and Accountability, as a subset of the objectives and priorities described in J1W. Furthermore, the evaluation team has drawn on inferences from the Additionality Report in the

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[9] Theory of Change Document Draft One – internal

PPA Annual Report as well as their own analysis to set out further areas the PPA has contributed to. This is elaborated on in further detail below.

1.6. Relationship of DFID PPA Funded Activities to Other Programme Activities

As noted above, CAFOD has used the PPA funds to support their strategic aims as articulated in Just One World. Therefore there are no specific PPA funded activities.

2. Evaluation methodology

This section outlines the methodology utilised by the evaluation team. The full inception report can be found in Annex B which provides more detail of the conceptual framework and Annex C which includes the analytical framework.

2.1. Evaluation Plan

2.1.1. Evaluation questions

The Evaluation Questions as outlined in the Terms of Reference provided by CAFOD (and guided by DFID/Coffey) were grouped under the DAC criteria of: relevance; efficiency; effectiveness; sustainability and results.

A full list of the Evaluation questions can be found in the Evaluation Matrix in Annex C.

2.1.2. Evaluation design

The Evaluation Design was informed by a conceptual framework that was developed to address the ToRs and purpose of the evaluation and agreed with CAFOD following the Inception Phase. It should be read in conjunction with the Evaluation Matrix in Annex C which was the main tool that the evaluation team used when collecting the information.

The conceptual framework for analysis includes four main areas:

- Results

- Additionality of the investment

- Value for money and

- Added value for DFID of the PPA funds

Within these four areas the evaluation questions and lines of enquiry responded to the five headings of: relevance, efficiency effectiveness, sustainability and results (see annex C).

The team looked at several levels, including: organisational level, country level and project/partner level. The conceptual framework below illustrates how the evaluation framework, units of analysis and focal points of assessment inter-relate.

Conceptual Framework for the PPA IPR
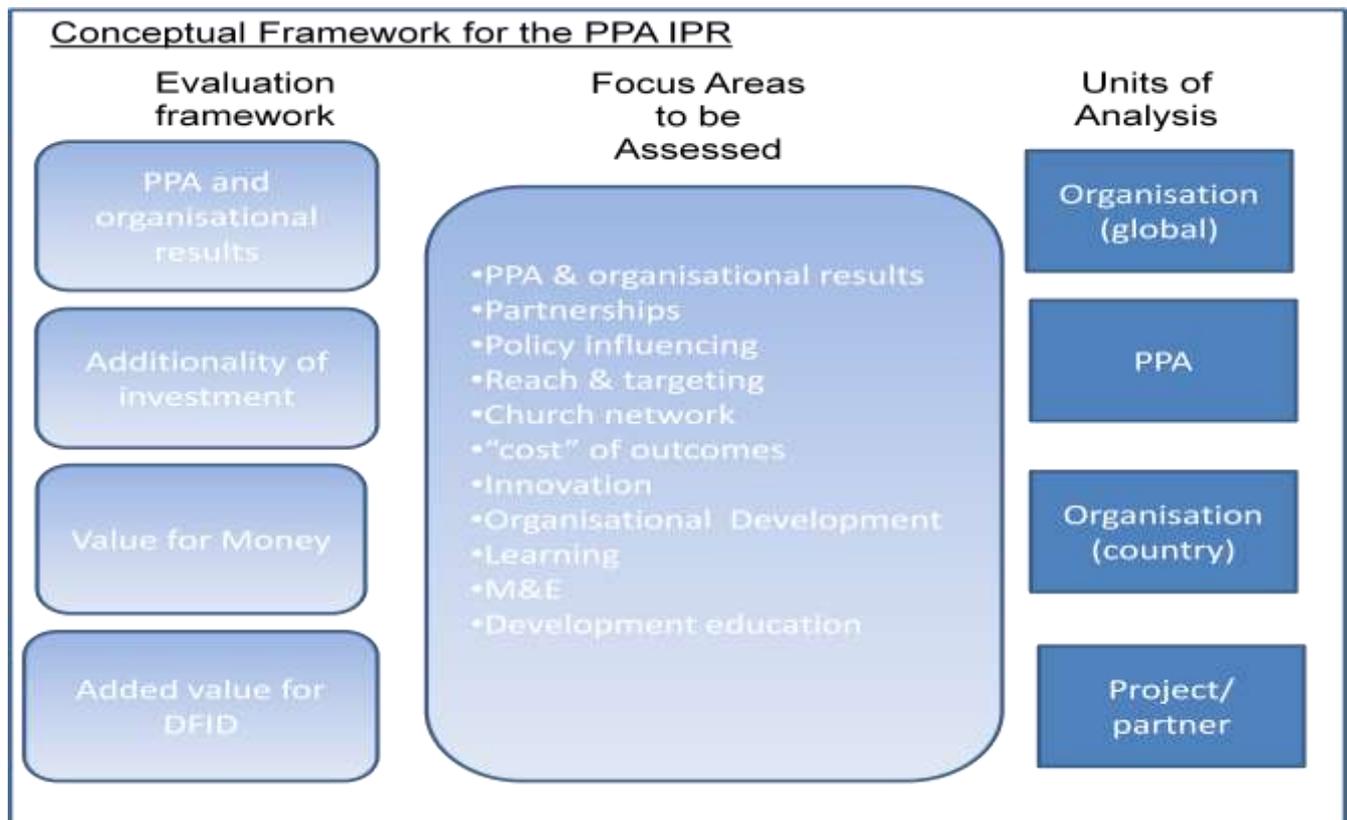
One element of the review required the team to focus on **PPA and organsational results** to understand what results, in terms of contribution to development outcomes, have been achieved through CAFOD's work. This included assessing and verifying the Annual Progress Report reported results, as well as summarising some of CAFOD's achievements from the PPA logframe.

The second element of the review which focused on the **additionality of the PPA** investment took a contribution analysis approach[10]. Given the unrestricted nature of the PPA allocation, and the challenges with attributing specific change or outcomes to DFID's investment, the team attempted to make plausible connections where the evidence pointed to them. This required testing CAFOD's own hypothesis and the teams' interpretation of their PPA theory of change. This was based upon the Additionality Report submitted to DFID as part of the first annual report as well as discussions with CAFOD staff during the Inception Period. The team posed questions of contribution in both the interviews and the literature review in order to make linkages between the investment and the outcomes. The areas of focus were grouped and included a focus on: **results, the benefits of unrestricted funding, acting as a catalyst and leveraging other funds.** Under all sections of the report, we have drawn on data and evidence available to draw inferences pointing to contribution. Where possible we have explored alternative explanations and included these in our discussions.

The review team conducted a **value for money assessment** to understand the extent to which CAFOD is offering value for money in the way it works and in its use of DFID funds. This included using a framework that comprises of three elements: *the target operating model* relating to the strategic choices taken at a

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[10] John Mayne's paper was circulated by DFID as part of the IPR guidelines http://www.cgiar-ilac.org/files/publications/briefs/ILAC_Brief16_Contribution_Analysis.pdf

senior level that establish the operating parameters for CAFOD; *systems and controls* which refers to processes and procedures deployed across the organisation and *resource allocation* which refers to points in CAFOD's processes where decisions about allocation of unrestricted resources are made. The team also tested a measurement approach to value for money using reported outcome and cost data from the HIV thematic area.

The final element of the conceptual framework was assessing CAFOD's added value to DFID. The purpose of this element of the review was to assess why DFID may want to invest in CAFOD and the work it does. This drew heaviliy from the PPA Business case, discussions with CAFOD staff as well as the Annual Progress Review, and the team tested different assertions that have been made.

2.1.3. Development Education

A distinct piece of work on Development Education took place. The specific terms of reference and methodology for this are included in Annex H.

2.1.4. Research methodology

The evaluation team used various tools and methods to develop an assessment on the extent to which the PPA (through CAFOD) has contributed to improved processes and ultimately better development outcomes. The timeline for the review can be found in the inception Report - Annex B.

Specific research methods included:

- Semi-structured interviews and workshops with management teams, partners, CAFOD technical staff in country and in the UK. A list of people interviewed can be found in the Annex D

- Review of data, literature and CAFOD documentation as outlined in the Evaluation Matrix. A full list of documents that have been referred to can be found in Annex E

- Two country visits which included: interviews, workshops, project site visits, meeting with partners and other stakeholders (including the DFID country teams). The sampling criteria and ToRs for the country visits can be found in Annex G

- A unit cost assessment which entailed building on existing data from the PPA reporting, selecting a sample of grants from HIV thematic area and drawing further data from the CAFOD and charting the data to look for associations and correlation.

2.1.5. Analytical framework

The Analytical framework (evaluation matrix) can be found in Annex C.

2.1.6. Approach to quality assurance of research

IOD PARC adopted a team approach to this evaluation. This has meant cross-referencing of findings at different junctures of the process as well as a level of checking and quality assurance. The CAFOD team have also provided input to ensure that the IPR team had access to all the documents and stakeholders required.

2.2.   Research problems encountered

Some specific challenges that were encountered during the IPR include:

- The original research design responded to CAFOD's Terms of Reference which had been based on the DFID/Coffey evaluation strategy and subsequent discussions. However after

the team had started the review, the outline of the report was issued which although based along similar lines had a slightly different focus. This meant that the team had spent some time looking at areas which became less important in the final report.

- Separating out 'PPA work' from the remainder of CAFOD's activities, has, as predicted, posed a challenge due to the unrestricted nature of the CAFOD DFID PPA. The methodology and approach has hopefully unpicked this and provided a good assessment of where the PPA has had an impact or influence.

- Managing the breadth of information has been a challenge given that CAFOD works in over 40 countries in multiple sectors and different partnerships.

- Managing the balance between a Mid Term Review and an Evaluation. The IPR is a mid term review, but some of the questions would be more appropriate for an evaluation. This has made the task difficult, particularly given that the current PPA has been running for just over one year. This has meant that the team has at times referred to the effects of the PPA from previous PPA periods.

- The main tool for assessing the PPA Results is a logframe and case studies. The logframe however does not come any where near representing the Strategic Framework ambitions, and in fact presents a rather "narrow" view of CAFOD.

- The Value for Money assessment has been hampered by insufficient data available in CAFOD's systems and the complexity of CAFOD's work.

2.3. Strengths and weaknesses of selected evaluation design and research methods in retrospect

In retrospect there are a number of weaknesses in the design of the evaluation, which have meant that there may be some gaps in the analysis:

- The team adopted specific sampling criteria (Annex G) and made a pragmatic decision not to go to one of the 3 selected countries (in Asia) because the country office was so new. Instead the two selected countries were Kenya and Zimbabwe which has resulted a regional bias. An attempt to overcome this by focusing on the other regions in the desk based review was made. However, not having visited the other regions was a weakness.

- The review concentrated on the development work of the International Programme Division and did not actively sample reports from the Humanitarian Department.

- The integrated approach and linking up all the different elements of the evaluation has posed a challenge, but it has also provided an opportunity to consider the different elements from an organisational perspective which has enriched the findings.

- The measurement approach to value for money has created a challenge for the IPR team for a number of reasons. Firstly the data and information is not readily available, which meant that there was limited opportunity for conducting detailed analysis on geographical distribution, comparative analysis and understanding what "types" of interventions provide value for money. Secondly there are challenges in defining and counting beneficiaries in ways that are meaningful, comparable and cost effective. Finally, the holistic nature of the work carried out by CAFOD's partners makes differentiating particular services challenging.

3. Findings

3.1   Results

The PPA Logframe includes 5 outcome areas relating to work in Livelihoods, DRR, HIV and AIDS, Policy Influence and Accountability. This section takes each one of these thematic areas, provides a brief introduction to it, situating it within the broader organisational strategic objectives, assessing the appropriateness of the logframe and indicators, providing an assessment of the quality of the data and tools used, summarises IOD PARC's assessment of progress, and finally offers some evidence to illustrate the achievements.

CAFOD has clearly invested a lot of time and effort into ensuring that the PPA logframe is reported against effectively using appropriate data, which it acknowledges is not perfect, but the IPR feels is reasonably robust. This investment is demonstrated by the fact that: (i) there is a full time PPA Performance Manager; (ii) the thematic leads (one of whom as been specifically recruited as a result of the PPA) have responsibility to drive the monitoring and evaluation agenda, and ensure quality of data. This data is checked, and where necessary the thematic lead refers back to the programme manager or partner. The PPA Performance Manager then makes sure it is consistent with DFID's expectations of good quality and also that there is consistency across the themes. There is also monthly traffic light reporting on PPA performance, which is used by the team to check weighting and highlight areas of concern.

3.1.1. Livelihoods

The Livelihoods Programme in CAFOD is loosely defined with no specific organisational strategy, and the over the past few years there has been an attempt to bring it together to articulate what a livelihood programme for CAFOD means. This has included the production of a paper mapping all of the livelihoods work, the recruitment of a livelihoods advisor and the current development of a livelihoods strategy. The Livelihoods Programme includes a number of different size projects, partners and focuses which makes generalising about its achievements challenging.

Under J1W, Livelihoods links in with Aim 2: *Promoting sustainable development* resulting in more men and women able to make a decent living, access fair markets, and meet the needs of themselves and their families in ways that are sustainable; and increasing access to essential services, like clean water.

The "PPA Projects" have been selected from some of the more "focused" livelihoods interventions that contribute to food security, natural resource management, access to water and enterprise development. The PPA logframe results include 27[11] (out of an organisational total of 124) projects or programmes that aim to support livelihoods, nine of which are in Asia, seven in Latin America, and eleven in Africa. Of these 27 initiatives, eight institutionally funded projects contributed to the total results achieved.

The PPA Livelihoods Theory of Change includes elements of partner capacity building, analysis, participatory processes and advocacy processes as well as the provision of inputs. The assumption is that these will contribute to improved household food security and income and ultimately improved

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[11] This 27 includes 5 programmes which are made up of 42 individual projects (the actual number of projects included under the PPA livelihoods is actually 64 covering half of the organisational total of livelihoods tagged projects for 2011/2

livelihood security. Despite this, the reported outputs tend to relate to input-based elements of projects, focusing on seed distribution, provision of water resources, livestock distribution, training in marketing and land management. Furthermore, where there are more holistic interventions, these are not captured in the PPA logframe. They are, however, captured in the Changing Lives Story provided in the Annual Progress Report. An example of the more holistic aspect of CAFOD's livelihoods programmes was reported on in the LPPZ Evaluation (Zimbabwe) which noted that *"....The most significant impact which, although difficult to measure, was referred to by beneficiaries and IPs is that the program brought a mindset change to the communities. It made them confident of their own strengths and capabilities; believing in themselves and ultimately independent. Every intervention had some element of this mindset change."*

CAFOD livelihoods PPA monitoring tools

Unlike some of the other PPA logframe outcome areas, there are no specific monitoring tools that have been developed for CAFOD staff and partners to use for reporting against livelihoods outputs and outcomes. The information is based on internal monitoring and external evaluations. Nine of the 27 projects/programmes which have been used for the PPA logframe report completed an external evaluation during the period 2010-2012, which has the benefit of ensuring an independent assessment.

All of the 27 projects have now conducted a baseline against which to report. However, there were some challenges around different data gathering periods. The challenges experienced with data collection include finding indicators that speak to different programme intentions across the 27 different livelihoods programmes/projects in 15 countries, and the fact that baselines previously in place had not necessarily been aligned to the PPA logframe indicators. Furthermore, for the projects that developed baselines this year (Bolivia, Cambodia, Kenya, Tanzania) it is too early to assess progress. The data is skewed by several large projects in Ethiopia, South Sudan and Zimbabwe which have much higher beneficiary numbers than some of the smaller projects in Bolivia, Bangladesh and Colombia. It is noted that baselines are now in place for all current livelihoods projects contributing to Outcome 1.

The livelihoods output data is all disaggregated by head of household (male and female) and the results demonstrate that the partners are reaching more female- than male-headed households. It is not further disaggregated to the extent at which the benefits are reaching the poor and most disadvantaged (for example disabled groups); however the livelihoods advisor has done some analysis on this (see below). Nor does the reporting present elements of systemic change such as empowerment.

Logframe Review

On the whole, the IPR team agree with the logframe assessment presented in the APR and note that given the adjustments that have been made (and agreed with DFID), CAFOD and its partners are likely to be on track to achieve the intended outcomes.

Although Outcome indicator 1 – *the number of households reporting improved livelihood security represented by an increase in food, income or other assets* using previous milestones was off track, there is evidence of households achieving improvements in, for example; Bangladesh, El Salvador and Zimbabwe.

The output of *Church linked initiatives providing opportunities for improved food security, increased incomes and increased participation in markets for poor and disadvantaged women and men* is also likely to be achieved, although the associated output indicator of the number of households reached by CAFOD supported interventions with a focus on small enterprise was not

achieved due to the fact that beneficiaries who had received support with a focus on food security were not counted again even though they had received marketing support.

Effects on poor and marginalised groups and civil society

Some of the reported impacts on poor people's lives as a result of Livelihoods interventions demonstrate the potential and actual richness of CAFOD's work in this area (which is not captured in the logframe). Three examples have been selected below to illustrate this:

- A evaluation of a livelihoods programme in Zimbabwe[12] noted impact and improvement of general hygiene and cleanliness standards because of WASH interventions, a reduction of hunger due to increased yields from conservation farming, improved lifestyles due to the HIV interventions and finally some women noted being able to raise income and pay school fees for children as a result of cash transfers under the Livelihoods Protection and Promotion Programme in Zimbabwe.

- The Integrated Peace and Livelihoods Programme (IPLP) Evaluation[13] noted that impact had been "impressive" with evidence that livelihoods activities had fed and reinforced peace between communities.

- The Evaluation Report on Livelihoods and Food Security Project[14] noted that the project had contributed to increased food security and income of group members which had helped them to improve their living conditions.

Conclusion

In conclusion, the Livelihoods Thematic area as reported on in the PPA logframe was off track using the previous milestones; however after adjustment it is likely to achieve these milestones. It is also likely to achieve its stated outcomes.

Whilst the logframe provides a useful way of ascertaining a snap shot of outputs/outcomes, it in no ways captures the whole picture, richness and depth of what CAFOD's livelihoods programmes are aiming to achieve. It captures progress on the food security and income aspects, which constitute the livelihoods components often as part of a broader more holistic integrated response (such Peace and Integration which may be monitored and evaluated as a separate area of work). It was a bold attempt by CAFOD to develop a framework for livelihoods (and this was partly in response to the recommendation from the previous PPA Evaluation). However, it is clear that there is still some work to do here. It may be that trying to group the numerous disparate projects under the "livelihoods" theme is a misplaced ambition. And that although "livelihoods", and the associated indicators relating to food, income and markets provide a useful grouping and entry point for interventions, that actual intended and unintended outcomes achieved through supported CAFOD initiatives are broader and support is more holistic, as captured in the theory of change.

There is no easy solution to reporting on this, particularly when CAFOD is trying to be clear about the results it achieves through its interventions. It is recommended that consideration is given to different options.

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[12] LPPZ Evaluation
[13] Maralal, Northern Kenya
[14] Arusha Archdiocese in Tanzania

3.1.2. Disaster Risk Reduction

Disaster risk reduction (DRR) became a core theme at CAFOD in 2007/2008 when the DRR Advisor post was created. Prior to this DRR was a core element of work in Central America. CAFOD worked to prepare communities for future hazards such as floods, hurricanes and droughts after the devastating impact of Hurricane Mitch. CAFOD supported them by creating more resilient livelihood activities. Later in 2008 the International Leadership Team (ILT) provided the DRR theme with a fund to mainstream DRR in CAFOD. The Hazards Vulnerabilities Capacity Assessments (HVCA) and community action plans (CAP) were used as tools in livelihoods projects to make them more responsive to needs. It is at this point that DRR became visible in CAFOD's work and is mentioned in the PPA feedback report to DFID in 2008/09.

Initially, CAFOD piloted DRR[15] in order to develop an organisational wide approach to DRR. In general the support throughout the pilots was strategic; focused on building capacity in programme teams and mainstreaming DRR in strategic plans. Towards the end of the pilot the DRR Advisor left.

A new DRR Advisor, who sits in the Humanitarian Department joined CAFOD in September 2011; this Advisor has ushered in a period of DRR technical competence in CAFOD. CAFOD has moved to a more holistic and community based approach to DRR. While much work continues at the strategic level, programming has integrated DRR at the community level. Interventions at the local level are believed to be most likely to have the greatest impact.

In 2012 the new DRR Advisor prioritised a 'review of DRR programmes and projects from 2008-2012', which incorporated a belated[16] evaluation of the global DRR pilot programme and associated DRR projects. This review is highly relevant to the PPA and provides evidence to suggest that in the last eighteen months CAFOD has greatly advanced its DRR programming. It has done so by integrating successfully with other programmes, thematic areas and divisions. It is also having a substantial influence over how programmes are designed and targeted.

The IPR team believe that the DRR work is therefore an example of where CAFOD has achieved a significant and effective shift in approach: from a trialled approach to mainstreaming to a holistic approach integrating it across all programmes, thematic areas and divisions.

