



Ministry of Foreign Affairs

Terms of Reference for the Evaluation of SNV's Programme 2007–2011

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Colophon

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1. Background and purpose of the evaluation

The general object of this evaluation is the subsidy the Dutch Ministry of Foreign Affairs provides to SNV for the implementation of its programme 2007–2015. More specifically the object of the evaluation is the subsidy provided during the period 2007–2011, since the original subsidy agreement was drastically revised per 1 January 2012 and actually replaced by an adapted agreement.

The subsidy agreement 2007–2015 demarcates a new phase in the relationship between the Ministry of Foreign Affairs and SNV. This followed changes at SNV that transformed its services from the supply of long-term technical assistance by individual experts to host organizations at a micro level to the provision of advisory services by teams largely to organizations operating at a meso (sub-national) level.¹

The goal of SNV's subsidy application 2007–2015 is poverty reduction. The organization describes itself as: '... dedicated to a society where all people enjoy the freedom to pursue their own sustainable development'. SNV aims to achieve this by strengthening the capacity of local organizations, enabling them to solve their problems, pursue their development goals, contribute to poverty reduction and promote good governance. This ambition was articulated in more detail in the Corporate Strategic Plans 2008–2009 and 2010–2012.

The 2007–2015 agreement had a total value of €795 million.² The major revisions of the agreement in 2011 entail a budget cut of €124 million, reducing the overall figure to €671 million. It also stipulates that SNV will no longer receive an institutional subsidy after 2015. These revisions mean that the original annual budget will be reduced from €90 million to €70 million in 2012 and €55 million in 2015. It gives SNV more freedom to diversify its resource base and mobilize its own resources, including programme subsidies from Dutch embassies and departments of the Ministry of Foreign Affairs.

The original agreement calls for an external independent evaluation in 2011. IOB is responsible for this evaluation. The evaluation is based on SNV's original subsidy application and how it has unfolded in the subsequent strategic plans (2008–2009 and 2010–2012). The evaluation is expected to inform SNV's strategy and shed light on how well the programme is being implemented, how well SNV is performing and how effective SNV support is.

Prior to this evaluation, IOB conducted an 'evaluability' study to assess the availability and quality of information generated by SNV's PM&E system for answering the evaluation questions. It concluded that a feasible evaluation is one that focuses on an analysis of SNV's way of working in combination with a presentation of results as far as available information allows with some additional in-depth studies.

The evaluation has a dual purpose. First, to give account for the subsidy SNV received, and second, to learn from the experiences gained during the programme's implementation. The evaluation will pay particular attention to SNV's way of working at the country level to enhance the evaluation's relevance beyond the immediate focus of this evaluation. This approach has been chosen because SNV is a front runner in this respect, and the organization's experiences may be of interest for a broader audience considering localization.

¹ Evaluation SNV. *New strategy, new results?* March 2006.

² Amending notice, 6 March 2007. Appendix 2 displays the full text of the amending notice containing all the changes.

2 Reconstruction of SNV's policy

2.1 SNV in perspective³

SNV was founded in 1965 by the Ministry as a volunteers' organization sending out Dutch volunteers to developing countries. Its philosophy and way of working originally focused on the person-to-person interaction between people from different cultures, and the transfer of skills and experience. The standard was one of individual volunteers working with counterparts and target groups in mainly technical fields, like vocational training, physiotherapy or agricultural extension.

Since the late 1980s, SNV has encouraged the development of its services towards project-based work, i.e. a greater multi-faceted effort to influence development in marginal areas. SNV developed its own policy, programmes and approach geared towards empowering poor and disadvantaged people.

In 1996 SNV re-formulated its policy with a commitment to technical assistance as its core business. It defined four product groups: 'capacity building', 'project implementation', 'mediation' and 'service provision for Northern organizations'. Programmes were geographically concentrated in marginal areas in SNV's countries of operation. SNV aimed to strengthen the coherence among the different activities that were implemented in these areas. New types of assistance were introduced, which, for example, enabled one advisor to serve more partner organizations. More emphasis was put on SNV's mediating role between the different development actors (in the government, non-government and private sectors) and on linking local organizations to actors at other levels in their countries, regions or in the North.

