

Evaluation of Capacity Development in Danish Development Assistance

Annex C: Portfolio Screening Note

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1. Introduction

This Note presents the findings of the preliminary portfolio screening of Danida development interventions (programmes and projects). An initial list of eligible development interventions was prepared by the Evaluation Department (EVAL), from which a long-list of 47 development interventions selected by EVAL. The evaluation team (ET) selected a sample of 30 interventions for preliminary screening, subject to EVAL's approval. The majority of the development interventions in this sample were chosen from the Danida long-list of 47, complemented with some development interventions from the initial list in order to have a representative coverage of sectors, countries, and size (budget-wise). The guiding selection criteria were as presented in the Terms of Reference (ToR), Annex 2, Section 2 "Portfolio Screening", i.e.:

- Capacity development as explicit intention, whether alone or as part of broader objectives.
- A description of intentions is available at a level of specification as in typical programme/project documents.
- Initiated at least three years ago, and if completed, then completed not more than three years ago. The selection should aim at a mixture of relatively new initiatives, and interventions that have been going on for some time.
- Geographic and thematic/sector spread as deemed relevant.
- Interventions that are of a size/salience that make them indicative of the CD portfolio.

The sample of development intervention comprises: sector programmes with two or more components – most of which have had previous phases; and minor programmes (in terms of budget) with one or a previous phase. The sector programme components constitute two types of frameworks: a) one where the components are part of a coherent entity; and b) and the other where the components are separate entities related to each their set of recipient organisations. In the latter case, a sector programme would constitute two or more 'sub-programmes'.

2. Approach for filling in the scorecard

The Norad evaluation team developed the scorecard for the assessment of the large sample. The Sida and the Danida ETs commented on the scorecard. The final version was subsequently approved by the Steering Committee.

The Danida ET tested their approach for making the scores on two interventions to ensure commonality in the scoring. The programme/project documents served at the main basis for the scoring. The scores were based on what was actually stated in the documents.

3. Outcome of the large sample assessments

The criteria discussed above were applied in the selection of the 30 projects/programmes in the portfolio (hereafter referred to as interventions). The selection process was very inclusive and Evaluation Team and the Client had several meetings and held discussions. Besides the above criteria, the team focused on ensuring a broad representation in the portfolio on the following variables:

- **Country:** Representation of as many countries as possible of Danida's priority countries (previously programme countries)
- **Sector:** Representation of as many sectors as possible, acknowledging that some sectors play a larger role in Danida's portfolio than others. Thus, the team ensured that this representation was mirrored in the selection (e.g. 'Government and Civil Society' is a very

large sector in Danida's portfolio). The team further ensured to include the business sector, agriculture and transport sectors as these are all elements of the Green growth and Employment strategic priority area of Danida's (future) support.

- **Size of programmes/projects:** Representation of both large sector programmes with a budget up to DKK 910 million and smaller projects down to DKK 4.5 million.

3.1. Programme/project overview

The table below provides an overview of the 30 interventions selected for the portfolio review. Annex A provides a bit more details on each intervention based on the initial information received from Danida and hence the basis for which the interventions were selected¹. It should be noted that the sector ascribed to each intervention is generated from Danida's Project Data Base (PDB) and that the Evaluation Team in their analysis of the interventions in several cases have ascribed more sectors to each intervention based on the document screening.

Table 3.1: Large sample of 30 selected interventions

Country	Programme/project title	Main sector
Bangladesh	Community Development Centre, CODEC	Government and civil society
Bangladesh	Agriculture Sector Programme Support, Phase II	Agriculture
Benin	Stotte til Demokrati og Ligestilling	Government and civil society
Benin	Road Sector Programme Support phase 2 (PASR 2)	Transport and storage
Bhutan	Support for Capacity Development and Strengthening PFM System	Government and civil society
Central America	Regional Environmental Programme	Environment
Bolivia	Programme for Access to Justice	Government and civil society
Bolivia	Education Sector Programme - 2nd phase	Education
Burkina Faso	Sector Programme for Water and Sanitation	Water and sanitation
Ghana	Good Governance and Human Rights Programme in Ghana, Phase II	Government and civil society
Indonesia	Environmental Support Programme Phase 2 (ESP2)	Environment
Kenya	Natural Resource Management Programme - Kenya	Energy generation and supply
Kenya	Business Sector Programme Support (BSPS) to Kenya, phase II	Business and other services
China	Renewable Energy Centre	Energy generation and supply
Mali	Programme "Appui dano-suedois au PROSEA"	Water and sanitation
Mozambique	General Budget Support Programme 2011-2014	General budget support
Mozambique	Danish Programme Support to the Education Sector Strategic Plan	Education
Mozambique	Support to Public Sector Reform and Statistics	Government and civil society
Nepal	Human Rights and Good Governance Programme, Phase 3	Government and civil society
Nepal	School Sector Reform Plan (SSRP)	Education
Nepal	Energy Sector Assistance Programme (ESAP II)	Energy generation and supply
Niger	PASR - Programme d'Appui au Secteur Rural	Agriculture
Tanzania	Health Sector Programme Support, Tanzania, Phase IV	Health
Tanzania	Tanzania: Tax and development support initiative	Government and civil society
Tanzania	Business Sector Programme Support - Phase III	Business and other services
Uganda	Anti-Corruption Programme in Uganda	Government and civil society
Uganda	U-Growth programme	Government and civil society
Vietnam	Strengthening the Comprehensive Capacity of the Inspectorate System	Government and civil society
Vietnam	Climate change adaptation and mitigation	Climate
Zambia	Strengthening the multi-sectoral response to HIV and AIDS in Zambia	Health

¹ Besides the table overview, staff from Technical Advisory Services were also asked to point to relevant interventions.

