

Towards Better Governance

Monitoring and Evaluation of Governance Programmes

Guidance Note¹

October 2011

1. Overview

This guidance note is an accompaniment to the Governance Programming Framework (GPF), providing guidance on monitoring and evaluation of governance programming. It draws on a literature review conducted on promising practices and debates in monitoring and evaluation (M&E)². It also builds on the domains and dimensions of change outlined in the GPF. The guidance note has two sections. Section A outlines some of the key debates in M&E of governance programmes and provides guidance on approaches and indicators. Section B is an indicator guide, detailing sets of indicators for each of the domains and dimensions of the GPF³. This indicator guide provides generic indicators that would need to be contextualised.

2. How to use this guidance note

Monitoring and evaluation (M&E) is a key stage in the design process. It is inextricably linked to the objectives and theory of change guiding programmes. Indicators are simply that, indications of a change happening. They should be identified following the development of a programmatic or project theory of change. The GPF can be used to identify the governance levers of change that are important in a given context and programme. Indicators are then needed to identify and understand how and why a change has happened. The indicator guide in Section B can be used to identify indicators to measure these “levers of change”. They are generic indicators so would need to be contextualised and adapted to the specific country and programme context. A set of indicators is presented for each change as this emphasises the need for multiple indicators to really tell the story of change. Associated methodologies are also offered for each set of indicators. Methods and approaches are diverse and reflect different values and beliefs about what constitutes evidence. This guidance note posits that a range of approaches and perspectives are needed to start to build a composite picture of change. Debates and guidance on these broad approaches are outlined in Section A.

Section A: Debates and guidance on approaches to Governance M&E

3. Governance M&E: debates and key themes

CARE’s ‘programme approach’ stresses the importance of creating a learning culture to understand if our work is having the intended impacts. Often, project M&E is geared towards

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² A review of the literature on M&E debates, governance assessment and indicators was carried out by Cathy Shutt in 2010. This guidance note draws heavily on that literature review and acknowledgements are given to Cathy Shutt for this in-depth review. Further information can be found in Shutt, C.(2011) “Monitoring, Evaluating and Assessing the Impact of Governance Programmes”, which can be found in the M&E section on CARE’s governance wiki (<http://governance.care2share.wikispaces.net/Home>)

³ These have been drawn from discussions during the GPF validation workshop in April 2011, with reference to international governance indices, and in consultation with a wider group of CARE staff. They are not a final set of indicators for the organisation to use but instead a live document that will be enhanced as we learn about how they work in varying contexts.

reporting to donors. However the shift to a programme approach is enabling greater synergy between M&E and learning. M&E therefore needs to be the system through which CARE is able to test theories of change and improve programmes.

A review of literature on M&E debates, governance assessment and indicators shows a general picture emerging that M&E of various aspects of governance work has been somewhat weak (Shutt, 2011). There now exists, however, a plethora of international governance indicators that have been developed for a wide range of purposes, exploring various dimensions of change. Holland and Thirkell's (2009) *Measuring Change in Voice and Accountability Work* and UNDP's *Sources for Democratic Governance Indicators* are two particularly useful publications that summarise the focus of and the methods used to measure various indicators. The meta level indicators discussed in these publications are produced in very different ways – some rely on key informants, others large scale surveys that use random sampling techniques to explore citizens' subjective perceptions of different aspects of governance, for example, the Afro, Latin and Asia Barometers, while others include what are commonly thought of as “objective” indicators.

3.1 Approaches to Governance Impact Assessment

There is increasing donor demand to demonstrate results and the recent trend towards value for money (VFM). However the sector has progressively been recognising that programmes take place in complex systems. Therefore our approaches to M&E and impact assessment need to balance these two competing realities. This has yielded innovations in approaches, following increasing recognition that more traditional forms of assessment are inadequate. Participatory approaches to M&E are increasingly surfacing as exciting ways to measure impacts that are perceived to be important by beneficiaries and also as a way to produce numbers to quantify changes that are happening.

Approaches to M&E therefore reflect the values and beliefs about what constitutes good evidence of change, in particular whether we can measure “truth” or value-free knowledge, and more fundamental concerns about whether such an “objective reality” really exists. This fundamental difference in values is reflected in the two counter notions of positivist traditions that claim to demonstrate objective truths, and inductive approaches that build upwards from the realities (multiple) that are found on the ground.

Random Control Trials (RCTs) is an experimental approach that has gained in popularity in recent years. It seeks to attribute impact using indicators to compare changes in a group that is randomly assigned to an intervention and a ‘counterfactual’ – a group that is not receiving the intervention. This has been challenged on ethical grounds. But also Ravallion (2009), a researcher in the World Bank, sees evaluation as a process to produce knowledge, argues that RCTs provide little information about how interventions impact different groups. He also notes that they overlook the spillover effects the project intervention might have on this impact group.

Realistic evaluations tend to proceed from assumptions that change is complex and emergent and they are often less committed to testing an *a priori* theory of change to establish if an approach has worked (as with **theory based approaches**). Their evaluations may be guided by broad research questions that seek to first identify changes and then design method to better understand mechanisms – how and why change happened.

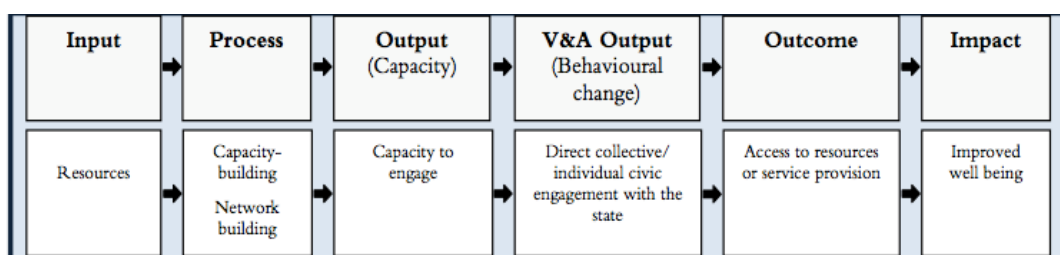
Another approach is that of **developmental** or ‘**real time**’ **evaluation**. This draws together elements of theory of change and realistic evaluation, but also adopts participatory evaluation principles that seek to empower those involved, and then applying a complexity lens to distinguishing different types of change (see Shutt, 2011 for further explanation).