CAFOD DRR PPA monitoring tools

CAFOD has now been using the Hazards Vulnerabilities Capacity Assessment (HVCA) and community action plan (CAP) tools for over 4 years with partners (particularly in Livelihoods programming). This experience matched with the choice of tools is excellent. It is of particular note that these tools effectively facilitate a multi-hazards approach. Communities are supported to identify natural or socio-economic hazards affecting them. Discussions are not restricted to natural hazards or single hazards such as floods. For example, in Kenya communities used historical trend analysis to identify past hazards. Taking a multi-hazard approach has been identified as a 'key characteristic' of resilience by the PPA Resilience Learning Group. The multi-hazard approach is emerging as the preferred model for the NGO sector as a whole. CAFOD therefore has to be commended in integrating this approach through all of its DRR projects and programmes.

The CAP is then the tool which emphasises local engagement in the planning, development and implementation of DRR strategies based on the knowledge of the multiple hazards faced. It is clear

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[15] Pilot Programmes were run in: Liberia, Kenya, Nicaragua, Philippines and Bangladesh
[16] Difficulty in recruiting a new DRR Advisor

from evidence that CAFOD is now reaching the stage in the programme cycle where having successfully implemented these tools with partners, monitoring data from annual discussions (from previous CAPs) is now being included/ adjusted in plans for the following year. Furthermore, the Community Action Plans (CAPs) have been tested in recent disasters. An example of this was during the recent flooding in Bangladesh, and assuming that all factors are equal to past disasters, the outcome is that having followed the CAP local communities felt safer.

> **Box 4: An example of partners and communities using tools to analyse and adapt**
>
> Monitoring data from a project in the Philippines demonstrates that communities felt they had a higher capacity to live with floods than the year before. Communities and partners were able to identify activities that had been beneficial and gaps that needed addressing by using appropriate DRR tools. For example, the community evacuation centre is not located on government land and the land agreement has now expired, the communities were concerned that this would put their access to the centre at risk

Logframe Review

The IPR team agree with the output level logframe assessment presented in the APR and note that CAFOD has succeeded in exceeding targets for year one milestones: both in number of HVCAs and CAPs conducted as well as the number of communities reached. It is felt that at this midterm point CAFOD may wish to introduce a different outcome indicator which more adequately reflects the particular focus of this thematic area of the logframe, namely 'Climate Change Adaptation and Hazard Risk Reduction'. Country Annual Reports are starting to provide evidence of the contribution of the HVCAs to how resilience has been built at the community level post-hazard. Perhaps a process or qualitative indicator could be used at the outcome level to better reflect the depth and quality of the DRR programming underway. Specific examples and commentary can be found in Annex I.

The following table sets out evidence that verifies the integration of DRR across CAFOD, given that the quantitative indicators do not evidence this sufficiently. The first column includes the areas where change has happened, and the second column then describes the associated change and evidence.

Area of change	Description of change
Integration of DRR at the Regional Level	CAFOD is supporting 50 partners in the Philippines and 25 partners in Cambodia to look across the numerous CAPs. The exercise is to promote learning and see the links between CAPs and inform advocacy. In Latin America an online forum has been set up for and by cooperatives to drive and manage a sustainable process for sharing and learning as a region.
Programmatic Approach based in the Community	In Cambodia monitoring systems have been strengthened because partners are looking beyond CAP as an indicator to the impact of the plan on the ground. Partners are using CAP to collect evidence on factors relating to vulnerabilities to integrate this into policies. Developing partner skills for analysis and connecting data to advocacy messages is crucial work. In Philippines, the Batteries tool and process has been adapted to measure progress at a programmatic level.
Integration of Climate Change Adaptation	Examples include, in the Philippines where 10 year land use plans support CCA and DRR and NRM, from local to national government level. Advocacy work is also integrating work on mining act and indigenous rights. EA programme will seek to promote and support Environmental Impact Assessments (EIA) for projects, liaise with, and learn from, environmental agencies, academic institutions and other agencies.
Integration with advocacy:	CAFOD has been working with partners in the Philippines where three partners (ECOWEB, JPIP and SACPAG) have taken the findings from the participatory multi-hazard disaster risk assessments

	to lobby and support local government to integrate disaster risk reduction within their policies and plans.
Integration with sustainable livelihoods theme:	In Cambodia, Myanmar and the Philippines, CAFOD has developed a monitoring tool looking at DFID's 5 areas of livelihoods capital, within CAP and HVCA. In LAC DRR has been mainstreamed in all livelihood programmes, each matrix must have one outcome specific to DRR.

Effects on poor and marginalised groups and civil society

There is emerging positive evidence that CAFOD's use of a DRR approach to development programming is building community resilience. Further shifts in the external environment (integration with Climate Change Adaptation and increase in related institutional funds) and partners' take up of the tools signals that in certain contexts (the Philippines and LAC) CAFOD has found a partner focused approach that satisfies the need to address multiple hazards in the lives of the beneficiaries. However there still remain concerns about 'whom' within the community has improved resilience. There was a notable absence of data related to PWD.

Conclusion

The consistent use of the HVCA tool across projects was an appropriate measure for the PPA, as was measuring increased community resilience through the introduction of CAPs. However, such an output level focus has meant that other environmental and organisational shifts have not been captured and presented to DFID at the outcome level. These include for example: facilitating a multi-stakeholder process that has built a stronger local and national engagement and a community based approach to DRR that builds greater participation for vertical influencing. The IPR team feel confident that CAFOD's Theory of Change on DRR is valid and work with partners could increase resilience in the event of a disaster.

A challenge for collecting consistent data is that during emergencies these less important and urgent initiatives are dropped. Further thought needs to be given across the sector for how to continue 'development' programming during recurring emergencies and slow onset emergencies and to plan for this.

3.1.3. HIV and AIDS

CAFOD's HIV Programme is well defined, with a clear organisational policy and frameworks in place at the corporate level. All of these are informed by the experience of CAFOD's partners, programmes, CAFOD's own extensive experience and staff knowledge, and by contributions of peer NGOs and Faith Based Organisations (FBOs) and wider networks of PLHIV.

Under Just One World, HIV links in with Aim 2: *Promoting sustainable development*. CAFOD's response to HIV focuses on promoting holistic care provision, working with Church partners to reduce stigma, improving approaches to prevention, and promoting mainstreaming of HIV into other programmes and sectors. CAFOD draws on the rich heritage of Catholic Social Teaching and Catholic Moral Theology to inform its response to HIV.

In the financial year 2012-13, CAFOD programme has 69 live partnerships[17] in 20 countries working on HIV:

- 10 partnership in Asia/Middle East (Myanmar and Cambodia)[18]

- 22 partnerships in East and Horn of Africa (Eritrea, Ethiopia, Kenya, Sudan, Tanzania, Uganda)

- 24 partnerships in Southern Africa (Malawi, Mozambique, Zambia, Zimbabwe)

- 13 partnerships in Central and South America (Bolivia, Brazil, Columbia, El Salvador, Honduras, Mexico, Nicaragua, Peru).

The PPA HIV Theory of Change focuses on 5 main processes/outputs: (i) adequate treatment, support and health care for PLHIV; (ii) psychosocial care and support; (iii) secure livelihoods for PLHIV; (iv) advocacy/human rights/stigma reduction; (v) HIV prevention, as well as the provision of inputs (funding, staff competence and learning). The assumption is that these will contribute to a *holistic range of care, support and mitigation services* (Output indicator 3.1), *correct identification of ways of preventing HIV and rejection of misconceptions about HIV transmission* (Output indicator 3.2) and ultimately *improved quality of life* (QoL) of people living with or affected by HIV (Outcome indicator 3).

CAFOD HIV PPA Monitoring tools

A "suite" of specific monitoring tools has been developed for CAFOD staff and partners to use for reporting against HIV outputs and outcomes. Some of these tools were used during the previous PPA [2009-10] period, and have been further refined and their use scaled-up during this PPA. For example, CAFOD had previously piloted a "Batteries" tool, designed to provide an in-depth assessment of the impact of care and mitigation services on the quality of life (QoL) of beneficiaries accessing these services. Following recommendations made as part of a 2011 external evaluation of CAFOD's international HIV work[19], this tool has subsequently been amended and more widely rolled out. Using a simple visualisation method, participants are asked to make a self-assessment of their levels of wellbeing across four domains: health; psycho-social; human rights; and livelihoods security. Changes in the levels recorded by participants are tracked over time. Participants record factors attributable to these changes, so that CAFOD can assess the extent to which changes are related to the provision of services or to other variables. This tool is being used by CAFOD to help track progress against Outcome Indicator 3 in the logframe.

Simultaneously, CAFOD has developed and rolled out an HIV Care Mapping tool[20] that assists partners in assessing the comprehensiveness of provision (i.e. the degree to which a holistic response is being provided). Specifically, this tool allows partners to assess the extent to which beneficiaries are able to access HIV care and mitigation services (provided directly by partners, or by other service providers, to which they have been referred by partners). The mapping tool consists of 30 statements, grouped into four domains identified by CAFOD and partners as essential for improving the QoL of PLHIV: health; psycho-social/spiritual support; human rights and legal support; and livelihoods security. Partners consider each of the statements and rank (on a scale from 0-5) the extent to which

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[17] CAFOD currently has more live partnerships (69) than partners who still have a live grant this FY (58). The difference is 11 partners, who had grants from CAFOD that ran out before this FY (2012/13) but they are still considered CAFOD partners and this does not mean that will not receive grants again in the future. 58 partners of the 69 still have current live grants.
[18] CAFOD recently ended work on HIV in Bangladesh.
[19] Drew, Roger. *Thematic Review: CAFOD's International Work in HIV-Related Care and Mitigation.* (February 2011) (pp.37-41)
[20] CAFOD: "HIV Care Mapping Tool (a Planning and Review Tool for Mapping the Availability and Accessibility of Services)"

they feel these statements are being met (i.e. the extent of service provision). In Year 1, a total of 23 partners in 11 countries (target for 2011-14: 27 partners in 15 countries) had used this tool as a baseline (of which 14 had repeated the tool, generating results for CAFOD to use for reporting against the Milestone set for Output Indicator 3.1 in the PPA logframe).

CAFOD has also developed a Knowledge and Attitudes (K&A) Survey to help gather information on prevailing attitudes among programme beneficiaries towards HIV and how it is transmitted. The survey can be used by partners as either a one-off exercise (with the possibility to conduct follow-up surveys at a later date) or before and after a specific session or project addressing HIV knowledge and behaviour, to assess changes as a result of that particular intervention. In reporting against the Year 1 milestone for Output Indicator 3.2 in the PPA logframe, this survey has been used anonymously with 842 beneficiaries linked to 15 partners across 9 countries.[21] To complement this, the HIV Prevention Mapping Tool has also been developed and used alongside the K&A Survey to support partners to self-assess their prevention work, using a range of performance criteria. This tool has been used with 11 partners in 5 countries to date.

The IPR team did note some challenges in particular to assessing progress against the milestone set for Output Indicator 3.1. - *number of women, men and children who have increased access to a holistic range of care and mitigation services.* Firstly, although the tool has been used with 23 partners in 11 countries, only 14 of these partners (in 6 countries) have so far used the tool more than once, i.e. as a baseline and then repeated its use in order to measure changes over time. Secondly, verification of partners' progress by CAFOD is mainly through reports and staff visits, recorded in partner contact notes (which give a detailed explanation of how services have improved etc.) Not all partner contact notes include a direct reference to the PPA tools. Thirdly, the wording of this milestone is ambiguous: increased "access" might imply that people have actually used/received an HIV care or mitigation service, yet this is impossible to verify with referral records, clinical records and so on. Rather, it might appear more accurate to report that this tool measures the extent to which "exposure" to services has been increased (or not).

Logframe Review

On the whole, the IPR team agree with the logframe assessment presented in the APR and note that CAFOD and its partners are likely to be on track to achieve the intended outcomes.

Output indicator 3.2 - *percentage of participants in faith-linked initiatives who correctly identify ways of preventing HIV infection & reject major misconceptions about HIV transmission* was off track, largely due to low levels of knowledge recorded on issues around sexual transmission of HIV. The IPR team note that this indicator lacks detail and attribution of the direct PPA work. However, CAFOD has demonstrated awareness that the data reported for this indicator is not independent of external influences and cannot be solely attributed to one programme, but rather that the programmes monitored for this indicator make a significant contribution.[22]

Effects on poor and marginalised groups and civil society

An external evaluation of CAFOD's international work on HIV care and mitigation was carried out in 2011[23]. It concluded that CAFOD and its partners are making a clear contribution to increasing the availability of holistic care and mitigation services. In particular, the evaluation found that the

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[21] Only responses given to questions 1-12 are analysed for the baseline and Milestone 1, as these relate directly to the indicator.
[22] CAFOD: *Data collected using the HIV K&A Tool, Milestone 1: 2012*
[23] Drew, Roger (2011)

"Batteries" tool provides strong evidence of improvements in quality of life (QoL) experienced by clients of services provided by CAFOD partners (i.e. people living with or affected by HIV).

There are some cases where the work of CAFOD partners on care and mitigation has been highlighted as examples of good practice (e.g. in Zimbabwe). The precise levels of availability of and access to services will depend on local context and are likely to vary largely from one CAFOD partner to another. CAFOD may have greater impact if they supported more partners working at the national and international level, and/or those working on advocacy initiatives - and therefore capable of reaching far greater numbers of people (indirectly). One of the findings of an external evaluation of the Comic Relief-funded "Collaborative AIDS Programme (CAP)" was along these lines. Although this project aimed to reached 25,000 people (through 3 partners in Zambia), the evaluator concluded that:

"The project has had little demonstrated impact on influencing local or national level policy, or influencing action upon existing policy." [24]

The findings from this external review did, however, also support the concern that CAFOD partners have a tendency to provide high quality services to a relatively small number of clients.

CAFOD has taken positive steps forward in encouraging partners to meaningfully involve people living with HIV in their activities. The following two programmes provide examples of this: There was strong evidence in Kenya to support CAFOD's assertion (see Case Study included as Annex in CAFOD's annual report to DFID*)* that the roll out of the Stigma Reduction Initiative (SRI) has empowered and had a transformational effect on the lives of PLHIV. Mekdim, in Ethiopia, is an excellent example of CAFOD partnering with a successful PLHIV association and we would strongly encourage CAFOD to work with more PLHIV-led networks in this way, in other contexts.

> **Box 5: Evidence of improved quality of life among adults and children living with and/or affected by HIV as a result of CAFOD's work in Tanzania**
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> The following illustrates an example from an external evaluation undertaken of a Comic Relief-funded integrated community HIV and AIDS project in Tanzania (phase 2, 2008-11), which found:
> "Improved quality of life of adults and children infected and affected by HIV and AIDS through strengthened capacity to cope with its effects: The beneficiaries of the project highly appreciated the contributions of Community Health Educators (CHEs) in changing their lives. Survey findings suggested that stigma was higher in the non-beneficiary groups than in the beneficiary one. After being reached with proper education, the community members turned to the very people whom they had stigmatized before, thanks to CHEs. PLWHA had become focal points where the community could consult on matters related to VCT, treatment and care services. Above all, PLWHA were less feaful and more confident after being involved in the project. Indeed through CHEs, the community had been transformed."
>
> Ref: Salia, Paul J. *CAFOD East Africa Integrated Community HIV and AIDS Programme implemented by DACHEP/PASADA, Dar Es Salaam, Tanzania. End-of-Term Evaluation Report* (July 2011)

24 Comic Relief and CAFOD End of Programme Evaluation. Detailed Report on the Collaborative AIDS Programme 2005-2010. Zoë Consults (28th March 2011)

Conclusion

In conclusion, the HIV Thematic area as reported on in the PPA logframe is on track according to the milestones set, and is likely to achieve its stated outcomes. The IPR team concurs with the finding of an external evaluation carried out in 2011[25] that: "*The batteries tool is an excellent resource for CAFOD staff and partners to document improvements in clients' quality of life and the reasons for these*". In addition, through use of the HIV Care Mapping Tool, CAFOD's partners have been able to identify their own strengths and weaknesses in terms of their responses to HIV, and act on these to improve the quality of quantity of services (or referrals made). The IPR team considered this opportunity for partners to critically self-reflect on their work as the real strength of this tool.

3.1.4. Policy Influence

J1W commits CAFOD to establishing a shared understanding on how the organisation brings about change. By 2013 the target is for the advocacy programme to:

- Be supporting partner-led advocacy work with clear overall change objectives, with CAFOD's contribution identified and the analysis and learning shared and used, and;

- Have aligned CAFOD-led advocacy work across policy, campaigns, media and international programmes to bring about change in the global North.

CAFOD has an organisational Advocacy Framework. It highlights the integration with corporate level advocacy, support to international programmes and the more direct provision of support to partners through advocacy accompaniment (located within the Public Policy Team). The Division of Advocacy & Communications (DAC) works on the assumption that through partners CAFOD can build and develop civil society to provide a voice for the poor and marginalised and help them influence change for these groups.

One of the methods the DAC employs to support civil society to do this is through the use of Advocacy Accompaniment. The two current accompaniers support 22 partners based across nine[26] countries. They also engage with other CAFOD partners and civil society organisations during country visits; facilitate sharing and learning events for staff in the UK, and support programme staff in integrating advocacy into country strategy papers, funding proposals and applying the voice and accountability tool in CAFOD programmes.

The goal of CAFOD's advocacy accompaniment work is to see a strong, accountable and vibrant civil society (NGOs, social movements, community based organisations, the church) engaged in work to support the rights of poor and marginalised people leading to lasting and positive change[27]. CAFOD is currently reviewing the advocacy accompaniment role following an evaluation of the Advocacy Accompaniment role earlier in 2012 and a new strategy is shortly due to be rolled out. This strategy will operationalise the role on a larger scale and align it with the operational structure of CAFOD globally.

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25 Ibid.
26 Brazil, Cambodia, Democratic Republic of Congo, East Timor, Ethiopia, Liberia, Mozambique, Sierra Leone, Sri Lanka
27 Advocacy Accompaniment Strategy 2008 ibid – NB: In the 2008 strategy there was no overall goal. In a more recent PPA document, the goal is worded: Civil Society (NGOs, Social Movements, CBOs, the Church) is pragmatic, agile and politically engaged as effective and accountable advocates / representatives of people, enabling them to be architects of a more equal / just future free of poverty

CAFOD Policy Influencing PPA Monitoring tools

The PPA output and outcome indicator data for the Policy Influencing theme is based on information gathered using the Voice and Accountability Tool. This was developed in 2008 with the involvement of partners and staff as a means to support partners in tracking progress in advocacy work.

The external review of advocacy accompaniment and the partner survey found feedback on the tool was generally positive and the tool was found to be useful. Both programme and partner informants say the tool helps to support partners to monitor progress of their advocacy work over time and to examine the effectiveness of particular strategies and approaches. The tool provides robust evidence of improvement because it usefully frames elements widely found to be difficult to capture and monitor in advocacy. However, the review of advocacy accompaniment noted that the tool is in fact rarely used by partners outside of CAFOD discussions. Added to this was the observation that the use of such tools need to take into consideration the experience and capacity of the person using or deploying the tool.

That said, a number of other organisations have adopted the tool in their own reporting processes as illustrated in Box 6 below. One of the reasons for this is its ability to capture change at the individual level of the partner and provide a way to aggregate it up. This meets the CAFOD, DFID (and the sector wide) demand to report at a macro level of change. A further strength of the tool is that it presents information in a way that it makes sense at lots of levels and is useful for those monitoring at the organisational level.

Box 6: Use of the Voice and Accountability Tool within other organisations

CAFOD have proactively shared the tool through the Measuring Results in Empowerment and Accountability Learning Group which they co-chair[28]. CAFOD have also shared the tool at the BOND quality group, the Capacity Building for Southern Advocacy group and the INTRAC conference. Progressio have adapted the tool, used it as part of their PPA and across organisation monitoring. The Leprosy Mission, Action for Disability in Development and a project involved in security sector reform in Sudan have adapted the tool for use in specific context.

The process of completing the tool means that people are adapting information and making sense of processes as they fill in the tool. This in turn facilitates the analysis and comprehension of the wider/higher view of what is happening. The reporting requirements of the PPA mean that this is happening annually.

Logframe Review

The PPA Outcome Indicator 4 is the *percentage of partners demonstrating increased engagement and influence in policy and advocacy work*, with a year 1 milestone of 50%. This is measured using the Voice and Accountability Tool, and CAFOD exceeded its milestone. The results are based on a review of 15 partners which show that eleven partners went up at least one level, with five of them making progress in more than one level. The IPR finds that CAFOD is on track to deliver its intended

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[28] The meta-evaluation conducted by Neil McDonald highlighted the effectiveness of the V&A tool which increased demand for it amongst the PPA holders.

outputs and outcomes. The Advocacy Accompaniment Review has been a useful point of triangulation for the PPA results. Specific examples and commentary can be found in Annex I.