Four years later in 2000, SNV's strategy signalled a new shift from the implementation of projects to advisory work. Convinced that the combination of providing technical and financial assistance would not encourage ownership of the development process by key stakeholders, SNV abandoned the implementation of projects because this put SNV too much in the driver's seat of development. As one of the cornerstones of the repositioning strategy in 2000, SNV explicitly defined meso-level organizations, both governmental and non-governmental, as its principal clients.⁴ The following arguments underlie the choice of meso-level organizations: (a) meso-level organizations play a crucial role in sustainable poverty alleviation; and, (b) meso-level organizations usually have limited access to support. Over the years SNV gained experience working at the intermediate level, and the organization therefore chose to capitalize on these experiences and expertise. For reasons of effectiveness and efficiency, SNV thought it to be more logical to focus on the meso level instead of the micro or macro level. In addition, SNV defined local capacity builders⁵ as its second group of clients as another main element of its strategy.

Within the framework of capacity building, SNV chose to lend support in two areas, notably organizational strengthening and institutional development, with the understanding that this would enhance collaboration between more organizations. SNV aimed to provide demand-driven and client-centred services. SNV further concentrated its support for organizational capacity in thematic areas such as local governance, natural resource management and private sector development. The main changes introduced in 2000 are summarized in Table 1 below, alongside the situation previous to 2000.

³ Extract from *IOB capacity development evaluation – SNV synthesis report*, June 2010.

⁴ The term client as used by SNV refers to SNV's direct partners such as NGOs or governmental organizations and less so to the target group or ultimate beneficiaries.

⁵ Local capacity builders are considered local organizations that provide capacity building services that may encourage local development. As soon as they are sufficiently developed, SNV moves to more complex clients and issues.

Table 1. Changes in SNV's CD policy in 2000

<i>From (before 2000)</i>	<i>To (beyond 2000)</i>
<ul style="list-style-type: none">• Working for funding agencies and all kinds of partners• A focus on input: advice/project management• What partners need• Local presence• Reduce poverty• Wide range of themes	<ul style="list-style-type: none">• Working for meso organizations and local capacity builders• A focus on outcome: capacity development of the client• What clients want• Local presence• Develop local organizations' capacity to fight poverty and improve governance• Selected themes

In 2003, SNV developed a rough categorization of the capacity development services it provides and combines: (1) diagnosis; (2) organizational development; (3) inter-organizational development and partnership building; and (4) institutional development.

It was around 2005 that SNV decided to gain more control over the design of its interventions. This decision was taken on the basis of a number of key experiences and lessons regarding SNV's capacity development approaches, which are stated below:

- It was acknowledged that the demand orientation risked becoming too simplistic. Too much of SNV's work was in response to client requests, but it had insufficient strategic direction or underpinning.
- The focus on individual organizations appeared to have limited effectiveness.
- Hardly any development issue can be resolved and addressed by a single actor.
- Standard instrumental organizational development interventions appeared to have insufficient impact on clients' actual external performance.
- Overall the impact orientation of a considerable part of the activities was considered relatively weak.
- The sustainability of capacity development services to local actors was questioned.