3.2 Constructing indicators: key themes and guidance

There are some important themes that are relevant to constructing our indicators and developing M&E systems, which allow us to be learning oriented, test our theories of change, and also report to donors. These themes include the results chain and attribution, qualitative and quantitative indicators, subjective and objective indicators, and participatory approaches to M&E. Each of these themes will be discussed and then guidance provided on what constitutes a good indicator of governance.

3.2.1 Debates about results chain and attribution

The review of literature and available indicator sets shows that whether a particular change and indicator will be considered evidence of an output, outcome or impact level change is likely to be contingent on the particular organisations and individuals involved in designing programmes and M&E systems (Shutt, 2011). Debates about the validity of some international governance indicators raise questions about how the outputs, outcomes and impacts of governance programmes should be conceived as well as measured (ibid). The voice and accountability results based chain described by Holland and Thirkell (2009) outlines this issue clearly.



It assumes that impact is expressed in terms of developmental changes in people's lives, and relegates behavioural changes related to voice and accountability to outputs. However Gaventa and Barrett (2010) argue that it is a mistake to treat changes in voice and empowerment as merely instrumental to achieving MDG type outcomes, as the chain above does.

There is an accountability and attribution issue within this discussion. The causal chain above presupposes that voice and accountability will lead to poverty alleviation and MDGs. However change unfolds in more complex ways than this, and while the GPF argues that these domains are essential for achieving sustainable and equitable development, this is of course part of a wider integrated programme. Many other factors are also important.

It is for this reason that the indicator guide presented in Section B does not seek to categorise indicators in terms of output, outcome or impact level changes. Many of these generic indicators sit obviously at one of these levels in traditional results chain based approach. However some could sit across levels depending on how change is conceived. The programme approach seeks to move CARE beyond a results chain approach and to conceptualise change and our contribution to it. Hence the indicators identified depend on the theory of change development and hence the levers of change that are identified as important, where they sit in the results chain is therefore dependent on the TOC that is developed.

3.2.2 Debates about qualitative and quantitative indicators

This has been a long-standing debate in M&E circles and is particularly crucial for governance programmes where it is the qualitative nature of change that is important. It is better to think about the different elements of quantitative and qualitative indicators as being along a continuum rather than essentially distinct (Shutt, 2011). Indicators that at first look appear to be purely quantitative often involve an element (sometimes a very significant element) of qualitative information. For example, an indicator such as *number of collective action groups with linkages or functional relationships with other actors*⁴ appears at first to be a quantitative indicator, however to say 100 groups have functional or quality relationships is not meaningful unless we understand what is meant by functional. The quantitative measure alone will not tell us what characterises functional, which may of course differ depending on the perspectives of different actors. Therefore inherent within this indicator are further layers of qualitative information that give us more meaningful information about the changes that are actually happening. There also appears to be increasing interest in more participatory ways to producing numbers, evidenced by increasing donor interest in participatory approaches to M&E.

3.2.3 Debates about objective and subjective indicators

One of the most heated debates among users and producers of governance indicators is over the relative usefulness of subjective or perceptions-based measures of governance versus objective or fact-based measures. Underpinning this debate is the question of values and varied beliefs about the existence of truth or value-free knowledge and thus the nature of “evidence” and what constitutes “good evidence”. Kaufman and Kraay have been instrumental in developing governance indicators and framing the debate on governance M&E. They argue that “objective” *de jure* policy decisions (or budget allocations) have limited relation to *de facto* experiences and perceptions of governance outcomes on the ground (Shutt, 2011). They therefore caution against putting too much emphasis on easy to measure *de jure* quantitative indicators such as *Number of laws and policies that are pro-poor and pro-marginalised*⁵. These types of indicators are unreliable proxies for developmental impacts defined in terms of changes in people’s lives (Kaufmann and Kraay, 2007b). Where such indicators are used it is essential that these are triangulated against *de facto* experiences of people, or that the policies reported are derived from discussions with impact populations and key informants. They argue that the complex links between changes (*de jure* and *de facto*) mean that the evaluation of governance or social changes are all about subjective perception (Kaufman and Kraay, 2007).

In fact many of the governance indicators and indices that have been developed are based on perceptions, sometimes through ‘expert judgement’ and sometimes through broad based citizen surveys capturing perceptions of government performance. Aspects of this debate are about power: who decides what changes should count and how to assess or measure them? Who collects data and how? (Shutt, 2011) “Objective” indicators already contain inherent value judgements in terms of what change is important and what we should be measuring. The key difference from many subjective indicators is that these are the values of donors or practitioners who develop indicators during the launch of a call for funding or project proposal design.

3.2.4 Debates on participatory approaches to M&E

⁴ This indicator is taken from the indicator guide in Section B, under domain 1 and dimension 1.2 Citizens participate in and organise collective actions.

⁵ This indicator is taken from the Indicator Guide in Section B. It relates to Domain 2, dimension 2.2 *Public authorities and power-holders are responsive to impact groups, designing and implementing pro-poor and inclusive policies, programmes and budgets.*

Participatory approaches to M&E have long been criticised for being unscientific or too qualitative (Shutt, 2011). However participatory approaches can produce numbers that are at least as reliable as those created by more expensive quantitative methods (for example, Jupp, 2010). Participatory approaches have been used in Malawi and Uganda to evaluate outcomes and assess impact at scale using rigorous representative samples that enabled inference of population estimates (Holland, forthcoming, cited in Shutt, 2011).

Community scorecards are frequently mentioned to evaluate change in perceptions of the quality of public service delivery. The work of CARE Malawi is often cited in relation to these types of approaches (Bloom, Sunseri and Leonard, 2007; CDA, 2011). The exciting aspect of this approach is that scorecards become simultaneously mechanisms to promote voice and accountability, while also contributing to M&E. Such approaches encourage communities to get together with service providers and discuss the quality of services and demand changes, thus proving a mechanism to achieve programme outcomes while also measuring them (Shutt, 2011). They also provide the opportunity to quantify information collected and produce numbers, often a key demand for any M&E or impact assessment process.

Another exciting approach is Participatory Impact Assessment (PIA). This methodology starts with impact populations perception of change, both good and bad. This ensures that complex and emergent changes, which are often missed in traditional results-based approaches to M&E, can be identified. CARE Bangladesh has experimented with PIA to measure changes in its Social and Economic Transformation of the Ultra-Poor (SETU) project. This methodology also lends itself to quantitative aggregation and statistical analysis, helping combine qualitative and quantitative information, both two essential sides of the same coin.

