

Independent Commission for Aid Impact (ICAI)
DFID's Approach to Delivering Impact
Inception Report

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1. Introduction

1.1 The Independent Commission for Aid Impact (ICAI) is the independent body responsible for scrutinising UK aid. We focus on maximising the effectiveness of the UK aid budget for intended beneficiaries and on delivering value for money for UK taxpayers. We carry out independent reviews of aid programmes and of issues affecting the delivery of UK aid. We publish transparent, impartial and objective reports to provide evidence and clear recommendations to support UK Government decision-making and to strengthen the accountability of the aid programme. Our reports are written to be accessible to a general readership and we use a simple 'traffic light' system to report our judgement on each programme or topic we review.

1.2 The Terms of Reference set out the rationale for this review and its context in the wider programme of ICAI reviews. This Inception Report sets out the assessment questions, methodology and work plan we will follow to address the Terms of Reference. It is intended that the methodology and work plan should be flexible enough to allow new questions and lines of inquiry to emerge over the course of the review.

2. Background and context

2.1. The Terms of Reference summarise the current context of the review in terms of the changing nature of development co-operation, different dimensions of impact and DFID's approaches and business tools for achieving impact.

3. Purpose of this review

3.1 The purpose of this review is to assess DFID's approach to defining and delivering impact for intended beneficiaries. We wish to understand whether DFID has a clear and effective line of sight to intended beneficiaries. We will assess impact from the perspective of intended beneficiaries and ask:

- how does DFID define, articulate and prioritise impacts?
- how does DFID seek to achieve these impacts, through the use of which processes and tools?
- how well does DFID deliver them?
- how sustainable and lasting are these impacts for the poorest? and
- how well does DFID learn about what is most effective in achieving impact?

3.2 Since ICAI was created in May 2011, we have published 36 reports on the UK government's aid expenditure. This report marks a point in ICAI's work at which we are interested in reflecting on and seeking to understand what works well and why, as well as what could work better and why. The review focusses on how effectively DFID's current systems, processes and tools deliver impact for intended beneficiaries. It does not aim to assess the overall impact of DFID's aid programme. Development impact is a large and complex topic. The review will build on the findings of earlier ICAI reviews and we expect it to identify areas for future ICAI work.

3.3 DFID's bilateral aid programme is delivered through a complex mix of programmes in countries with very different social, economic, environmental and political contexts. Aid is also delivered to intended beneficiaries through a range of government, non-government, private and multilateral organisations who manage the programmes.¹ The ways in which programmes are designed and implemented will depend on the specific contexts of the individual intended beneficiaries. Likewise, the design of a country portfolio should reflect an understanding of both individual and collective need as well as the underlying causes of poverty in that society. We will analyse DFID's approach to defining and delivering impact and assess how effectively its internal processes and external interactions ensure that its approach to this is effective and consistent.

¹ As noted in the Terms of Reference, we are not looking at aid that is delivered through core contributions to multilateral organizations but will include aid that is delivered via multilaterals as part of the bilateral programme.

3.4 Detailed assessment questions are set out in Section 6. In examining DFID's definitions of impact, we will assess:

- how well the definitions provide the vision that helps DFID to develop effective programmes and country strategies; and
- how the choice of programmes and approaches helps DFID to maximise wider, long-term development impact for the citizens of the countries with which it is working.

3.5 We will also assess how DFID ensures that it has a clear understanding of the needs of the poor and most vulnerable in its priority countries, especially women and girls – and how it uses this to make a substantive and lasting difference to their lives. We will assess whether DFID's knowledge is sufficiently detailed and how it knows whether it has made a difference or not.

3.6 In undertaking the review, we will examine how DFID assesses the trade-offs involved in setting its priorities. This will include consideration of:

- **short-term and long-term impacts:** maximising short-term impacts for intended beneficiaries may not give the greatest impact or value for money over the long term. Similarly, focussing on long-term impacts may lead to over-ambitious programming, with insufficient attention being paid to the intermediate actions needed to ensure future impacts for intended beneficiaries;
- **direct and indirect impacts:** addressing the needs of beneficiaries directly or doing so indirectly through capacity building and policy change;
- **who to focus on:** addressing the needs of the poorest, who may live in remote areas and be expensive to reach; or focussing on the larger number of poor people clustered around the poverty line, who could be reached more cost-effectively;
- **where to focus:** whether to focus on fragile states or more stable countries, where impacts on poverty may be easier to achieve; and
- **sustainability:** ensuring that impacts are sustainable and poor people who benefit from programmes do not move back into poverty.

4. Relationship to other reviews

4.1 As with our other reviews, we will use traffic light ratings to show how well DFID performs against ICAI's four criteria: Objectives, Delivery, Impact and Learning. The headline questions we will ask on these criteria are:

- **Objectives:** How does DFID define impact and how does this relate to the needs of intended beneficiaries?
- **Delivery:** What are the key components of aid delivery (including partners, processes and tools) that help DFID achieve impact for intended beneficiaries? Are they fit for purpose and used effectively?
- **Impact:** How does DFID's approach help it to maximise actual impact and sustainability for intended beneficiaries?
- **Learning:** How has DFID's experience of implementing its practices and business tools helped to improve its focus on impact?

