Overseas Development Institute

Annexe A

Evaluation of Citizens' Voice and Accountability

Evaluation Framework

Methodological Guidance for Country Case Studies

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Introduction

This Guidance outlines the key features of methodological approach for conducting Country Case Studies (CCs) for the Evaluation of Citizens' Voice and Accountability based on the Evaluation Framework, which should be read in conjunction with this note.

The main aims and objectives of the CCS are:

a) To assess the selected interventions against their intended objectives, and on the basis of that draw conclusions on what works, and what does not, in relation to intervention programme theories.

b) To assess the relevance of the interventions for strengthening voice and accountability in the specific developing country context.

c) To provide an overall assessment of donors' role, success and failures in supporting V&A in different country contexts

In order to fulfil these objectives the CCS evaluation team will carry out a series of tasks and activities outlined in the different steps of this Guidance note. The two main components of the CCS are:

- in depth evaluations of a selection of V&A interventions supported by ECG donors in the country (see Step 3) and;
- based on these evaluations and other data collected during the CCS, an overall assessment of ECG donors' role and performance in relation to V&A in a specific country.

The two pilot case studies in Benin and Nicaragua provided some useful lessons not only for refining the specific steps of the methodological approach, but also in relation to the overall process underpinning the CCS. In particular, it was highlighted that:

- It is crucial to build enough **mutual understanding of V&A among ECG donors** and partners and to ensure sufficient ownership of the evaluation among all relevant stakeholders at country level
- As V&A is relatively uncharted territory in many country programmes, or at least it suggests a new/different way of describing initiatives, aims and objectives related to citizenship, governance etc., it is vital to dedicate **enough time** to ensure not only an improved mutual understanding, but also to plan the activities of the CCS accordingly.
- The Evaluation Framework provides a common basis for conducting all CCS. However, it should be recognised that the CCS will differ according to the socio-political context, the types of V&A interventions in the country, the number/type of ECG donors present in the country and the partners they work with. Hence both the framework and the methodological guidance are intended to be applied with some degree of **flexibility**.

In accordance to the lessons learnt from the pilot phase, the CCS will be carried out in two main phases divided in eleven steps. Both phases involve in country activities, although in principle the first phase could be managed by the in country consultants/partners and it does not necessarily require the presence of the full evaluation team.

- A *preparatory phase* (Phase one, consists of 4 steps), aimed at improving mutual understanding of V&A, build ownership for the evaluation, selecting V&A interventions to be evaluated and planning the core activities for the CCS.
- The *main evaluation phase* (Phase two, consists of 8 steps), where most of the data gathering and analysis will take place – including the in depth evaluations of selected V&A interventions.

PHASE 1: PREPARATORY PHASE

Step 1: Context analysis

Purpose: The main purpose of the context analysis is to consider the linkages (or lack of them) between V&A interventions and the political and socio-economic context where they take place.

Output: Short summary report based on the checklist in Box 1 outlining: the political and institutional framework and its actual operation; (ii) a mapping and key features of the main V&A actors within the country; (iii) the social and political landscape and (iv) main events of particular relevance for V&A

Key features, methods and tools: The context analysis is based on experiences of power and Drivers of Change analyses and on the lessons drawn from the pilot cases studies. It is focused on the *structural factors* related to the deep structures of society and its environment; *institutional factors* focusing on formal and informal 'rules of the game' that shape the behaviour of state and societal actors; and *current events and change agents* examining factors affecting the capacity, resources and interests of groups and institutions in the short-term context. The Context Analysis should be carried out by a local member of the team with experience of governance and related issues.

Data collection and sources: secondary data and documentary analysis, semi structured interviews with key informants if necessary. Useful data sources on some of the major governance assessments initiatives can be found at http://www.developmentdata.org/governance.htm. Other useful data sources:
http://www.iadb.org/datagob/:
http://www.bertelsmann-transformation-index.de/11.0.html?&L=1.
It is vital that data on governance indicators and assessments is included in the context analysis, which should not only be based on a narrative or qualitative assessment, but also be based on the wealth of quantitative data increasingly available on governance at the country level.