3.2.5 So what makes a good indicator?

Indicators are clues, symptoms and general aids to identifying (and often understanding) change (Shutt, 2011). Indicators can be articulated using various units of analysis and therefore can be conceived and measured in a number of ways. Indicators essentially signal a change. However when articulated unclearly or used carelessly they can misinform and mislead (Williams, 2011). Indicators should be relevant to understanding the underlying political processes that are drivers of governance change (ibid). Holland and Thirkell (2009) put forward that indicators should be feasible to collect, consistent with the overall indicator set, measured in metrics that are meaningful and consistent with the M&E system. Finally indicators should be fully specified:

- Having a clear purpose and rationale
- Qualitative and quantitative aspects should be well defined
- Specifies how frequently data should be collected
- Is disaggregated so that changes for a particular group can be tracked
- Includes guidelines on how to interpret what changes mean to local people and communicate contextual notions of change

Building a picture of change is the composite of many different pieces of information that come from various sources, reflect different interests and values. Hence governance M&E and impact assessment involves piecing together the picture of what is really happening, and how that relates to our programme approach and theories of change. No one approach alone or single indicator can tell us what has happened. Hence a reductionist approach to indicators and M&E is very dangerous. Pollitt (2008) cautions against the risk of “abusing quantitative data” noting that quantitative indicators tend to carry more weight, while simultaneously being poor understood.

Therefore the indicator guide in Section B outlines a set of indicators to measure change and also suggests a range of methods that combine the perspectives of different actors. Through this the different information can be triangulated to start to build a better (though unlikely to ever be complete) picture of change.

4. Methods and approaches for governance M&E and impact assessment

Pluralist approaches are becoming more common in governance M&E and impact assessment. Context variables play an important role in change processes, particularly political cultures and informal embedded power relations (McGee and Gaventa, 2010). But this may not always influence change in expected ways (Gaventa and Barrett, 2010), which cautions against using M&E approaches that encourage simplistic assumptions about the possibilities for replicating practice in different locations (Goetz, 2005). CARE International UK has experimented with using action research to test underlying theories of change and measure the impacts of CARE's governance programmes (Hinton, 2011).

McGee and Gaventa (2010) provide a summary of approaches and methods that could be used to assess transparency and accountability initiatives. A summary is presented in table 1.

Table 1: summary of approaches and methods to assess transparency and accountability

Approach	Good for ...	Less good for ...
Experimental approaches e.g. RCTs	<ul style="list-style-type: none"> -isolate impact of a particular intervention -Measuring, counting -immediately applicable to service delivery 	<ul style="list-style-type: none"> -Capturing the unexpected or unforeseen -explaining nuances or causality of change processes -Capturing spillover effects -Ethics: possible unethical to involve 'untreated' control group
Quantitative survey	<ul style="list-style-type: none"> -Drawing generalisable conclusions on basis of representative sample -perceived as objective -can generate numbers, so be more persuasive 	<ul style="list-style-type: none"> -Explaining degrees of change or understanding why change happened -capturing what is not easily quantifiable -Empowerment and enhancing learning
Qualitative case studies	<ul style="list-style-type: none"> -Purposive sampling -can be used longitudinally within a real-time evaluation framework or retrospectively -unpacking underlying theory of change -can incorporate participatory methods 	<ul style="list-style-type: none"> -Comparability over time or with other cases -Drawing general or representative conclusions -Knowing significance of findings beyond specific cases
Qualitative stakeholder interviews	<ul style="list-style-type: none"> -Capturing positioned viewpoints of differently placed stakeholders -Easily combined with direct verification or observation methods 	<ul style="list-style-type: none"> -Time-intensive and generates copious qualitative data
Official indices and rankings	<ul style="list-style-type: none"> -At a glance comparative 	<ul style="list-style-type: none"> -Explaining reasons or contexts behind scores
Participatory approaches	<ul style="list-style-type: none"> -Encompassing different indicators and perceptions 	<ul style="list-style-type: none"> -Replicating across many or diverse contexts

	<ul style="list-style-type: none"> -Building stakeholders' ownership and participation in the initiative as a whole -Empowerment and learning -Enhancing 'downward accountability' 	<ul style="list-style-type: none"> -Deriving quick, yes/no answers -Representativeness if not used with random sampling techniques -Need to mitigate power dynamics
Outcome mapping	<ul style="list-style-type: none"> -Detecting and understanding changes in behaviours, relationships and/or activities of people and organisations -Tracing emergent change, including unforeseen impacts -Actively engaging stakeholders in learning -Can incorporate participatory methods -Facilitates power analysis 	<ul style="list-style-type: none"> -Demonstrating initiatives contribution to development impacts -Producing generalisable findings
Most significant change	<ul style="list-style-type: none"> -Participatory activity involving stakeholders deciding what change is important -Recognising complexity and unexpected changes -Can be empowering -Can include power analysis 	<ul style="list-style-type: none"> -Producing generalisable findings -Generating upward accountability to funders -Time-consuming, resources-intensive -Representativeness if not used with a random sample
<p>Other story or narrative-based methods that can incorporate participatory approaches</p> <p>e.g. Action Aid's Critical stories of change</p> <p>or Action Learning Sets</p>	<ul style="list-style-type: none"> -Exploring, describing and making sense of processes involving many actors, steps, relationships -Encouraging critical thinking -Communicating results in creative and engaging ways -Exploring effects of interventions on different groups -Including participatory methods 	<ul style="list-style-type: none"> -Producing generalisable findings -Time-consuming, resource-intensive, single-initiative focus -Finding simple solutions

Adapted from McGee and Gaenta (2010)

Section B: Indicator guide

The indicator guide outlines a set of generic indicators and associated methodologies for each dimension of change. CARE's GPF has three domains. These are "shorthand for the desired changes, they do not capture the richness of the changes within each domain. For greater clarity about these changes, the GPF breaks the domains of change into 14 more specific components or "dimensions of change" (Governance Programming Framework, 2011). The indicator guide further disaggregates the "dimensions of change" into their characteristics. These characteristics are essentially what we would see if the change happens, essentially answering the question "What does change look like?" Sets of indicators are then listed for each characteristic of change, and then associated methodologies, often reflecting a range of methods outlined above are provided. These indicators are generic and therefore would need to be contextualised and adapted to local contexts and programmes. The indicator guide is also not a finalised or prescriptive tool, but instead is a learning document, which should be adapted and amended over experience with these, and other, indicators.