2.2 SNV's programme 2007–2015⁶

Goal and ambition

The goal of SNV's programme 2007–2015 is poverty reduction. The core of SNV's development strategy is to develop the social capacity of actors at different levels so they can take measures to reduce poverty themselves. SNV's core business is to support local actors and increase their capacity to solve their problems, pursue their development goals and reduce poverty and promote good governance. SNV described this ambition as follows in its subsidy application 2007–2015: '*SNV is dedicated to a society where all people enjoy the freedom to pursue their own sustainable development. We contribute to this by strengthening the capacity of local organizations.*'

Intervention theory and approach regarding capacity development

In its 2007 strategy paper, SNV defines capacity as the power of a human system (be it an individual, an organization, a constellation of actors or a sector) to perform, sustain and renew itself in the face of real-life challenges.⁷ Capacity is about empowerment and impact. Consequently, SNV does not consider capacity to be a specific ingredient, but an emerging property of a human system, usually determined by a combination of factors. Capacity development can address different 'levels' of human systems, such as individuals, teams, organizations, networks or sectors. In practice, SNV aims to empower actors as part of capacity development for improved governance, on the one hand, and improved delivery of results, on the

⁶ SNVs Strategy 2007–2015. *Local impact, global presence*. 2006.

⁷ SNV Strategy Paper. 2007, p 17.

other hand. As such, capacity development is not value-neutral but involves changes in relationships within the social, political and economic realms.

SNV has outlined its results chain on three different levels in its policy framework *SNV Managing for Results 2007–2015* (2007): outputs (services provided by SNV), outcomes (performance of partners as proxy evidence that capacity development has taken place, and policy environment) and impact (changes at the level of poor people).

To achieve its overall objectives, SNV's strategy 2007–2015 contains some of the following central elements.

SNV's core category of clients are **meso-level (sub-national) organizations**. SNV aims to strengthen these organizations' performance by providing advisory, knowledge and facilitation services, such as round tables. SNV does not as a rule provide financial support.

SNV's emphasis on **impact orientation** implies that SNV focused its capacity development services on specific sectors and subsectors. As a result, SNV's impact results were defined in terms of 'access to basic services' (BASE) and 'increased production income and employment' (PIE) for the poor. For BASE, water and sanitation, education and renewable energy were selected as key corporate sectors. For PIE, these were agriculture, forestry and tourism. In 2011, in order to increase its focus as well as to face budget reductions, SNV reduced this number to three sectors – water and sanitation, agriculture and renewable energy – and decided to withdraw from the other sectors.

Another key element of SNV's strategy 2007-2015 is **localization**. In addition to providing capacity development services, SNV is also committed to improving the enabling environment for local capacity development. This strategy includes the following initiatives: a) subcontracting advisory work to local capacity builders (LCBs), b) creating local capacity development facilities (LCDFs) that seek to improve demand-supply-financing dynamics for local capacity development and c) professionalization of LCBs through cooperation, knowledge brokering, networking, learning and training events to improve the availability and outreach of their services.

With '**Governance for empowerment**' SNV seeks to shift the power relations that expand the assets and capabilities of poor and marginalized people to participate in, negotiate with, influence, control and hold accountable institutions, policies, values, relationships and processes that affect their lives.

Under the heading of **complementarity**, the subsidy agreement stressed partnership and complementarity between SNV and DGIS (including embassies). The two institutions would combine their presence at the micro, meso and macro levels and create added value through reinforced collaboration. SNV also seeks to align its country programmes with national development strategies and agendas.

SNV also aims to bridge the **micro-macro divide** which often hampers development efforts. SNV encourages links between national (macro policy), meso and local actors; supports the involvement of local actors in changing and shaping national development agendas; encourages the generation, analysis and sharing of information on local realities; and fosters the development of implementation approaches at the field level. This is all done to ensure that micro-level realities are taken into account in the formulation of macro policies and that 'macro promises' lead to concrete local results.

'**Value chains**' (VCs) are the main concept behind the development of SNV's activities in the economic sectors. Value chains make it possible to link and use the

strengths of actors such as small-scale enterprises, (local) government and business development organizations. They help to take into consideration more clearly right from the start the importance of creating market conditions and an enabling environment. Finally, the VC concept is also a multi-actor concept, and according to SNV it dovetails with its goal of playing a role in strengthening 'micro-macro links' that had been prompted amongst others in its policy discussions with DGIS.