4.2 The detailed questions we will use to assess how well DFID addresses each of these questions to achieve lasting impacts for the intended beneficiaries of the aid programme are set out in Section 6 below.

4.3 As part of this study, we will synthesise the findings from all of the reviews ICAI will have completed by Autumn 2014. In the Terms of Reference, we set out a brief summary of the ratings and themes emerging from the reports we had published to date. We have also published a synthesis of

findings in our 2013-14 Annual Report.² This has provided us with valuable information about good practice in delivering impact and it forms a key part of the evidence base for this review. We will draw out further detail and other lessons learned through discussion with previous review team leaders. We will also liaise closely with concurrent ICAI reviews, especially DFID's Scale-Up in Fragile States³ and DFID's Approach to Anti-Corruption and its Impact on the Poor.

4.4 The first draft of our synthesis review of previous ICAI reports for this study highlights several issues that we have identified as fundamental to delivering sustainable impacts for the intended beneficiaries of the aid programme. These include:

- beneficiary engagement in the design, delivery and monitoring of programme results, where appropriate;
- focussing on issues of equity, particularly for women and girls; and
- developing a clear exit strategy, with appropriate levels of beneficiary ownership.

4.5 These building blocks of good practice – and others – are themes that we will seek to follow up and develop as part of the review. We will also assess the extent to which such good practices can be transferred to other contexts and countries.

4.6 This review is taking place at a time of rising global interest in the issue of development impact. Over the last 5-6 years, the international community has placed increasing emphasis on impact evaluation and results-based management. Considerable experience has been built up by donors and organisations such as the International Initiative for Impact Evaluation (3ie). We will draw on this experience of articulating, defining and prioritising impact and the ways in which they translate this into results on the ground. We will take into account DFID's recent work to improve its business tools and processes, to analyse whether and how these changes will ensure a renewed focus on impact for intended beneficiaries. This will include feeding in the findings from our Rapid Review of DFID's Smart Rules,⁴ due to be finished by the end of 2014. We will also seek out donor organisations that have been conducting reviews of internal processes relating to impact and draw from their learning where possible.

5. Methodology

What is distinctive about our approach?

5.1 The foundation for this review is the analysis of lessons ICAI has already learned about how DFID delivers impact to intended beneficiaries, referred to in the previous section. We will build on this to understand how DFID conceives of impact and how well DFID, as an organisation, ensures that the aid programme is focussed on delivering real impacts to people living in poverty.

5.2 We will ask DFID how it defines impact. We do not expect to find a single definition, across the organisation, as the types of impacts that are sought will depend on who the intended beneficiaries are, where they live and the individual, community and societal problems DFID seeks to address. DFID aims to deliver value for money by 'maximising the impact of each pound spent to improve poor people's lives'. This requires DFID to be clear about what outputs and outcomes can realistically be expected from its interventions.⁵ We will analyse how this approach has influenced the way in which DFID articulates, defines and prioritises different types of impact.

5.3 We are concerned with whether and how – given the complexity of different goals, impacts and country contexts – DFID maintains an effective and joined-up approach to delivering impact. We will look at how DFID's Results Framework and its other performance management approaches influence how the organisation plans to achieve impact and the programme choices it makes. We will follow this

² ICAI Annual Report 2013-14, ICAI, June 2014, <http://icai.independent.gov.uk/wp-content/uploads/2011/11/ICAI-Annual-Report-13-14-FINAL.pdf>.

³ DFID's Scale-Up in fragile states, Terms of Reference, ICAI, 2014, <http://icai.independent.gov.uk/wp-content/uploads/2014/04/Fragile-States-ToRs-Final.pdf>.

⁴ DFID's Smart Rules: Better Programme Delivery, DFID, July 2014, <https://www.gov.uk/government/publications/dfid-smart-rules-better-programme-delivery>.

⁵ DFID's Approach to Value for Money (VfM), DFID, 2011.

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/67479/DFID-approach-value-money.pdf.

through to assess how DFID seeks to measure and report on impacts at programme, country and corporate levels.

5.4 We will focus on the sustainability of the impacts DFID seeks to achieve. Aid should deliver lasting benefits for individuals and we will ask how DFID seeks to ensure that this is done. We will also look at how DFID aims to achieve impact directly for intended beneficiaries and indirectly by building capacity and strengthening the enabling environment in partner countries.

We will review three DFID country programmes to assess the relevance of DFID's approaches to the causes of poverty in each country. We will select countries where outcomes are delivered through a mix of interventions, approaches, funding modalities and organisations. This will enable us to examine in detail how DFID's approach to impact helps it to understand who the poor are, where they live and why they are poor. We will look at the ways in which priorities are set by DFID country programmes and how considerations of impact inform these choices. We will then assess how DFID sets objectives, decides approaches, develops business cases, monitors and evaluates its programmes, to ensure that the needs of the poor are being met and the causes of their poverty are being addressed. This will include reviewing the effectiveness of DFID's new Country Poverty Reduction Diagnostic process.