All interventions were assessed based on the Project/Programme Document for the most reason phase of the programme and the 25 variables were applied to all interventions. The tables below provide an overview of the distribution of the interventions within selected variables². Please note that the sum in many cases is more than 30 as it was possible to choose several options for each intervention (e.g. that the type of institution receiving capacity development support could be both government and private sector).

Intervention essentials

The tables below shows that even though support granted to the government clearly is in focus in (almost) all interventions, many have had a wider approach and also granted support to civil society and/or the private sector. As regards level of intervention, all but one intervention have granted support to the national level and as many as 24 have also focused on the local level (municipalities, villages, etc.). Half of the interventions have also supported the regional level.

The functions of the interventions have had a widespread and broadly covered services, policy and coordination with neither of them 'sticking out'. By far the largest number of interventions has been supported through bilateral aid and/or multiple donors (basket funds and other forms of fund pooling). Only two interventions have been supported through multi-bilateral channels.

The assessment of how large a part of the budget of each intervention that aimed at CD was difficult to assess, as most budgets were not activity based (at least not in the ProDoc, which provided the basis for the assessment). The assessments have therefore been best estimates and must be considered as such - in four cases the data was even too thin for the evaluation team to dare make a judgement. There was a good spread within the categories however with 2/3 of the interventions having a budget of 50% or less to CD.

In more than half of the interventions, the target group was very complex (multiple organisations, different levels of government and multiple stakeholders) and none of the interventions has a very simple target group (single organisation and limited stakeholders).

3. Type of Institution	
Government	29
NGO	14
Private sector	10

4. Level of intervention	
National	29
Regional	15
Local	24
Other	2 ³

5. Function of the intervention	
Services	25
Policy	17
Coordination	22
Other	6 ⁴

12. Intervention funding	
Bilateral	24
Multi-bilateral	2
Multiple donors	18
No data	0
Other	13 ⁵

13. Share of intervention that aims at CD	
<25%	9
25%-50%	11
51%-75%	3
>75%	3
No data	4

15. Complexity of the target group	
1 Very Simple	0
2 Simple	5
3 Complex	9
4 Very Complex	16
0 No data	0

² For some variables it does not make much sense to sum up, e.g. 8, cooperation since or 9. Intervention period under review.

³ Other in this case referred to 'International' and 'Enterprise level'.

⁴ Other in this case referred to 'Legal frameworks and environmental norms', 'Research and Development - Renewable Energy', 'Inspection of government institutions to enhance 'good governance'', 'Capacity development', 'Micro financial' and 'Access to funding'.

Intervention history

None of the interventions had in the ProDoc a strong context analysis for capacity development, nor a comprehensive intervention logic. For both variables, 'basic' was in half of the cases what applied. There was however 12 interventions which has a 'good context analysis'. As many as seen interventions had no articulated intervention logic.

16. Comprehensive context analysis for CD	
1 - No context analysis	1
2 - Basic context analysis	14
3 - Good context analysis	12
4 - Strong context analysis	0
0 - No data	3

17. Articulation of intervention logic	
1 - No intervention logic	7
2 - Basic intervention logic	14
3 - Developed intervention logic	5
4 - Comprehensive intervention logic	0
0 - No data	4

As regards demand from and involvement of the recipient institution(s) in the formulation process, no interventions had no demand or no involvement. Limited demand and involvement accounted for seven and eight interventions respectively, whereas 17 ProDocs showed a clear demand from the recipient institution(s) and 11 had a 'collaborative' involvement of the partner(s) in the formulation process.

18. Demand from recipient institution	
1 - No demand	0
2 - Limited demand	7
3 - Clear demand	17
4 - Strong demand	3
0 - No data	3

19. Recipient institution participation in formulation	
1 - No involvement	0
2 - Limited involvement	8
3 - Collaborative involvement	11
4 - Strong involvement	4
0 - No data	7

Intervention design parameters

The variables related to the design of the interventions show that two thirds or more has organisational development/change and systems development as a key feature. Provision of technical staff and secondments (which also included provision of TA (often long-term) from the donor) was part of 18 interventions. Training and consultancy services were also included in many interventions whereas infrastructure and equipment as a more 'hardware'-oriented solution to CD was only applied in a few cases. Mentoring and peer learning were not prominent features either, at least not what was clear from the ProDocs. Twinning was not used in any intervention.

⁵ What 'Other' cover is not specified except in one case where is cover government funding.

20. Type of interventions	
Organisational development/change	25
System development	20
Provision of Technical staff and staff secondment	18
Training	14
Consultancy Services	10
Infrastructure	5
Mentoring	4
Peer Learning	2
Equipment	1
Twinning	0

As regards articulation of CD results, 19 of the 30 interventions had either limited or no specific data included on what the intervention was trying to achieve in terms of capacity development. Seven interventions had a ‘specific’ articulation and only one was highly specific.