In practice, SNV aims to adjust VC logistics to country- and sector-specific priorities and demands. The following set of specific value chain services and products have been distinguished for value chains:

- Strong producer groups
- Multi-stakeholder platforms
- Market intelligence
- Value chain financing
- Strong value chain service providers
- Effective public policy management

One of the key capacity development services and products that SNV provides to clients is the **facilitation of multi-stakeholder engagement and processes** ('MSPs'). Gradually, SNV is starting to re-evaluate and refine the broad concept of 'facilitating multi-stakeholder processes'. The concept actually appears to envision different kinds of roles advisors can play and different approaches that can be taken towards clients. These roles and approaches tend to evolve and change over time during such a process. Facilitating MSP may contain and combine elements of so-called information brokering, deal making, convening, negotiation and conflict resolution, financial brokering, moderating, coaching, and/or innovation. SNV's facilitating role aims to improve the dynamics of the multi-actor client system that produce targeted results. However, SNV never facilitates multi-stakeholder processes as part of its own programme, but does so on the basis of emerging dynamics, collaboration and consensus in the domestic system.

SNV categorized its ways of working in 2007 into four **delivery channels**:

1. advisory services;
2. knowledge brokering;
3. advocacy; and
4. 'local capacity development facilities'.

Two modalities presently dominate SNV's activities: advisory services and LCDF. This is because advocacy is a minor activity for SNV (mostly effectuated at macro level), and knowledge brokering strongly overlaps with advisory services. LCDFs are implemented in partnership with other local and international actors and are not managed and governed by SNV.

In comparison with earlier years, Table 2 summarizes the policy changes after 2007.⁸

Table 2. Overview of key developments in SNV's strategy for 2007–2015

From (before 2007)	To (beyond 2007)
Capacity development	Capacity development for impact
Client demand	Client demand and selection in the context of impact orientation and national development strategies
Advisors	Mix of advisors, including consultants and local capacity builders
Governance as a specific practice area	Governance for empowerment as a central concept, influencing SNV's work at all levels and areas
One way of working: advisory services	Advisory services, including a knowledge brokering component and LCDFs
Individual clients, focus on internal organizational development	Clients and client groupings, seen as part of actor constellation and with focus on impact
'Practice areas' for external profile and	Positioning strategy in basic services sectors and value

⁸ SNVs Strategy 2007–2015. *Local impact, global presence*, p 15.

strategy building, as well as internal knowledge development	chains, on the one hand, and 'flexible knowledge networks', on the other
SNV mostly serves its clients independently	Collaboration with local capacity builders, knowledge and advocacy organizations, donor agencies and other partners to increase impact
Results appraisal focused on SNV output and client satisfaction	Well-defined result orientation: impact, outcome in terms of client performance and output quality
DGIS funding over 95%	Deliberate effort to leverage resources for greater impact

2.3 Planning, monitoring and evaluation

According to its subsidy application, SNV will use the period 2007–2009 to revise the monitoring and evaluation process. The grant agreement stipulates that SNV will conduct three – but preferably five – sector or country evaluations per year. The evaluations during the period 2007–2009 will have an exploratory character and should contribute to the development of new programmes.

SNV developed the 'Triple AAA model' in an effort to arrive at a shared understanding within its organization of the primary process at work at the organization. Triple AAA stands for the cyclic process of 'Analysis and planning', 'Action and monitoring' and 'Assessing results and evaluation' at all three primary process levels, namely strategy, client, and assignment. Each of the three cycles represents a learning cycle in which plans are drawn up, implemented and reviewed. Strategy refers to strategies at the country and sector levels. *Client* refers to actual interaction with clients or client groups formalized in memoranda of understanding (MoUs), and assignment refers to the implementation of activities set out in the MoUs. These are formalized in assignment agreements, contracts between SNV and its clients that stipulate what both parties will contribute and the expected results.