Domain 1: Marginalised citizens are empowered

Dimension	Characteristics of change	Sets of indicators	Possible data collection methods
1.1 Citizens are aware of their rights/duties and exercise agency		Marginalised citizens are aware of their rights and duties <ul style="list-style-type: none"> ✚ Marginalised citizens' abilities to identify and understand basic elements of the political system – election processes, opportunities to participate, who and how decisions are made etc ✚ Marginalised citizens' understanding of their own rights and the challenges or vulnerabilities they face. ✚ Marginalised citizens' understanding of their duties as citizens 	1) Key informant perception (survey, focus group discussions, interviews); 2) KAP survey – pre and post event; 3) Community social analyses or action plans.
	Marginalised citizens demand and have access to information and are using it	<ul style="list-style-type: none"> ✚ Frequency of communications and information sought and used: do people know where to go to for information? ✚ How often do people use or refer to these information sources? Why? What do they value or not about the information source 	1) Key informant perceptions with users and producers of information.
1.2 Citizens participate in and organise collective actions	Marginalised citizens have individual and collective capacity to articulate their needs, aspirations and demands	<ul style="list-style-type: none"> ✚ Marginalised citizens have the capacities to articulate and voice their needs, and put forward their demands and resolve conflicts. ✚ Number of groups formed <ul style="list-style-type: none"> ○ How formalised are these groups? Ad hoc time-bound groups or longer-term mandates and visions? ✚ Marginalised citizens' ability to negotiate with each other to form positions and demands. <ul style="list-style-type: none"> ○ Have groups formed? ○ Do people have the ability to prioritise these demands? How are they doing this? 	1) Monitoring observable events, such as community meetings. Issues of sampling are important here. This could include observation monitoring of key events such as community meetings to understand the process that groups go through to negotiate. This could be costly if done at scale but could also be done through regular monitoring visits with targeted citizen groups.
	Marginalised citizens take collective actions to engage power-holders	<ul style="list-style-type: none"> ✚ Number of groups have linkages or functional relationships with other actors (horizontally and vertically) ✚ Number of groups conducting collective action initiatives to 	1) Group or partner organisational assessment (ongoing monitoring: data from groups; 2) Qualitative methods such

		<p>engage public authorities and power-holder.</p> <ul style="list-style-type: none"> ○ Who are they targeting, and what issues? <p>✚ The level and quality of networks</p> <ul style="list-style-type: none"> ○ What groups or organisations are working collaboratively? ○ How are they working together? What are the dynamics between different actors, such as power relations? How have these dynamics changed over time? Who makes decisions on the shared agenda and how are decisions made? ○ What agendas are identified? <p>✚ The level and quality of participation</p> <ul style="list-style-type: none"> ○ Who participates and who does not? ○ Who establishes the agenda? ○ How are decisions made within groups? <p>✚ The level and quality of relationships established</p> <ul style="list-style-type: none"> ○ What relationships have been formed within civil society and with power-holders? ○ What is the nature of these relationships? (as above – power relations between different actors, levels of participation and acceptance of the voice of marginalised people etc 	<p>case study analysis, process reconstruction to deepen qualitative analysis. Sampling methods are relevant when conducting qualitative analysis.</p>
	Effectiveness of citizen engagement	<p>✚ Number of changes or successful negotiations due to participation</p> <ul style="list-style-type: none"> ○ What changes have resulted due to citizen engagement with power-holders? ○ How have these changes resulted? What was the process or the key factors for success in these changes? <p>Note this last indicator captures a level of change that could be</p>	<p>1) Group or organisation data – quantitative figures of participation; 2) Key informant perceptions; 3) Case study methodology – PRA methods such as actor analysis, process reconstruction, force field analysis etc; 4) Participatory Impact Assessment; 5) Most Significant Change approach.</p>

		considered “impact” level if it sustains.	
1.3 citizens hold public authorities and power-holders to account	Marginalised citizens are generating monitoring evidence on power-holders actions	<ul style="list-style-type: none"> ✚ Quality of monitoring data or information generated <ul style="list-style-type: none"> ○ Number of groups generating evidence ○ What type of information are groups generating (e.g. budget analysis, scorecards, policy monitoring)? ○ Number of alternative proposals or demands generated? Do they have clear demands? ○ How rigorous was the process followed to generate factors and figures? 	
	Marginalised citizens are monitoring the actions of power-holders, negotiating and holding them to account	<ul style="list-style-type: none"> ✚ Number of representative CSOs participating in accountability spaces ✚ Number of poor and marginalised citizens participating in accountability spaces <ul style="list-style-type: none"> ○ Who participates and who does not? ○ Who shapes the agenda discussed? How are decisions made? ✚ Quality of negotiation by poor and marginalised people in accountability spaces/mechanisms <ul style="list-style-type: none"> ○ What type of issues or demands are poor and marginalised people raising? Why? ○ Who decided on these issues and shapes the agenda? ○ What type of supporting information and evidence are citizens presenting? 	1) Monitoring observable events such as social audits, community scorecards; 2) conducting a random audit of groups’ evidence (social audits, community scorecards etc) to assess for quality of evidence and suggestions; 3) objective data such as the number of monitoring papers produced, figures, clear demands and asks. 4) Compare to other available data on participation levels
	Marginalised citizens’ groups are networking and building linkages to enforce accountability	<ul style="list-style-type: none"> ✚ Number of groups with functional linkages to other actors (<i>which actors</i>) to enforce accountability (for example built relationships with media, or national / regional platforms) 	
Dimension 1.4: CSOs influence	Marginalised citizens’ groups have the capacity	<ul style="list-style-type: none"> ✚ Knowledge and skills of citizens or groups on policy processes, identifying policy issues, analysing the policy 	

policy effectively:	to conduct policy analysis	environment, developing policy strategies etc	
	Marginalised citizens'' groups have built alliances to negotiate with power-holders	<ul style="list-style-type: none"> ✚ Number of groups or CSOs with policy influencing strategies or plans that include policy targets, issues, evidence etc ✚ Number CSOs or groups involved in advocacy versus service delivery ✚ Number of advocacy initiatives carried out jointly by two or more organisations ✚ Number of target CSOs participating in advocacy coalitions ✚ Level and quality of participation of target CSOs in coalitions <ul style="list-style-type: none"> ○ How do representative groups of marginalised citizens participate in the coalition? Are they listened to? What kind of issues do they raise? ✚ Level and quality of relationships established 	
	Marginalised citizens influence policy effectively	<ul style="list-style-type: none"> ✚ Number of CSOs or groups influencing policies <ul style="list-style-type: none"> ○ What are they doing and why? ○ What type of CSOs? E.g. community based organisations, NGOs, movements, member-based organisations etc ✚ Level of influence of marginalised citizens and their groups on policy processes (can use ladder of participation to measure perceived influence) ✚ Nature of the issues that are addressed in policy advocacy <ul style="list-style-type: none"> ○ actions feel are important and why? ✚ Number of lobbying activities, demonstrations, proposals presented to authorities by representative CSOs and social movements ✚ Number and level of changes to policy environment achieved through policy influencing 	