Effects on poor and marginalised groups and civil society

It is clear from the Advocacy Accompaniment Review that both civil society partners and programme staff value the input of advocacy accompaniers and the approach. Feedback suggests it is leading to increased confidence and capacity to undertake advocacy. The executive summary reports that, *"The support has helped to shift the way that a number of CAFOD partners perceive and carry out their advocacy work. There are many examples where strategies based on clearer theories of change, as a result of accompaniment support, have opened up new opportunities to engage strategically with decision makers and potential allies. The extent to which this has led to long term impact is challenging to assess but there are indications in a number of countries where increased partner capacity led to some shifts in the policy context in favour of the poor".*[29]

CAFOD's Voice and Accountability monitoring framework pays particular attention to the potential impacts of reform on women. Partners are supported by CAFOD staff to consider gender sensitivity in their approach and in the policy outcomes they are advocating for. The 15 partners supported under this PPA are at different stages in terms of their work on gender but, using the structure of the tool, a number of partners are already capturing gender specific evidence in the detail of narrative reporting. To make the tool as widely applicable as possible, it would be beneficial to disaggregate data with specific reference to other vulnerable groups.

One particular example of where the policy dialogue work led to positive changes was in Cambodia, where 3 partner organisations noted that the work of CAFOD Advocacy Accompaniers had contributed to: broadening their understanding of advocacy strategies and how they can bring about change; advocacy against proposed new NGO legislation and developing capacity in policy monitoring.[30]

Conclusion

In conclusion, the PPA logframe results present a positive picture of CAFOD's work on increasing engagement and influence in policy and advocacy work. The advocacy accompaniment approach demonstrates that relational and less structured ways of working with partners have positive outcomes. This means that a community led approach which allows new perspectives and approaches to be shared and explored can have positive outcomes. Through its respected work on policy and generating issue appropriate dialogue, CAFOD can start to generate evidence of how changes in the enabling environment (e.g. sector policy and/or national debate with rigorous grassroots evidence) have their linkages in evidence generated at the grassroots level by/with and through partners.

3.1.5 Accountability

CAFOD takes a holistic approach to Accountability. The Corporate Strategy (J1W) contains commitments to minimum standards of accountability and of safeguarding children. In the Accountability Theory of Change the link to improved impact (i.e. more effective programmes, empowerment of communities, better protection) is built through working with partners (revised ways of working, change the cultural mindset and procedures). Activities CAFOD is supporting enable communities to have a better voice, communities to have more power and influence over project decisions, which spills over into greater power within their communities.

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[29] PPA Annual Progress Report
[30] Cambodia Case Study Final, p. 3

CAFOD has also clearly articulated outcome level results in its Accountability to Communities Logical Framework 2012/13. This strategy document contains 3 outcome areas relating to: CAFOD, its partners and communities. The table below summarises the progress being made towards each outcome at the stage of the PPA IPR.

Outcome	Verification against Outcome and related outputs
CAFOD: Increased transparency and accountability to partners and staff for our international work.	During the PPA review we found evidence of the development of the Partnership Policy and the results of the Keystone Survey were found to be positive.
PARTNERS: Increased awareness, commitment and capacity of partner organisations in 'downward' accountability.	The IPR team found evidence of accountability training, inter-agency workshops and monitoring visits for accountability purposes which detail positive actions being taken towards implementation of accountability plans.
COMMUNITIES: Greater voice, power and influence for women, men and vulnerable groups in relation to CAFOD-funded projects and programmes.	The IPR team found evidence of community training in holding partners to account for their projects. There was also some evidence available of project plans taking into account community feedback.

In CAFOD's Accountability Strategy, the lead in accountability work with partners is, in the main, the Programme Teams. The role of the Accountability Development Officer (ADO) includes working with these teams to agree the strategy for taking the accountability work forward with partners. The ADO also provides training, advice and support to CAFOD ID staff. Finally, the ADO also works to promote an enabling environment for increased accountability to communities through awareness raising and promotion within CAFOD and more generally within the sector.

The monitoring and evaluation of improvements in partner accountability to community members is done through annual accountability assessments, incorporation of accountability assessments into routine monitoring and evaluation activities, as well as Humanitarian Accountability Partnership (HAP) 4 audits.

The introduction of the HAP standard is part of the momentum towards better accountability in CAFOD. CAFOD became HAP certified in 2009. HAP certification is monitored through audits. These audits produce recommendations for further improvements. An Accountability Steering Group meets quarterly to discuss a range of accountability initiatives and issues, including progress towards addressing agreed corrective actions arising from the HAP certification audit.

Since 2010, CAFOD has started to roll out the accountability initiative with 60 partners including "strategic" partners and partners receiving "large grants" (in excess of £250k over three years). In addition, CAFOD expects all partners receiving more than £100k for a humanitarian project of more than six months in duration to establish a complaints mechanism as part of the emergency response. Effective handling of complaints is one of the six components of downward accountability identified in the CAFOD accountability assessment and CAFOD has provided training, capacity building support and funding for more than 20 partners to assist them with the establishment of complaints mechanisms for development and humanitarian work.

Further notable activities in relation to accountability in CAFOD include:

- Holding 2 inter-agency workshops that brought together Accountability leads and other staff supporting accountability initiatives to share and learn from each other. For example, in Nairobi August 2012, 8 organisations in Kenya, Uganda and Tanzania, all of whom partner with CAFOD for the delivery of development and/or humanitarian work participated in a 3 day workshop.
- A revised evaluation policy (June 2010) states that all final evaluations of humanitarian action should assess the extent to which accountability initiatives (including HAP) have been respected and that all final evaluations ToRs should include the level of accountability and benefit to target groups. Evaluations reviewed by the IPR team met these criteria. A recent meta-review of CAFOD evaluations included accountability criteria.
- CAFOD publish their online Project Information at IATI registry.
- The recently conducted Keystone Partner Survey was an important step in improving accountability and learning from partners because it meets and reinforces an emerging industry standard for accountability.

CAFOD Accountability PPA Monitoring Tools

CAFOD's Regional Programmes Manager for Southern Africa launched an accountability process, which started with an accountability assessment of CAFOD office and partners using the CAFOD accountability assessment tool. It was meant to determine the strengths, weaknesses and gaps related to accountability within CAFOD and its partners in the region. In Zimbabwe, CAFOD has made the decision to implement the accountability process through the National Caritas Office. There are 18,000 beneficiaries under the four programmes in the three districts.

The PPA Accountability Monitoring tool is based around the six areas of the HAP Standard. There are two versions of the tool, one which includes the minimum standards (for all accountability partners, of which there are approximately 60) and the second one which is the full standards version which is more detailed. CAFOD has identified 12 indicators (both quantitative and qualitative information is gathered). A traffic light system is in place which indicates the extent to which the accountability mechanisms is in place or not. This is supplemented by qualitative comments.

The thematic lead goes through the report and checks all for consistency on an annual basis. To date 43 of the 60 partners have completed both the baseline and year 1 assessment, while the rest have completed just the baseline.

As well as the tool, the team are using other ways of monitoring such as through monitoring visits where they ask for direct quotes from beneficiaries to tell them about the accountability work and what difference it has made for them; as well as gathering stories of accountability.

A Case Study titled *'Experiences and lessons learned of CAFOD partners in establishing complaints handling mechanisms'* was prepared for this PPA period. The Case Study highlighted the value of training and the need to continue to support partners with building their capacity for handling complaints. High level findings include:

- Majority of complaints were non-sensitive issues: beneficiary selection, project design and implementation.

- Benefits included: 8 partners identified programme quality and effectiveness; 6 partners identified community empowerment; 2 partners also referred to greater transparency and improved communications, such as increased trust and respect by community members and reduced tensions within the project.

- Challenges raised included: Need for comprehensive training (with materials provided in appropriate language for partner) and capacity building to develop practical skills for the implementation of feedback and complaints mechanisms.

Logframe Review

The IPR team can confirm that the outcomes and outputs under the Accountability Theme are on track to be achieved, and the outcomes indicator milestones have in fact been exceeded. The number of partners who achieved CAFOD's minimum standards of accountability is more than double the target for 2012 updated assessments. Given how much CAFOD have exceeded the target by, the challenge of the next period will be to maintain the proportion of partners achieving minimum standards and openly reflecting on how partners manage this and if it is the same or different partners.

Effects on poor and marginalised groups and civil society

In CAFOD Zimbabwe, a review of the implementation of the accountability process was carried out in October 2011. It found that there was improved transparency and information sharing among partner staff, community members and other stakeholders. An unintended and interesting impact of the process has been that CARITAS staff feels there are better internal team communications and information sharing. The staff have taken the initiative from their own learning and developed fact sheets for communities on their projects.

A case study of accountability support to CAFOD partner Social Department of the Bishops Conference (SNPS), in Colombia reports (p. 2) that:

"Since the complaints box was put in place, it has been the main tool through which project staff have assessed our activities in different areas according to their importance, content and the reaction of the participants. Using this tool, we assessed our performance and behaviour and knew first hand whether we were delivering the workshops, training, and advocacy exercises etc adequately."

Conclusion

The IPR team recognise the holistic approach being taken towards accountability in CAFOD, with partners, through inter-agency workshops and ultimately to the communities it serves. There is substantial evidence of CAFOD's commitment to accountability through the Keystone Partner Survey and the HAP audits. The integration of the HAP standards of downward accountability across CAFOD is an example of sector good practice.

Monitoring visit Reports to Accountability Strategic Partners demonstrate that implementation of CAFOD's Accountability Strategy is underway. However at the Country Programme level, the focus is largely at the output level. It will be important to continually review how the demands of greater accountability mesh with the demands of complex programming. And therefore, how the ADO can most effectively deliver technical support and monitoring to support capacity building related to downward accountability and achieve the challenging outcomes in the Accountability Logframe.

3.1.6. CAFOD's Contribution to Development Results beyond the PPA Thematic Areas

It is challenging to paint a summarised picture of what they CAFOD are achieving beyond the PPA outcome areas either globally or regionally, because CAFOD does not globally aggregate results. The Regions report against their three-year plans, but there is no common format for this, which makes summarising achievements challenging. Similarly, the Programmes Annual Report 2011-12 is a mixture of output and outcome level reporting, does not report against specific targets or indicators,

does not mention inputs, which makes it difficult to make any judgment as to whether it is achieving what it should be achieving.

That said, there are some initiatives and achievements that are worth noting in order to contextualise some of the broader benefits of the PPA. These come under CAFOD's partner capacity building which is described in section 3.4.2., its work tackling structural factors that affect the lives of poor and vulnerable, its humanitarian and emergency work, its global advocacy work and its work in specific thematic or sectoral areas (for livelihoods, HIV and AIDS and DRR see above). Some examples have been provided below in order to give a flavour of some of the results that CAFOD has contributed to.

Change relating to structural or systemic elements of poor people's lives 2011/2012

The Programme Annual Report provides some examples of achievements relating to structural change, but these are just illustrative, and most of the examples are actually describing outputs. Without a comprehensive analysis of each programme, and in the absence of reporting against a results framework, it is difficult to attribute the result to CAFOD. No examples were found in the Annual Reports where CAFOD was contributing to structural inequalities at the household or community level.

- In Central America CAFOD has supported efforts that have led to the State accepting its responsibility for the Mozote massacre of 819 people which has opened way for justice to be administered and reparation for civilian victims.

- In Bolivia, 353 families received their formal land title deeds after six years of lobbying the relevant government authorities.

CAFOD's Humanitarian Achievements 2011/2012

The Annual Report 2011-12 notes some achievements from the Humanitarian Department. These include:

- CAFOD provided food aid, cash transfers and livestock destocking to over 200,000 people in 6 countries in response to the drought in the Horn and East Africa.

- CAFOD's partners in Haiti reached almost 40,000 people with water, sanitation and solid waste management services. 100 houses were constructed.

- In Darfur CAFOD is continuing to deliver essential services to some 560,000 displaced and conflict affected people.

CAFOD's Achievements on National and Global Advocacy 2011/2012

CAFOD has contributed to the following advocacy outcomes. The extent of CAFOD's contribution has not been verified by the IPR team.

- In Cambodia, advocacy and the collaborative work of CAFOD partners and the government helped reduce the discrimination against PLHIV and for their rights to be more widely recognised

- SCCCO has brought together political leaders of the main opposition parties in Swaziland together in order to promote tolerance among them. In 2011/12 at least 4 meetings were held in and outside Swaziland, where party leaders committed in principle to working strategically and to reducing inter party conflicts

- In Zambia there were free and fair elections characterised by strong civic participation, including participation of women and other excluded groups

- Following on from the CAFOD 100 voices report and lobbying, DFID have shifted their position on post MDG planning. CAFOD's contribution can be assumed as they led a letter signed by 60 organisation on post MDG response, their work was described as playing a "vital role", they hosted an event in Romero House, and CAFOD is co-chair of Beyond 2012.

- Advocacy efforts contributed to the government of Cambodia's decision to allow for further civil society consultation on the law. This was a result of the CAFOD support and partners in Cambodia organising a strong advocacy campaign. CAFOD also helped to raise partner voices with decision-makers at a European and UK level, which secured partners some key meetings in-country and successfully contributed to the delay of the legislation being passed

- CAFOD contributed to maintaining government commitment to 0.7%. CAFOD played a leading role in organising "Tea Time for Change", which resulted in MPs from all parties reinforcing their commitment to 0.7%. CAFOD's specific contribution from this group can be assumed to be significant as from a sample of 100 feedback forms, 55% had heard about the event from CAFOD, and CAFOD was referenced by Andrew Mitchell in his speech at the event.

- CAFOD supported the Congolese Bishops Conference (CENCO) and Ushahidi (a network which originated in the US to create real-time monitoring of national elections) to create a network through which infringements of electoral processes could be reported and recorded. All reports received are logged onto an interactive map available to the public through the internet and issues highlighted in the reports returned by the 30,000 election observers trained by CENCO are being included in the Ushahidi statistics. There was some success with this, and it was an interesting experience to learn more about the value of such a system, with the potential to repeat the exercise in other national elections such as Zimbabwe where elections are due before 2013.

CAFOD's work in Development Education

At the heart of CAFOD's 'Just One World' strategic framework, lies a re-affirmation of its identity and mandate, which comes from the Catholic Church in England and Wales. Key to this is CAFOD's desire to build partnerships in and with the Catholic community and to inspire Catholics in England and Wales to challenge global inequality through prayer, action and giving. CAFOD seeks to do this through development education; by nurturing deeper relationships between Catholics in England and Wales and communities in the global South, supporting Catholics in engaging with global poverty and injustice issues and seeking support for its work. An important element of this work focuses on increasing the engagement of young people and their communities with CAFOD's work.

CAFOD's development education work constitutes just 1.19% of CAFOD's annual budget, yet CAFOD works with approximately 400 secondary schools across England and Wales by providing resources, and teacher training and has facilitated over 170 volunteer led schools visits over the last year, as well as working with youth groups, Catholic residential centres, producing online resources and holding various conferences and events to engage young people, such as the 'Great Generation Conference'. From April 2011, until March 2012, over 175 young leaders took actions for CAFOD, and were able to potentially impact upon almost 46,000 people.

3.2. Relevance

CAFOD's commitment to work with and for poor and most disadvantaged communities is presented in J1W as well as the International Division's three year priority to increase the focus on equality for

the poorest and most disadvantaged. This corporate commitment is further demonstrated by the inclusion of gender and poverty considerations in PCM and key guidance documents, including Partner Organisation Profiles, Programme Framework Template, the Draft Guidance on Country Strategy Development. Just One World includes specific targets for CSPs to identify how they have identified and prioritised the most disadvantaged.

There is also a clear commitment to inclusion of gender issues at senior levels of the board as evidenced by the inclusion a J1W priority to increase focus on "support to and equality for women and girls" [31]. The Gender and Equality Policy and Strategy (2010-2015) outlines the importance of the transforming of unequal power relations between men and women to promote equal opportunities and it is a requirement for all CSPs to include gender analysis, monitoring to include disaggregation. However, evidence suggests that CAFOD staff and partners still lack confidence and analytical understanding of gender issues, and that there are both examples of where Gender *has* been considered and examples of where it *has not*. This suggests that gender considerations have not yet been integrated across all programmes.

The extent to which the needs of poor and most disadvantaged groups are considered and responded to in CAFOD programming has been outlined below, as has the extent to which these groups are reached.

3.2.1. Representativeness

CAFOD aims to provide support through its partners, which responds to the needs of the poor and marginalised. It does this using three main approaches: Supporting organisations that are "locally rooted"; needs assessments which are conducted by partners; and using specific tools that ensure that programmes are designed and responsive to the needs of the poor.

Supporting organisations that are "locally rooted"

CAFOD claims that working through church structures helps ensure that they are locally rooted in communities which therefore gives them insight into the challenges of poor and most disadvantaged groups which in turn ensures that projects are designed appropriately. From the evidence provided, and the field visits, the faith based partners that CAFOD supports are situated near marginalised or remote communities, which it could be argued gave them an element of embededness, as they have, for example been supporting them for a long time, and they are not based in the capital cities, but near the communities they are working with. This embededness of FBOs was also an observation of The Faith Based Partnership Review[32] more broadly.

> **Box 7: From Faith Based Partnership Document**
>
> Faith groups can inspire confidence and trust and are often seen as more embedded in, and committed to, local communities. They are often the first groups, which people turn to in times of need and contribute to in times of plenty."

Nevertheless, across the overall partner portfolio, the IPR team has not found a summary of how many partners are indeed embedded in or near communities, and furthermore at least one third of CAFOD's partners are not faith based, so even if this assumption holds true for the FBOs it may not for the NFBOs. Partner selection criteria do not dictate that they need to be based in poor

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[31] Although it is also noted that given CAFOD's role as an extension of the Catholic church and relationships with the Bishops, it does not take a radical approach to gender

[32] Faith Based Partnership Review

communities. The IPR team would also challenge the assumption that living near poor communities or being "embedded" does necessarily give insight into the challenges and needs of poor people's challenges.

Conducting needs assessments

Evidence suggests that partners do not systematically conduct need assessments in the areas that they work. A review of a sample of 12 Livelihoods programmes, found that only 5 had been based on participatory assessments. The remaining 7 had included some analysis, but this was a value chain analysis (1), a needs assessment that had been conducted four years ago and recommendations from previous projects (3). Similarly, a gender audit conducted with CARITAS Bangladesh found that although there were attempts to ensure participation and representation of women in projects, there had been oversights with regard to gender analysis informing project design (i.e. differentiating between the realities and priorities of women and men)[33].

CAFOD does not impose ways of working on its partners. At a project level, one of the challenges for CAFOD is to balance its approach of maintaining long-term partnerships with a need to remain or become relevant in terms of providing appropriate solutions to poor and most disadvantaged individuals and communities. Given that the portfolio of partners remains relatively static[34], this would suggest that they would do this through capacity building, or pairing partners up with technical partners. An example of where CAFOD could have re-assessed the relevance of a programme with a partner is in Kenya,[35] which first partnered with CAFOD in the late 1990s when HIV prevalence was around 30% in the area in which the partner was operating. Prevalence has since reduced, to 5.7% by the end of 2010. This is far below the prevalence in other areas of Kenya such as Kisumu (estimated 15%)[36].

Being a "partnership based" organisation can make ensuring that projects remain relevant a challenge. Whilst CAFOD has put working with poor and most disadvantaged groups to the forefront of their mandate, it is the partners who are responsible for conducting needs assessment and deciding who they work with. There is a risk that the partners may not necessarily have the skills or inclination to do this, and that unless CAFOD can confidently say that the work they are supporting is relevant (through evidence) they can not verify the extent to which this is happening.

That said, there is evidence that through the accompanier model CAFOD can help partners understand some of the deeper issues that are affecting the poor and most disadvantaged. An example of this was seen in Zimbabwe where CAFOD had joined an HIV partner up with a legal partner to help them work through issues related to child birth registration which were preventing children from going to school. It can be assumed that without CAFOD's presence, the HIV partner may have continued to focus on out of school children without tackling the issue of birth registration.

Use of Tools

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[33] Caritas Bangladesh Gender Audit report
[34] 72% of partners who responded to the Keystone Accountability Survey had received support for more than 5 years (compared to 45% for the cohort).
[35] Integrated AIDS programme (IAP) in Kenya
[36] Integrated AIDS programme (IAP) in Kenya

CAFOD states that it is committed to achieving change at 3 levels: the individual / household level; the community / societal level and at a systemic level[37]. One of the ways CAFOD hopes to ensure projects are relevant to its beneficiaries is through the introduction of the Vulnerability and Inequality Tool which explains the structural dimensions of poverty. The draft guidance on Country Strategy Development also contains a request for consideration of root causes of poverty. The VIA tool is still in a pilot phase and the IPR team found no evidence that it had been used in Kenya or Zimbabwe, although it has been piloted in Mozambique, Central America Bangladesh and Niger. The draft CSP guidance has just been rolled out.

Box 8: Vulnerability and Inequality Analysis (VIA) Tool

CAFOD's Vulnerability & Inequality Analysis (VIA) Tool aims to ensure that the organisation or programme remains relevant and effective and does no harm in contexts also affected by disability/gender/HIV issues. CAFOD's VIA Tool enables programme staff to incorporate disability issues effectively from conception to monitoring and evaluation of the programme. The analysis considers five stages: Awareness, Analysis, Adjustment, Action, and Assessment of Impact.