The SNV corporate standards for its primary process were further clarified in the 'SNV Managing for Results 2007–2015: Policy Framework', a model introduced to assess results in terms of three keywords: *prove*, *improve* and *move*. *Improve* means learning from results, so learning is a high-level purpose of results management. The systematic reflection on results (in the form of evaluation reports, case studies and MoU/assignment reviews) should encourage learning and is a joint process involving line management, advisors and clients.

2.4 How SNV is organized

Figure 1 graphically illustrates SNV's organizational structure. SNV has delegated a considerable share of its responsibilities to its country offices. SNV country directors manage their country programmes on the basis of an annual programme and budget that is approved by SNV's head office.

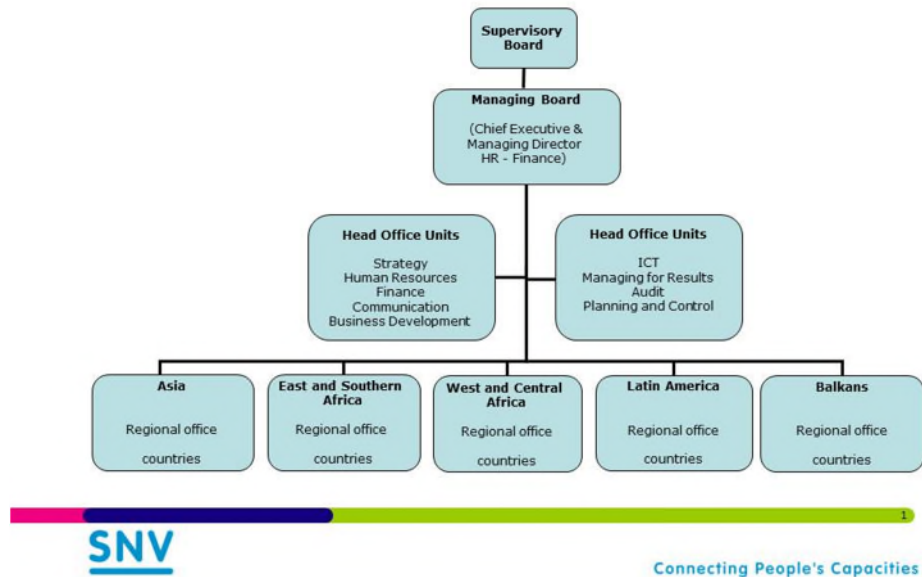
SNV is active in 35 countries. SNV has a total staff of 1200 of which 714 advisory staff and 486 support staff, including 64 staff members at the head office in The Hague.⁹

⁹ SNV Annual report 2010

Figure 1. SNV organisational structure

SNV organisational structure

January 2012



2.5 Programme implementation and expenditures

The agreement between the Ministry of Foreign Affairs and SNV for the period 2007–2015 concerns €794,800,000, which amounts to approximately €88.3 million per year. SNV's income from other sources, including contracts with some Dutch embassies, comprised about 10% of its total annual budget in 2008 and 2009 and almost 20% in 2010.

Countries

In the period 2007–2010 SNV was present in 36 countries in Africa, Asia, Latin America and Eastern Europe. SNV's total expenditure in these countries over the period 2007–2010 was €394 million.

Figure 2 shows that Eastern and Southern Africa (ESA) and Western and Central Africa (WCA) comprise more than 60% of SNV's total expenditure, with a combined expenditure of €242 million.¹⁰ Expenditure in Latin America is sharply declining, and expenditure in Asia remained stable.

In 2007, it was agreed with DGIS that the core subsidy for SNV's programmes in Latin America, some Asian countries (including Vietnam) and the Balkans would be gradually reduced over the years to no core subsidy in 2013. These changes mean that a higher percentage of SNV's core budget will be allocated to Africa in the near future. SNV intends to continue the programmes in the above-mentioned countries with financing from other organizations.

¹⁰ Total expenditures include the core subsidy of the Ministry and funds from other sources.