		<ul style="list-style-type: none"> ○ What changes have there been to the targeted policy? ○ Do the changes coincide with the demands raised in policy influencing? ○ What was the role or contribution of the citizen group, CSO, or coalition to achieving that change? <p><i>Note on indicator selection:</i> Again for this change the types of indicators you select and how you adapt/contextualise them will depend on the level of policy influencing undertaken, the type of organisation (community group/CS movement/coalition/ NGO) that the project/intervention/programme works with (or on).</p>	
1.5 CSOs are representative of and accountable to marginalised citizens	Marginalised citizens are included in and represented by CSOs at all levels	<ul style="list-style-type: none"> Number of districts, national, and international citizens movements that are addressing issues of relevance to marginalised citizens Ethnic/gender/religious/disability profile of CSO membership and executive committee or decision-making structure Inclusiveness of decision-making processes of CSOs <ul style="list-style-type: none"> ○ How are the views of marginalised people incorporated into the vision and planning of the CSO? ○ How much influence do marginalised people have in these decisions? Selection process of leaders <ul style="list-style-type: none"> ○ Are leaders selected democratically or by consensus? ○ What are the terms of leadership? Are these enforced? Types of issues and agendas raised by representatives or leaders 	Data collection methods: 1) CSO data on membership, staff etc; 2) key informant perceptions; 3) Monitoring observable events. etc

		<ul style="list-style-type: none"> ○ Whose voices are heard and who shapes the agenda? ○ How are decisions made? <p>✚ National and regional civil society platforms and networks have links to marginalised groups at local level</p>	
	CSOs share information resources, decisions etc	<p>✚ Provision of financial information</p> <ul style="list-style-type: none"> ○ What information is shared? Are relevant decisions and information timely and appropriately communicated? ○ Do CSOs disclose financial statements periodically? <p>✚ Clear communication of decisions, resources etc</p> <ul style="list-style-type: none"> ○ How are decisions communicated by the leadership? ○ Do members know what decisions have been taken and why? ○ Do members know how to find out this information if they do not have it? 	
	CSOs have implemented accountability mechanisms	<p>✚ Number of CSOs with accountability mechanisms functioning</p> <ul style="list-style-type: none"> ○ Does the CSO have a mechanism for promoting answerability or sanctioning performance? ○ Is the mechanism in use? E.g. does it meet regularly? <p>✚ Awareness and utilisation of accountability mechanism</p> <ul style="list-style-type: none"> ○ Who knows about it and who does not? ○ Who uses the mechanism and who does not? <p>✚ Level and quality of participation in accountability mechanism</p> <ul style="list-style-type: none"> ○ Who participates and who does not? ○ What issues are raised? ○ Do members/constituents have sufficient 	<p>Data collection methods: 1) Key informant perceptions could be surveyed; 2) Monitoring observable events such as accountability spaces (public fora); 3) Self-assessments by CSOs The costs of these different approaches also vary and how you might use them varies.</p>

		<p>information or knowledge to exact accountability, e.g. in financial decisions etc</p> <ul style="list-style-type: none"> ○ What influence do constituents, particularly marginalised ones, have in holding CSO leadership to account? <p>✚ Effectiveness of accountability mechanism</p> <ul style="list-style-type: none"> ○ What is the recourse or response following from an issue being raised? Does the CSO have a process for dealing with complaints or challenges? ○ Can members enforce accountability? Are there consequences for poor performance of leadership? 	
			<p>Data collection method: 1) Self-assessment by targeted CSOs; 2) Audit of advocacy plans/strategies; 3) key informant perceptions (advocacy coalition members and policy target); 4) CSO policy influencing – documents.</p>
			<p>Data collection methods: 1) monitoring observable events; 2) policy comparative analysis; 3) key informant perceptions; 4) process reconstruction; 5) ladder of participation</p>

Domain 2: Public authorities and other power-holders are effective and accountable to marginalised citizens













Dimension	Characteristics of change	Sets of indicators	Possible data collection methods
2.1 Public authorities and power-holders have the capacity to uphold rights and deliver public goods	Depersonalised and effective implementation of progressive and transparent legislation, policy and budget processes	<ul style="list-style-type: none"> ✚ Existence of legislation protecting or enhancing the rights of marginalised citizens (<i>Note whether the legislation protects the rights of marginalised citizens should be based on the perceptions of groups representing these citizens</i>) ✚ Existence of mechanisms/processes and adequate funds to implement this legislation <ul style="list-style-type: none"> ○ Level of implementation of legislation ✚ Level and quality of implementation of progressive and transparent policy, programmes and budget processes <ul style="list-style-type: none"> ○ How are policies developed? Who makes the decisions? What process do they go through? ○ How are budgets developed? Who makes the decisions? What process do they go through? ○ What change has there been in the level and quality of these institutional processes? ✚ Provision of services by public authorities <ul style="list-style-type: none"> ○ How are rural and/or marginal areas serviced? ○ Is there universal services system or a specific system for marginalised citizens? ✚ Level and nature of transparent public debate of laws and regulations <ul style="list-style-type: none"> ○ Nature of coverage of debate by public and private media ○ Number of public forums ○ Number of participants in public forums ○ Diversity of participants in public forums ○ Diversity of participant in legislative debates 	<p><i>Note on indicator selection:</i> some of these indicators are more suited to work on strengthening the role of parliaments. This is a relatively new area of work for CARE and we have only a few experiences globally on this.</p> <p>Data collection methods: 1) monitoring observable events; 2) key informant perception scoring; 3) media monitoring; 4) impact assessment at local level of specific public policies.</p>
	Civil servants have skills, knowledge and necessary	✚ Selection and recruitment of civil servants is transparent, meritocratic and not based on political or tribal affiliation	1) official statistics; 2) budget analysis; 3) organisational capacity assessment; 4) key