As noted above, CAFOD aims to tackle structural dimensions that may be affecting the poor and most disadvantaged. This could be at the household, community or more systemic levels. There are examples where attention has been paid to policy dialogue[38]. From an internal meta-review of recent livelihoods evaluations conducted by CAFOD, of 12 funded livelihoods programmes, 2 fulfilled a local level advocacy function for PWD, 2 built capacity of village development actors to raise issues with local government, and 1 worked on policy dialogue at the national level. The remaining 7 evaluations did not refer to advocacy work.[39]

The use of monitoring tools is another way for CAFOD and their partners to ensure that their programmes remain appropriate and relevant to meet the needs of poor and most disadvantaged groups.

- The IPR team found anecdotal evidence that the HIV Care Mapping Tool, for example, has helped partner staff to identify areas where they are less strong, and/or where there are gaps in holistic HIV care and mitigation service provision, and this has led to positive action to help redress this to ensure that beneficiaries are better able to avail of a comprehensive range of services. This was highlighted during an interview with the HIV programme Officer in Kenya, who explained how 2 partners - Fracodep (based in Kisumu, Kenya) and Nsambya Home Care (Uganda) - have been able to link up with other agencies specialising in the provision of legal support in very remote areas where access for their beneficiaries to legal redress was previously limited.

- The Hazard Vulnerability Capacity Assessment approach to DRR is starting to provide evidence of how communities have become more resilient over time and in addition, that the community based approach provides evidence which has been very effective in making shifts in national policy e.g. Philippines.

- The Voice and Accountability tool encourages partners to think about how to support beneficiaries to participate and engage thus ensuring that the intervention is more relevant to their needs. Finally the Accountability work enables beneficiaries to feed back their views to

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[37] CAFOD's Niche – A discussion document for the International Programme Managers Forum (internal)
[38] A report from Webpromise showed 379 projects that are aimed at influencing policy makers.
[39] PPA Livelihoods Meta Review LH Evaluations – working notes (internal document)

partners, which gives them the opportunity to feedback. However it is noted that these tools have not been adopted throughout the programme and are on the whole restricted to the specific thematic areas and PPA associated projects.

The following presents a summary of the relevance of two of the PPA outcome areas:

- **Livelihoods** – as noted above under half of a small sample of livelihoods partners reviewed had conducted a participatory needs assessment. That said, the thematic review of HIV by Roger Drew noted that the livelihoods programme would benefit from greater inclusion of PLHIV. The most common method found for assessing who was poor and most disadvantaged in the community was for partners to facilitate a community self selection process through a wealth ranking process or something similar. This method is inadequate and can create difficulties around understanding issues that may be contentious or sensitive (such as the inclusion of specific groups). For example, HIV had not been part of the targeting criteria for one of CAFOD's livelihoods partners in Kenya (Duputo), due to particular sensitivities around disclosure amongst pastoralists (who are the main target group).

- **HIV** – On the whole, the IPR team considers that the PPA outcomes for HIV are relevant. CAFOD's approach to HIV care and mitigation is holistic and, rightly, emphasises the need for such services to go beyond the clinical only. Partners, with CAFOD's support, provide a wide range of non-clinical services, which have contributed to improvements in their quality of life (Outcome Indicator 3, measured by the "Batteries" Tool). Nonetheless, as a recent (2011) external evaluation[40] of CAFOD's international HIV work noted, it is important that CAFOD's approach to HIV care and mitigation is constantly reviewed, to ensure it reflects best practice. For example, antiretroviral therapy (ART) has, in many contexts, changed the landscape considerable and transformed the lives of many PLHIV such that the types of HIV care and mitigation responses and interventions required have evolved, and will continue to evolve over time. Yet it is unclear whether CAFOD's HIV policy and practice fully reflect this shift, with many partners in Sub-Saharan Africa, at least, still focused on the provision of palliative care to those denied access to ART and fewer partners making efforts to expand access to ART. The IPR team does note, however, that the provision of palliative care in many contexts remains important and relevant, even for PLHIV accessing treatment (for example, CAFOD's HIV Team mentioned having received reports from partners in Sub-Saharan Africa of an increasing number of patients with HIV-related cancers and the health effects from living longer with HIV).

  Geographically, the major part of CAFOD's work on HIV takes place in those regions where there is a generalised HIV epidemic (principally Sub-Saharan Africa). However, an external evaluation of CAFOD's international HIV work undertaken in 2011 suggested that perhaps this purposeful focus on generalised HIV epidemics has potentially limited CAFOD's further expansion of work in contexts of concentrated epidemics intended to meet the particular needs of most at-risk groups (MARPs).[41] Such groups might include orphans and vulnerable children (OVC), injecting drug users (IDUs), men who have sex with men (MSM) and commercial sex workers (CSWs), all of whom are often marginalised from mainstream HIV responses.

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[40] Drew, Roger. *Thematic Review: CAFOD's International Work in HIV-Related Care and Mitigation.* (February 2011) (pp.19-20)
[41] This is not to suggest that CAFOD does not work at all with such groups. To the contrary, the IPR team does note that there are some examples of where CAFOD *is* working with MSM and sex workers in concentrated epidemics – such as in Cambodia and Central America, and in Southern Africa CAFOD does have partners that undertake a significant amount of work with OVC (i.e. the "Putting Children First" programme). However, work with such vulnerable groups could perhaps be expanded still further.

At the programme level, there appears to have been some decision-making process to design the programmes to suit the national or regional needs, and HIV features strongly in a number of CAFOD's regional/country strategic plans and three-year plans. As a faith-based organisation, CAFOD has been particularly well-placed to engage constructively with church leaders, as highlighted in particular by the positive outcomes to date of the interfaith work undertaken as part of the Stigma Reduction Initiative (SRI).

Targeting

As noted above, there are attempts both organisationally and at the partner level to target and work with and for the benefit of the poor and most disadvantaged. The evidence as to whether this is achieved or not is mixed, with examples of working with and for specific groups of people who could be categorised as poor and most disadvantaged and examples where there is a specific strategy not to focus solely on these groups examples where specific groups have not been considered. A rapid review of 19 livelihoods projects, found that 10 clearly targeted the poor and most disadvantaged[42]. The same review found that there is a need to be clear in the projects who are being targeted, as there are examples where particular social groups may not have been considered and assumptions made about who is the poorest and most disadvantaged. The independent external evaluation conducted by Roger Drew recommends "CAFOD should consider expanding its work among key populations at higher risk of HIV."

Box 9: Examples of projects working with identified poor and marginalised groups

* In Zimbabwe, the Mashambanzou Orphans and Vulnerable Children Outreach Programme works with girls and boys at risk which includes child headed households, orphans and abandoned children.

* In Cambodia and Philippines CAFOD partners work with the elderly to prepare for disasters. In the same countries, they were previously working throughout the country – but now they have taken a strategic decision to focus on working with indigenous populations (i.e. this was an active choice to not work anywhere else). In Cambodia, there is also an indigenous population programme which works with marginal group.

* In Tigray, CAFOD partners target and work towards building resilient pastoralist communities.

 Examples of where CAFOD has not targeted poor and most disadvantaged

* In Cambodia and Philippines, CAFOD partners are not working with groups that are particularly vulnerable to HIV (e.g. prisons, commercial sex workers).

* The Integrated Support for Uprooted People in the Departments of Huila and Caqueta project targeted vulnerable and displaced populations, but in some cases the recipients were neither the poorest nor the most vulnerable, as seen in Annex I.

* The Emergency Assistance to Conflict Affected IDPs and Refugees in Western Equatoria State in South Sudan is an example of where displaced populations had been targeted, but the project excluded FHH, CHH.

* As noted previously, an external evaluation undertaken in 2011 of CAFOD's international work on HIV suggested that CAFOD's work with key at-risk populations was not well developed and that this could be

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[42] 3 livelihoods projects in Bangladesh (target group included landless, marginal farmers, Adivarsi, "ultra-poor", FHH, PWDs, climate refugees; 2 in Cambodia (women affected by GBV, FHH with less than 1 ha, indigenous people), 3 in Philippines (landless labourers, indigenous people, farmers with less than 1 ha, poor communities affected by conflict, indigenous people); 2 in Columbia (IDPs, vulnerable families).

an area for improvement. Examples cited in the evaluation reported (p.21) included: (i) although the Bangladesh country strategy recognised that HIV is predominantly spreading among injecting drug users (IDUs), "CAFOD's response was silent on providing services for this group." (ii) the Cambodia country strategy, similarly, "recognised the key role of sex work in driving the HIV epidemic but the document failed to describe how CAFOD would support the provision of services to this group." One informant interviewed noted that more could be done by CAFOD and its partners to target OVC in country, although this was a matter of priorities and funding (i.e. not enough time to devote to writing proposals to donors targeting specifically at this group).

One of the ways in which CAFOD assumes that it reaches the poor and most disadvantaged is through its "capillary system" of Church and organisational structures that reach the "edges of countries and communities". That is, working through locally rooted faith based partners enables them to reach groups that may otherwise be hard to reach. This is based on an assumption that local faith structures are seen as having credibility, longevity and extensive network structures that can facilitate contact with the poorest and most disadvantaged[43] (and that this is more true for faith based organisations than non faith based organisations). The Roger Drew evaluation noted that the Catholic Church has indeed established networks working in the poorest sectors and regions[44], and this was endorsed by the two country visits conducted by the IPR team. The extent to which the church sees its responsibility to the whole community, so are less inclined to disaggregate within the community is less clear. The IPR team has not done a comparison with other partnership-based organisations to test whether CAFOD's "capillary system" has a greater reach than other agencies.'

The extent to which CAFOD is targeting the poor and most disadvantaged is highly dependent on its partners. CAFOD does not do its own analysis, assessment or baselines. CAFOD acknowledges that it has been a challenge to do a comprehensive assessment of the extent to which it is both targeting and achieving outcomes for poor and most disadvantaged groups. It is loosely defined, and often context specific which makes aggregation difficult. A query on Webpromise in July 2012 found that 412 (out of 2002) projects worked "directly with the poor and disadvantaged", 214 had a focus on women and girls, however this data tag has been introduced recently and given the data challenges as outlined in section 3.3.2. below, this should not be used as a basis for judgement.

In response to CAFOD's internal and PPA reporting requirements there is an increasing awareness and effort put into understanding the extent to which men and women are targeted as part of the programmes. Within the PPA outcome and output areas, only livelihoods and HIV include gender disaggregation (female headed households) and even these do not display an understanding of intra household distribution. While DRR action planning as a result of the baseline HVCA asks 'who' the community is i.e. vulnerable groups, this data was not found to be disaggregated. In the case of Social Action Padagian, Philippines, the columns detailing: the Community Stakeholders Participating in DRA and Identified changes in vulnerability/ capacity due to Community Actions were beyond the PPA, the CARITAS Bangladesh Gender Audit found that few projects were monitoring or disaggregating gender.

What is more challenging is to demonstrate across the board that the poor and most disadvantaged have benefited. The external evaluation of CAFOD's DEC funded work noted that the two projects reviewed had reached "some of the neediest Haitians with a solid impact beyond the emergency response." The extent to which the PPA logframe outputs and outcomes are benefiting the poor and most marginalised has not been monitored or tracked. That said, there is a clear bias toward female-

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[43] CAFOD's Niche
[44] Drew, Roger (p. 21)

headed households in the livelihoods outputs, and they are on the whole on track to benefit from the project outcomes more than male-headed HHs.

The VIA tool is not mandatory which may be because it is still in the piloting stage. However, if working for poor and most disadvantaged people (and understanding their need) remains a priority of CAFOD, it is recommended that it is rolled out, is mandatory, and this roll out is adequately resourced.

In conclusion – CAFOD has a commitment and intention to work with the very poor and most disadvantaged, tackling the root causes and providing more direct responses. This is done through supporting organisations that are "locally rooted", needs assessments and the use of specific tools and methods. This is not an area that is systematically tracked, so the Review team cannot definitively make a judgement either way. From the evidence reviewed, however, there are both positive and less positive examples of working with the very poor and most disadvantaged.

The IPR team challenge the assumption that local rootedness results in more relevant interventions, although it is certainly an advantage. There is evidence that some programmes are conducting needs assessments whilst others are not. There are also examples of some useful tools such as the Vulnerability and Inequality Analysis tool and the CSP process which will help equip staff and partners with the necessary tools to ensure projects are designed appropriately. These are in the process of being rolled out. One of the challenges for CAFOD is to maintain a partnership-based approach which respects the work of partners, and builds on long term partnerships, whilst ensuring that projects remain relevant. There are examples of good practice where CAFOD has employed the accompaniment model to ensure its projects remain relevant.

3.3 Effectiveness

This section examines CAFOD's distinctive offering, learning, innovation, monitoring and evaluation and partnership, and the extent to which that makes the organisation more effective with respect to delivering high quality programmes which benefit the poor.

3.3.1. Distinctive offering

CAFOD's three main distinctive offerings are its faith identity, its approach to working with partners and it holistic approach. This section highlights the first of these, and provides some evidence to point to whether this distinctive offering place CAFOD in a stronger position to deliver quality development results. The second two have been discussed in other sections of the report.

The value and role of the church varies both nationally and regionally and it was beyond the scope of this review to conduct a comprehensive analysis. However, some clear patterns have emerged which indicate that CAFOD's Catholic identity do (and have the potential to) contribute real value. Some of these have been outlined below:

● In some regions the Catholic Church is an influential body that reaches a high number of people (33% of Kenyans and 42% of Ugandans respectively are Catholics). In Latin America, the church was one of the organisations that inspired democracy and had an institutional authority. This has meant that it has had the potential to give CAFOD a "ready made" entry point. A recent evaluation[45] of a project (part funded by CAFOD) that developed 10 workbooks aimed at faith leaders, each addressing different aspects of HIV and couched in a

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[45] Kate Welch: An Evaluation of the 'Called to Care' Toolkit Project: Assessing achievements made towards project goals over the period 2005-2011

faith perspective concluded that one of the reasons the books had such an impact was because faith leaders are so influential in many contexts, and that by getting them to change their attitudes and practices as part of their own work this had led to real improvements in people's lives and reduction in stigma and discrimination

- There is some evidence that the Catholic identity gives CAFOD an entry point into communities as noted in the Columbia Livelihoods evaluation

- In cases of emergencies or displacements, the presence and relationship with the Catholic Church / CARITAS can place CAFOD in a strong position to provide support. This is both because of its existing network such as in South Sudan where, at times other NGOs may not be able to work in communities due to political sensitivities, the Church is not considered an NGO. The ready made network of 172 CARITAS member organisations means that in most countries there is a potential or actual partner

- CAFOD claims that the common language, common culture, rooted in the Catholic Social Teaching allows an entry point and level of trust with partners. It is beyond the scope of this IPR to make a judgement on this. However it is interesting to note that it does seem to provide a common culture and understanding of complex issues such as reduction of HIV-related stigma and discrimination. Although it is also noted that not all of the staff (both partner and CAFOD) are members of the Catholic Church, and at least 1/3rd of partners are not faith-based organisations, and furthermore even where partners are part of the Catholic Church their beneficiaries may not necessarily be

Box 10:

Christian churches have a long tradition of pastoral care, education and healthcare, a concern for social justice and local networks. CAFOD and its partners are therefore well placed to play a crucial role in HIV prevention and care at community level. In several countries, particularly in Sub-Saharan Africa, for example, many of CAFOD's faith-based partners have been at the forefront of home-based provision of care and health service for PLHIV for over a decade. This evaluation found compelling evidence from a variety of settings – including those where the Stigma Reduction Initiative (SRI) has been rolled out – to suggest that CAFOD has been particularly effective during this PPA period in challenging the Church and other faith-based institutions and leaders to go further still, in breaking the silence around HIV and promoting a more inclusive approach that also places strong emphasis on emotional and spiritual support and rejects all forms of stigma and discrimination towards those infected or affected by HIV.

As seen in the Box 10 above, CAFOD has a potential and actual role in influencing the church.

- The structure of the church itself can be seen as a value, and there were examples of CAFOD working within this to influence change. In the Southern Africa programme for example, the team were working with the church's bishops who are able to engage with power, making use of information gathered by justice and peace groups to inform their positions. E.g. IMBISA Elections Project which supports regional bishops to engage political leaders on the issue of elections and violence in Zimbabwe

- CAFOD's rootedness in the Catholic Community of England and Wales provides an in road into a particular section of the community, which raises the awareness of development, and potentially mobilises support for campaigns. Annex H describes some benefits from one particular element of this work with the Catholic Youth

- There are, however times when CAFOD's church identity is less valued, and can sometimes impede CAFOD's work. In Ethiopia for example, partners noted that the Catholic Church is a minority and sometimes the interventions were misunderstood (perception that they were there to evangelise)[46]. It also has to be question whether CARITAS is the most effective agent of change. The hierarchical structure of the church sometimes means that the poorest are not able to be in decision-making roles

In conclusion, there are clearly pros and cons of CAFOD's faith-based identity, and it is not for the IPR team to make a judgement as to whether this is good or bad, and the reality is that a third of CAFOD's partners are not FBOs (and possibly more are not Catholic). However, it is recommended that, given that within CAFOD it is seen as a key value, a theory of change with the assumptions should be articulated and tested so that Country Programmes can build on this value as it is contextually appropriate.

The IPR team feels that CAFOD would benefit from better formulating and articulating the theological principles that determine its response to, for example, the HIV epidemic, if this is to be seen to be well-founded. CAFOD's Corporate HIV Policy[47] states, for example, that CAFOD "draws on the rich heritage of Catholic Social Teaching and Catholic Moral Theology to inform its response to HIV". The recently launched Joint Learning Initiative on Faith and Communities[48], in which CAFOD is involved, provides an ideal opportunity for CAFOD and other faith-based agencies to explore this area further and to consolidate learning around this issue, and CAFOD should consider carefully the potential value of commissioning a specific piece of research as part of this initiative to evidence the added value of a faith-based response to HIV.

3.3.2 Learning

CAFOD's commitment to learning is demonstrated by its commitment in its policies and associated budgets for staff training and induction, the existence of the Programme Learning Team (PLT) and Organisational Development Team, and the Innovations Fund.

Much of the learning that happens in CAFOD takes place informally, in many cases through personal relationships by face-to-face contact. Formal channels include meetings, briefings, workshops, lunchtime talks, open sessions, telephone and Skype conferences, and online tools including CAFOD's *sharepoint* based intranet. For all this, and by CAFOD's own admission[49], learning is not yet fully embedded in the culture of the organisation.

In recognition of the need to strengthen learning across international programmes the PLT was established in 2008 and sits within the Programme Effectiveness Unit of the International Division. It engages with managers and programme staff across the organisation, and is linked to the Human Resources Division's Organisational Development and Learning Team whose remit is training capacity building of CAFOD's own staff. The team also liaises with and links together technical specialists outside the team including those working on Accountability, Safeguarding, Disaster Risk Reduction, Climate Change, Conflict, HIV and Advocacy Capacity Building. The team works primarily with CAFOD staff, (who in turn work with partners). The Programme Learning Team within CAFOD's International Division both catalyses these processes and tracks their outcomes in terms of improved

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[47] FACING THE CHALLENGE: CAFOD's Response to HIV and AIDS. An Overview of Policies and Strategies (June 2011 version, p.2)
[48] http://www.jliflc.com/en/learning_hubs/hiv_aids_and_maternal_health/members_of_the_learning_hub_advisory_group/
[49] CAFOD *Programme Learning and Innovation Strategy 2012-15* (Draft 27/7/12) (p.4)

delivery of programmes. Learning and innovation is guided by CAFOD's draft Programme Learning and Innovation Strategy 2012-15.[50]

Learning that Improves CAFOD's organisational Capacity

Significant investments have been made into IT connectivity and tools including Programme Cycle Management (PCM) and its associated database *Webpromise* for monitoring international programmes and a Microsoft Sharepoint based internal document system. CAFOD's Programme Learning Team reports that "this is now embedded, people are using it."[51] Nonetheless, CAFOD is also candid about the fact that neither of these systems are being used to their full potential yet, "*with much of the organisation's knowledge stored in people's heads and shared only by cumbersome emails to selected targets.*"[52] A key challenge is that people tend to use this type of information simply (or mainly) to get grants approved, to get funding, i.e. "*it's still seen as a grant-making tool, rather than a learning tool.*"[53]

A considerable amount of work has been done to look at the quality of the information that is being inputted into these internal systems, but a respondent to a survey issued by the PLT said *"PCM has developed well and is much more structured than before. However, too much 'adding on' to PCM; CAFOD is not good at being ruthless – where can we drop things in order to replace them with better versions?"[54]* A rapid review of some of the information on Webpromise concurs with this, and endorses a requirement, if it is to be used and useful, to ensure buy in and a standard approach by the programmes and regional managers.