5.5 In each country, we will assess programmes which DFID considers to have demonstrated sustainable impact and those which have not. We will use these programmes to investigate how effectively DFID has been able to apply good practices identified in previous reviews and whether there are other good practices from which we can draw lessons.

5.6 ICAI always considers impact from the standpoint of the intended beneficiaries of DFID's aid programme: those who live in poverty. In doing so, it is vital to look at this from different perspectives – from the intended beneficiaries through to DFID's overall plans and strategies and from the plans and strategies out to intended beneficiaries. In this review, we will assess the extent to which DFID addresses the needs of intended beneficiaries and involves them in planning, implementing, monitoring and evaluating its programmes. We will focus, in particular, on how DFID achieves sustainable impacts for the most vulnerable, especially women and girls.

5.7 We regard the views of intended beneficiaries – their experience and their perspectives of needs and solutions – to be a vital piece of the evidence jigsaw. Poor people are experts in their own lives and programmes must be designed and implemented in such a way as to address their needs. We will – as usual – obtain and weigh up this evidence with all other sources of evidence. These will include interviews with government officials at all levels, other stakeholders who are involved in the delivery of aid, civil society representatives, traditional authorities and the intended beneficiaries. We will triangulate all the evidence obtained to gain a comprehensive picture of how effective DFID is in achieving impact for intended beneficiaries, particularly the most vulnerable including women and girls.

5.8 To underpin our analyses, we will assess DFID's business tools and processes to see how they help to guide and improve the impact of its work. We will look at how corporate, political, country office and personal incentives reinforce, or otherwise, a focus on sustainable outcomes that benefit the poor. Building on our review on How DFID Learns,⁶ we will assess how well DFID learns about how to deliver sustainable impact and how well it shares that learning across the organisation.

What will we do?

5.9 Our approach will entail six main components:

1. synthesising the findings of previous ICAI reviews;
2. framing of this review drawing on the synthesis study, a literature review and interviews with experts;
3. reviewing DFID's understanding of impact at the corporate level;

⁶ *How DFID Learns*, ICAI, April 2014, <http://icai.independent.gov.uk/wp-content/uploads/2014/04/How-DFID-Learns-FINAL.pdf>.

4. assessing the ways that considerations of impact inform the design of country programmes and delivery of impact at the country and programme levels;
5. assessing the effectiveness of the business tools that underpin and support the approaches to both strategy and delivery; and
6. assessing how DFID learns about impact.

5.10 We will focus on the linkages between the different levels and on how decisions DFID makes at each level shape the delivery of impact. The elements of our approach are set out in Figure 1 on page 7.

1) Synthesis of ICAI reviews

5.11 We will review and synthesise the findings of previous ICAI reviews. We will use this body of evidence in our analysis and deepen our understanding of some of the key findings of earlier studies in our review. The synthesis will provide valuable evidence, which will inform and be used in each of the other components of this review.

2) Framing the review

5.12 In framing the review, we will build on the synthesis study and undertake two further activities. These are as follows:

2a) **Literature review:** We will conduct a literature review to gather background information on the changing nature of DFID's aid programme and the current global debate around impacts. We will use the literature review to help us to assess the relevance of DFID's definitions of impact and the extent to which its business processes and tools will enable it to deliver real and lasting impacts to the poor in a rapidly-changing world; and

2b) **External partners' perspectives:** We will interview DFID's partners and other experts. We will appoint an expert panel to advise on the approach to the review and our emerging analyses. We will also hold workshops with a range of organisations that have a stake in the aid programme, including contractors, non-governmental organisations (NGOs) and third party experts and small consultancy companies. We will use these to inquire about the changing nature of development assistance and their views on impact. We will also seek their views on the key approaches to delivering impact and how these may change in future. We will invite participants in the workshops to submit information in writing. A general invitation to comment will be placed on the ICAI website.

3) DFID's corporate understanding of impact

5.13 We will analyse the range of definitions of impact used across DFID and the different types of beneficiaries DFID intends to assist. We will examine the reasons underlying the range of responses and use this to drive our analysis in other components of the review. We will conduct the following work:

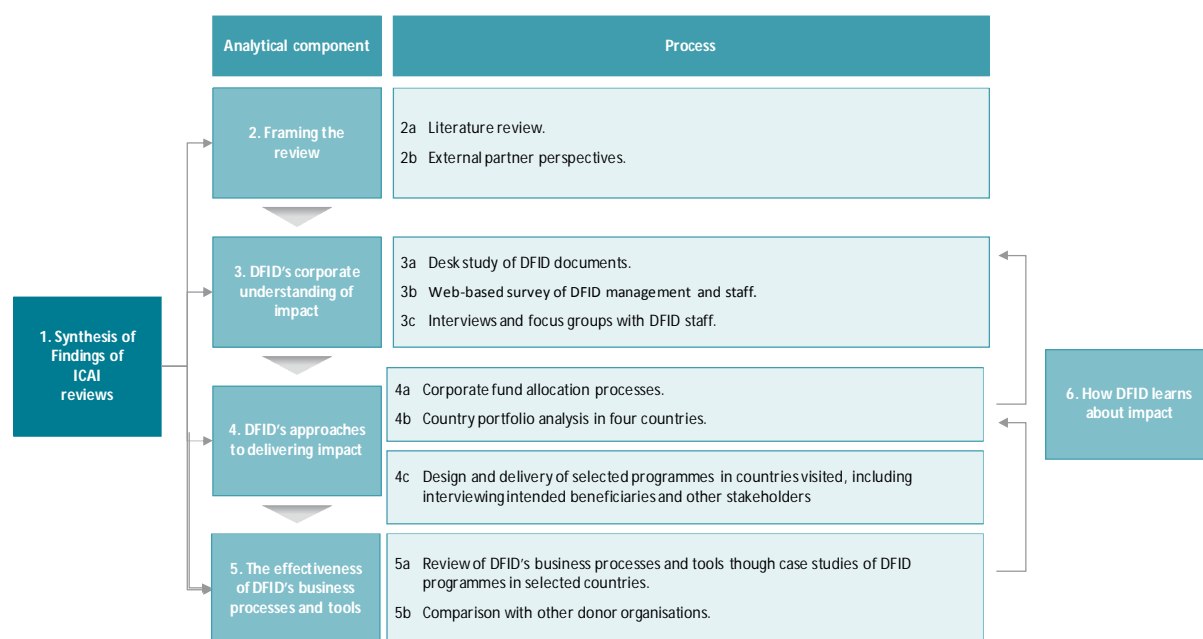
3a) **A desk study** of DFID documentation to assess DFID's stated understandings of impact, how they are expressed and how they have changed over time;

3b) **A web-based survey** of DFID management and staff to understand their views on impact and the key factors contributing to positive and negative impacts; and

3c) **Interviews and focus group meetings** with a range of DFID management and staff to understand how impact is expressed at a corporate level (for example, through the Value for Money Agenda and the Corporate Results Framework) and to explore the results of the electronic survey.

5.14 Based on our findings from the survey, interviews and focus group discussions, we will examine the ways in which DFID encourages learning about impact and promotes a joined up approach across the organisation.

Figure 1: Components of the review



4) DFID's approaches to delivering impact

5.15 We will assess the range of approaches used to deliver impact through:

4a) Corporate allocation of funds: We will review how impact drives DFID's allocation of funds at the corporate level. We will focus on the Value for Money agenda, DFID's Results Framework, DFID's new Smart Rules and resource allocation mechanisms (including the new Country Poverty Reduction Diagnostic and earlier approaches). We will assess how considerations of impact inform these decisions and how effectively DFID balances bottom-up and top-down approaches. We will also review how impact informs decisions on centrally funded and country office programmes.

4b) Country portfolio analysis: We will review the country portfolios for three of DFID's priority countries and assess how considerations of impact informed DFID's decisions and choices. We will explore their relevance to the needs of intended beneficiaries, the extent to which they are based on sound understanding of the causes of poverty. We will also review DFID's overarching theory of change and assess whether it is likely to lead to sustainable impacts for poor people, especially women and children. We will assess in detail the choices DFID country offices make, as they plan, deliver and monitor their portfolio and the rationale and evidence behind these choices. We will assess how the choice of delivery partners and contracting arrangements, including payment by results, influences the achievement of impact. We will assess how DFID manages trade-offs between short and long-term impacts and projects that aim to achieve direct and indirect impacts. We will analyse how DFID engages with state and society including government officials, representatives of civil society, interest groups and intended beneficiaries. We will also analyse the country office's engagement with other donors and DFID corporate management to understand how these affect decisions. We will look at how DFID country and programme teams evaluate and learn from the evidence on impact from their interventions. We will also assess how well DFID's centrally funded initiatives and DFID's country programmes support and complement each other.

4c) Review of selected programmes: In each of the countries visited, we will select two or three programmes to assess whether there is a clear line of sight to intended beneficiaries from objectives and plans to implementation and impact. We will interview DFID staff responsible for the design and delivery of the programmes and DFID's partner organisations. We will carry out field visits and interviews and hold focus groups with intended beneficiaries. We will focus on how well programmes address the needs of intended beneficiaries and how involved intended beneficiaries have been in the planning and implementation of the programmes. We will

triangulate our findings from discussions with intended beneficiaries by interviewing other key stakeholders in the field areas. As was noted in paragraph 5.7, the programme reviews will focus on impacts on vulnerable people, especially women and girls.