In terms of the level of results, i.e. the types of results that the interventions were trying to achieve, 4/5 had development of new systems and structures as an aim and almost 2/3 focused on changes in individual skills and knowledge. Almost half focused in strengthening external pressure for reform (e.g. through civil society) and approximately one in three focused on internal coalition for reform and/or changes in incentive systems. Improved service delivery was not an established category but the evaluation team found this prominent in eight interventions.

21. Articulation of CD results	
1 - Non-specific	7
2 - Limited specificity	12
3 - Specific	7
4 - Highly specific	1
0 - No data	3

22. Level of results	
Development of new systems processes and structures	24
Changes in individual skills and knowledge	19
Strengthening external pressure for reform	14
Strengthening internal coalitions for reform	11
Changes in incentive systems	9
Other (improved service delivery) ⁶	8
Other	6 ⁷

The change management approach related to the specificity in the ProDoc of how the change process was expected to unfold in the intervention period. By far the largest part of the interventions either had an implicit change management approach (i.e. not too clear from the documentation) or had no such approach. In only three cases was it explicit. As regards leadership, the largest part of the interventions had a co-led capacity development process, but also seven CD interventions were led solely by the recipient institution.

⁶ Has been included as a large part of ‘other’ concerned improved service delivery (this shows that it probably should have been included as a category under this variable).

⁷ Other refers to: ‘Making existing systems work better (e.g. financial accountability systems)’, ‘Empowerment’, ‘Establishment of a National Renewable Energy Centre’, ‘Strengthened CSO and PS participation’, ‘Availability of funding’ and ‘Decentralised execution’.

Most of the interventions either have a limited or a clear M&E system as regards the focus on CD. None were found to have a comprehensive M&E system and six had no evidence of M&E at this level.

23. Clarity of change management approach	
1 - No change management approach	8
2 - Implicit change management approach	14
3 - Explicit change management approach	3
4 - Explicit and clear change management approach	0
0 - No data	5

24. Key leadership and management functions	
Donor-led CD process	0
Co-led CD process	22
Recipient institutions CD process	7
No data	1

25. Overall results management	
1 - No M&E system	6
2 - Limited M&E system	11
3 - Clear M&E system	12
4 - Comprehensive M&E system	0
0 - No data	1

3.2. Evaluability of programmes/projects

In the scorecard for the portfolio review, the ‘evaluability’ of each intervention was automatically given a score, which was the average score of the three variables 17, 21 and 25 hence: articulation of intervention logic, articulation of CD results and overall results management. It is the clear impression of the evaluation team that this score is not necessarily very useful when actually assessing and considering the evaluability of the programmes/projects. This is due to several things, e.g. that a ‘0 - no data’ in one or even two of these categories would seriously lower the average score. In many of these cases with no data available in the project/programme document, the data for granting a higher score might be found in other documentation (e.g. component descriptions, analytical studies, inception reports/reviews etc.). The same is the case for several of the other variables – that is they have been difficult to assess on the basis of the ProDoc only.

Hence, a low average score in evaluability is largely a methodological issue in relation to the scorecard and the time set aside for assessing each intervention in the portfolio. The evaluation team is therefore not too concerned with this score when assessing the suitability for desk review.

3.3. Suitability for desk review

The evaluation team was asked to assess the suitability for desk review for each of the interventions, both with a yes/no answer and a justification for the response. One extremely important factor to consider in an assessment of suitability for desk review that the evaluation team is not able to capture is the extent to which relevant documentation will be available to the team. In the following assessment, the team has to expect that all the different documentation will be provided by the Evaluation Department through PDB or by the relevant embassy. It is, however, acknowledged that this will not be the reality in some of the cases and the evaluation team will therefore need to have a pool of interventions as ‘back-up’.

4. Candidates for desk-based review

The preliminary screening of the sample of 30 intervention resulted in eight interventions not deemed suitable for a desk review – leaving 22 interventions to be considered, see Annex B. The aim is to have 15 interventions for the desk review. With a view to reducing the 22 interventions to a lower number, these are related to the four focus areas (ref. ToR Section 3):

- i. The relevance and opportunity of a ‘best fit’ approach for CD support well adapted to specific intra- and inter-institutional dynamic and the wider context;
- ii. Within the ‘best fit’ dimension, the appropriateness and the legitimacy of external (donor) involvement, and whether some processes may be so complex and demanding that the ability of donors add value is limited;
- iii. The merits of looking beyond the supply side of public sector institutions to foster broader accountability relations or other types of collaboration with, e.g. civil society, private sector, media or oversight institutions;
- iv. How a results-focused approach to aid for capacity development can serve to improve learning and accountability among aid agencies in the future.

In order to judge the relationship between the interventions and the focus areas, the following scores from the scorecard for the large sample were used as proxies for the focus areas as follows:

- Focus area i: Score 16, Evidence of a comprehensive context analysis for capacity development;
- Focus area ii: Score 18, Evidence of clear demand from recipient institutions;
- Focus area iii: Score 15, Complexity of the target for capacity development intervention;
- Focus area iv: Score 21, Articulation of capacity development results.

The scores for the 22 interventions are shown in Annex C. Based on this assessment, the interventions having comparatively low scores (those shaded with yellow) will not be considered. The resulting candidate list of 17 interventions is presented in Table 4.1.