One of the ways CAFOD has attempted to ensure greater consistency across the regions is the creation of a new Head of Programmes in post. By consolidating this post, the thinking is to help ensure consistency among different Regional Managers who work on disparate programmes. The International Programme Leadership Group has increased authority and leadership and the potential to encourage organisational learning to facilitate better quality programmes.

A short survey of a sample of programme staff was carried out in November 2011 to get feedback on the work of the Programme Learning Team. A key finding was that CAFOD is not very good as an organisation at promoting learning. "This priority has become more important over the years but could be promoted more. The problem might be that it is outside PLT's area of influence and that the work overload makes it sometimes impossible for both parties, PLT and the CAFOD staff, to either promote learning or to take advantage of it." This was seen as especially difficult for overseas staff. In particular, *"there is a danger of systems taking time and attention away from promoting learning, which is more important"*.

Since CAFOD first entered into a PPA, DFID has provided a number of comments on organisational development as well as technical areas. There are some examples of where CAFOD has received feedback from DFID and the change that has subsequently occurred, which points to an impression that CAFOD is learning. For example CAFOD took on board the recommendation from the 2011 PPA Evaluation[55] to include a livelihoods indicator in the PPA logframe. The CAFOD response to the PPA Environmental Assessment also demonstrated a commitment to improvements, as for example,

[50] Draft 27th July 2012. The draft Programme Learning and Innovation Strategy is therefore a work in progress until the review and reorganisation are finalised later in 2012.
[51] Interview 2012.
[52] CAFOD Programme Learning and Innovation Strategy 2012-15 (draft 27/7/12) (p.5)
[53] Anecdote from a key informant
[54] CAFOD Programme Learning and Innovation Strategy 2012-15 (draft 27/7/12) (Appendix 1: Programme Learning Team Review December 2011)
[55] Silkin, PPA Evaluation 2011.

CAFOD noted that it would enhance the risk assessment required for all new projects undertaken with partners to include environmental criteria[56]. The CAFOD response to DFID's comments on the APR are equally considered and where considered appropriate have been noted (such as: the requirement to distinguish between earlier work and the work of the current PPA, the requirement to share work on monitoring with other agencies, addressing the need to take a management approach to value for money etc).[57]

Thematic learning, and looking at wider impact(s) internally

The PPA has been a driver in encouraging CAFOD to adopt more of a thematic focus, and each theme has an advisor who acts as a pivotal point in thematic learning. As noted above, the Livelihoods programme has gone from being a number of disparate projects, to one that is more joined up with some thematic level learning as evidenced by the livelihoods meta-review. Furthermore, there is evidence of cross country learning as in 2009, CAFOD's East Timor livelihoods accompanier (ETA) and Kenya's livelihoods PO were invited by the learning team and the joint CAFOD/Trocaire/SCIAF office to conduct a training on learning institutionalisation for livelihoods partners in Ethiopia – this was supported by the PLT.

The use of Communities of Practice is one way CAFOD facilitates learning. There is, for example, a well-established Community of Practice around HIV. There is also a good working group around gender (although not as strong), and they are developing one around livelihoods. The PPA has been a vehicle for some of these, whilst others pre-date the PPA. However, although these groups provide opportunities for thematic leads to come together on a regular basis, the IPR team viewed some of the groups such as Policy Influence more as performance management groups rather than learning groups, since the primary topic of conversation is around PPA targets. The IPR team has not tested the extent to which these Communities of Practice result in improved programming. The Livelihoods Learning Note is also an example of thematic learning.

An external thematic learning tool used by the HIV teams is **HavNET** etc for HIV. However, after reviewing some recent editions of this newsletter, the IPR team felt that this resource appears seems to be focused more on external learning that learning from actual partners and projects.[58]

The ability for thematic learning is clearly linked to resources. The livelihoods Programme is increasingly engaging in learning activities with the recruitment of a livelihoods advisor. The HIV programme has been stronger in learning, but it has also been more heavily resourced over the years. The implications that learning is labour intensive in a climate when programme managers are having increasing corporate demands on them is one that CAFOD should consider as it moves forward.

CAFOD has also started doing a cross-organisational review each year, with a focus on a different thematic area each year. A review was conducted of the HIV work in 2010/11, and a review of Advocacy Accompaniment in 2011/12.

Learning that contributes to technical discourse

CAFOD has made considerable contributions to sector-wide learning during the course of this PPA. Some of this is reported on in the PPA Annual Review 2011/12 (see Part C - Lessons Learned, p. 28).

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[56] CAFod Response to PPA Environmental Assessment
[57] CAFOD Response to feedback to PPA APR 2012
[58] For example, the July 16-22 2012 edition focused on the following 4 issues: 1. CAFOD at the International AIDS Conference [Washington]; 2. Discussion article on faith based response to HIV and AIDS, with a focus on the negative aspect of 'faith healers';3. WHO resource on Antiretroviral Treatment as Prevention of HIV and TB; 4. WHO guidelines on HIV disclosure counselling for children up to 12 years.

Much has taken place through CAFOD representation in (i) the PPA Learning Partnership and (ii) the BOND Effectiveness Programme. CAFOD has been a member of steering groups for each of these.[59]

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Box 11: CAFOD's contribution to the PPA Learning Partnerships

The PPA Learning Partnership mechanism set up by DFID and grantees for this PPA has four subgroups on different learning themes. CAFOD's representation includes:

* The International Advocacy Manager as co-lead of the Measuring Results in Empowerment and Accountability Learning Group who has made significant contribution to the thinking of this group on measuring results in this area. Progressio have taken the V&A tool and adapted it then used it for PPA and for whole organisation monitoring. Furthermore non PPA initiatives and agencies such as Leprosy Mission, Action for Disbability in Development and Sudan security sector projects have adapted the methodology.

* PPA Performance Manager who sits on the Institutional Effectiveness Group and has made contributions especially in terms of value for money and the value of strategic funding.

* The DRR Adviser who sits on the Resilience Working group and organised a workshop for the group in CAFOD on 21 June. She also co-chairs the BOND working group on DRR.

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CAFOD is also represented in the Vulnerability and Exclusion group, although this group has not really taken off, which is a missed opportunity given that it is an area that CAFOD recognises it has much to learn about.

The Bond Effectiveness Programme[60] has played an important role in bringing together agencies to develop a framework for monitoring in the sector (the 'improve-it framework') a self-assessment tool for NGOs to test their own effectiveness and a tool to assess the strength of NGO evidence. CAFOD representation has been strong – through the M&E Adviser and Head of Programme Effectiveness.

There is some positive evidence that CAFOD has not only shared tools, but that they have been well received. As a result of sharing CAFOD's and partners' experience of developing and using the Voice and Accountability (V&A) tool, three other agencies and development consultants have applied or adapted it to their own work[61] and it has been widely discussed across the sector. It has also been shared with other organisations such as Christian Aid and UNICEF, at their request.

Some specific examples where CAFOD has contributed to more broadly include the *Joint Learning Initiative on Faith and Communities[62]* which is still in its early stages (the Steering Group was set up 6 months ago), but given CAFOD's stated niche will be key to continue engaging with; *the Stigma Reduction Initiative* (SRI).

In Conclusion, from the evidence found it appears that CAFOD has made progress in internal and external learning. Some of this has been driven by the PPA (such as the PPA Learning Groups), and some of it has been enabled by the availability of resources (such as the HIV thematic area). That said CAFOD still faces some challenges in terms of finding appropriate systems and processes for learning.

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[59] CAFOD's Head of Programme Effectiveness was, until very recently, a member of the overall steering group for the PPA Learning Partnership mechanism.
[60] http://www.bond.org.uk/pages/bond-effectiveness-programme.html
[61] Progressio, ADD and Leprosy Mission have used adaptations of the tool and consultants have used an adapted version with CSOs working in the security sector in South Sudan. Other consultants have used the tool in trainings on M&E of advocacy.
[62] http://www.jliflc.com/en/learning_hubs/hiv_aids_and_maternal_health/members_of_the_learning_hub_advisory_group/

Another challenge may also be related to its generalists approach, which reduces the "hooks" organisationally for learning – where HIV was a strong theme there seems to be stronger learning. For the broader themes such as Accountability, livelihoods and partnerships the learning is weaker. This suggests that as CAFOD continues with its generalist approach, it needs to think through how cross cutting themes are captured and shared, and their model of technical assistance to support this and ultimately drive up programme quality.

3.4. Monitoring and Evaluation

The journey that CAFOD has been on in relation to monitoring and evaluation is significant to both this PPA and previous PPAs. From the 2005 review, it is clear that CAFOD was still very much reporting on a case study basis using an adaptation of Most Significant Change methodology. By 2011 the changing culture and objectives of the M&E system becomes evident as Silkin noted that tools had been developed as a "direct result of the PPA's demand to demonstrate results (which) has encouraged CAFOD to strengthen its PCM and country planning systems and its evaluation policy towards a much stronger focus on outcomes". A new evaluation policy was introduced in the 2010-2011 financial year, and there has been an attempt to consolidate and synthesise results through the Evidencing Just One World Project, and gather more quantitative information.

> **Box 12: Evidencing Just One World Project**
>
> This project aims to help CAFOD build a stronger evidence base of the organisation's progress and contribution towards CAFOD's 10-year strategic framework. The information will feed into internal and external reporting and communications to align and validate what they are doing; test theories of change and approaches; improve learning about effectiveness and strengthen resource allocation and decision making.
>
> The project began in March 2012 and will run for 2 years.[63]

The current PPA period has seen the development and/or scale-up of programme assessment, design and monitoring tools in collaboration with partners, which have also been shared widely (including through the PPA Learning Partnership). Tools include, for example, new approaches to work on specific themes (Batteries Tool, V&A tool), and adaptation of external innovations for application in areas of work reflecting CAFOD's niche (Stigma Reduction Initiative) and new financing internally for learning and measurement of results.

The setting up of the Performance Group, recruitment of a PPA Programme Manager and investment in the Evidencing One World Project, demonstrates the commitment to the results agenda and to encourage internal accountabilities, results commitments and timeframes at one level. However it was noted that capacity in the Country Offices is still relatively weak and that monitoring and evaluation largely falls on the desks of Programme Managers. Country Offices were offered resources to fund a monitoring and evaluation post to support the PPA reporting, but to date only one (Southern Africa Region) has taken it up.

Some of the benefits of the Evaluation Policy are filtering through, as for example approximately 20 evaluations are conducted each year and the IPR saw evidence that the thematic advisors were using and analysing these. A specific theme is selected each year to focus in on more deeply. The two most

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[63] Evidencing J1W Project Initiation Document PID

recent ones are an HIV Evaluation[64] and one of Advocacy Accompaniment[65], both of which have resulted in some alteration to programmes. Furthermore, the evaluations are clearly following a standard format of considering the DAC Evaluation Criteria, including a consideration of value for money. All large Evaluations require a management response. The responsibility for implementing the recommendations lies with managers, however and it is not systematically tracked.

There is also some evidence that M&E tools and processes are leading to changes at the project level. For example the HIV monitoring tools have been useful for allowing staff and partners to identify gaps at the local/country level. In Kenya we saw examples of partners, having identified through the HIV Care Mapping Tool[66] areas where they were weak, linking with other partners with more technical expertise, or developing funding proposals to support those areas of work where they were weaker.

The PCM was first developed in 2006, and has gone someway to shifting from a process that reflected a grant making organisation to one that reflects a programme. It provides a good basis for encouraging and facilitating monitoring and evaluation processes. It is the finding of the IPR team, however that the PCM process is creaking under the weight of data, tools, new procedures and reporting requirements; that is it is geared more for the traditional grant making model than the more programmatic model and now has multiple add-ons (reporting, sharepoint, user friendly website). Some of the other issues that we have come across have included: lack of ability to pull off basic reports from Webpromise and through Report Manager[67] (and in fact much of the PPA data is collated and analysed off line); the quality of information and data varies dramatically and budget holders are not getting the information they need. Country offices are not able to manage their programmes by using webpromise, and this is becoming increasingly complicated with the increase of institutional funded programmes and projects. Effort is being made to improve the quality of documents to show staff that they are being used, and to make the documentation simpler, creating proposal checklists to try and raise standard of quality and finally presenting the process as one, however this is a gap in CAFOD's system and severely hampers its ability to analyse and report at a country or portfolio level (see section on VfM below).

The ability to track (and evaluate) the trajectory of change through extended use of M&E tools is thus hampered somewhat by challenges associated with data management (i.e. central aggregation and analysis of data that is collected through these tools at the country level.). CAFOD is also hampered by capacity/time demand on staff and partners.

The PPA Results areas provide a good example of this gap, where each thematic lead has used their own reporting format, and tackled their own challenges with programme reporting. The unit of analysis varies across the different programmes, as some look at partners others at specific projects. Hence, CAFOD has a lot of learning that is not necessarily on the system. CAFOD is candid in admitting that adapting monitoring information across different indicators to be able to report on the PPA indicators, and aggregate these for global reporting, has been *"a complex and challenging process."* (CAFOD Report to DFID 2011/12). CAFOD is not alone in the sector in grappling with these challenges, but it is most apparent in the livelihood work, where the diversity of CAFOD's portfolio presents challenges; livelihoods partners have adopted various approaches to M&E, and monitoring indicators have been developed to suit local contexts.

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[64] Drew, Roger. *Thematic Review: CAFOD's International Work in HIV-Related Care and Mitigation.* (February 2011).
[65] Insert ref to advocacy accompaniment
[66] Although NB these tools were only used by 19 partners
[67] Webpromise and Report Manager are the information system that sits behind PCM

CAFOD's ability to track progress is also hampered by the fact that outcome-based reporting is new for some of CAFOD's partners. In other cases, where they have reviewed outcomes, this has not been collected on a yearly basis. For example, many of CAFOD's existing livelihoods programmes, using M&E systems developed prior to this PPA, only track progress towards outcomes at more extended periods, rather than yearly.

Work around the adaptation of monitoring for global reporting represents a significant learning opportunity for CAFOD and for the sector more widely, and as they move into the second year of this PPA, this should be something that should be monitored closely.

Another gap in the information system is the way CAFOD documents partnership outcomes and CAFOD's partner capacity building. Although there are partner capacity profiles, they are not completed to a very high standard. One of the challenges for CAFOD is that for the country programme staff, CAFOD's PCM systems and reporting tools are perceived to be more extractive than inclusive which might be a key factor in the information not being captured to the appropriate standard.

Like other similar NGOs, CAFOD has to weigh up the merits of qualitative versus quantitative data, and whether effectiveness be measured purely by tangible results, or also by the more abstract notion of process. Under the direction of the PPA reporting demands, CAFOD has increasingly reported using quantitative tools. As noted in the thematic sections above, it has successfully developed tools that try and qualify change in a quantitative way. However, the PPA reporting process does lose a lot of CAFOD's qualitative value in the process.

From the country visits and interviews, it seems that monitoring (and the whole project appraisal process) is more rigorous when a project is funded by an institutional donor, and staff are responding to donor demands. Furthermore, despite the investment and effort that has been made at the centre, relatively little investment has been made into improving monitoring and evaluation at the country level. Country programme reports are weak and do not report against a specific framework with robust programmatic, partner or organisational outcome based indicators. The process to arrive at the new CSP guidance found that they were on the whole weak and that they do not appear to be a driver for what actually happens at the country level. This prevents CAFOD from being able to review its progress programmatically (this could be programmatically at the country programme level or programmatically at the "sectoral" level) as well as corporately and is an area that is in urgent need of improvement through the new CSP process.

In conclusion, CAFOD has made some improvements to its M&E systems and processes throughout the PPA period, and some if this can be attributed to PPA reporting requirements and funds. It could be argued that the recent PPA reporting requirements have taken CAFOD down a quantitative route, which might be at the expense of a more nuanced reporting process. What is clear though, is that CAFOD needs to continue its work on evidencing the change it is contributing to at beneficiary, partner, country and global level. It also needs to develop a more comprehensive system for monitoring and evaluating at the country programme level. There is more work for CAFOD to do on how it analyses its planning, how it develops CSPs and reports back against those. It is really important that CAFOD considers the resource implications for this carefully to ensure that staff and partners have appropriate levels of support.

3.4.1 Innovation

According to CAFOD's Programme Learning Strategy (2012-15): "*Innovation is about trying new ideas, "out of the box" approaches and projects that do not necessarily have an established evidence or good practice base. Many will fail, however a few have the potential to generate new evidence to inform good practice, to effect large scale change and to contribute to global learning.*"

CAFOD has been said to have a "risk-averse culture and over-protective line managers" in the past[68] and in the past there have been challenges with encouraging innovation. These have included the difficulty with linking up the partners, who are often over stretched, with the centralised funds.

There are several mechanisms that CAFOD uses in order to encourage Innovation. One of these is the Innovations Fund, which was established in 2009/10 by the Programme Learning Team to enable CAFOD programme staff and partners to carry out pilot projects with an emphasis on innovation, learning and improving programme practice. Initially, £25,000 was set aside (increased to £35,000 last year) to be allocated for small initiatives that programme staff could bid for, that would in some way would be linked to CSPs but would be new and different (i.e. this could either be radical and new activities, or incremental innovation, i.e. things that did exist already, but that were new to CAFOD, or to the country programme). The Fund is managed by the Programme Learning Team Manager, who confirmed that over the course of the last year, this fund has "really gathered momentum" (i.e. lots of proposals were received, and some had to be turned away).

The Innovations Fund is exclusively open for internal applications. CAFOD's Programme Learning Team Manager holds 2 or 3 rounds (calls for proposals) each year, and a small panel (comprised of programme staff member based in London and also overseas) use criteria to select proposals. Criteria includes, for example, a link between the proposal to the CSP, and more recently also to the PPA themes. Proposals may be put forward by any CAFOD International Division programme staff member and each submission consists a short concept note[69] and may be up for up to £5,000.[70]

Examples of initiatives funded through this innovations fund include:

- Partner exchanges;

- Use of new media (i.e. for advocacy in Brazil, which was later picked up on and piloted also in DRC);

- Funding for the use of comic strips for advocacy in Sri Lanka (around public budgeting and expenditure);

- A piece of research in Cambodia around young and old people (flip cameras were supplied through this fund);

- The fund is also currently supporting the use of mapping to capture information on carbon in the Philippines;

- A study was undertaken on the work on gender in Central America.

In Zimbabwe, the HIV Programme Officer provided an example of both the use and benefit of the innovation fund: she identified a methodology in Uganda that considers HIV prevention from a faith-based perspective ("the faithful House") and encouraged a partner in Malawi to pilot this. When it proved successful, this learning moved from one district to another... then it was scaled up throughout the Dioceses in Malawi. Cross-learning then took place across countries, with CAFOD partners within Zambia and Mozambique going to Malawi to learn.

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[68] (This was feedback in PLT "Reporting back on 2011-12").

[70] The Innovations Fund 2009/10 was limited to £3,000 per project. Due to different reasons, such as manageability and demands for more funding from programme staff, it has been scaled up in 2010/11 to £5,000.

Also, CAFOD's Programme Learning Manager took part in Sightsaver's evaluation panel for its 2012 innovations fund, working with academics, staff from other agencies and consultants. He came away with some ideas about how CAFOD manages its own (much smaller) internal innovations fund. Lessons emerging included: one of the monitoring questions that will form part of the review of these projects is around the replication/scale-up of these projects, and an indicator of success would be that these approaches have been scaled-up.

There are clearly some recent success stories with the Innovation fund, although it took a couple of years to gather momentum and initially Programme staff struggled to get concept notes in (whereas now every call is heavily oversubscribed).

Another challenge is that these are small grants, so there is not a lot of capacity for monitoring, although each recipient of a grant is expected to write a little report and come back and feedback on outcomes.

The International Programme Development Fund is another fund. On a more ambitious scale, a substantial donation in 2010 gave birth to the International Programme Development Fund (IPDF), an opportunity for CAFOD programme staff to submit competitive bids of up to £150,000 for innovative projects and programmes directly related to the strategic framework *Just One World* and its four international priorities, especially gender. £700,000 was made available for this process in financial year 2011/12. Decisions are made using a panel (a sub-group of the International Programme Leadership Group).

A further opportunity has been created by the DFID *Aidmatch* scheme accompanying CAFOD's 2012 Lenten appeal, expected to generate substantial funds for new projects and programmes related to water and gender.

These new funds are important for Programme Learning because they offer bigger opportunities than the Innovations Fund to push boundaries, try new ideas or scale up existing ones and, as with the Innovations Fund, selection is by a peer review process designed to encourage learning and sharing.

There is some anecdotal evidence of the innovation fund contributing to learning, including a CAFOD supported exchange between livelihoods partners in Peru and Colombia. This process resulted in strengthening their working together, and the learning was taken back to Peru.[71] A light review of the Innovations Fund has been undertaken by CAFOD recently, and this highlighted some important initial learning (such as the need for continuity of projects related to learning and for projects funded under the Innovations Fund to be embedded in owner programmes and supported and effectively monitored by the respective Programme Manager).[72] A full review of the reach and impact of the IPDF has not yet been carried out.