BOX 1: Elements of the context analysis

(i) Political and institutional framework and actual operation

- An analysis of **legal rights** to information, participation, accountability
- An analysis of **public oversight mechanisms** spanning the executive, legislative, judicial and other constitutionally mandated institutions
- An analysis of the **distribution of powers** across divisions and levels of government, and opportunities/mechanisms for participation and public oversight within this
- An analysis of the **economic** structures and institutions, including dependency from natural resources, market regulations, how the economy is organised (e.g. is it predominantly agrarian, urbanisation processes) and affect on class structure

(ii) Mapping and key features of main actors

- An analysis of the **principal state and non-state actors**, spanning governments ministries, regulatory bodies, local administration, networks, social movements, NGOs, those aligned with government and those not, and the historical reasons for this
- An analysis of the **aid architecture**, including donors' presence, principal fora for strategic dialogue on poverty reduction and governance, the main instruments and modalities for aid delivery as well as mechanisms for civil society support

(iii) Social and political landscape

- An analysis of the **political landscape**, including the alliances and sources of power on which the current government depends, as well as the degree of political control over the different branches of government (including the key public oversight mechanisms)
- An analysis of **informal power structures** and institutions, including religious groups, traditional institutions, networks related to the informal economy, patronage and rent seeking arrangements, gender relations and culture.

(iv) Recent events that shape opportunities and risks for voice and accountability

Step 2: Overview of the aid environment

Purpose**:** to position donors' support for V&A in the wider aid environment at the country level. Broader issues of the aid environment and architecture are key to better understand different ECG donors' strategies and choices in relation to V&A.

Output: Short summary report based on the following questions:

- Who are the main donors currently providing aid in the country?
- What is the overall level of aid provided by different donors to the country? (annual disbursement)
- What are the main modalities for aid delivery?
- What is the overall amount of aid provided by each of the ECG donors? (annual disbursement)
- What are the main sectors of investment for each of the ECG donors? What is their relation to V&A?
- What is the volume of investment by sector of each ECG donor? (annual disbursement)

Key features, methods and tools: The overview of the aid environment is a 'light touch' analysis carried out by a local expert/consultant with experience and knowledge of the local aid environment.

Data collection and sources: secondary data and documentary analysis, semi structured interviews with key informants if necessary. The main data sources for the overview of the aid environment are the two OECD databases on Aid and Resources Flow: the DAC online database on annual aggregates and the CRS online database on aid activities (the latter is more useful for sectoral analysis). Both databases are available at: http://www.oecd.org/dataoecd/50/17/5037721.htm.

Step 3: Building understanding and mapping V&A interventions

Purpose: to inform stakeholders about the purpose and scope of the evaluation and to map V&A interventions in country.

Outputs: (i) commitment/buy-in to the evaluation process by stakeholders and (ii) mapping of V&A interventions

Key features and methods: Step 3 and 4 should be carried out through a workshop in country, primarily facilitated by local consultants, with all ECG donors and (if needed) with a selection of their key partners/stakeholders. It is important to be clear who should be involved in this step, as it is a critical phase that will shape all subsequent stages and will ensure the commitment needed to give the findings legitimacy.

The two main tasks for this step are:

- *Clarify the main purpose(s) of the evaluation:* In particular the balance between its formative purposes (i.e. to improve learning and mutual understanding on V&A; to help the interventions themselves re-strategise) and its summative ones (i.e. to find out about donors' effectiveness and to improve performance).

- *Mapping of V&A interventions*:
  Voice interventions aimed at strengthening civil society capacity fall in three broad categories:
  (i) formulating joint agendas;
  (ii) accessing and analysing information; and
  (iii) creating or co-opting space for public participation.

  Examples may include support to: community organising and empowerment; coalition building; legal literacy campaigns; voter education and improved voter registration; participatory planning and budgetary processes; social auditing and citizens' watchdogs; training of journalists and the development of press observatories; evidence-based advocacy; work to nurture a long-term funding base for civil society support; efforts to create and enhance spaces civic engagement.

  Accountability interventions fall into broadly three categories:
  (i) Interventions aimed at strengthening *vertical accountability* between citizens and their elected political representatives.
  (ii) Interventions aimed at strengthening *horizontal accountability* between the legislative, executive and judicial arms of the state, on behalf of citizens.

(iii) Interventions aimed at *hybrid accountability*, where civil society itself takes on attributes of the state in supervising the performance of state agencies.

Step 4: Selecting V&A interventions

Purpose: to identify which V&A interventions will form the focus of the evaluation

Outputs: agreement on the interventions for the evaluation case studies

Key features and methods: Step 3 and 4 should be carried out through a workshop in country, primarily facilitated by local consultants, with all ECG donors and (if needed) with a selection of their key partners/stakeholders. It is important to be clear who should be involved in this step, as it is a critical phase that will shape all subsequent stages and will ensure the commitment needed to give the findings legitimacy.