Table 4.1: Candidate list of interventions for desk review

Country	Programme/project title	Main sector
Bangladesh	Community Development Centre, CODEC	Government and civil society
Bangladesh	Agriculture Sector Programme Support, Phase II	Agriculture
Central America	Regional Environmental Programme	Environment
Bolivia	Programme for Access to Justice	Government and civil society
Indonesia	Environmental Support Programme Phase 2 (ESP2)	Environment
Mozambique	General Budget Support Programme 2011-2014	General budget support
Mozambique	Support to Public Sector Reform and Statistics	Government and civil society
Nepal	Human Rights and Good Governance Programme, Phase 3	Government and civil society
Nepal	School Sector Reform Plan (SSRP)	Education
Nepal	Energy Sector Assistance Programme (ESAP II)	Energy generation and supply
Tanzania	Health Sector Programme Support, Tanzania, Phase IV	Health
Tanzania	Business Sector Programme Support - Phase III	Business and other services
Uganda	Anti-Corruption Programme in Uganda	Government and civil society
Uganda	U-Growth programme	Agriculture and transport
Vietnam	Strengthening the Comprehensive Capacity of the Inspectorate System	Government and civil society
Vietnam	Climate change adaptation and mitigation	Climate
Zambia	Strengthening the multi-sectoral response to HIV and AIDS in Zambia	Health

In the ToR’s Annex 2, three criteria are listed:

- Availability of progress reports/reviews/final reports for at least a three-year period;
- Distinctive features of the intervention are expected to illuminate (positively or negatively) at least one of the focus areas listed in the ToR or other aspects found of particular interest to this evaluation;
- The sample should include some ‘high-evaluability’ interventions, where one can expect that sufficient data is available and the degree of complexity is manageable, in addition to interventions that may be less easy to evaluate.

Except for ensuring the availability of documents, the selection process of interventions corresponds to the ToR’s criteria. Having a number of 17 interventions leave room for eliminating a couple of interventions if the availability of documents is not satisfactory. The next immediate challenge is to access adequate information for the desk review corresponding to the candidate list of interventions. It should be noted that as regards articulation of CD results, 19 of the 30 interventions had either limited or no specific data included on what the intervention was trying to achieve in terms of capacity development (ref. Section 3.1). Sector programme with elaborate component descriptions may contain additional information.

The candidate list of interventions for desk review includes nine countries: Bangladesh, Bolivia, Indonesia, Mozambique, Nepal, Tanzania, Uganda, Vietnam, and Zambia. One programme concerns the Central American Region. The coverage of sectors is shown in Table 4.2.

Table 4.2: Coverage of sectors

Government and civil society	6
General budget support	1
Agriculture	2
Transport	1
Environment and climate change	3
Education	1
Health	2
Business	1

5. Scorecard for desk review

The scorecard refers to the intervention as if it was a generic action and it does not focus adequately on CD per se. Many of the scorecard boxes are not specific to CD and do not treat CD as a means of increasing or enabling performance. It institutionalises CD by transforming this analysis into the examination of the management of the documents, processes, alignment, etc. of the intervention, rather than on the process that leads from an inability to perform at predefined levels to a level of acceptable performance. There are very few docs that define what a level of performance is in any sector in any country. We are investing in “strengthening” or ‘allowing access” or similar concepts, but the fact is that the documents do not specify what they want to achieve. The scorecard is reinforcing the paradigm that what needs to be examined is the donor process, which is not the only thing that needs to be examined.

An outline of the structure of the two-page report for the desk studies has been prepared and is attached as Annex D. The Danida ET has prepared a draft Evaluation Matrix (EM), which in-

cludes a restructuring of the EQs, so that there are nine main EQs. The two-page report is structured so that it feeds into the EM. The EM has been structured to be compatible with the results chain and thus the Theory of Change (ToC). The draft EM has been shared with the Norad and Sida ETs (14 October 2014). The Norad ET has decided to more or less stick to the EQs in the Norad ToR, which is almost similar to those in the Danida ToR. There has been no response from the Sida ET.

6. Candidates for country case studies

Considering that Vietnam and Zambia will no longer remain Danida priority countries, the list of candidate countries that emerges is: Bangladesh, Nepal, Tanzania, Uganda and Mozambique. Bolivia and Indonesia is potentially also candidate countries. As regards Bolivia the Spanish language is a constraint – even though a core member of the ET masters the Spanish language. As regards Indonesia, the thrust of Danida’s development cooperation has been on environmental management. The availability of information – with particular attention to capacity development – by country and desk case will point to which three countries that should be selected for country case studies. Most of the Danida priority countries are in the process of preparing country programmes. Danida Country Policy and Concept Notes (including Theory of Changes) will outline the future thrust of the development cooperation, which will enable to place the Evaluations findings and conclusions in relation to the future development perspective.