3.4.2. Partnership working (2)

CAFOD's operational model is to be "partnership-based". Being "partnership-based" means that CAFOD is not extractive and does stand by its partners though thick and thin. To this end, it would be inappropriate of CAFOD to manage the performance of its partners. However, as CAFOD continues to grow, institutional funding and donor requirements require rigorous levels of accountability and to this end; CAFOD has altered its operational model. To remain true to its value of Stewardship in all its partner engagements and to deliver the best possible outcome to beneficiaries, CAFOD has used

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[71] Interview with CAFOD's Programme Learning Manager.
[72] CAFOD: *Programme Learning Innovations Fund, Lessons Learned* (Draft 09/08/12)

the entry point of accountability to work with partners[73] to improve project and programme effectiveness.

CAFOD's portfolio of partners has diversified further since the beginning of this PPA. CAFOD has many types of partners. These range from: small local service delivery partners to larger strategic partners, from sister agencies such as Trocaire and SCIAF to global networks and alliances like CARITAS or CIDSE and more recently partnerships with academic institutions in the UK and internationally. CAFOD also works closely with other UK faith-based organisations to explore faith-based partnerships with DFID.

Currently CAFOD has over 480 partners delivering basic services in 40 countries of which approximately a third are secular. Many of the partners who receive grants are long standing, as illustrated by the 72% of the Keystone respondents who reported having received support from CAFOD for more than five years.

Over 55% of CAFOD's funds are disbursed through partners with the purpose of delivering more sustainable development results, being rooted at the grassroots level and closer to the realities of the poor, and reaching poor and most disadvantaged groups. This is done through developing the capacity of partners, supporting them financially and whilst also enabling them to have ownership of the initiatives.

The documentation which currently assesses partner capacity is the Partner Organisation Assessment (POA). The POA identifies whether the partner has the capacity to do the things it plans to do and the extent, but does not impose a change agenda on its partners' organisations. It also assess the extent to which the partner is capable of managing its finances responsibly. There is no overarching Partnership Strategy which frames where the capacity of the overall portfolio is going (although there is work in progress to develop a Partnership Strategy).

Any analysis of CAFOD's approach to partners has to be set in the context of where the organisation has come from and its trajectory. Up until approximately 2005, CAFOD was primarily a grant making organisation working on disparate projects, which were held together by Catholic Social Teaching. Since then, CAFOD has moved towards a more programmatic approach, at both the country level, as well as across thematic areas. Interestingly this has also coincided with several periods of reflection on how to describe their value add in the sector and how develop partnerships in appropriate and thoughtful ways.

A Typology of Partnership

In 2009 a proposal was put forward for a typology of partnerships in the International Division. This was in reaction to growing requirements for: safeguarding children, accountability and supply chain management. It was realised that organisationally they had used the term partnership to cover relationships with all organisations that they support, whether by funding, capacity building or organisational support. The reality is that the types of relationship that they had in place were dramatically different. So, in order to identify partners with whom they could enter into more 'focused' capacity building with, they had to categorise the types of relationships they had. The most recent initiatives to have taken place focus on: increasing accountability through its first Keystone Performance Survey of Development Partnerships in 2012; learning from one model of accompaniment an evaluation of Advocacy Accompaniment, as well as the introduction of new tools which include a capacity assessment of advocacy and drafting its first Partnership Policy.

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[73] This section focuses on these partners who have received grants from CAFOD.

CAFOD is aware that it needs to define what Partnership is, what it is not, what this means for a faith-based organisation and where the value add lies in this approach. The review team were privileged to read an early draft of the new Partnership Policy which includes an outline of the way CAFOD works in partnership, partnership principles, partnership standards, ways of working and finally the different partnership stages.

Church partners

The CAFOD value added of working through church partners is twofold. Firstly CAFOD believes that working through church structures creates something more resilient and sustainable. This is particularly evident in fragile states and environments where other NGOs have to set up community structures from scratch, or there is limited CS space in which to manoeuvre.

> Sometimes we Cambodians face challenges in doing advocacy because of the shrinking space. We have found international advocacy from a distance is very influential. Take the NGO bill. It was very successful because of solidarity in the country and the world. CAFOD played a very important role. They were the lead for CIDSE and EC to influence Cambodia and decision makers. I can see it complements local advocacy. We are very complementary to each other. For some issues we alone doing advocacy nationally is not enough. (Partner).[74]

Secondly the Church provides a readymade meso or macro level structure to support policy influencing or advocacy attempts. CAFOD can short-circuit this and use existing faith-based networks nationally and globally to built support and empower the marginalised and disadvantaged at the community level.

The Keystone report found that when asked to comment on why the Catholic Church identity brought benefits, the NGOs replied referring to the sharing of common Christian values and how this creates a strong sense of trust for them. Other (non-Catholic partners) did not see CAFOD's Catholic identity as important or relevant.

Capacity building

A key element of CAFOD's partnership approach is to develop the capacity of its partner organisations so that they are both more sustainable, and deliver higher quality development outcomes. This commitment was articulated in the PPA proposal, however interestingly there is not a strong commitment to this articulated in J1W, and a summary of different types of partnership relations which was part of the internal partnership review conducted in 2009 found that only 13% were capacity and organisational building and 11% programmatic and capacity building.

A recently updated internal document, the Partner Organisational Assessment is required to secure grant disbursal. We appreciate that given the number of partners and the spread of capability within their portfolio, this is a real challenge for CAFOD. However, a partnership policy will be difficult to implement if little is known of the spread of types of capacity that different types of partners have. The POPs could act as a mechanism for this, but a review of POPs during this IPR found that it was not analytical, did not articulate which direction the relationship is going and did not include any indicators or ambitions as to what to monitor against.

To assess the extent to which capacity has been built presents a mixed picture. It is difficult to provide an overall view because, as previously stated there are no systems in place for monitoring this

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[74] Cambodia Case Study Final, p5

across the portfolio of partners. However, we have drawn on a number of external evaluations as well as some evidence from the specific projects and partners and the recent Keystone Accountability report.

Approaches to building capacity: accompaniment, training and exchange visits

There are three main approaches that CAFOD uses to improve capacity: accompaniment, training and exchange visits. Each of these, and evidence supporting how they have improved capacity has been outlined below.

The **accompaniment** approach is one of the methods CAFOD employs to support and develop capacity building of partners. The way accompaniment happens can vary from the way a Programme Officers interacts with their partners, to specific Programme Accompaniers whose task is to build capacity of partners. The key difference is that the Advocacy Accompaniment is not tied to funding and Accompaniers are therefore free to contribute directly to needs as they arise.

There is some evidence that partner capacity has been developed through accompanying partners in the use of tools. For example the use of the HIV Batteries tool in Kenya helped partners to think about feedback loops from programme beneficiaries, and in Zimbabwe, through a process of suggestion the partner had understood that it needed to consider gender in a project that was providing water. There are other examples of CAFOD contributing to the capacity of partners such as, in Mexico where partners had adopted a gender policy, training, diagnosis and indicators[75]; in Zimbabwe where partners had improved governance structures[76]; in Tsunami area where programme management had become more transparent and systematic beneficiary assessment[77]; in Pakistan where partners reported improved downward accountability and protection[78].

The voice and accountability assessment tool (3.1.4.) tool also found that 11 out of 15 partners had improved capacity and / or effectiveness.

CAFOD provides formal **training** on a number of different areas to help improve capacity of its partners. One of these is around Downward Accountability to meet the HAP standard across a set of strategic partners (please see 3.1.5. for further details) with a focus recently on Complaints Handling Mechanisms. This is reported on as one of the output areas of the PPA, which notes that of the 43 partners with baselines and updated accountability assessments, 25 demonstrate improvement in at least one area of accountability. Another example of this is from the workshops on fundraising, which took place in Zambia and Zimbabwe which gave partners confidence to use and implement the skills with support from their organisations. In Eritrea an external evaluation noted that CAFOD's trainings had translated to a general improvement in financial management, emergency and logistics operations, programmes development and implementation and monitoring and evaluation[79].

An independent review of Advocacy Accompaniment (2012) found that the accompaniment support had increased partners capacity and there was some evidence that this had led to some shifts in the policy context in favour of the poor. Not surprisingly the areas of capacity improvement were: understanding advocacy strategies and how they can bring about change; change in how some partners work with their constituency groups; in new forms of media and communication; and networking.

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[75] A "systematisation" (Review) of CAFOD's Gender Work in Central America and Mexico
[76] 2010 Evaluation of the Livelihoods Programme in Zimbabwe
[77] Tsunami Partnership Review 2008
[78] Amid-term Review of the Pakistan Floods and Programmes (2012)
[79] External Evaluation of the Eritrea Community Based Nutrition Project Phase 2

Exchange visits are organised between partner to encourage mutual learning and capacity development. Both the Kenya and Zimbabwe country visit teams saw evidence of where this had happened, and anecdotal evidence of it improving capacity of the staff involved. There was no evidence of how it had improved capacity of the partners themselves however, and this does not seem to be tracked systematically.

The main way capacity is assessed is through the Partnership Organisation Profiles and Assessments. A brief review of some of these found that they were not objective (i.e. were filled in by the partner).

The Keystone Accountability report found that CAFOD does not score well on capacity building. It found that CAFOD was providing more capacity building support than other INGOs in 6 out of 9 areas, but the perceived value of this support was lower than other INGOs in 5/9 areas. Where it was higher was in long-term planning and financial management. Respondents gave below average ratings to most of the types of capacity building support that they receive from CAFOD. This same review found that partners would like to receive more support in learning and about applying participatory approaches in work, and ask CAFOD to facilitate more exchange visits.

Activities within the accountability theme include the development of complaints handling systems A case study of accountability support to CAFOD partner Social Department of the Bishops Conference (SNPS), in Colombia reports (p. 2) that: *"Since the complaints box was put in place, it has been the main tool through which project staff have assessed our activities in different areas according to their importance, content and the reaction of the participants. Using this tool, we assessed our performance and behaviour and knew first hand whether we were delivering the workshops, training, and advocacy exercises etc adequately."*

The Keystone Partner Feedback Report rated CAFOD 5th out of 30 in the cohort in terms of 'overall satisfaction'. Keystone Accountability states that the "*picture that emerges from the survey is of an organisation that maintains respectful relationships with its partners and brings real added value to them[80].*"

From the survey (p. 14) , partners report the following improvements in capacity:

- Increased understanding of advocacy strategies and how they can bring about change

- Developed capacity in specific approaches

- Shifts in how some partners work with their constituency groups

- Experimentation with new forms of media and communication

- In some cases, increased collaboration or networking.

There are examples from Brazil, Cambodia, E Timor, Mozambique, Mano River (Liberia & Sierra Leone), Ethiopia[81]. The feedback report provides a new base of evidence for CAFOD; however, this feedback is only as relevant as the partners who responded. The IPR team would caution CAFOD in making any significant changes in process or systems until a more representative sample of partners is surveyed.

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[80] Page 8
[81] Page 14 of keystone Report (REF)

CAFOD asserts that its partnership model provides economy through a relatively low cost base for programmes. It would be good to see the evidence to back this up where there are some comparisons of costs and outcomes across different types of partners and projects (taking into account factors such as reach and sustainability). Similarly CAFOD states that it focuses its partnership approach on *partners who represent the poorest and most marginalised, and build their capacity to ensure that needs of vulnerable groups drive their programming. It is also the most sustainable approach, with a view to building a strong civil society which can operate independently without the need for ongoing investment.* If CAFOD is ultimately aiming to build civil society at the global level then this statement needs to be qualified by a theory of change, with systems and processes to monitor and evidence the change. The success of the advocacy accompaniment model could be an opportunity to look at the sustainability of approaches to raising the voices of the poorest through an agent of change approach.

3.4.3. Sustainability

This section on sustainability looks at sustainability at a number of different levels: sustainability of changes as a result of the PPA within CAFOD; sustainability of the changes at a partner level as a result of CAFOD's partnership; sustainability of the change or outcomes for the beneficiaries as a result of CAFOD's partners work; and finally sustainability of change that CAFOD has affected as a result of its direct intervention.

We have conducted a rapid assessment of sustainability at three levels; the sustainability of the change that is attributable to the PPA; the sustainability of the capacity support to partners and finally the sustainability of the change at the beneficiary level.

Sustainable change in CAFOD as a result of the PPA

This section focuses on a few examples of change in CAFOD which have been attributed in part to the PPA and the extent to which the IPR considers them to be sustainable if the PPA were to stop.

Change in CAFOD as a result of the PPA	Extent to which the IPR team thinks the change sustainable
Development of tools (earlier PPAs) and use of monitoring tools to report	Sustainability judgement: Medium The partners and staff said that they found the tools useful which would imply that they will continue to be used beyond the life of the PPA. However there is little evidence that they have been taken up organisationally by others which could point to them not being used post PPA
(2005 PPA) – lever to a less grant oriented approach to more programmatic	Sustainability judgement: High This is still ongoing, and given the corporate commitment is a sustainable trajectory
Investing in long term partnerships, and provide partners with the ability to source other funds, or work in innovative and risky areas of work which may not be attractive to other donors.	Sustainability judgement: High Given that this is core to CAFOD's work it is sustainable (funds permitting)
Leveraging other income through co-funding for both CAFOD and partners.	Sustainability judgement: Medium This is fund specific so as long as CAFOD continues to generate unrestricted income it will be sustainable

Change in CAFOD as a result of the PPA	Extent to which the IPR team thinks the change sustainable
Raising CAFOD's profile through the involvement of some of the PPA Learning Groups	Sustainability judgement: Low The PPA Learning Groups are sponsored and driven by the PPA, therefore their sustainability may depend on the funds/drive
Quality of programmes that report against the PPA Logframe. The reporting tools have led to learning. The extent to which this goes beyond these programmes is not evident.	Sustainability judgement: Medium to low This is entirely dependent on whether the organisation continues to invest in the use of some of the analytical monitoring tool

Sustainable Partners

Indicators of sustainability of partners might include improved capacity, embeddedness in local or national contexts, learning and uptake, increased ability to leverage funds, evidence of securing policy adoption of an intervention or approach. It would also imply a comprehensive approach to exiting partners with a clear exit strategy in place. The IPR has made an assessment of these below.

We have noted that there is some evidence that partners have improved capacity, although this is not across the board. They are, however embedded in local and national contexts, which would suggest that they are sustainable. We were unable to ascertain the extent to which they are dependent on CAFOD for funds.

There is evidence that partners work closely with governments which would suggest that that they are sustainable. This was seen first hand in Zimbabwe, and it has also been noted that in partners in Cambodia work with all levels of government.

NGO partners were asked about the extent to which CAFOD's funding has enabled them to secure additional funding or support. The ratings by respondents give a Net Promoter[82] score of – 16 (mean rating 6.5 out of 10).[83]

Unlike some other similar sized organisations, CAFOD does not automatically plan to exit partnerships as evidenced by the longstanding relationships (with for example CARITAS partners), and there is a lack of emphasis on an exit strategy in, for example, PCMs.

Sustainability for beneficiaries

A rapid assessment of 5 Evaluations provided to the IPR team[84] found that the extent to which the outcomes were considered sustainable was mixed, but largely positive, with one considered unsustainable, one sustainable and three were quite sustainable

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[82] Many organisations find it useful to track their 'Net Promoter score' (commonly referred to as NP score). To get an NP score, one subtracts the proportion of detractors from the proportion of promoters. It is not uncommon to have negative NP scores. The most successful organisations generally have high NP scores. Data from thousands of companies show a clear correlation between high Net Promoter scores and corporate growth and profitability (Keystone Partner Report, 2012). The "Promoters" are constituents that rate CAFOD as 9 and 10 on the 0-10 point scale used in the survey. These are CAFOD's champions. They are highly likely to be wholehearted participants in activities and consistently recommend CAFOD to their friends and colleagues.

[83] Keystone Partner Feedback Report

Programme/Report	Reported sustainable/non sustainable benefits
Evaluation Report of Livelihood and Food Security Project (Kenya)	Sustainability judgement: medium Comments on the approaches used which are "good for sustainability": using contact farmers to promote the adoption of best practice, working in collaboration with the district council, use of groups to receive loans, bucks and cockerels, use of demand led approach. However, it was noted that the supply led services were sustainable, and the tree planting activity is not sustainable
Evaluation of Integrated peace and Livelihood Programme (2010)	Sustainability judgement: High Income generating activities were "designed to be sustainable"
Evaluation of LPPZ Programme (Zimbabwe)	Sustainability judgement: Medium Strong local committees and administration structures had been formed. However there were cases showing of the dependency syndrome. LPPZ had been effective in developing capacity for local development in beneficiary communities (therefore communities can be instrumental in achieving sustainable development) However resources are also required for these intervention which may affect sustainability.
Evaluation of Psychosocial Support and Community Cohesion Programme in Rwanda 2007-2009	Sustainability judgement: Unsustainable CBA of locally accessible supported is only sustainable as long as a minimum level of support is provided (which wasn't then happening). Partners still rely on CAFOD funding and technical support.
Ethiopia GPAF	Sustainability judgement: Medium Stakeholder government offices and beneficiaries had been involved in all stages and activities of the project – and in some cases government offices were responsible for implementation of the project activities.

[84] Note -final Evaluation of the Project AIPODE II did not include commentary on sustainability, Roger Drew Thematic Review of HIV covered it poorly and we have not included evaluations that focused on emergency support

3.5 Efficiency

3.5.1. Value for money assessment

One of CAFOD's seven core values is stewardship, which commits the organisation to be *'good stewards of all the resources entrusted to* [it]*'*. Accountability, transparency in decision-making and systematic evaluation are important factors in operationalising this value for CAFOD. There is, therefore, a good deal of congruence between the concept of stewardship and that of value for money. CAFOD does not, however, routinely assess or report its progress in demonstrating good stewardship *per se*.

This section of the report considers the extent to which CAFOD can demonstrate value for money in its operations. PPA funds are unrestricted and so the focus of the assessment is necessarily broad, at CAFOD at an organisational level.

In conducting this review, we have taken assurance from recent work both by KPMG and MANGO as well as external evaluations commissioned by CAFOD. The former was conducted on DFID's behalf as part of due diligence for the PPA awards and included a review of the strength of CAFOD's cost control through the resource allocation and budget monitoring process and its procurement systems. In 2012, CAFOD also commissioned MANGO to review the extent to which value for money considerations are integral to its decision-making. MANGO examined CAFOD's main cost drivers and the risk management arrangements around these, as well as relevant organisational initiatives and their impact on CAFOD's ability to deliver and demonstrate value for money.
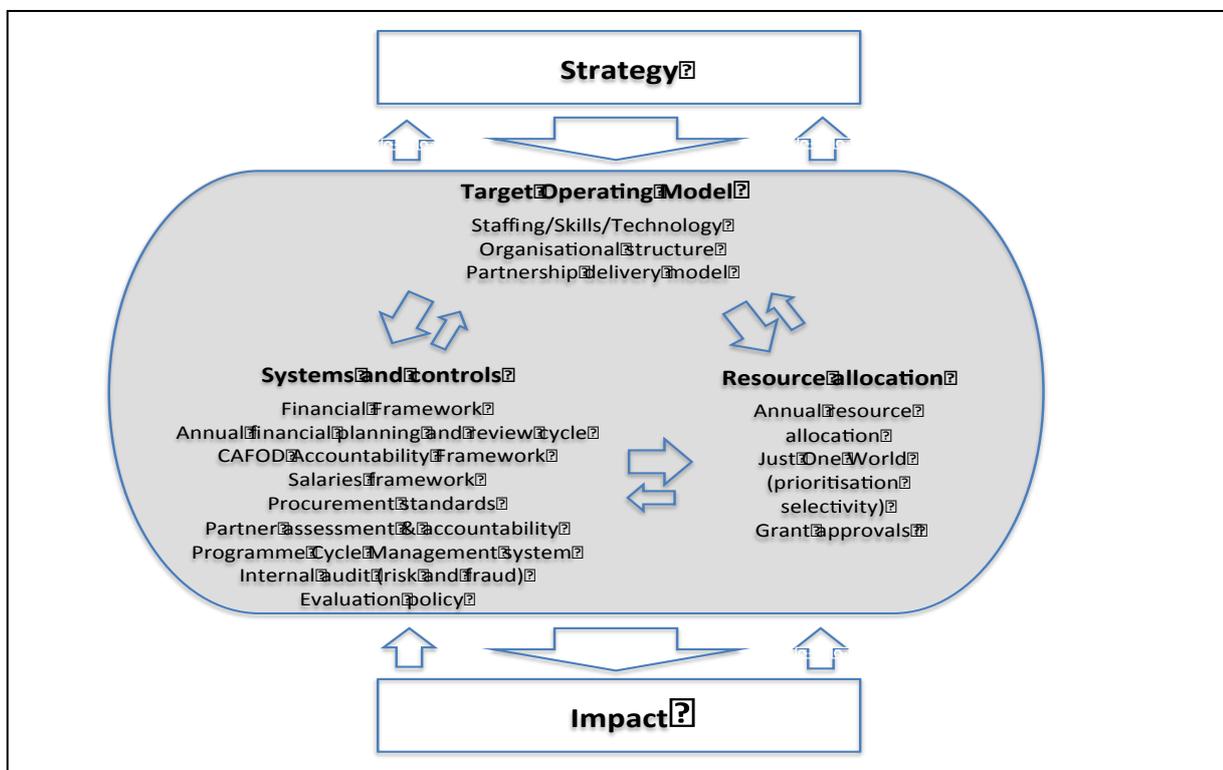

Figure One: Organisational Framework for VfM in CAFOD

We have used a simple framework to consider value for money in CAFOD's setting, comprising three main elements (figure 1): the Target operating model relates to the strategic choices taken at a senior level that establish the operating parameters for CAFOD – such as the size, composition and location of the workforce and preferred delivery models; Systems and controls refer to the processes and procedures deployed across the organisation that inter alia govern how CAFOD manages and accounts for its resources; and Resource allocation refers to the points in CAFOD's processes where decisions about the allocation of (unrestricted) resources are made. For the purposes of this assessment, we treat Strategy as a given; this seems reasonable given that CAFOD's current strategy was in place at the time that the PPA was awarded. This section focuses primarily on the "efficiency" element of the IACI's "4Es", but also takes into consideration "economy". "Effectiveness" and "equity" are considered, but a detailed analysis is outlined in sections above.