This step is composed of three elements:

- *Identify criteria for selection.* Based on the core purpose, agree which criteria will be used for selecting the case studies to be evaluated. It may be possible to identify a wide range of interventions on both sides of the voice and accountability equation, spanning efforts to strengthen capacity and/or enhance broader enabling conditions. The challenge lies in identifying those which individually or in combination demonstrate a relationship (sometimes a causal relationship) between civic engagement/voice and the answerability of the State. The pathways between voice and accountability will, however, differ with context and this should be taken into account in the selection process. Criteria for selecting V&A interventions will include:
  - *Levels* of interventions (national and local);
  - Different *functions* of state actors (executive, legislative, judicial) and non state actors (NGOs, trade unions, media, political parties, social movements etc.) involved;
  - Different *mechanisms* at play e.g. local planning committees, trade unions, ombudsman commissions, the media, parliamentary committees, electoral processes;
  - The *role played by donors,* including active facilitation of the interface between citizens and the state;
  - *Duration* of interventions;
  - *Availability of key stakeholders.*

- *Choose interventions to be evaluated.* Based on the mapping of V&A interventions (see point B above) and using the agreed criteria (point C) rank the suitability of different interventions. This can first be undertaken individually or in pairs to allow people to form their own opinions and then discussed in plenary. It can also be undertaken in plenary, moving through each intervention and each criterion. The second option may take longer and may favour the opinion of more vocal participants to dominate.

- *Optional – informative workshop*: Inform a larger group of stakeholders about the choices made above regarding evaluation focus and the choice of interventions, plus the overall methodology. The workshop sequence and facilitation techniques will be discussed and finalised with the local consultant to ensure suitability in the specific context[1]. In principle the workshop should include:

- a general introduction to the framework and the evaluation purpose, plus clarification of the selected V&A interventions
- presentations by local stakeholders of the selected V&A experiences
- time to discuss feedback regarding focus and selected case studies
- optional discussion about contextual factors that must be included when undertaking the evaluation.

PHASE 2: MAIN EVALUATION PHASE

Step 5: Key informants interviews

Purpose: to acquire information on (i) the political and socio-economic context and on the enabling environment and (ii) on the overall role played by donors in supporting V&A in the country.

Outputs: no formal outputs. Interview notes to be shared and discussed between the consultants.

Key features, methods and tools: two types of respondents will be targeted:

- Key representatives/leaders of national state and non state institutions relevant for V&A, including: public officials from ministries and other government departments; media, political parties, NGOs, religious organisations, etc.
- Experts such as social scientists and evaluation specialists.

Crucially these should include both individuals directly involved in ECG donors' supported initiatives as well as individuals with no direct link to donors' work but who are knowledgeable about the sector and general donors' practices in this field.

These will be in-depth semi-structured interviews conducted following a common format/schedule based on the evaluation questions, the 5 components of the framework and in consultation with all members of the evaluation team. Questions should include:

- A set of questions covering the activities/role played by the respondent and his/her organisation
- A set of questions reviewing the findings of the Context Analysis with a view to complete the picture on the enabling environment;
- A set of questions focusing on the experience and knowledge of the respondent in relation to the 5 components of the framework.

Step 6: Interviews with donors' staff (head office/embassy)

Purpose: (i) to gain an overview of the donors' approaches and strategies on V&A in the country; (ii) to explore the drivers and priorities of donors' actions in this sector, including the context, political priorities, etc. (iii) to better understand the programme logic underpinning the V&A interventions supported by donors.

[1] Ideas and tips for methods and tools will be drawn from: experiences of applying PLAs tools (see http://www.rcpla.org/about.html and http://www.iied.org/NR/agbioliv/pla_notes/index.html) and from *Participatory Workshops: A Sourcebook of 21 Sets of Ideas and Activities* - Robert Chambers - 2002

Outputs: no formal outputs. Interview notes, to be shared and discussed between the evaluation team

These will be in-depth semi-structured interviews conducted following a common format/schedule based on the evaluation questions, the 5 components of the framework and in consultation with all members of the evaluation team. Questions should include:

- A set of questions covering the role, tasks and activities of the individual staff member.
- A set of questions covering the history and evolution of the donor's V&A work in the country, including the role of the context and how it has changed over time.
- A set of questions asking about the range and type of V&A work in the country.
- A set of questions focusing on the assumptions and choices related to the design and implementation of specific V&A interventions.