In each country, we will select at least one on-going programme in order to assess the effectiveness of DFID's current processes and tools. We will also focus on at least one completed programme, which has been independently evaluated, to assess the extent to which programme impacts have been sustained. We will talk to intended beneficiaries of each programme to understand what the programme has delivered in the way of lasting benefits – particularly benefits for women and children – and why. We will also talk to a sample of people who can represent the collective voice. This may include traditional authorities, community groups or women's groups. We will ask them whether the chosen DFID approach was appropriate given the causes of poverty in that area.

Core team members will lead the field research. They will work with experienced local field researchers. Both qualitative and some quantitative data will be collected. Because of the focus on impacts on women and girls, most of the translators employed will be women.

5) The effectiveness of DFID's business processes and tools in supporting its approaches to deliver impact

5.16 We will examine how DFID's business tools and processes help it to improve the impact of its work. We will focus on the programme cycle described in the Terms of Reference and the range of programme delivery reforms DFID is currently implementing. We will:

5a) Review DFID's business tools and processes in country: In the countries visited, we will review business cases, theories of change, logical frameworks, annual reviews and evaluations for the selected programmes mentioned in the previous section. We will review documentation on the design and rationale of the different tools and processes and any ongoing changes to them. We will interview DFID staff to assess how effective current processes and tools are in focussing on impact. As the use of DFID's new Smart Rules has only recently started, we will assess the extent to which these changes are likely to improve DFID's ability to achieve impact for the poor, using the findings from our Rapid Review; and

5b) Comparison with other donor organisations: We will compare DFID's tools and processes with those used by a small number of other donor organisations.

6) How DFID learns about impact

5.17 We will build on the recently published Learning Review to assess how DFID learns about how to deliver sustainable impact. We will look in particular at how DFID seeks to improve its knowledge about the causes of poverty and the most effective approaches to delivering sustainable benefits to intended beneficiaries.

Selection of country case studies

5.18 This is an ambitious review and it will not be possible to conduct detailed analyses of all 28 country portfolios. We will thus select three DFID country portfolios for detailed analysis, against the following criteria:

- DFID's portfolio in each of the countries should cover a number of sectors so that we can examine how definitions of impact vary by sector and how DFID considers impact in making choices;
- DFID's portfolio in each country is implemented through a mix of approaches, deliver mechanisms and instruments, so that we can assess whether the choice of approaches DFID uses to achieve impact at the programme level is the most appropriate given the country's poverty context;
- DFID has completed impact evaluations of at least one of its key programmes in each country. This will make it possible for us to assess the sustainability of impacts for intended beneficiaries through field research; and

- the three countries, taken together, are reasonably representative of the mix of DFID's priority countries globally, offering interesting contrasts with each other.

5.19 Based on these criteria, we have selected Ethiopia, Rwanda and Pakistan. Ethiopia and Pakistan have large and complex DFID programmes, Rwanda has a medium-sized DFID programme, with a strong focus on education (see Figure 2). All three countries have completed impact evaluations, which we can follow up on during the review. In each country, we assess the overall DFID portfolio, while focussing in detail on one or two sectors.

5.20 We will also draw on the findings of other ICAI reviews, including ICAI's review on DFID's Scale-up in Fragile States,⁷ to expand our understanding of impact across DFID's portfolio.

Figure 2: Overview of selected countries and DFID country programmes

	DFID expenditure 2013-14 £ million	Complexity of programme	Proposed focus sectors	Evaluations to follow-up in field research
Ethiopia	284	6 main ⁸ sectors including humanitarian	<u>Social Protection</u> <ul style="list-style-type: none"> • Productive Safety Nets Programme - PSNP II <u>Basic Services</u> Promotion of Basic Services Programme	PSNP Phase 1 (2010) and ongoing evaluation of PSNP II
Rwanda	86	3 main sectors	<u>Education</u> <ul style="list-style-type: none"> • Rwanda Education Sector Programme • Girls Education Challenge Fund <u>Governance</u> <ul style="list-style-type: none"> • Programme to be confirmed 	Results-based performance management in education (2013)
Pakistan	253	5 main sectors, including humanitarian	<u>Poverty, hunger and vulnerability</u> Programme to be confirmed <u>Humanitarian/resilience</u> Programme to be confirmed.	To be confirmed

⁷ DFID's Scale-up in Fragile States Terms of Reference, ICAI, <http://icai.independent.gov.uk/wp-content/uploads/2014/04/Fragile-States-ToRs-Final.pdf>.

⁸ A sector with expenditure of £10 million or more in 2013-14.

6. Assessment questions

6.1 In this section, we present the assessment questions, which will guide the study. We have made some changes from those included in the terms of reference to focus more clearly on the key issues. The revised set of questions is as follows:

6.2 **Objectives:** how does DFID define impact and how does this relate to the needs of intended beneficiaries?

6.2.1 How has DFID defined impact for different groups of poor people (including the most marginalised) and across its different strategies and programmes?

6.2.2 How are the definitions used rooted in the experience and needs of intended beneficiaries? Do the definitions focus on impact over the right scales and timeframes?