Appendix A: Overview of the 30 programmes/projects

Country	File Number	Programme/project title	Year	Total grant	Disburse-	Main sector
Bangladesh	104.Bangladesh.104.	Community Development Centre, CODEC	1985-2012	129.000.000	96.208.721	Government and civil society
Bangladesh	104.Bangladesh.805-200.DAC.	Agriculture Sector Programme Support, Phase II	2006-2013	531.000.000	519.217.008	Agriculture
Benin	104.Benin.35	Støtte til Demokrati og Ligestilling	2008-2011	95.000.000	81.517.051	Government and civil society
Benin	104.Benin.815-200	Road Sector Programme Support phase 2 (PASR 2)	2005-2011	462.200.000	457.679.163	Transport and storage
Bhutan	104.Bhutan.3/77-1	Support for Capacity Development and Strengthening PFM System	-	4.500.000	4.500.000	Government and civil society
Central America	104.Centralamerika.29	Regional Environmental Programme	2005-2012	250.000.000	247.401.557	Environment
Bolivia	104.Bolivia.45.	Programme for Access to Justice	2009-2014	80.000.000	66.114.134	Government and civil society
Bolivia	104.Bolivia.813-200	Education Sector Programme - 2nd phase	2010-2013	115.000.000	112.058.621	Education
Burkina Faso	104.BKF.814-300	Sector Programme for Water and Sanitation	2010-2015	450.000.000	328.133.860	Water and sanitation
Ghana	104.Ghana.51	Good Governance and Human Rights Programme in Ghana, phase II	2008-2013	170.000.000	133.275.417	Government and civil society
Indonesia	104.Indonesien.1.MFS.4.	Environmental Support Programme Phase 2 (ESP2)	2008-2012	220.000.000	218.429.142	Environment
Kenya	104.Kenya.806-20	Natural Resource Management Programme - Kenya	2010-2014	375.000.000	229.224.755	Energy generation and supply
Kenya	104.Kenya.809-200.	Business Sector Programme Support (BSPS) to Kenya, phase II	2011-2015	320.000.000	226.531.162	Business and other services
China	104.Kina.1.MFS.4-1.	Renewable Energy Centre	-	100.000.000	65.475.987	Energy generation and supply
Mali	104.Mali.814-200	Programme "Appui dano-suedois au PROSEA"	2010-2014	340.000.000	134.130.968	Water and sanitation
Mozambique	104.Mozambique.96-400	General Budget Support Programme 2011-2014	2010-2014	370.000.000	281.179.586	General budget support
Mozambique	104.Mozambique.813.	Danish Programme Support to the Education Sector Strategic Plan	-	560.000.000	551.415.194	Education
Mozambique	104.Mozambique.104	Support to Public Sector Reform and Statistics	2008-2012	100.000.000	99.993.632	Government and civil society
Nepal	104.Nepal.54-300.KTM.	Human Rights and Good Governance Programme, Phase 3	2009-2013	170.000.000	169.236.589	Government and civil society
Nepal	104.Nepal.813-4.KTM.	School Sector Reform Plan (SSRP)	2009-2012	220.000.000	218.776.856	Education
Nepal	104.Nepal.802-200	Energy Sector Assistance Programme (ESAP II)	2007-2012	150.000.000	146.362.626	Energy generation and supply
Niger	104.Niger.805	PASR - Programme d'Appui au Secteur Rural	2008-2014	150.000.000	146.894.542	Agriculture
Tanzania	104.Tanzania.810-400	Health Sector Programme Support, Tanzania, Phase IV	2009-2014	910.000.000	809.950.246	Health
Tanzania	104.Tanzania.213/3	Tax and development support initiative	2011-2014	15.000.000	14.999.999	Government and civil society
Tanzania	104.Tanzania.809-300	Business Sector Programme Support - Phase III	2008-2014	550.000.000	435.263.262	Business and other services
Uganda	104.Uganda.74	Anti-Corruption Programme in Uganda	2003-2011	47.580.000	44.741.177	Government and civil society
Uganda	104.Uganda.821.	U-Growth programme	2010-2013	440.000.000	393.042.434	Agriculture and transport
Vietnam	104.Vietnam.44	Strengthening the Comprehensive Capacity of the Inspectorate System	2006-2014	15.000.000	14.002.117	Government and civil society
Vietnam	104.Vietnam.820	Climate change adaptation and mitigation	2009-2015	200.000.000	125.722.723	Climate
Zambia	104.Zambia.65	Strengthening the multi-sectoral response to HIV and AIDS in Zam-	2008-2011	90.000.000	46.354.355	Health