Step 7: V&A interventions case studies

Purpose: the main purpose is to evaluate a selection of V&A interventions funded by different ECG donors using the common Evaluation Framework.

Outputs: no formal outputs required

Key features and methods: The evaluation case studies will involve a variety of methods for primary data collection from different stakeholders. Annex B is a table of methodologies outlining various methods that may be used in particular settings, indicating for what purposes and their relevance for specific components of the evaluation framework.

This table of methodologies should be treated as a guide only, to be adapted and used flexibly, as the evaluation team sees fit.

It is likely that most information will be gathered using semi-structured interviews, perhaps in focus groups as well as one to one interviews, alongside other methodologies. Thus a combination of methodologies may be used. Be clear if you are using the methods yourself to help you map out the different information you are obtaining during one or several interviews, or if you are using the methods to collect the data from individuals or groups. In the latter case, you would facilitate the use of the methods but leave the diagramming or analysis up to the interviewees.

Consider how best to sequence methods. So, for example, it may be useful to (1) utilise a Venn diagram to identify key actors, then (2) use the actors as the basis for articulating boundary partners and behavioural changes (Outcome Mapping), and subsequently (3) linking that back into a power analysis to see how the boundary partners have shifted or not in terms of their power relations. Similarly, one can use (1) mind mapping to identify key actors, mechanisms and spaces, then (2) use the matrix scoring to assess the relative merits of those key channels (actors, mechanisms and spaces) in creating V&A, followed by (3) impact flow diagrams to understand the main blockages or challenges that prevent certain channels (those that scored low in the matrix) from functioning properly.

If possible, during the course of the V&A interventions case studies, the consultants should take the opportunity to participate in meetings, discussions between project staff and communities, visits from officials, etc. The idea is to observe the dynamics at play within the V&A interventions and to compare these with the reported experiences by project staff and other stakeholders.

In order to triangulate the information elicited from those directly involved in V&A interventions, ad hoc interviews should be carried out with a small selection of stakeholders who are not directly involved in the donor funded projects but who are knowledgeable about them and can provide useful insights.

The schedules and checklist for the interviews and focus groups will be based on the evaluation sub questions and on the key features of the main components of the evaluation framework, namely: (i) The enabling environment; (ii) Institutional, organisational and individual capacities; (iii) Voice and accountability channels (iv) Changes in policy, practice and behaviour; (v) Broader development outcomes . (see Evaluation Framework, page 7-14).

Secondary data and documentation on V&A interventions will also be collected and analysed as part of the V&A interventions case studies.

Step 8: Models of change

Purpose: (i) to identify and test a selection of 'models of change' or 'programme logic' emerging from Step 1-5 using the main components of the evaluation framework as building blocks (ii) to test the goodness of fit between the assumptions underlying the models of change for each intervention and the actual implementation through a series of steps leading to results and change.

Key features, methods and tools: The five components of the evaluation framework and their linkages in the results chain described in section 5 of the evaluation framework can be used to identify different models of change for V&A interventions; and to test their main components in relation to how the interventions are actually implemented, the results achieved or not and, crucially, why the implementation logic of a given intervention might differ form the original programme theory. In addition, models of change can be used to elicit the views and assumptions held by different stakeholders involved in V&A interventions, with a particular focus on those responsible for the overall strategy and design versus those directly responsible for the implementation. Examples of identifying and using models of change for V&A interventions that emerged in the pilot phase can be found on page 22-23 of the evaluation framework.

Different techniques can be use to elicit and represent models of change. The box below provided some additional references for methodologies and tools.

Box 2: Tools and technique for eliciting and representing models of change

Flow diagrams and mind mapping as a technique for linking the different components of the model (see http://www.ifad.org/evaluation/guide/annexd/d.htm#m_25 and http://www.ifad.org/evaluation/guide/annexd/d.htm#m_26.) See http://portals.wi.wur.nl/msp/?Problem_tree for a description on how to develop a problem tree.

Problem tree, threats and opportunities: Margoluis and Salafsky. 1998. Measures of Success. Designing, Managing and Monitoring Conservation and Development Projects. Island Press, Washington DC. Chapter 3 on 'Design a Conceptual Model Based on Local Site Conditions' (pgs 27-58).

Step 9: DAC criteria

Purpose: to validate the findings of V&A intervention case studies (step 5) using the DAC Evaluation Criteria.