	resources (financial and technical) to do their jobs	<ul style="list-style-type: none"> ✚ Employment and pay policy is clear and transparent ✚ Number and type of civil servants at different levels of government ✚ Organisational capacity of administration/bureaucracy <ul style="list-style-type: none"> ○ What are the incentives within the bureaucracy? In what direction do people report – vertically, horizontally to elected representatives, downwards to citizens; strengths and weaknesses; where are decisions made or programmes designed; where are programmes implemented; 	informant perceptions;
2.2 Public authorities and power-holders are responsive to impact groups, designing and implementing pro-poor and inclusive policies, programmes and budgets	Marginalised citizens access and use improved quality and appropriate public services from local and national authorities	<ul style="list-style-type: none"> ✚ Number of public authorities that are delivering public services <ul style="list-style-type: none"> ○ Who is delivering public services? ○ How are these services designed and implemented ✚ Quality of services delivered <ul style="list-style-type: none"> ○ Level of satisfaction of service users ○ Geographical coverage of service providers ○ Compliance of service delivery with agreed performance standards ✚ Appropriateness of services delivered <ul style="list-style-type: none"> ○ Does design of services take into account the needs and aspirations of marginalised populations? ○ Level of satisfaction with appropriateness of the services 	1) Key informant perceptions; 2) Use of social accountability tools such as community scorecards to record changes in satisfaction with services quality and appropriateness; 3) defined performance standards and measures
	Marginalised citizens have equitable access to rights	<ul style="list-style-type: none"> ✚ Level of access to public resources such as land <ul style="list-style-type: none"> ○ Who is accessing public resources such as land, and who is excluded? ✚ Level of access to power/ organisation of power in decision-making <ul style="list-style-type: none"> ○ Who makes decisions? Who accesses and influences the decision-makers? This could be in relation to 	Data collection method: 1) Resource maps before and after intervention; 2) key informant perceptions; 3) Power map before and after intervention.

		<p>distribution of economic resources and opportunities, social opportunities, legal and justice related decisions.</p> <ul style="list-style-type: none"> ✚ Level of access to livelihood opportunities <ul style="list-style-type: none"> ○ What changes have there been in the support to marginalised populations to enhance their access to livelihood opportunities? ○ Who benefits from livelihood opportunities and policies and how has this changed? 	
	Public authorities (and bureaucrats) are accessible, responsible and responsive	<ul style="list-style-type: none"> ✚ Level of responsibility and quality performance ✚ Openness of bureaucracy to marginalised populations' participation, aspirations and needs ✚ Presence of civil servants/functionaries and service providers <ul style="list-style-type: none"> ○ How easily accessible are functionaries / service providers? ○ Do they come to communities or service centres regularly and in a timely way ✚ Representation of marginalised populations in civil service <ul style="list-style-type: none"> ○ Breakdown of staff at different levels and functions by gender, caste, religion, class etc 	1) key informant perceptions; 2) social accountability tools such as community scorecard and social audits of service delivery (see dimension 2 later); 3) Random audit/monitoring of service centres; 4) published statistics on performance standards.
	Policies and laws reflect the aspirations of poor and marginalised people	<ul style="list-style-type: none"> ✚ Number of laws and policies that are pro-poor and pro-marginalised based on agreed upon standards or criteria or aspirations of impact populations <ul style="list-style-type: none"> ○ How many laws have incorporated the rights and aspirations of poor and marginalised people? ✚ Application of laws and policies <ul style="list-style-type: none"> ○ Have laws or policies been implemented? ○ How extensive is the implementation? ✚ Quality of laws and policies that are pro-poor <ul style="list-style-type: none"> ○ Do the laws sufficiently meet the demands raised by 	Data collection methods: 1) Policy analysis before and after intervention; 2) key informant perceptions of influence of institutionalised participation;

		<p>marginalised citizens?</p> <ul style="list-style-type: none"> ○ What are the gaps? Why were these not incorporated? 	
	Public authorities' allocate and spend budget for policies and programmes that are responsive to marginalised populations	<ul style="list-style-type: none"> 🚧 % and/or actual budget allocated and spent on pro-poor policies (as a proportion of GDP or total expenditure) <ul style="list-style-type: none"> ○ What was the planned expenditure? ○ What was the actual expenditure? 	Data collection method: 1) Budget analysis; 2) Key informant perceptions
Dimension 2.3: Public authorities and power-holders are transparent, providing accessible and relevant information	Public authorities provide information that is accessible (physically and in content and format) to marginalised populations	<ul style="list-style-type: none"> 🚧 Gap between “demand” and “supply” of information is reduced 🚧 Formal publication of contracts and tenders 🚧 Availability and accessibility of government plans, budgets and expenditure reports and audits to marginalised populations 	Data collection methods: 1) Key informant perceptions/knowledge; 2) Self-assessment; 3) Review of information provided by duty-bearer
	Public authorities enact and enforce the right to information	<ul style="list-style-type: none"> 🚧 Existence of legislation on right to information 🚧 Implementation of mechanisms to facilitate citizen's access to information 	
	Marginalised citizens are aware of performance standards or mandates of service delivery agencies	<ul style="list-style-type: none"> 🚧 Existence of citizens' charters of rights of access to services 🚧 Existence of published performance standards 🚧 Number or % of marginalised citizens aware of rights and performance standards 	Data collection methods: 1) Institutional analysis; 2) Legislation review/analysis; 3) key informant perceptions or KAP survey; 4) social accountability processes such as community scorecards
Dimension 2.4: Public authorities and power-holders are accountable to impact groups	Public authorities strengthen horizontal accountability, particularly to marginalised citizens	<ul style="list-style-type: none"> 🚧 Existence of functioning mechanisms for horizontal accountability <ul style="list-style-type: none"> ○ What horizontal accountability mechanisms exist? ○ How do they function? What response is there to their findings? Are recommendations communicated ○ Are they independent of political actors? 	Data collection methods: 1) Incidence reporting of oversight mechanisms such as parliament scrutiny; 2) key informant perceptions; 3) monitoring observable events.