Appendix B: Interventions' evaluability and suitability for desk review

Country	Programme/project title	Assessment of evaluability	Suitability for desk review
Bangladesh	Community Development Centre, CODEC	3 - The ProDoc is poorly written but a lot of information has gone into the formulation process and there is a strong likelihood that additional written information is available	Yes - This is an example of a Danida-initiated intervention that has been ongoing for 22 years. This constitutes the last phase of Danida support so it would be interesting to see how CODEC is now doing without Danida.
Bangladesh	Agriculture Sector Programme Support, Phase II	2.3 - The ASPS2 is deemed to be evaluable in particular as regards adding to the beneficiaries' capacity.	The ASPS2 will be suitable for a desk review.
Benin	Støtte til Demokrati og Ligestilling	2 - Although the document looks like a results-based analysis, it confuses activities, results and expected performance.	Yes - The programme suggests strongly that the entire support and the benefits derived therefrom are sustainable. That would be an interesting analysis to study ex post. In addition, there is an apparently detailed risk analysis that is mostly composed of critical assumptions (and not hypotheses as stated in the document. It would be useful to understand how the analysis is done at the beginning of the design process and what actually led to these assumptions and the assessment of the exactitude of their statements. It would also be a good case to see how social programmes are "results" based
Benin	Road Sector Programme Support phase 2 (PASR 2)	1 - Very vague document with respect to CD. There are other related documents that may provide support for the CD and other thrusts, but this doc does not have them.	No - the entire CD process, whatever it is, will be based on "whatever can be done with the funding available". We need to look at coherent, results-based approaches and learn from that.
Bhutan	Support for Capacity Development and Strengthening PFM System	2.3 - This is a very 'narrow' intervention with funding of education (up to Master's level) and training for staff. It is doubtful if clear change management etc. has been considered in the intervention design and been reported on	No - It could be interesting to explore the longer terms effects of this type of grants but is depends heavily on what type of reporting is available
Central America	Regional Environmental Programme	2 - Despite the relative low score, it is assessed that the Programme is evaluable - provided further information can be accessed.	Yes - The Programme will be suitable for a desk review as it contains many layers of capacity development and has a high level of complexity, and it could be of interest to explore the level of success.
Bolivia	Programme for Access to Justice	2 - This is a calculation. The basic reason why it is so low is that the results are not really structured in a framework. There has been good work done to define what is needed though. The other weakness is the lack of attention =given to the Bolivian generated inputs and intermediate outputs	Yes - IF there has been work done on better defining the results and IF there is a CD M and E then it would be a very good case.
Bolivia	Education Sector Programme - 2nd phase	1 - Calculation	No - Unless we want to evaluate previous phases, this extension is not specifically oriented towards CD.
Burkina Faso	Sector Programme for Water and Sanitation	1.3 - The doc is oriented towards a sector CD and does not focus on the CD it says is absolutely needed.	No - It would take too long to study the outcomes and impacts in the field.

Ghana	Good Governance and Human Rights Programme in Ghana, Phase II	1.3 - This is a calculation	No - The entire initiative is relatively undefined with regard to CD; there is a lot of detail on the "whys and whatnots" but very little in the way of what performance is required and why this intervention will result in better sector performance. The key indicators are numbers of cases, when the objective is institutionalisation, for example. The case could be interesting if only to see how these types of planning are difficult to manage because of the lack of definition.
Indonesia	Environmental Support Programme Phase 2 (ESP2)	2 - The ESP is deemed evaluable - maybe even more so than indicated by the score - provided that additional information can be accessed.	Yes - The ESP is interesting due to its complexity and to assess if results can be demonstrated with this high complexity.
Kenya	Natural Resource Management Programme - Kenya	1.3 - Low score, as the ProDoc is very generic. There exist four quite comprehensive component descriptions, which contains a lot more information.	Yes - A comprehensive (multi) sector-wide approach which includes both demand and supply side
Kenya	Business Sector Programme Support (BSPS) to Kenya, phase II	1 - The Programme is evaluable, but it will access to further information and discussion with the recipient organisations and beneficiaries,	Yes - The suitability of a desk review will - as mentioned - depend on the extent to which further information can be accessed.
China	Renewable Energy Centre	0.6 - The programme has continued beyond 2013 in a new phase, so substantial development are anticipated to have taken place - including CD development	Yes - The RED Programme is judged suitable for a desk review, but will not have the highest priority for being selected.
Mali	Programme "Appui dano-suedois au PROSEA"	1.3	No - This doc does not lead us to believe that specific capabilities need to be developed and that defined levels of performance are being sought. Indicators provided are at the sector, and not the CD
Mozambique	General Budget Support Programme 2011-2014	2.3 - Intervention builds on previous support and documentation should be available.	Yes - The intervention has a separate CD component (institutional development) with a separate component description. Furthermore the support is ongoing/recently finalised during the time of the evaluation, which provides a good ground for identifying relevant informants. It should however be explored if any key documents are on Portuguese only
Mozambique	Danish Programme Support to the Education Sector Strategic Plan	2 - The score is low but the ProDoc provides evidence that a lot of work would go into the inception phase including establishing LogFrames and results frameworks.	No - The support was initiated in 2002 and even though it was extended into meeting the criteria for portfolio review, the formulation document largely reflect an 'old' way of Danida thinking. So this might not be the best example of use of strategies etc. Furthermore, Danida is no longer engaged in the education sector in Mozambique and a lot of long-term TA was provided - hence it might be difficult to identify informants.... (Plus the fact that some key documents might be in Portuguese, which is not covered well by the team).