Outputs: no formal outputs required.

Key features, methods and tools: the analysis of the findings of the V&A interventions case studies (Step 5) will be carried out using the five DAC evaluation criteria. The idea is to use the guiding questions developed in section 7 of the Evaluation Framework to guide the analysis. These are reproduced in the table below:

Table 1: DAC Evaluation Criteria and V&A questions

DAC Criteria	Relevant questions in relation to V&A
Relevance	▪ How well matched are V&A interventions to the political and socio-economic context? ▪ In what ways do V&A interventions take account of the specificities of the enabling environment? ▪ Are opportunities, entry points and risks clearly articulated? ▪ Are the objectives and activities of V&A interventions consistent with the key features of the enabling environment? ▪ Are the objectives and activities consistent with expected results and outcomes? ▪ What are the key assumptions? (particularly for capacity building)
Efficiency	▪ Are project/programme inputs consistent with the efficient achievement of outputs and outcomes? ▪ Have project funds been disbursed in ways consistent with the efficient achievement of objectives? ▪ Given objectives, were alternative approaches available that could have used resources more efficiently?
Effectiveness	▪ Have V&A interventions achieved or are likely to achieve their objectives? ▪ To what extent is the choice of V&A channels and mechanisms adequate to achieve the intended results? ▪ What are the main obstacles/challenges to achieve policy, practice and behaviour change? ▪ Has there been any change in objectives? ▪ What explains any non-achievement of objectives? ▪ Are there unexpected outcomes?
Impact	▪ What are the key achievements of V&A interventions in terms of policy, practice and behaviour change? ▪ To what extent are these related to outputs and direct results (i.e. capacity building, channels and mechanisms ▪ What are the intended/envisaged pathways from V&A outcomes to broader development outcomes such as poverty reduction and governance?
Sustainability	▪ How likely is it that outputs supported by V&A interventions will be sustained? ▪ What actions/conditions have been put in place to sustain changes in channels and mechanisms for voice and accountability in the future? ▪ Will positive changes be difficult to reverse? ▪ Are capacities supported by V&A interventions likely to be sustained and result in sustained improvements in V&A over time?

Step 10: V&A and aid effectiveness checklist

Purpose: to assess donors' effectiveness in supporting V&A interventions (i.e. Evaluation Question 4 of the Evaluation Framework).

Outputs: a summary assessment of donors' effectiveness based on the principles of the Paris Declaration.

Key features, methods and tools: the findings emerging from Step 1-7 will be analysed by the consultants according to the key principles of the Paris Declaration on Aid Effectiveness (http://www.oecd.org/dataoecd/11/41/34428351.pdf). In particular, we propose that the analysis should focus on the following 3 principles which are of particular relevance in the context of V&A: harmonisation, ownership and mutual accountability. The checklist below provides a guide for the analysis.

Box 3: Aid effectiveness checklist

Donors' harmonisation: Harmonisation refers to the increased co-ordination and streamlining of activities of different aid agencies, with the aim of reducing the transaction costs to governments receiving aid.

- To what extent are the donors coordinating their efforts in support of V&A in the country?
- How many interventions have been funded by multi-donor consortia? What has been the experience vis a vis the single donor funded interventions?
- Are the donors engaged in a dialogue/consultation at national level to ensure more harmonised approaches to V&A? If so, what are the results so far? If not, why not?
- What are the main challenges faced by donors in harmonising efforts in support of V&A?

Ownership: Ownership refers to partner countries exercising effective leadership over their development policies and strategies, and coordinating development actions.

- To what extent do V&A interventions supported by donors reflect priorities and policies identified by partner countries?
- Is increased citizens' voice contributing to developing forms of citizen-based ownership rather than exclusive government ownership?
- What is the proportion of national actors and institutions in charge of delivering V&A interventions, including setting priorities and being accountable for the results?

Mutual Accountability: making sure that aid relationships are embedded in accountability mechanisms that guarantee an adequate degree of monitoring of reciprocal commitments, in order to enhance aid effectiveness. On the side of recipient countries, this implies strengthening the role of parliaments and reinforcing participatory approaches to policy making, monitoring and implementation.

- What is the contribution of V&A interventions to enhance the accountability of governments in partner countries to their own citizens?
- What are the concrete mechanisms put in place by V&A interventions which have enhanced domestic accountability? What are the challenges?
- Has donors' support to V&A interventions contributed to enhance a climate of mutual accountability between donor and partners countries? If so, how?
- Has donor support to V&A contributed to make their own action more accessible, transparent and, to some degree, accountable to citizens in partner countries?