Summary conclusions

The fact that CAFOD has been awarded PPA funding itself indicates a level of confidence within DFID that CAFOD has the relevant processes, systems, staffing and practices in place to deliver value for money over the life of the PPA. Furthermore, the findings of the MANGO review appear largely to endorse this view of CAFOD developed by KPMG/DFID during PPA appraisal. MANGO's report does not identify any significant uncontrolled risks to value for money, but it does, however, flag a number of opportunities within existing decision-making processes for a more explicit approach to analysing value for money.

Our own findings support the view that CAFOD takes the issues of value for money and how to evidence it seriously, with significant internal debate and specific initiatives in-hand. Moreover, while the PPA has certainly provided additional stimulus, the motivation for this interest appears to come from within CAFOD itself, as a part of its approach to on-going organisational development.

That said, the extent to which value for money is explicitly considered in resource allocation decision-making appears to declines as one moves down through the organisation. We have two observations in particular:

- First, systematic reviews are not routinely undertaken as part of the regional and country resource allocation process. Allocation of resources to and within country programmes appears largely driven by historical precedent, with only limited justification requirements and challenge;

- Second, the extent to which performance and cost data are used in combination to inform decision-making at regional and country level could be strengthened, notwithstanding *ad hoc* initiatives such as the Action for Better Governance project.

With these observations in mind, we highlight two main areas where CAFOD could strengthen its approach from a value for money perspective:
  1. Approach to partnership, selection, development and monitoring; and

  2. Approach to resource allocation decision-making at lower levels of the organisation, and in particular the application of cost and performance data to inform the process.

Target Operating model

In deciding how best to pursue their objectives, organisations make choices about how to structure themselves - for example, the size and skills of their workforce, their use of technology, the degree of decentralisation and devolution. The operating model established sets parameters for the how the

organisation works and interacts with stakeholders and should be clearly aligned with the organisation's strategy.

 CAFOD understands the importance of its operating model for optimising organisational efficiency and effectiveness. CAFOD actively reviews its operation model to ensure on-going alignment with its strategic objectives and efficiency and effectiveness objectives. A number of initiatives are underway to strengthen management decision-making capacity and introduce improvements in this area (Box 13).

Box 13:

Workforce strategy: CAFOD has recently launched a wide-ranging workforce planning programme under the Organisational Development and People Strategy and Plan (September 2011). The programme includes a major review of roles across the organisation with a view to ensuing value for money over time through for example clearer definition of national and international roles, standardised grading and benchmarking of payscale and a reduction in the number of international roles.

Organisational delivery structure: CAFOD actively reviews the delivery structure in each of its geographical areas of operation. Decentralisation, given impetus by a review of the costs of locally and London based operations, has more recently been refocused by efforts to establish shared delivery systems with Trócaire and SCIAF. To date, one unified country programme has been set up in Ethiopia; this will be reviewed in 2013 with a view to wider roll-out of the model. CAFOD monitors key financial ratios for its country programmes on annual basis and will introduce in 2013-14 a new system designed to improve the quality and comparability of delivery cost estimates across its international activities. CAFOD also plans to introduce specific reviews periodically of the delivery model for each country programme (whether decentralised or not), including an assessment of financial costs.

Partnership model: partnership is one of CAFOD's core values and a critical element of its operating model. CAFOD has relationships with some 480 partners (though the number in receipt of CAFOD funds at any one time is lower). In contrast to more contractual delivery relationships, a large part of CAFOD's work is aimed at enhancing the capacity of partners who share CAFOD's aims and values, either financially (through core and programme funding) or organisationally (through training, networking, leadership development and so on). CAFOD is currently developing a partnership policy and guidance to help develop the organisation's approach to partnership develoment and management both in the north and the south.

MANGO suggested there is scope for CAFOD to conduct a more systematic and consistent process for assessing the delivery structures in place in each location, based on explicit value for money criteria. The initiatives outlined in Box 13 have the potential to address this concern, though a coherent assessment framework will be needed, to enable the different pieces of relevant information to be incorporated and weighed consistently.

As an organisation that delivers through partnership, the partners that CAFOD chooses have significant implications for the value for money CAFOD achieves. Given the importance placed on partnership, CAFOD has limited, detailed information about its partnerships available on a consistent basis.

CAFOD aims to work with partners not primarily for their instrumental value, but on the grounds of shared values and ambitions and thus also seeks to build capacity where needed. CAFOD also commits to stand by its partners through difficult times. Relationships built on goal congruence and trust can reduce the costs of doing business while at same time building local capacity and effectiveness. However, there is no guarantee that they will and there are downside risks associated with long term relationships with relatively weaker organisations.

Given the centrality of the partnership model to CAFOD's way of working, we would expect clearer segmentation of its portfolio. Different benefits are associated with different types of partners, in different settings and with different relationships with CAFOD. Implementing a 'partnership' model requires a more differentiated, nuanced understanding of who CAFOD works with. In practice, this implies at country level:

- Being clear about the rationale for selecting particular partners;

- Having a clearer categorisation and segmentation of partnerships;

- For partners where capacity building is a key element, a clearer definition of the change sought, how it will be achieved, over what timeframe, and the anticipated effects, and monitor progress against these expectations;

- At the same time, the partner capacity assessment needs to be accompanied by a realistic appraisal of CAFOD's capacity to support the partner; and

- A more explicit portfolio approach to the monitoring and strategic development of the program – that recognises that partnerships differ and looks at the balance between the different benefits and strengths of its partnerships.

A better information base on its partnerships is a prerequisite to a more managed approach. Part of that information is more information about partners' own cost base. 'Least cost' should not drive choices but there is scope to bring cost and effectiveness information to bear more. This is discussed further under Resource allocation below.

Systems and controls

Based on the results of both the MANGO review and KPMG due diligence exercise, CAFOD's systems and controls appear comprehensive and robust (Box 14). Nothing in these assessments suggests there are significant uncontrolled risks or that the controls in place are not operating. MANGO did question the value of the comprehensive procurement policy but on grounds of limited relevance (given CAFOD's modest direct procurement practices) rather an ineffective control.

Box 14:

CAFOD's financial framework, reviewed and approved by the Trustees, establishes a number of norms / ceilings for key ratios such as the proportion of resources invested in generating funds and the balance between partner and CAFOD activity and support costs. The PPA Business Case found that CAFOD's fundraising ratio was one of lowest in the sector.

CAFOD has developed an extensive Accountability Framework that encapsulates the quality standards to which the organisation aims to adhere, based on eight accountability and quality commitments. Each commitment outlines the standards, policies and implementation mechanisms for that area of work, together with the actions required for compliance.

Over the last two years CAFOD has also introduced supply chain standards, training and

documentation for partners, and CAFOD's own office expenditure. The focus on supply chain management, and building procurement capacity in its partners was identified as an area of "good practice" in the PPA appraisal process.

CAFOD has developed a comprehensive Programme Cycle Management system that establishes *inter alia* clarity of purpose before work is funded, organisational and financial assessments of partners, formal authorisation and contracting of funding agreements, and monitoring, evaluation and reporting arrangements. PCM policies and procedures are well established and are regularly reviewed and updated as programme management needs change (MANGO).

An Evaluation Policy was introduced in 2010 as part of the PCM cycle. This identifies minimum standards and requirements for all programme evaluations and requires external validation of all programmes larger than £500,000.

As an example of a specific control, CAFOD recently introduced a complaints handling mechanism for partners. The system requires a formal response to be made to all complaints and guidelines have been prepared for partners. One recent example brought to light allegations of fraud within a partner organisation that might otherwise have not been reported.

More broadly, under its wide ranging change programme, '*Building a Sustainable Future'*, CAFOD's International Division is developing its own 'Organisational Effectiveness Project'. The project aims to *inter alia* update management and staffing structures, ways of working, systems and procedures to reduce duplication of functions, delegate decision-making authority to appropriate levels, and establish a more sustainable management model. The project plan will be finalised in November 2012.

The main area of concern expressed by the MANGO review related to the number of standards, policies and procedures, which may impose additional costs for limited benefit or create coherence problems.

A case in point is offered by the new process for Country Strategy Plan (CSP) to be rolled out in 2013.

CSPs aim is to ensure alignment of sub-regional and country programmes with the aims, outcomes and priorities of J1W within agreed resource allocations. The CSP provides the process by which CAFOD's International Division approves the strategic direction of country programmes and choice of proposed focus areas, goals and partnerships. While the documentation is still in draft, we found only one, limited reference to CAFOD's new partnership policy (also in development) across the CSP policy document (10 pages), CSP guidance note (15 pages) or tools (of which there are 13). In the future, CAFOD plans to ensure all new proposed systems and procedures have a clear business case and will be subject to its Project Management Framework. The Framework has potential also as a mechanism for the review over time of existing systems, policies and procedures.

Resource allocation

Even with an operating model that is fit for purpose and robust systems and controls, value for money is crucially dependent on the decisions that determine the allocation of resources within an organisation. The MANGO review and our own enquiries identified a number of current and planned processes at different levels within CAFOD with relevance to how resources are allocated. Each of these includes value for money objectives in the rationale (Box 15).

Box 15: Resource allocation processes and initiatives

- At a **corporate level**, CAFOD has demonstrated a commitment to on-going efficiency savings through its annual resource allocation process: in 2009, it undertook a structured cost reduction exercise ('Managing Down') to reduce its fixed cost base overall by £1.8 million without directly impacting on work programmes and to free up general funds for strategically relevant purposes. Since then, senior management has taken further steps to manage the impact of inflation on the central cost base and risks to future levels of unrestricted income; for 2012-13, the trustees instructed the management team to deliver a 'balanced core general budget, resulting in a further £1m of identified savings across the divisions (including partner grants);

- At a **cross-programme level**, CAFOD has recently undertaken a prioritisation exercise – International Division Re-focusing exercise – a multi-criteria assessment process to reduce CAFOD's geographical spread (currently 42+ countries) by 10-20% and release 10% of unrestricted programme funds. As well as measures of poverty and need, the assessment criteria included value for money considerations such as cost/grant ratio for each country programme; qualitative assessments of the effectiveness of partnerships in each country; and leverage of restricted funding. As a result, CAFOD is currently looking to exit from 5 countries and "re-model" another 4.

- In addition, CAFOD is looking to promote greater contestability in the use of unrestricted funds by increasing the size of **strategic funds** available to programmes on a bid basis. For example, the anticipated savings from the Re-focusing exercise – some £1.1 million (net) per year from April 2014 – will be channelled through the International Programmes Development Fund.

- At a **project level**, the mid-term review of the DFID-funded Action for Better Governance project compared direct partner activity costs with qualitative assessments of progress to develop measures of relative efficiency and cost-effectiveness in order to inform the allocation of resources for the remainder of the project between each of the four outcome areas

More generally, however, the extent to which value for money is explicitly considered in resource allocation decision-making appears to declines as one moves down through the organisation. We have two observations in particular:

- First, systematic reviews such as those highlighted in Box 15 are not routinely undertaken as part of the regional and country resource allocation process. Allocation of resources to and within country programmes appears largely driven by historical precedent, with only limited justification requirements and challenge;

- Second, the extent to which performance and cost data are used in combination to inform decision-making at regional and country level could be strengthened, notwithstanding *ad hoc* initiatives such as the Action for Better Governance project.

Regarding the first of these observations, the MANGO review identified the potential value of extending the resource allocation framework developed for the Refocusing exercise to the country allocation process. The planned introduction of the Country Resource Development Plan (CRDP) under the revised arrangements for CSP development offers the prospect in part of addressing this issue. The CRDP will set out the country programme resource needs for planned activities over a three

year period, updated on rolling basis each year. Resource and activity forecasts will be provided for three income scenarios – on, below and above expectation. The extent to which the CSP/CRDP process will facilitate the allocation of resources between programmes based on value for money related considerations is, however, unclear. The guidance allows considerable flexibility to individual programmes in developing their CSPs and CRDPs, which may limit comparative assessment at a central level. Similarly, guidance for CRDP development indicates that CAFOD's core allocation budget to each programme is not variable.

Better understanding of costs within country programmes and their partners is also an important element in taking this work forward. As indicated above, we have found limited evidence at a programme level and below of routine analysis that links cost and performance data and compares across activities. In part, this reflects methodological and financial challenges in obtaining reliable, usable data about operational costs and performance. Such analysis is also hampered by the fact that central data are adequate to track grants and ensure accountability on a case by case basis but may not be comparable across grants and partners because of differing collection methods.

CAFOD is nevertheless interested in using and developing its evidence base further to inform decision making. As part of the PPA evaluation, therefore, they asked us to consider what such a 'measurement' (as opposed to 'management') approach might entail. To test this out, we selected a sample of grants from the HIV thematic area. We chose this area because data on costs, beneficiary numbers and, crucially, outcomes (from the Quality of Life Batteries Tool) are in principle centrally available.

The exercise was necessarily 'quick and dirty' and the results should therefore be considered indicative rather than definitive. Nevertheless, it highlighted the potential value of a more explicit 'measurement' approach, challenges in doing so given CAFOD's mission and approach and limitations in current information systems. We summarise the main conclusions that we have drawn from the exercise below; a more detailed discussion of the findings is provided in Annex F.

- There was a wide range in variation between projects in the cost of CAFOD support per beneficiary (more than 20-fold difference between the lowest and highest);This is likely to be a function of measurement error, in estimating beneficiary numbers and accounting for non-CAFOD contributions to projects, as well as variation in project activities and 'real' differences in operating costs between partners; given the magnitude of differences, CAFOD should work to improve the consistency/comparability of data and develop a better of understanding of the factors driving the remaining variation

- Analysis of available outcome data suggests, perhaps unsurprisingly, that the 'well-being' score among beneficiaries at the start (for them) of a CAFOD-supported programme is strongly (negatively) associated with the change in well-being score over time. Crudely, the better-off a beneficiary is at the start, the smaller the improvements recorded over time. Of course CAFOD support may have an important role in maintaining well-being, but the finding does raise potentially important questions in terms of the relationship between beneficiary needs assessment, programme selection and the potential impact of CAFOD support

- Data limitations are largely related to the fact that the information collected, while highly relevant to the individual case concerned, has low comparability between programmes because of inconsistent collection methods. This in turn reflects the limited use made of data for comparative purposes to date. In short, data quality is best improved through use. Collecting data more consistently is potentially not additionally burdensome and likely to be more efficient than launching specific evaluative exercises to get the information.

There is scope to take a more systematic, 'measurement' approach to bringing both cost and performance data to bear on decision-making: A lot of information is already collected but relatively limited value is extracted for management decision-making purposes; CAFOD invests in capacity building and partners are likely to be interested in ways that help them operate more efficiently, including cross-partner learning; better data would support broader, comparative analyses which are likely to result ultimately in better, more defensible decision making; they would also support understanding of what could be done with increases in available resources.

CAFOD itself has suggested there is scope to structure programme budgets more systematically according to outcomes, to provide a clearer line of sight between cost and outcome at different stages of decision-making. We agree that effort in this respect would support the development of a more systematic approach to using cost and performance data to inform decision-making. Work will still be required to introduce effective processes of collegiate challenge.   We also note that it will be important to dovetail plans to develop the information base with existing and anticipated decision making processes, to reduce the risk of wasted effort.

4. Impact and value for money of PPA funding

4.1 Attributable impacts of PPA funding on results, relevance, effectiveness and efficiency

Because of the unrestricted nature of the PPA disbursement, it is difficult to attribute change or results directly to the PPA. However, the IPR team tested some of the assumptions that were presented in the APR and tested the validity of these claims against the evidence round. The team assessed first of all whether change or results have occurred and secondly the extent to which these can be attributed to the PPA. This has been split into three areas: acting as a catalyst and leveraging funds and driving up results. Each one has been discussed below. We begin with the benefits and results of unrestricted funding.

The benefits and result of unrestricted funding

When considering the benefits of unrestricted funding, a picture emerges from previous PPAs (which were also unrestricted) and their contribution to CAFOD. The 2005 PPA review found that the PPA had provided a lever for internal change and had helped CAFOD develop a programmatic approach as it provided an impetus for the organisation to rationalise its programmes. The 2011 PPA evaluation found that the PPA had helped to speed up or extend changes that were already underway including the development of tools for monitoring progress in HIV and in developing advocacy strategies. It had also encouraged CAFOD to strengthen its PCM and country planning systems and its evaluation policy toward a stronger focus on outcomes.

CAFOD elected to disburse the PPA funds in an unrestricted way, and understands some of the benefits and disadvantages of this. Our reconstructed model attributes three benefits of this modality as follows: *Strategic analysis and selection of appropriate types of partners; Bridging funds and risk taking; Stronger, deeper and longer term partnerships which contributes to stronger relationships and greater quality and scope of partnership.*

It represents an investment in CAFOD's corporate strategic framework and therefore fits within existing governance structures, programme frameworks and corporate processes, which means that it does not require the setting up of different structures and processes. This holds true in programme design – which is not altered as a result of the PPA. It has created a potentially parallel reporting system due to the PPA logframe reporting process, but it could be argued that if there had been specific PPA projects and programmes then the distinction between PPA-supported and non-supported programmes would have been greater.

CAFOD makes the assertion that having unrestricted funds enables them to invest in partnership over the long term to enable partner to scale-up in terms of both quality and scope of their programmes. As noted above, the IPR team has found that CAFOD does invest in long term partners. They are enable to bridge funding which is an essential element in long term partnerships and the IPR team have noted that unrestricted funds enable CAFOD to invest in core costs of their partners which in turn contributes to their sustainability.

One of the challenges of this modality (as opposed to a specific project fund which is directly linked to activities) is that it is both difficult to attribute change to the fund, and it is challenging to report on results. CAFOD have selected a number of thematic areas in the logframe which are illustrative of the broader results and achievements.

Flexible funds enable CAFOD to initiate projects where there is an identified need, but where institutional funders might not want to engage because of risk perceived. An example of this was

found in Malawi, where the flexible funded allow them to engage Financial Management Consultants to accompany Karonga's Financial management capacity strengthening. Another example was where they were able to initiate projects which were then use to leverage more funding from other funders.

As noted above CAFOD has increased its investment in innovation and this has been enabled by the flexible funding afforded by the PPA and other general funds. There is some anecdotal evidence which directly links the PPA with specific initiatives. One of these is the Value for Money/Stewardship review that was conducted by Mango.

It is the view of the IPR team that it was an appropriate decision to use the PPA funds across the whole organisation. Whilst it is impossible to point the specific benefit, there are some definite areas that have been enabled.

Leveraging

CAFOD has increased its institutional funding base at the country and regional levels. The extent to which the PPA has enabled this leveraging is not clear, but an assumption can be made (and has been) that CAFOD has been able to leverage an additional £1.26 for £1 of unrestricted income investment (including the PPA)[85].

A line of attribution comes from the partners' ability to leverage funds. Although the evidence for this is anecdotal, it appears that partners are increasingly leveraging funds from other donors, and that CAFOD's approach of providing core funding and some accompaniment enables the partner to ask for funds that are attached to specific projects (and therefore more attractive to some donors), and also have the know how, and access to funding sources. This is particularly key to partners who are not based in the urban centres, and not networked with potential funding partners.

The PPA has enabled CAFOD to leverage influence, and a seat at the table as evidenced by CAFOD's role on the PPA Learning Group. The extent to which this influence goes beyond this has not been assessed.

Acting as a catalyst

The IPR team has found that the PPA has acted as a catalyst as well as a driver for certain organisational change processes. These include driving up its monitoring systems, increased consideration of how CAFOD can assess and measure good stewardship or value for money, developing and investing in improving new tools (previous PPAs) and ensuring a reasonably good coverage of using the tools to report against the logframe to DFID. The financial investment as well as the drive to evidence change has been an extra impetuous to move these initiatives forward.

Whether this catalytic role could have been stronger is less evident, and there could be an argument that because it was a strategic fund (rather than tied to specific activities) the catalytic role has been slower than it may have been otherwise.