Mozambique	Support to Public Sector Reform and Statistics	1.7 - It is assumed that an implicit change process has taken place, which would be interesting to uncover	Yes - The programme is suitable for a desk review provided additional information can be accessed, e.g. Appraisal reports, review reports, completion report, etc.
Nepal	Human Rights and Good Governance Programme, Phase 3	2.3 - If considered in the way that only the outputs that specifically contains 'capacity' are the relevant ones, then indicators are clearly set. CD might however be underlying a lot of the other programme interventions which will be clearer after digging deeper into the programme documentation.	Yes - This constitutes an example of a comprehensive support programme in a fragile environment and would be suitable for further review.
Nepal	School Sector Reform Plan (SSRP)	2.3 - The evaluability is relatively high, as the education sector is of significant importance and many donors have been involved. There is evidence the educational system has improved significantly during the last decade	Yes - A desk review is deemed suitable - provided additional information can be accessed.
Nepal	Energy Sector Assistance Programme (ESAP II)	3 - The ESAP II emphasises capacity development: The ESAP II has a clear intent of supporting capacity development at several levels - the outcome of which would be interesting to explore.	The ESAP II is found very suitable for a desk review given the development challenges with which Nepal is challenged.
Niger	PASR - Programme d'Appui au Secteur Rural	1 - Poorly defined CD objectives, strategies and indicators. Not geared toward performance, not likely sustainable.	No - no real lessons to be learned.
Tanzania	Health Sector Programme Support, Tanzania, Phase IV	2 - Health surveys are conducted periodically in Tanzania, which provides an overall impression of the health sector's performance.	Yes - The substantial resource allocation by Danida and other donors would warrant that substantial capacity development takes place - either implicit or explicit.
Tanzania	Tanzania: Tax and development support initiative	1 - As this is support to a basket fund, it is difficult to assess the CD elements of the intervention without looking at the corporate plan that will guide the activities and the results/activity reports from Danida	Yes - The intervention only ended recently and it should be possible to get hold of both documentation and identify people to interview.
Tanzania	Business Sector Programme Support - Phase III	2.7 - LogFrames and target groups are at an overall level but component descriptions will probably go more into depth and make assessments possible.	Yes - This is the third phase of a very comprehensive programme that has had an increased focus on CD for each phase. The fourth phase is ongoing now and a lot of the same key stakeholders are targeted hence it should be possible to evaluate the Danish contribution to change
Uganda	Anti-Corruption Programme in Uganda	1.7 - There is probability that the Programme has led to changes in performance. If this were not the case, it would be of interest to explore why changes did not happen.	Yes - There is probability that the Programme has led to changes in performance. If this were not the case, it would be of interest to explore why changes did not happen.
Uganda	U-Growth programme	2.3 - Indicators and targets have been defined. The reporting will take place either on a biannual or annual basis.	Yes - The UPG will be suitable for a desk a desk review, especially as regards the capacity for managing the trust fund.
Vietnam	Strengthening the Comprehensive Capacity of the Inspectorate System	3 - The further process of evaluation will depend on access to further information and possibly access to persons that have been engaged in the programme.	Yes - The area of anti-corruption is an essential aspect of governance, and as such it would be of value to see the actual effects on capacity and the resulting performance of the involved government agencies.

Vietnam	Climate change adaptation and mitigation	1.7 - The low score is indicative of the way the doc is designed to reflect the GoV ownership. No details are provided.	Yes - The Vietnamese were highly involved in the concept and formulation work. The case could look at the value-added of that leadership, including on how it will reduce the risk to Danida and improve accountability. It is clear that the intervention will have a good Complementation plan and will have been monitored closely. Data should be there to study.
Zambia	Strengthening the multi-sectoral response to HIV and AIDS in Zambia	3 - The objectives of the intervention are directly concerned with CD. Indicators for CD objectives are however not clear, the results framework is on a national and organisational level.	Yes - The intervention has a very clear CD objective and the strong alignment, harmonisation and M&E framework would make it suitable for further scrutiny

Appendix C: Interventions' relations to the four focus areas

Country	Programme/project title	Main sector	Focus Area i SC 16 (0-4)	Focus Area ii SC 18 (0-4)	Focus Area iii SC 15 (0-4)	Focus Area iv SC 21 (0-4)
Bangladesh	Community Development Centre, CODEC	Government and civil society	3	4	2	3
Bangladesh	Agriculture Sector Programme Support, Phase II	Agriculture	2	3	4	3
Benin	Støtte til Demokrati og Ligestilling	Government and civil society	3	2	3	1
Central America	Regional Environmental Programme	Environment	2	3	4	2
Bolivia	Programme for Access to Justice	Government and civil society	3	3	4	2
Indonesia	Environmental Support Programme Phase 2 (ESP2)	Environment	2	3	4	2
Kenya	Natural Resource Management Programme - Kenya	Energy generation and supply	0	3	4	1
Kenya	Business Sector Programme Support (BSPS) to Kenya, phase II	Business and other services	0	1	3	2
China	Renewable Energy Centre	Energy generation and supply	1	3	2	1
Mozambique	General Budget Support Programme 2011-2014	General budget support	3	3	2	2
Mozambique	Support to Public Sector Reform and Statistics	Government and civil society	2	3	4	2
Nepal	Human Rights and Good Governance Programme, Phase 3	Government and civil society	2	2	4	2
Nepal	School Sector Reform Plan (SSRP)	Education	2	3	3	3
Nepal	Energy Sector Assistance Programme (ESAP II)	Energy generation and supply	3	3	3	3
Tanzania	Health Sector Programme Support, Tanzania, Phase IV	Health	2	2	4	2
Tanzania	Tanzania: Tax and development support initiative	Government and civil society	2	2	2	0
Tanzania	Business Sector Programme Support - Phase III	Business and other services	3	2	4	2
Uganda	Anti-Corruption Programme in Uganda	Government and civil society	2	2	4	2
Uganda	U-Growth programme	Agriculture and transport	3	3	3	2
Vietnam	Strengthening the Comprehensive Capacity of the Inspectorate System	Government and civil society	3	3	4	3
Vietnam	Climate change adaptation and mitigation	Climate	3	4	3	2
Zambia	Strengthening the multi-sectoral response to HIV and AIDS in Zambia	Health	3	4	3	3

Note: The yellow shaded intervention will not included in the list of candidate interventions for the desk review.