Step 11: Debriefing stakeholders' workshop

Purpose: (i) to share the main findings of the evaluation with the stakeholders involved and (ii) to identify implications for the principal stakeholders in the V&A interventions.

Outputs: clarity about divergence of opinions about findings and a list of core implications for key stakeholders.

Key features and methods:

All stakeholders involved in the CCS should, if possible, be invited to attend this workshop. If time allows, it is useful to share the preliminary findings, in writing and in advance, with the stakeholders invited to the final workshop. This gives them the opportunity to familiarise themselves with the content prior to the workshop. The main components of the workshop are:

A) *Share findings:* This can be undertaken through a presentation.

B) *Elicit opinions about findings:* Split participants into stakeholder-specific groups. Ask each group to identify the following:
   I. What are the top three findings with which they agree most and why?
   II. What are the main findings about which they disagree and why?
   III. What gaps in the findings do they feel still need to be included or referred to by the evaluation?

C) *Share stakeholder feedback in plenary:* Each stakeholder group will get enough time to present back their findings. The facilitator will visually collate the differences and similarities of the feedback on flipcharts. A plenary discussion can follow for those wishing to clarify or comment on another group's findings.

D) *Identify implications:* Prior to the workshop, identify the different actors for whom implications of the findings have emerged. This will probably include the bilateral aid agencies, state agencies and implementing organisations but might vary per context. Create groups that include a mix of stakeholders for each of these actors. Each mixed group will focus on identifying the implications for the actor that they have been assigned with. The guiding questions for each group can be:
   a. What does this actor need to do differently in order to strengthen the impact of V&A? (The implication being to commence or terminate certain activities, plans, processes, etc.).
   b. What does this actor need to continue doing in order to ensure V&A?

E) *Share actor-specific implications in plenary:* Each group will have enough time to present their list of implications for the actor involved. A plenary discussion can follow for those wishing to clarify or comment on another group's findings.

Step 12: Country Case Study report

The Country Case Study report will be written by the team leader in consultation with all team members. All reports are expected to adhere to DAC reporting standards and conventions and it should be structured as follows;

- Executive Summary
- Part 1: Introduction
- Part 2: Process undertaken to complete the assignment: rationale for interventions selected and methodologies employed; field trips undertaken; logistics; challenges; etc.
- Part 3: Country/regional context
- Part 4. Main findings.
- Part 5: Feedback on the Evaluation Framework
- Part 6: Summary and recommendations

Annex B: Methods[2] for V&A interventions case studies

Method	Description	When to use them	Relevance to specific V&A component	Applicable interviews
Semi-structured interviews	Gain information face to face from an individual or small group, using a series of broad questions to guide the conversations, but allowing for new questions to arise as a result of the discussion. From a V&A perspective, semi-structured interviews are critical for developing an in-depth understanding of qualitative issues in particular. As the interviews are open-ended (though guided by checklists), they are helpful for assessing, for example, unintended impacts (positive and negative), opinions about the relevance and quality of services and products, etc.	Semi-structured interviews should be used with other methods listed below, particularly visual ones. Semi-structured interviews can be a relaxed way to obtain insights not possible from structured questionnaires. Interesting, unforeseen topics may also emerge in this manner. However, open-ended information is also more difficult and time-consuming to synthesise well enough to obtain clear results. Important to keep interviews focused, covering key issues to make different interviews comparable. Accurate note-taking is particularly important to make interpretation possible.	1. The enabling environment; 2. Institutional, organisational and individual capacities; 3. V&A channels and mechanisms; 4. Changes in power, policy and practice; 5. Broader development goals.	All interviewees: Key informants Donor staff NGO staff Project implementers National govt Local govt End beneficiary groups and individuals
Focus groups	Group discussion to collect general information, clarify details or gather opinions about an issue from a small group of selected people who represent different viewpoints. It can also be used to build consensus around what is V&A, as well as assessing differing opinions on all the issues that will be raised in the interviews.	If facilitated well, this method can bring out detailed information. It generally stimulates rich responses and also provides a valuable opportunity to observe discussions and to gain insights into behaviours, attitudes, language and feelings.	2. Institutional, organisational and individual capacities; 3. V&A channels and mechanisms; 4. Changes in power, policy and practice; 5. Broader development goals.	All interviewees
Timelines	Obtain a historical understanding of sequential	Historical trend lines show changes from one year	1. The enabling	Local