		<ul style="list-style-type: none"> Effectiveness of oversight mechanisms such as parliament ombudsmen, judiciary, electoral committees etc 	
	Public authorities have effective and functioning vertical accountability mechanisms that are inclusive of impact citizens	<ul style="list-style-type: none"> Electoral system functioning effectively <ul style="list-style-type: none"> Elections conducted regularly Independent from political interference Diversity of elected representatives <ul style="list-style-type: none"> Number of women/ ethnic minority/ religious minority elected or with allocated seats Number of reports in media on public authorities decision making Number of forums for answerability of public authorities to citizens 	1) decision-making maps or maps of spaces and mechanisms to participate (example from CARE Bolivia)
	Power-holders (institutions such as religious institutions, political parties, trade unions, private sector, media) have addressed their own negative practices that impact on marginalised citizens	<ul style="list-style-type: none"> Number of cases of negative practices by institutions reported in an objective/non-partisan and informative manner Perception of accountability of institutions 	Data collection methods: 1) incidence reporting; 2) key informant perceptions; 3) media review – discourse analysis
	Power-holders (institutions such as religious institutions, political parties, trade unions, private sector, media) are accountable, transparent and responsive to marginalised citizens	<ul style="list-style-type: none"> Existence of institutional frameworks and structures in institutions that reflect internal democratic practices Openness of institutions to the voice and demands of impact populations Existence of accountability mechanisms involving impact populations 	Data collection methods: 1) incidence reporting; 2) key informant perceptions
	Traditional institutions	<ul style="list-style-type: none"> Representation of impact populations in traditional 	Data collection methods: 1) Key

	and authorities are more inclusive of marginalised citizens	 institutions  Openness of traditional institutions to interests, aspirations, and needs of marginalised people.	informant perceptions; 2) Monitoring observable events; 3) Data and records of traditional institutions. These can be looked at before and after intervention.
	Traditional institutions are more accountable to marginalised citizens, implementing accountability mechanisms and sharing information on their actions and decisions	 Existence of culture-sensitive accountability mechanisms in traditional institutions, such as mechanisms for communicating decisions  Existence of culture-sensitive mechanisms for eliciting views of impact populations  Participation of impact populations in these mechanisms  Decisions, priorities and plans of traditional institutions reflect the interests and aspirations of impact populations	Data collection methods: 1) Review or mapping of accountability mechanisms; 2) Monitoring observable events, such as meetings; 3) key informant perceptions; 4) Random audit of plans and priorities or actions of traditional authorities to assess change in the nature of decision making.
Dimension 2.5 Rule of law and justice is effective and justice is administered equitably and impartially	Legal framework is equitable and inclusive of rights of marginalised citizens	 Existence of a legal framework acknowledging that all citizens have equal rights  % of target population and duty-bearers that are aware of the content of the laws (particular law or set of laws under consideration or relevant to project/ intervention / programme, e.g. domestic violence, land rights)  The existence of independent mechanisms to enforce and apply the laws (human rights commission, ombudsmen, citizen charter)  Existence of laws that protect the rights of women and minority groups according to agreed standards  Existence of customary legal frameworks that protect and ensure women's and minority groups' rights	Data collection methods: 1) Legal review; 2) Key informant perceptions; 3) KAP
	Public authorities administer justice and ensure protection of	 Consistency in application of rule of law across state and society <ul style="list-style-type: none"> ○ To what extent are all public officials subject to the 	Data collection methods: 1) Examine laws and procedures across these indicators; 2) Comparison of punishments

	human security impartially	<p>rule of law and to transparent rules in their performance of their functions?</p> <ul style="list-style-type: none"> ○ How independent are the courts and judiciary from political interference? ○ How far do the criminal justice and penal systems observe the rules of impartial and equitable treatment in their operations? <ul style="list-style-type: none"> 🚩 % of citizens feeling they are fairly treated or would be fairly treated if they file a case in the formal/informal legal system? 🚩 Number of criminal cases involving political, economic and institutional elites taken to trial 🚩 Representation of marginalised populations in justice and penal system 🚩 Average time for case disposition 	for the same crime; 3) Analysis of composition of judiciary, police etc; 4) Media reports analysis
	Marginalised citizens have equitable access to justice	<ul style="list-style-type: none"> 🚩 % of population within half day travel from nearest court or police post 🚩 User/filing fees either absent, nominal or linked to ability to pay 🚩 % cases dropped due to inability to afford costs 🚩 Number of public defenders provided through legal aid per 100,000 population 🚩 Number of cases using alternative systems 	
	Public authorities publish laws and regulations	<ul style="list-style-type: none"> 🚩 Number of media stories, articles and broadcasts covering changes in law/procedure 🚩 Provision of information on legal rights <ul style="list-style-type: none"> ○ Number of notices provided to citizens on legal rights – publications, leaflets, notice boards ○ Accessibility of notices – where are notices physically situated? Do they only taken written 	

		<p>form?</p> <ul style="list-style-type: none"> Number or percentage of marginalised citizens (impact populations) by population categories aware of legal rights Number or percentage of marginalised citizens (impact populations) who know how to access the legal system 	
	Public authorities publish decisions and results of legal processes	<ul style="list-style-type: none"> % of cases where notice was sent and received Number of media stories, articles and broadcasts timely and adequately covering changes in law/procedure 	Data collection methods: 1) Key informant perceptions; 2) Media review/analysis; 3) Legal system review; 4) surveys with population to see whether they understand media coverage
	Power-holders such as private sector and/or other elite groups (economic, religious, etc.) are respectful of international treaties and national laws	<ul style="list-style-type: none"> Public authorities such as municipalities observing the rule of law Civilian control over the armed forces <ul style="list-style-type: none"> How free are political forces from military involvement? Number of cases of violations by powerful actors such as private sector, media, religious groups, etc 	Data collection methods: 1) Media review/analysis; 2) Legal system/cases review; 3) Key informant perceptions; 4) reports by independent national and international human rights organisations and watchdogs (UN, Amnesty International, etc.)

Domain 3: Spaces for negotiation between power-holders and marginalised citizens are expanded, inclusive and effective

Dimension	Characteristics of change	Sets of indicators	Possible data collection methods
Dimension 3.1: Institutionalised spaces are expanded, inclusive and effective	Marginalised citizens' participation in decision making at different levels is institutionalised	<ul style="list-style-type: none"> ✚ Number of spaces and mechanisms for institutionalised participation in policy formulation or planning processes <ul style="list-style-type: none"> ○ What levels do these spaces exist at (local, regional, national, global)? ○ Who created these spaces and why? ○ What activities have been undertaken or decisions made? 	Data collection methods: 1) Key informant perceptions; 2) Institutional analysis e.g. to map spaces; 3) Monitoring observable events (such as spaces)
	Institutionalised spaces are effective	<ul style="list-style-type: none"> ✚ Number of functional spaces ✚ Level and quality of interaction <ul style="list-style-type: none"> ○ Who participated and who did not? Why? Who shaped the agenda? ○ Who establish the rules of the game? Is the space co-opted by any powerful group (political party, CS group, Public Authorities, economic elite etc)? ✚ Number of agreements and agendas that result from the spaces for negotiation <ul style="list-style-type: none"> ○ Who put forward these ideas or agendas? ○ What evidence did citizen representatives generate? ○ Was the space designed and structured in such a way to be effective? – i.e. Does it have clear roles and functions? ○ Is there buy-in from participants? ○ What actions or changes happened because of the space? 	Data collection methods: 1) Monitoring observable events; 2) Key informant perceptions; 3) Process reconstruction / tracing of spaces; 4) Comparative analysis between CSOs' demands before their participation in the space, and the resulting agreements and agendas after negotiation