6.2.3 Do the definitions of impact vary with gender, context (for example, fragile states), sector (for example health, education, livelihoods and governance) or delivery mechanism (for example, public sector, private sector, civil society)?

6.2.4 How well do the definitions of impact provide the vision that helps DFID to develop effective programmes?

6.2.5 How does DFID take impact into account when allocating resources under the aid programme among countries and sectors? Is the balance between top-down and bottom-up programming appropriate?

6.2.6 How do DFID country programmes set their priorities and how is impact considered in the process? How are the needs and views of intended beneficiaries taken into account effectively?

6.3 **Delivery:** What are the key components of aid delivery (including partners, process and tools) that help DFID achieve impact for intended beneficiaries? Are they fit for purpose and used effectively?

6.3.1 How well does DFID integrate impact into the processes and tools it uses for planning, designing and managing delivery of its programmes and projects? Are these processes and tools fit for purpose and used effectively? Do they support or distort effective behaviours? What are the implications for the ways DFID delivers impact?

6.3.2 Are intended beneficiaries involved effectively and appropriately throughout the development, implementation and evaluation of projects and programmes? How does this happen and what difference does it make?

6.3.3 How effectively do DFID's processes and tools help it to assess the actual and potential tangible and intangible impacts and address negative as well as positive impacts (for example, market distortions)?

6.3.4 How does the corporate results agenda help to maximise the impact of the UK aid programme? What are its strengths and weaknesses?

6.4 **Impact:** How does DFID's approach help it to maximise actual impact and sustainability for intended beneficiaries?

6.4.1 What are the key strengths and weaknesses of DFID's approach to delivering impact emerging from the synthesis study and this review?

6.4.2 How effectively is DFID able to assess the impact of its aid programme?

6.4.3 How effectively does DFID manage trade-offs among different types of impact? For example, how does it balance short-term and long-term impacts and direct and indirect ways of achieving impact? How effectively does DFID balance the need for demonstrable impact with the need to encourage risk-taking and innovation?

6.4.4 How does DFID seek to ensure the long-term sustainability of impacts for intended beneficiaries and how effective is it in this?

6.5 **Learning:** how has DFID's experience of implementing its practices and tools helped to improve its focus on impact?

6.5.1 What has DFID learnt from its experiences of implementing its current process and tools? How has it applied these experiences to its forward thinking?

6.5.2 How effective are DFID's monitoring systems in helping it to assess its progress towards impact? How well does DFID use monitoring data to increase the effectiveness of its programmes?

6.5.3 How effective are DFID's evaluation systems in helping it assess its progress towards impact? How well does DFID use this information in programme design and redesign?

6.5.4 To what extent is DFID learning from and contributing to the global debate around aid effectiveness and impact?

7. Roles and responsibilities

7.1 The Team Leader will be the primary point of contact with DFID. KPMG will provide oversight of this review under the overall leadership of the ICAI Project Director. Supplementary analysis and peer review will be provided by KPMG staff. An expert advisory panel will provide advice on our methodology and analytical framework, comment on emerging findings and review any interim analyses done by the team.

7.2 It is proposed that this review will be undertaken by a core team of six, as well as a number of other non-core team members to assist with various aspects of the review.

7.3 Two members of the Core Team (Team Members 4 and 5) will work with the team in the UK to ensure that the review builds on the findings of other ICAI reviews. Team Member 5 will also take part in the visit to Pakistan.

Name	Role
Team Leader	Team Leader
Team Member 1	Core Team Member
Team Member 2	Core Team Member
Team Member 3	Core Team Member
Team Member 4	Core Team Member / Expert Panel Member
Team Member 5	Core Team Member/Expert Panel Member
Team Member 6	Peer reviewer/Expert Panel Member
Team Member 7	Expert Panel Member
Team Member 8	Expert Panel Member
Team Member 9	TBC
Team Member 10	Preparatory Work
Team Member 11	Synthesis study

Core Team

Team Leader (Independent)

He is an international expert with over 30 years' experience in research and consultancy on a broad range of food and nutrition security, social protection, education, health and water and sanitation programmes. He led the design of a number of DFID's and the World Bank's flagship rural poverty programmes and has also worked on more than a dozen impact evaluations of programmes in Asia and Africa. He has a good knowledge of programme cycle management issues and organisational change. He is an experienced Team Leader. He was an expert on ICAI's review of DFID's Livelihoods Work in Western Odisha⁹ and led on two other ICAI reviews, DFID's Support to Agricultural Research¹⁰ and most recently, DFID's Contribution to Improving Nutrition.¹¹

Team Member 1 (Independent)

He is a social scientist and specialist in monitoring and evaluation. He has five years' experience and has worked in six eastern and southern African countries. He has a thorough understanding of a wide range of evaluation techniques, including experimental, quasi-experimental and theory-based approaches. He has worked on the evaluation of private sector development, governance and food security projects. He was monitoring and evaluation specialist on the ICAI review of DFID's Contribution to Improving Nutrition in 2014.