[2] In principle, any method can be used in individual interviews as well as in group settings. However, in group settings, they are particularly useful to trigger more in-depth debate and to cross-check group opinions due to the visualisation that occurs

Method	Description	When to use them	Relevance to specific V&A component	Applicable interviews
	changes that have occurred, relating to particular points of interest. From an V&A perspective, this could focus on specific indicators, be used as triggers in discussions to assess if certain changes can be attributed to V&A interventions or particular enabling factors, and list changes in the context that help explain possible effects of the project.	to the next and, therefore, provide a good means of tracking longer-term changes. This method can stimulate a valuable discussion about the speed and extent of positive and negative changes, why a situation is as it is and why different groups or individuals hold the views they do. This method provides a human dimension to data. However, it only provides general insights and details will need validation.	environment; 5. Broader development goals.	consultant Key informants Donor staff NGO staff
SWOT analysis	Identify the strengths, weaknesses, opportunities and threats in relation to a project or group, and how such an assessment will change over time. From a V&A perspective, this method is useful when qualitatively assessing, for example, the opportunities and threats within the context that enable or threaten the success of V&A interventions.	This method is useful to encourage input from many people, helping them think about potential solutions and constraints, for example, as part of a strategic planning process.	1. The enabling environment;	Local consultant Key informants Donor staff NGO staff
Mind mapping	To make a pictorial representation of the elements that need to be considered or are important to V&A, including stakeholders and issues, and the interactions and connections between them. It can help identify challenges and barriers to V&A, what aspects of a situation need to be monitored, which change indicators to track and/or which key stakeholders need to be included in V&A interventions.	Mind Maps are a powerful graphic technique that can be applied to all aspects of life where improved learning and clearer thinking will enhance performance and effectiveness. It is a non-linear way of organising information and a technique that allows capture of the natural flow of ideas. It can be applied by individuals or by groups, to improve simple tasks, such as writing a memo, and to more complex tasks, such as getting a shared perspective of a complex project.	1. The enabling environment; 2. Institutional, organisational and individual capacities; 3. V&A channels and mechanisms;	Local consultant Key informants Donor staff NGO staff
Matrix scoring	Make a relative comparison between different options of a specific issue or solutions to a	Besides the resulting matrix, one of the greatest values of this method comes from the discussions	2. Institutional, organisational and	Key informants

Method	Description	When to use them	Relevance to specific V&A component	Applicable interviews
	problem, and to make a detailed analysis of how much and why people prefer one option above the other. Matrix scoring shows how well options meet predefined criteria. From an M&E perspective, this method can be used to understand people's opinions on different types of V&A interventions that are aiming to build capacity, or the relative importance of channels, actors, mechanisms and spaces.	that are provoked as participants come to a decision about the final score of each option (as well as on settling on the criteria for scoring). In the discussion, the reasons for preferences and rejection of options emerge.	individual capacities; 3. V&A channels and mechanisms;	Donor staff NGO staff Project implementers National govt Local govt
Most significant change	Identify cases of significant/critical changes – both positive and negative – relating to key objectives, from individual's perspective. From a V&A perspective, this method can help track stories of changes related to less easily quantifiable issues, such as capacity building and changes in power.	This method explicitly does not try to identify the average. The selected changes are *not* representative but the *most significant* changes. If someone wishes to know the extent of a particular change, then this change becomes an indicator that is tracked for a defined period of time by everyone.	2. Institutional, organisational and individual capacities; 4. Changes in power, policy and practice; 5. Broader development goals.	All interviewees
Venn diagrams	Illustrate the extent to which individuals, organisations, projects or services interact with each other and the relative importance (i.e., power dynamics) of each to the issue being evaluated. From a V&A perspective, this method can be used to identify key actors, channels and mechanisms; map relationships between them; monitor how these relationships are changing; and identify gaps and therefore capacity needs.	This method, if facilitated well, provides valuable insights into power structures and decision-making processes. It may help to highlight contrasting perceptions of different roles, responsibilities and linkages, pointing to areas of conflict and dispute and also pointing to ways of resolving these.	2. Institutional, organisational and individual capacities; 3. V&A channels and mechanisms; 4. Changes in power, policy and practice;	Key informants Donor staff NGO staff National govt Local govt
Impact flow diagrams	Understand the contributing causes or reasons for a particular problem or issue, or to identify effects or impacts of a particular change.	Flow diagrams provide an overview of change, from the perspective of the people who are involved in the discussion. Impact flow diagrams	2. Institutional, organisational and individual	Key informants Donor staff