	Institutionalised spaces are inclusive and representative	<ul style="list-style-type: none"> Number of groups representing and explicitly advocating for marginalised constituencies active in spaces Ethnic/gender/religious/disability profile of participants or members of spaces <ul style="list-style-type: none"> Who is included and who is excluded? And why? Average proportion of participants from marginalised groups (not those that are made up of persons from marginalised groups) Inclusiveness of decision-making processes of spaces <ul style="list-style-type: none"> How are the views of marginalised people incorporated into the vision and planning of the spaces? How much influence do marginalised people have in these decisions? Who are the formal and informal leaders and which groups do they come from? How did these leaders emerge – through consensus or democratically selected or through their own personal power? Types of issues and agendas raised by participants <ul style="list-style-type: none"> Whose voices are heard and who shapes the agenda? How are decisions made? 	Data collection methods: 1) Objective data on participation in space ⁶ ; 2) key informant perceptions; 3) monitoring observable events.
Dimension 3.2: Informal spaces are claimed and created	Informal spaces are created by different and diverse groups around their demands and interests	<ul style="list-style-type: none"> Number of citizen-led actions to directly engage policy-makers or raise awareness of their demands <ul style="list-style-type: none"> Who created or demanded the space? And why? What issues are raised? How were those issues decided on? Who does this space target (power-holders and duty-bearers) and why? % of marginalised citizens or number of marginalised 	Data collection methods: 1) Institutional or Governance mapping (mapping spaces); Key informant perceptions; 3) Monitoring observable events

⁶ This could be very difficult to quantify for large meetings.

		citizens' groups involved in those actions	
	Informal spaces are inclusive, accountable and effective	<ul style="list-style-type: none"> ✚ Ethnic/gender/religious/disability profile of participants or members of spaces ✚ Inclusiveness of decision-making processes of spaces <ul style="list-style-type: none"> ○ How are the views of marginalised people incorporated into the vision and planning of the spaces? ○ How much influence do marginalised people have in these decisions? ○ Who are the formal and informal leaders and which groups do they come from? How did these leaders emerge – through consensus or democratically selected or through their own personal power? ✚ Types of issues and agendas raised by participants ✚ Level and quality of interaction <ul style="list-style-type: none"> ○ Who participated and who did not? Why? ○ Is the space appropriate to mobilise marginalised citizens? ○ How was it used? Who shaped the agenda? ○ Who created the space and why? ✚ Results or outcomes of spaces <ul style="list-style-type: none"> ○ What was discussed in the space? Who raised the issues? ○ What evidence did citizen representatives generate? ○ Was the space designed and structured in such a way to be effective? – ○ What changed due to the demands of the space? 	Data collection methods: 1) Monitoring observable events; 2) Key informant perceptions; 3) Process reconstruction / tracing of spaces
Dimension 3.3: Inclusive political settlement achieved	Stakeholders in society have mechanisms for transforming conflict	<ul style="list-style-type: none"> ✚ Existence of mechanisms for resolving conflict at the community level (including informal) ✚ Effectiveness and equity of community/societal mechanisms 	Data collection methods: 1) Self-assessment; 2) Monitoring observable events; 3) key informant perceptions

at multiple levels		<ul style="list-style-type: none"> ○ How do these mechanisms work? Who is involved? ○ Are there (hidden) costs of utilising these mechanisms? Do these costs have differential impacts on people due to their class, caste, gender etc? ○ What are the different levels of power in negotiation? ✚ Capacity of local actors to manage conflict <ul style="list-style-type: none"> ○ Do local actors have the skills and knowledge to manage conflict successfully? ○ What gaps are there in their capacities? 	
	Public authorities have the legitimacy and capacity to settle conflicts without resorting to violence	<ul style="list-style-type: none"> ✚ Existence of laws governing civilian control and accountability of armed forces ✚ Existence of institutional mechanisms for organising power in state ✚ Existence of laws governing organisation of power in state ✚ Existence of mechanisms for negotiation of conflicts within the state and public authorities ✚ Existence of mechanisms to reconcile societal conflict in an institutional framework 	Data collection methods: 1) Institutional analysis/assessment
	Equity in access to power and resources	<ul style="list-style-type: none"> ✚ Existence of laws or policies for affirmative action for women, the poor, specific ethnic/indigenous peoples and other marginalised groups ✚ Equal access to power <ul style="list-style-type: none"> ○ Do all people have equal access to justice and legal systems?; ○ Do all people have equal access to public authorities at local, regional and national level? ○ % of women (and other marginalised groups) among elected bodies, police and civil service, civil 	Data collection methods: 1) Quantitative objective indicators on composition of certain institutions; 2) Sampling of targeted citizens and their representative groups; 3) Random audit of beneficiaries of government programmes or resources

		<p>society, private sector</p> <p>Equal access to resources including natural resources, government resources and programmes by group identity/membership</p>	
<p>Dimension 3.4: Alliances and coalition for progressive social change are formed</p>	<p>Coalitions produce results that are pro-poor and reflect the interests of marginalised populations (impact groups)</p>	<p>Level and quality of interaction</p> <ul style="list-style-type: none"> Who participated and who did not? Why? Who is part of the coalition? What are the common interests and goals driving the coalition? What was the aim of the coalition? Who shaped the agenda? Who created the coalition and why? Was the space co-opted? <p>Results or outcomes of coalition</p> <ul style="list-style-type: none"> What was discussed in the coalition? By whom? What evidence did coalition generate to support its position? Was the coalition designed and structured in such a way to be effective? – i.e. Does it have clear roles and functions? Are there clear organisational linkages and commitments to the coalition among participating groups? What relationships were formed between the coalition and target duty-bearers/ power-holders? What outcomes resulted from the efforts of the coalition? <p>Risks reduced through collaboration in coalitions (perceptions)</p>	<p>Data collection methods: 1) Monitoring observable events; 2) key informant perceptions; 3) Objective data from coalition; 4) self assessments.</p>

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