The drive for improved monitoring and evaluation has been both internal and external, as there is a general recognition that evidencing results at the corporate level is important for understanding what works well and less well as well as for reporting to donors and potential donors. The PPA has contributed to this push in several ways. The requirement and deadline for reporting against a quantitative logframe in specific thematic areas has meant that CAFOD just had to get on and do it.

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[85] See note by James Steel: The Impact of the PPA

They invested resources and effort into doing this and as noted above, they have done this well and the work done to date will stand them in good stead as they move towards developing global indicators and increasingly rigorous M&E. PPA has pushed them into giving more consideration to global indicators and the need to have quantitative evidence and more rigorous M&E. The inclusion of a livelihoods outcome, and need to report consistently against this at both output and outcome level has acted as an impetus for tightening of the livelihoods programme. There is now a theory of change (for the PPA, but not for the organisational livelihoods work), standard indicators and there is work in progress to develop an organisational theory of change. Furthermore, having to report at the outcome level in the PPA logframe has helped encourage livelihoods programmes to report more at an outcome level.

There is some evidence that earlier PPA funding, commitments and feedback from previous reports have been a major catalyst in developing CAFOD's tools and approaches e.g. HIV tools, Hazard, Vulnerability and Capacity Assessment approach, V&A tool. The inclusion of an indicator in the logframe on Development Education outputs and outcomes has also acted as a driver for that team to invest time and thought into M&E.

The Mango review team noted that the wide ranging support afforded by the PPA and the discourse generated by the PPA funding have contributed to the Building a Sustainable Future processes and the IPR would concur that it has contributed to organisational development processes (which also heavily rely on unrestricted funds).

Driving up results

In order to answer the question of whether the PPA has resulted in a greater number of beneficiaries benefiting, two comparisons should be floated. Firstly whether the £4.2m investment last year resulted in a greater quantity of outcomes for poor people than it would have if it had not been given, and secondly whether the investment would have resulted in a greater quantity of outcomes if it had been tied to specific projects and programmes. The answer to the first question is a clear yes, as the IPR team has noted the PPA has been invested in international development programmes as well as broader organisational programmes, and the fact that the PPA results show a positive picture, it can be assumed that CAFOD's delivery of results is going in a positive direction.

The answer to the second question is less clear. If the question relates to the quantity of results, an assumption could be made that if more direct investment had been made (had the funds been tied) then there would be a greater quantity of results. However, factors of sustainability, quality of results and who these results are benefiting must be considered also. It is the assertion of the IPR team that for the reasons outlined above, the PPA funds have and will continue to improve the quality and quantity of results across the organisation.

It could also be argued that the PPA has contributed to improving the quality of programmes, as some of the tools noted above have prompted a greater understanding of the needs of the beneficiaries and there has been some adjustment at the project and programme level (particularly in HIV). The PPA has led to greater understanding and analysis of results and the recruitment of thematic advisors for HIV, Livelihoods and DRR, who have invested considerable time in reporting against the logframe indicators. Both the monitoring of the PPA and programme quality support of PPA reported projects are included in their job descriptions. They have also engaged with the external discourse on their thematic areas bringing good practice back to CAFOD. We saw evidence of analysis and consideration across a number of areas, as for example the Livelihoods Thematic Adviser had conducted a meta review of livelihoods evaluations unpicking and drawing out lessons about relevance and policy dialogue.

Any discussion about attribution also needs to look at unintended consequences. Whilst this is even harder to assess than contribution, some theories are espoused. As noted above, the PPA logframes and requirement for outcome focused, quantitative reporting against these has helped ensure that CAFOD is collecting this level of data across countries and programmes. However, it could be argued that this may have been to the detriment of CAFOD's key modalities: partnership, faith / working through the church and capacity building, and that whilst these are articulated in the thematic theories of change, they are not been tested. Given what has been noted above about the importance of understanding these, this has been a missed opportunity, and one that may have been missed because of the focus on outcomes.

There is a view that the reporting demands of the PPA have diverted resources which would have been better invested elsewhere. It is certainly true that CAFOD is "having to work harder" for the same amount of financial return in comparison to previous PPA rounds and that the monitoring process has been demanding. However, it is the view of the IPR team that this has made a positive impact on the organisation, and that given the trend towards higher levels of institutional funding, which require similar reporting on shorter timeframes and for the delivery of results to be demonstrated, the investment they have made will pay off.

4.2 Value for money assessment of PPA funding

Given the findings above, that the PPA has in some way contributed to improving quality, some of the organisational development processes, and improved sustainability of partners, all of which will ultimately result in better results for beneficiaries, it is the view of the IPR that the PPA investment has represented value for money. Because most of these processes were corporate priorities and most not tied to a specific "PPA pot" it is likely that they will be sustained should the PPA come to an end, funding permitting. The benefits are wide reaching, and the unrestricted modality was appropriate.

The review has team has tested some of the assumptions about CAFOD's added value for DFID, most of which have been developed elsewhere in the report. A short summary of the findings are:

- *Stronger Southern CSOs* – the review has found evidence that some CSOs are stronger as a result of CAFODs work . Examples include: in Mexico where partners had adopted a gender policy, training, diagnosis and indicators[86]; in Zimbabwe where partners had improved governance structures[87]; in Tsunami area where programme management had become more transparent and systematic beneficiary assessment[88]; in Pakistan where partners reported improved downward accountability and protection[89].

- *Partners working for very poor* – the review has found some evidence that partners are working with and for the benefit of the very poor such as orphans and vulnerable children in Zimbabwe, pastoralists in Kenya and the elderly in Cambodia.

- *Greater understanding of international development issues* – there is evidence that CAFOD has contributed to sectoral discourse. An example is the work on Accountability that CAFOD has led on as part of the PPA Learning Groups.

- *CAFOD influences agents of change* – there is evidence that CAFOD works closely with the church and some of its organisations (eg CARITAS) and that they have helped influence

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[86] A "systematisation" (Review) of CAFOD's Gender Work in Central America and Mexico
[87] 2010 Evaluation of the Livelihoods Programme in Zimbabwe
[88] Tsunami Partnership Review 2008
[89] Amid-term Review of the Pakistan Floods and Programmes (2012)

policy dialogue and projects. An example of this is the work done in Swaziland where political leaders of the main opposition parties were brought together in order to promote tolerance and commit to working strategically and to reducing inter party conflicts.

- *Reach due to the relationship with the Church* – there is some evidence that the church capillary system is significant, particularly in emergency situations. Evidence of the benefits were noted in Zimbabwe and South Sudan.

- *There are also examples of CAFOD using innovative approaches across the organisation -* (not linked to a specific fund) such as: the development of some of the monitoring tools; the Stigma Reduction work; some of the advocacy work and engaging with Bishops to work on Peace initiatives.

5. Conclusions

5.1 Summary of achievements against evaluation criteria

Results – It can be concluded that CAFOD is on track to achieve the results as outlined in the logframe in all thematic areas apart from the Livelihoods one which has since been adjusted. There is also considerable evidence of wider change and outcomes for beneficiaries which fall outside of the PPA logframe. Finally there is evidence that CAFOD is contributing to building stronger civil society organisations in the South, particularly around areas such as accountability and policy dialogue.

Relevance - CAFOD has a commitment and intention to work with the very poor and most disadvantaged, tackling the root causes and providing more direct responses. This is done through supporting organisations that are "locally rooted", needs assessments and the use of specific tools and methods. This is not an area that is systematically tracked, so the Review team cannot definitively make a judgement either way. From the evidence reviewed, however, there are both positive and less positive examples of CAFOD and partners working with and for the very poor and most disadvantaged.

The IPR team challenge the assumption that local rootedness results in more relevant interventions, although it is certainly an advantage. There is evidence that some programmes are conducting needs assessments whilst others are not. There are also examples of some useful tools such as the Vulnerability and Inequality Analysis tool and the CSP process which will help equip staff and partners with the necessary tools to ensure projects are designed appropriately. These are in the process of being rolled out. One of the challenges for CAFOD is to maintain a partnership-based approach which respects the work of partners, and builds on long term partnerships, whilst ensuring that projects remain relevant. There are examples of good practice where CAFOD has employed the accompaniment model to ensure its projects remain relevant.

Effectiveness – CAFOD's Faith identity has some clear benefits for the delivery of results and outcomes at the beneficiary and at a more systematic level. CAFOD has also invested in learning and there is evidence that some of this is contributing to the sector as well as to internal organisational processes. CAFOD is increasingly investing in and encouraging innovation, and Monitoring and Evaluation although there are clearly areas of M&E that require further thought and investment such as the system that lies behind the PCM and being able to conclusively report against results at a country, sectoral or organisational level. Finally CAFOD's approach to partnership seems solid in the sense that it contributes to sustainable organisations in the south through a number of different approaches. However, the partnership policy needs to urgently be finalised and communicated and there needs to be a process for systematically evaluating the benefits of these partnerships and confirming the benefit of the approach.

Sustainability – CAFOD's ultimate aim is to ensure that through its interventions and partnerships, it can create sustainable change in peoples' lives and CAFOD's approach to partnership will likely contribute to the sustainability of its partners and the achievement of this aim. Evidence regarding the extent to which benefits at the beneficiary level are sustainable is mixed. Evidence of the sustainability of organisational processes as a result of the PPA investment is on the whole strong due to the fact that they were supporting the existing strategic objectives.

Efficiency - The fact that CAFOD has been awarded PPA funding itself indicates a level of confidence within DFID that CAFOD has the relevant processes, systems, staffing and practices in place to deliver value for money over the life of the PPA. Furthermore, the findings of the MANGO review appear largely to endorse this view of CAFOD developed by KPMG/DFID during PPA appraisal. MANGO's

report does not identify any significant uncontrolled risks to value for money, but it does, however, flag a number of opportunities within existing decision-making processes for a more explicit approach to analysing value for money.

Our own findings support the view that CAFOD takes the issues of value for money and how to evidence it seriously, with significant internal debate and specific initiatives in-hand. Moreover, while the PPA has certainly provided additional stimulus, the motivation for this interest appears to come from within CAFOD itself, as a part of its approach to on-going organisational development.

That said, the extent to which value for money is explicitly considered in resource allocation decision-making appears to declines as one moves down through the organisation. We have two observations in particular:

- First, systematic reviews are not routinely undertaken as part of the regional and country resource allocation process. Allocation of resources to and within country programmes appears largely driven by historical precedent, with only limited justification requirements and challenge;

- Second, the extent to which performance and cost data are used in combination to inform decision-making at regional and country level could be strengthened, notwithstanding ad hoc initiatives such as the Action for Better Governance project.

Whilst CAFOD does offer value for money, there are some areas of concern around its understanding and use of information relating to costs and outcomes of programmes on the ground. It is acknowledged that this is a challenging area due to the nature of CAFOD's support, however having a view of these would have provided the IPR team with greater confidence in being able to make judgements about value for money of specific approaches or programmes.

5.2 Summary of achievements against rationale for PPA funding

CAFOD is on track to deliver the results as achieved in the agreed PPA Logframe. In line with the DFID Business Case to support CAFOD has:

- Supported a range of partner-ship based initiatives

- Supported communities to carry out the HCVA and lessen their vulnerability to climate change

- Worked with people affected and vulnerable to HIV taking a holistic view of HIV as a development issue (including addressing stigma)

- Improved people's access to food security

The achievements also cohere with the overarching DFID Business Case Theory of Change as CAFOD has contributed to the four PPA outcomes as follows:

- *Results: Enhanced delivery of results which provide value for money* – as outlined above, CAFOD has demonstrated that it is providing value for money and that it in some areas the PPA is delivery enhanced results

- *Learning:* Enhanced generation and use of evidence to improve programme – CAFOD is generating and using evidence to improve programming

- *Leadership – Mainstreaming sector best policy and practice* – CAFOD is contributing to the sector through its role and contribution on the PPA Learning Forums

- *Shaping the Sector – DFID funding has multiplier effect on grantees overall targeting and geography.* CAFOD is improving its targeting through the introduction of specific tools and messages about who the target group is. The PPA investment has enabled CAFOD to leverage funds and therefore has potentially had a greater impact.

5.3 Summary of problems and issues encountered

- The main problems and issues encountered during this review process have been outlined in the methodology section and relate to the breadth of the review (given the unrestricted nature of the funding).

5.4 Overall impact and value for money of PPA funded activities

As noted above there are challenges with being definitive about the overall impact and value for money of the PPA funded activities. However, it is the view of the IPR that the PPA investment has provided value for money and impact with the following highlights:

- The PPA has helped speed up or extend changes that were already underway, although it could be argued that they have not been fast enough.

- The PPA has contributed to CAFOD continuing its investment in long term partnerships, and providing partners with the ability to source other funds, or work in innovative and risky areas of work which may not be attractive to other donors.

- The PPA has been used to leverage other income through co-funding for both CAFOD and partners. It has also helped raise CAFOD's profile through its involvement in PPA Learning Groups (with a lead role in 3 of the 4 groups).

- The PPA has acted as a catalyst and enabler for some organisational change processes such as monitoring and evaluation and good stewardship. It is the view of the IPR that this catalytic role could have been stronger

- In some ways the PPA has contributed to the quality of programmes that report against the PPA Logframe. The reporting tools have led to learning. The extent to which this goes beyond these programmes has not been tested.

- Overall, the benefits of the PPA have been wide reaching, and the reporting process has acted as a healthy challenge function to CAFOD. CAFOD has taken considered and significant steps forward in accountability and improving internal organisational effectiveness which in the medium term (next 5 years), if adequately resourced, could have a significant impact on the capacity of some partners and therefore on CAFOD's ability to transform the lives of the poorest and most vulnerable.

6. Utility

CAFOD intends to use the evaluation report to help inform its Organisational Effectiveness Project. A workshop is being arranged in October to share and discuss the IPR findings and CAFOD's management response with all international division staff.

7. Lessons Learnt

7.1. Policy level

Given the benefits of the PPA fund to CAFOD, both programmatically and organisationally, and the potential and actual impact of the work of CAFOD having an overview of all of the NGO investments will provide DFID with a view of the extent to which the PPA fund offers good value.

7.2. Sector level

The IPR team have found some strong examples of learning within the NGO sector, particularly as result of the PPA learning Groups (such as sharing tools) and the common challenge of adopting a Results Based Management approach. This has been useful both within CAFOD and more broadly in the sector.

7.3. PPA fund level

The merits of unrestricted funding have been outlined above. However this has to be weighed up against the ability to attribute change to the fund, and see where it has made a difference. In any future funding rounds, the business case for both modalities – restricted and unrestricted - should be made

The logframe provides an insight into one element of what CAFOD is trying to achieve. However, it does not capture the holistic nature of CAFOD's work and whilst it may be useful for aggregating results, it is a "blunt instrument" for demonstrating CAFOD's achievements and work.

8. Recommendations

For Country Teams and the Programme Effectiveness Unit:

15. CAFOD should build on the CSP roll out process and:

    a. Develop high level results frameworks (at sector or country programme level) which help to summarise delivery across the whole programme. This would focus on areas such as **reach, capacity building** (including information about modality such as accompaniment, training, partnering etc), and indicate how the country programme is delivering results at **household, local, national levels (split by service delivery and structural change**). If appropriate the sector results frameworks would include results relating specifically to the sector (such as knowledge and attitudes on HIV, food security etc.)

    b. Conduct **Country Programme Evaluations** every two to five years to fit in with the life-span of the CSP. These should be conducted by a team of at least two who are external to the programme. However the team may consist of senior staff from other country programmes or London. This will provide an opportunity for a closer review of planned and actual work. It is recommended that this process starts immediately as part of the CSP roll out process or once the pilot phase is complete, i.e. from April 2013.

16. Clarify **the minimum standards** necessary for partnership given CAFOD's core commitments (such as conducting Vulnerability and Inequality Assessments, clarifying target group, ensuring good monitoring and evaluation practice).

17. If working for poor and most disadvantaged people (and understanding their needs) remains a priority of CAFOD, it is recommended that the VIA tool is rolled out, is mandatory, and this roll out is adequately resourced.

18. If strengthening the capacity of partners continues to be a priority for some types of partnerships, ensure that the **objectives of the partnerships are clear and measures** are in place to monitor the success and cost implications of the different approaches (training, accompanier, learning events etc)

19. Agree what CAFOD's niche is and ensure that staff and partners have appropriate skills and resources to develop this. For example if supporting partners to be stronger and deliver better programmes (through for example capacity building or accompaniment) is corporately agreed as the niche, ensure that the programme staff are appropriately skilled to do this.

For Corporate Leadership Team

20. **Continue to develop the partnership policy or statement as soon as possible**. This should include clear indications of what the underpinning theory of change is, what is expected from CAFOD and what is expected from the partner. The partners need to be segmented to do this – and the different types of partners/partnerships potentially require a different theory of change/model of working with them.

21. **Accelerate some of the really important processes** that are currently underway (specifically the CSP roll out) through a heavy front loaded investment. These include: new CSP roll out; developing country level results frameworks and periodic reviews; clarifying partnership model, policy and framework and testing this across the different programmes.

This will help ensure a greater programmatic approach with a focus on specific groups, provide clarity on the modes of working, as well as enable country teams to draw inferences on what is working well, where, why and for whom.

22. The extra work and importance of country staff and partners engaging with the CSP process is recognised and as such should be **adequately staffed and resourced** to ensure that it is done to an equal standard across the countries (and that the CSP guidance is consistent with other policies and processes)

23. Start developing a **model that tracks costs** for different types of programmes, outcomes and partnerships. Review this periodically to see whether there are any general patterns arising. This should be tested at the country level to ensure that data is relevant, but learning and inferences could be drawn both at country and corporate levels. This would help CAFOD to understand what modalities of support and programme design work well (value and outcome) and what level of investment may be required in different contexts. One way to do this could be to structure budgets according to outcomes to allow clearer line of sight between costs and outcomes.

24. Given the increasing demands that are going to be made on country programme staff, and the assumption that quality will be maintained and increased, **a review of whether the country programmes are being adequately resourced should be conducted**. If the countries cannot be appropriately resourced to deliver against expectations, CAFOD should consider reducing the spread of countries it works in and partners it works with. It is noted that a country focusing process has already recently taken place.

For DRR thematic area:

25. The IPR team would echo the recommendations of the DRR review to maintain the momentum of the integration, 'The impact of DRR activities are based on: 1) how they reduced the risk of and from disasters; 2) how they reduced the (potential) direct impact of disasters; **and** 3) how they reduced the expected recovery time in the event of a disaster. Linking all DRR outputs, outcomes and impacts to the three principle DRR objectives will assist CAFOD and partners conduct consistent assessments and reviews of DRR programmes and activities.' Furthermore, programmes that integrate DRR need to ensure a balance is maintained between opening up dialogue with various levels of government and building the community managed process.

26. It is felt that at this midterm point CAFOD may wish to introduce a different outcome indicator which more adequately reflects the particular focus of this thematic area of the logframe, namely 'Climate Change Adaptation and Hazard Risk Reduction'. Country Annual Reports are starting to provide evidence of the contribution of the HVCAs to how resilience has been built at the community level post-hazard. Perhaps a process or qualitative indicator could be used at the outcome level to better reflect the depth and quality of the DRR programming underway.

For the Livelihoods thematic area

- It is recommended that the Livelihoods Team revisit the ambition to group together "livelihoods programmes" in the light of the challenges associated with trying to group the numerous disparate projects under one theme. Finding a way to do this that captures the holistic and diverse nature of the support will enable the teams to be clear about results it is delivering.

For the Accountability thematic area

27. Reorganise how accountability is managed with partners as a long term project: The results of the accountability work (HAP minimum standards, complaints handling mechanism) have well exceeded milestones. To build on this success (and maintain credibility amongst peers), CAFOD arguably needs to review (with a view to scaling up the investment in accountability work) the resources dedicated to managing this theme. Given the demand from partners and indeed the initial signs of success in building effectiveness amongst CAFOD teams and partners, additional resources could look to link up CAFOD teams and partners who could learn/support each other. The resources could also support country programme officers who may well be implementing the accountability work at the same time as implementing crucial project/programme activities. The resources could be deployed using the 'advocacy accompaniment' model to build on existing good practice and avert any delay in support to partners.

For Policy thematic Area:

28. CAFOD would benefit from an explicit statement to recruit more country programme staff with advocacy skills and in particular to support the development of advocacy skills in country programme managers. This would go a long way to building a coherent approach to building advocacy capacity in partners, who in turn provide the evidence to support other forms of advocacy (such as northern) within the organisation.

Annexes

Annexes Attached Separately

Annex A: PPA IPR Terms of Reference

Annex B: Evaluation research schedule and Inception Report

Annex C: Evaluation Matrix

Annex D: List of people consulted

Annex E: Bibliography

Annex F: Value for Money

Annex G: Country Terms of Reference and Sampling criteria

Annex H: CAFOD's work with young people in England and Wales

Annex I: Logframe review

Annex J: Details of the evaluation team

Annex K: Evaluation Manager's response to report's findings (post-submission)