Method	Description	When to use them	Relevance to specific V&A component	Applicable interviews
	From a V&A perspective, this method can help to broaden insights about impact to include positive and negative, expected and unexpected, and direct and indirect impacts.	can be used to identify areas for potential improvements.	capacities; 3. V&A channels and mechanisms; 4. Changes in power, policy and practice; 5. Broader development goals.	NGO staff National govt Local govt
Power cube	Understand how a) inter-relationships of spaces of engagement, the b) places and levels where that might occur, and c) the forms of power found within and across them interact in order to create meaningful changes in behaviour, policy and practice. For V&A interventions this method allows for an analysis of whether participation and voice have led to meaningful changes in power (behaviour, policy and practice).	This method provides useful insights into how power works, where it is located and forms of power. It can be used in parts or as a while, and can be turned into a visual exercise with links made between the three components. Spaces: closed, invited and claimed/created. Places: global, national and local. Power: visible, hidden and invisible.	4. Changes in power, policy and practice;	Key informants Donor staff NGO staff Project implementers National govt Local govt
Outcome mapping	Outcome mapping establishes the V&A boundaries to which the intervention hopes to contribute and then focuses m & e on factors and actors within that intervention's direct sphere of influence. It is a shift away from assessing the development impact of a programme (defined as changes in state: for example, policy relevance, poverty alleviation, or reduced conflict) and toward changes in the behaviours, relationships, actions or activities of the people, groups and organisations with which a development programme works directly.	Behavioural change: Outcomes are defined as changes in the behaviour, relationships, activities, or actions of the people, groups and organisations with which a programme works directly. Boundary partners: Those individuals, groups and organisations with which the programme interacts directly and with which the programme anticipates opportunities for influence. Contributions: By using outcome mapping, a programme is not claiming the achievement of development impacts; rather, the focus is on its contributions to outcomes. These outcomes, in turn, enhance the possibility of development	4. Changes in power, policy and practice; 5. Broader development goals.	Key informants Donor staff NGO staff Project implementers National govt Local govt

Method	Description	When to use them	Relevance to specific V&A component	Applicable interviews
		impacts - but the relationship is not necessarily a direct one of cause and effect.		

Box 1: References and further sources for case studies methodologies:

Overview of methodologies:

- Guijt, I. and Woodhill, J. (2002) A Guide for Project M&E, Annex D, Rome, IFAD.
- Ramalingham, B. (2006) Knowledge and Learning Online Toolkit, London, ODI.
- Start, D. and Hovland, I. (2004) Tools for Policy Impact, London, ODI.
- Dayal, R., C.van Wijk and N. Mukherjee (2000) Methodology for Participatory Assessment with Communities, Institutions and Policy Makers. Washington, DC, The World Bank.

Most Significant Change:

- Davies, R. and J. Dart (2005) The 'Most Significant Change' (MSC) Technique; A Guide to Its Use
- MSC website and mailing list, see: http://groups.yahoo.com/group/MostSignificantChanges
- Hovland, I. (2005) Successful Communication: A Toolkit for Researchers and Civil Society Organisations, London, ODI.

Outcome mapping

- Earl, S., F. Carden, and T. Smutylo (2001) Outcome Mapping; Building Learning and Reflection into Development Programs, International Development Research Centre (IDRC)
- Hovland, I. (2005) Successful Communication: A Toolkit for Researchers and Civil Society Organisations, London: ODI.

Mind mapping

- Buzan, T. (1995) *The Mind Map Book*, London: BBC Books.
- These graphics were taken from the Americans for the Arts: Animating Democracy, resources available at: http://ww3.artsusa.org/animatingdemocracy/resources/resources_002.asp.
- For more information, visit www.mindtools.com and check out the free mind mapping software called Freemind - it is easy to use and can prove invaluable when organising complex projects.

Power Typologies

- Gaventa, J. (2005) *Reflections on the Uses of the 'Power Cube' Approach for Analyzing the Spaces, Places and Dynamics Of Civil Society Participation and Engagement,* Brighton, IDS.
- Brock, K., Cornwall, A., and Gaventa, J. (2001) 'Power, Knowledge and Political Spaces in the Framing of Poverty Policy'. *IDS Working Paper* 143.