⁹ DFID's Livelihoods Work in Western Odisha, ICAI, February 2013, <http://icai.independent.gov.uk/wp-content/uploads/2013/12/ICAI-Report-DFIDs-Livelihoods-Work-in-Western-Odisha.pdf>.

¹⁰ DFID's Support to Agricultural Research, ICAI, October 2013, <http://icai.independent.gov.uk/wp-content/uploads/2013/12/ICAI-Agricultural-Research-report-FINAL.pdf>.

¹¹ DFID's Contribution to Improving Nutrition, ICAI, July 2014, <http://icai.independent.gov.uk/wp-content/uploads/2014/07/ICAI-REPORT-DFIDs-Contribution-to-Improving-Nutrition.pdf>.

Team Member 2 (Independent)

He has over 20 years of development consultancy experience in India and internationally. He founded the Catalyst Group, which consists of four leading organisations, employing over 200 employees, across four offices in India. He has significant social development and impact assessment experience. He has led teams which have measured impacts from the household to policy levels. He has led a number of evaluations including projects, programmes, policies and reviews of large Government departments. He has worked with a range of donors, including DFID. He is skilled in a variety of methodologies and approaches – participatory assessments, expert reviews, research based evaluations/impact assessment (experimental and non-experimental), concurrent tracking of progress and impacts. Since 2012, he has played a leading role in the Community of Evaluators (COE), a platform that networks evaluation experts in the South Asian region.

Team Member 3 (Independent)

She is a livelihoods development expert with over 20 years of experience working in Africa and the SADC region in particular. She has extensive experience in research, monitoring and evaluation of development projects, design of livelihoods projects, strategic planning and programme management. She has worked for governments, donors and development organisations working on agricultural development; food and nutrition security; climate change vulnerability and adaptation, social protection; natural resources management; HIV and AIDS, gender and children's rights. She has participated in the review of large national and regional livelihoods programmes funded by major donors such as EU, DFID and the Ford Foundation.

Team Member 4 (KPMG)

He is a Director and the contractor team leader for the ICAI programme overall and so has had a close involvement in all of the ICAI reports to date. He was the team leader for the review of DFID's Oversight of the EU's Aid to Low-Income Countries and team member of the review of DFID's Support to the Health Sector in Zimbabwe. He has wide-ranging experience of the public, private and civil society sectors in the UK and internationally, particularly in Africa. He is also a value for money expert. He will ensure that the team uses and builds on the body of ICAI reviews undertaken so far and will lead on the work on DFID's Results Framework and how this contributes to the approach to impact overall.

Team Member 5 (Agulhas)

With over 15 years of experience in development consulting, including policy advice, research and analysis, programme design and evaluation, he has worked for a variety of clients on diverse issues including governance and civil society programming and aid effectiveness. He is an authority in international law and human rights and has written widely on post-conflict reconstruction, state-building and the restitution of property. He has led on other ICAI reports including ICAI's reviews on DFID's Water, Sanitation and Hygiene Programming in Sudan, Foreign and Commonwealth Office's and the British Council's use of aid in response to the Arab Spring and DFID's Approach to Empowerment and Accountability.

Team Member 6 (University of Manchester)

He has more than 10 years' experience teaching undergraduate and MA & MSc students development microeconomics (theory and applied) and supervising and teaching PhD students quantitative and qualitative research methods in British (University of East Anglia) and Indian higher education institutions. He has been in charge of extensive primary data collection exercises with a development economics angle in India (Western Uttar Pradesh, Andhra Pradesh, Coastal and Central Karnataka, Delhi, Mumbai), in Nepal and in East Africa. These included household surveys, tracking of in-depth interviews documenting the worklife histories of (young and other) migrants, interviews with local political leaders and behavioural experiments. He is the editor of the Journal of South Asian Development. His academic publication record features a wide range of poverty and development-related themes.

He will provide challenge for the overall methodology and will serve as an expert panel member.

Team Member 7

He specialises in policy analysis and evaluation research. He was previously Director of Evaluation and Performance Audit the not-for-profit research and public policy institute, RAND Europe. He is currently Head of Innovation, Impact and Evidence at Save the Children.

He will serve as an expert panel member for this review.

Team Member 8 (ODI)

He is a Senior Research Associate at ODI's Centre for Aid and Public Expenditure. He specialises in the overall architecture of development finance. He worked for the Organization for Economic Corporation and Development (OECD) from 2009-11 as an advisor to its Development Assistance Committee. He previously headed the Human Development Group for DFID and spent 26 years working with the World Bank and other development agencies.

He will serve as an expert panel member for this review.