Appendix D: Structure of the two-page report for desk studies

Based on Annex 2 of the ToR (Specification of methodology) and the deliverables that are required of our team in order to meet our mandate, I propose that the following structure should be used.

The 2 pager will serve to a) indicate basic characteristics of the cases to our client so that DANIDA is in a position to synthesize what has happened with CD within its programmes; b) suggest both to NCG and Danida which three case studies to use, and why, and c) enable us to conduct our research in a focussed and directed manner in order to seek out the findings we need to “fill in” the two- page report.

It needs to be remembered that the scorecard for the Desk Phase will also contain information that needs to be gathered.

Structure (assume a page has 35 lines of text)

CONTENT	Refers to Evaluation Matrix EQ	OECD Criteria
Case identification: <ul style="list-style-type: none"> Country Name of project and time period of intervention (phase studied only) 	n.a.	n.a.
One paragraph (8 lines) on the extent to which some form of Theory of Change or other causality-referenced strategy was used. It is important to specify if it was used throughout the life of the intervention and not only during planning. If possible, refer to the donor-initiated or encouraged use of this type of causal analysis and to beneficiary response and participation in its design.	EQ 1	Relevance
One paragraph (5 lines) on a description of the CD objectives that were sought, highlighting the relationship (if any) between the objectives and the expected improvement in performance of the institution in order to reach strategic plans.	EQ 2	Relevance
One paragraph (5 lines) on the nature of the CD that was attempted (overall individual performance in technical skills or knowledge; roll-out of services to rural or other levels; ability to influence policy from NSA perspective; mainstreaming gender of other CCI, etc.) the list is long but the idea is there. This para should also state the extent to which the objectives were quantitative improvements or qualitative changes, for example in service delivery. This is important in order to help understand the complexity of the environment and the risks. The extent to which TA and other inputs were used as a “contract out” strategy should be defined.	EQ 3 & 5	Effectiveness and Efficiency
If possible, indicate if there is an analysis of the relationship between the CD intervention and Denmark’s comparative advantages		

and development strategies and policies.		
<p>One para (10 lines) on the extent to which contextual analysis for the intervention as a whole was performed. This para should deal with CD contexts and not overall macro-level contexts. Was there a risk analysis for CD and if so did it specify how the external and internal contextual factors (including resistance to change, elite or entrenched interests, roll-over of personnel, incentives for performance, etc.) would be addressed? In 1 sentence, indicate how.</p> <p>Was there a baseline of capacity before the intervention started? Was it measurable or merely descriptive (i.e. “knowledge and skills required to design rural and feeder roadways exists in managers but not on other personnel and no e-systems for time and materiel costing is available”, vs “need to strengthen capacity in transport sector”.</p> <p>Was there a detailed analysis of the total cost of reaching performance objectives? Was this intervention sufficiently and appropriately resourced?</p> <p>We are not looking for an assessment of each CD objective here, only the nature of the CD analysis done.</p>	EQ 4	Efficiency
<p>One paragraph (10 lines) on the extent the intervention was based on results. This para relates to the management of the intervention, and not its content as in point 5.</p> <ol style="list-style-type: none"> a. Was there a baseline of capacity before the intervention started? Was it measurable or merely descriptive (i.e. “knowledge and skills required to design rural and feeder roadways exists in managers but not on other personnel and no e-systems for time and materiel costing is available”, vs “need to strengthen capacity in transport sector”. We are not looking for an assessment of each CD objective here, only the nature of the CD analysis done. b. Was the M and E system based on CD results (as well as on other results) c. Were monitoring and supervision report BASED on CD results d. Was the original budget based on CD results 	EQ 6	Effectiveness
<p>Two paragraphs (20 lines) on the positive progress or results achieved in the CD effort. This part of the report should contain:</p> <ol style="list-style-type: none"> a. An assessment of the progress against the indicators established within the intervention b. If the intervention occurred at different levels (national, etc.) or by sector (government, NSA, etc.) then indicate the overall performance c. An indication of the extent to which the results or progress have been reported on in terms of the performance required of the beneficiary institutions d. An indication of the extent to which the indicators were “SMART” and addressed capacity development 	EQ 7	Effectiveness

e. Any negative or unplanned progress or results. Only those that have a CD effect should be noted.		
A paragraph of (3 lines) to indicate if the CD intervention was specifically linked to poverty reduction strategies.	EQ 8	Impact
A paragraph (8 lines) on the extent to which the results are sustainable. Highlight the extent to which the results obtained have ensured that the beneficiary has an autonomous ability to perform at expected levels in the future.	EQ 9	Sustainability
One para (5 lines) on an assessment of evaluability. If the case was chosen for the three country cases, would there be information available to us in a structured manner to understand what happened in terms of CD?	n.a.	n.a.

A separate, third page should be devoted to listing the types of documents (not necessarily their titles) we examined and the people we may have interviewed. The same third page should contain a cut-and-paste budget for the intervention.