Team Member 10 (ODI)

She has over 20 years' experience of research and consultancy in the UK and internationally. With a background in agricultural economics and science policy, she has been extensively involved in processes to improve evidence-based policymaking in government departments, research, research management and organisational change. She has worked at senior levels in government departments in the UK to implement change with a particular focus on the business tools and processes to support better policymaking, including business planning, policy cycle management, team structures and compositions and strategic approaches to using evidence. She jointly led the design and implementation of a large organisational change process in a UK Government department, conducted process evaluations and has designed and run sector budget processes in West Africa. She has worked in Malawi, Indonesia, Vanuatu, Nigeria, Honduras, Costa Rica and South Africa.

Team Member 11 (Agulhas Applied Knowledge)

She is an environmental advisor with specific expertise in climate change. She has worked on incorporating ways to tackle climate change into a major international development organisation, through its programmes, advocacy work and operations. She has also led on establishing innovations in sustainability, including with corporate partnerships. She also has a strong interest in social enterprise models of sustainability and helped set up a community interest company in Cornwall to support community led renewable energy projects. Her strengths are in analysis, policy advice, communication, community engagement and collaborative innovation. Prior to becoming an environmental expert, she worked in the music industry and trained in film making. She will contribute to the Synthesis Review of previous ICAI reports.

8. Management and reporting

8.1 We will produce a first draft report for review by the ICAI Secretariat and Commissioners in early March 2015, with time for subsequent revision and review prior to completion and sign off by May 2015.

9. Expected outputs and time frame

9.1 The main deliverables will be:

Phase	Timetable
Planning Finalising methodology Drafting Inception Report	July 2014 August 2014
Phase 1: Field Work UK field work	September-October 2014
Country 1 and Country 2 Field Work	November 2014 - January 2015
Phase 2: Analysis and write-up Roundtable with Commissioners First draft report Report quality assurance and review by Secretariat and Commissioners Report to DFID for fact checking Final report sign-off	w/c 26 January 2015 w/c 16 February 2015 February - April 2015 w/c 13 April 2015 w/c 4 May 2015

10. Risks and mitigation

10.1 The following sets out the key risks and mitigating actions for this review.

Risk	Level of Risk	Specific Issues	Mitigation
Representational and analytical risks			
The definition of 'impact' remains cloudy making it difficult to assess DFID's performance	Medium	There is no single definition of 'impact' in the literature; different definitions serve different purposes	We will assess the different ways DFID defines impact drawing on our findings in 36 other ICAI reports, which cover a wide range of DFID programmes. In the country studies we will focus on allocation, priorities, tools and processes and on providing a further in depth analysis of beneficiary experience over and above the reports to date.
The review becomes overly technical or academic and does not communicate well to the British public	Medium	The detail of DFID's internal processes may become very complicated	Every effort will be made to ensure the language of the report is accessible to the regular reader. Early drafts will be discussed with ICAI for both content and language.

The four countries chosen do not adequately represent the totality of DFID programmes	Medium	Lack of coverage of the full range of types of beneficiary and approach	<p>The chosen countries are intended to be indicative rather than representative and will be selected because they cover a range of types of intervention and types of beneficiary.</p> <p>The synthesis review will provide evidence on the use of business tools in a wider range of programmes. The focus is not on aggregating impact across DFID but on how the issue of impact is filtered through DFID's approaches, processes and business tools. These are standard throughout the organisation.</p>
Difficulty in constructing generalisable conclusions and recommendations from diverse contexts	Medium	The shape of any DFID programme is (largely) formed by country and programme context	This risk is inherent, given the focus of DFID's work. We will pay particular attention to how DFID addresses this issue and brings coherence to the narrative around how impact is delivered.
Risks to data collection			
Inability to access key information	Low	<p>Unable to see all relevant DFID files</p> <p>Unable to obtain information from DFID country offices</p> <p>Unable to interview key global actors</p> <p>Access to intended beneficiaries proves difficult</p>	<p>Ensure clear authorisation is given at start up.</p> <p>Ensure that country offices are informed of our visit well in advance and of our detailed information requirements at least two weeks before we visit. Liaise with them directly to ensure that they fully understand what is required prior to our visit.</p> <p>Allow sufficient time to work with partners, during our visits, to clarify any further information requests.</p> <p>Allow sufficient time to develop clear terms of reference for the visit programme and to agree these with the administering organisation.</p>
Insufficient robust evaluation evidence on impact	Medium	<p>DFID has increased the number of impact evaluations since 2010 but few have been completed yet</p> <p>Earlier, evaluations were commissioned by DFID country offices</p>	<p>We will review the available evidence with DFID from impact evaluations.</p> <p>We will also contact DFID evaluation advisers in country offices to obtain details of all completed evaluations commissioned by country offices.</p>

11. How this ICAI review will make a difference

11.1 The findings of this review will help DFID to improve by:

- helping to sharpen the way DFID achieves impact – what it means and how it uses the concept of impact to achieve positive change for its intended beneficiaries;
- providing clear examples of good practices that have helped to maximise the impact for intended beneficiaries; and
- identifying specific changes that could be made to DFID's business processes to help it to maximise impact.

11.2 We also want to improve public understanding by setting out in our report what we consider real impact looks like and our assessment of how effective DFID's approach to achieving this is.