Figure 2. Total expenditure 2007–2010 per region

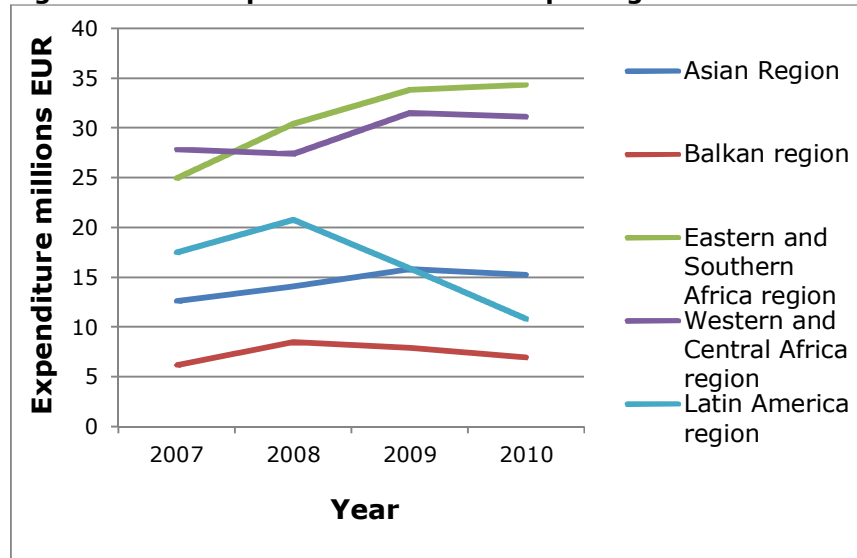
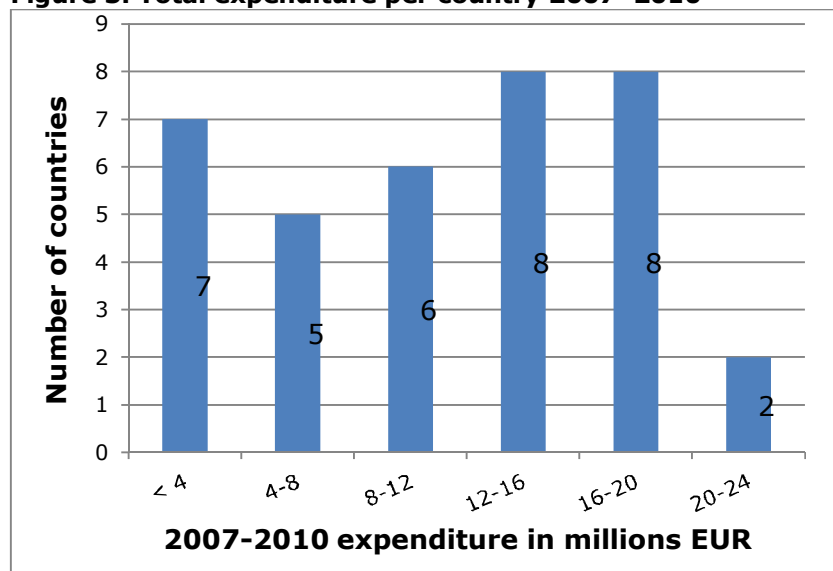


Figure 3 illustrates that seven countries spent less than €4 million in total during the period 2007–2010. Most of these countries are exit countries. A clear exception in this category is Cambodia, where SNV launched its programme more recently. Sixteen countries had a total expenditure of between €12–20 million. Eleven countries had an expenditure of between €4–12 million. Two countries, Mali and Bolivia, had a total expenditure of more than €20 million.

Figure 3. Total expenditure per country 2007–2010



Focal sectors

In its strategy paper 2007–2015, SNV announced it planned to be operational in eight practice areas.

Figure 4. SNV practice areas

- | |
|---|
| <p>GLOBAL PRACTICE AREAS</p> <ul style="list-style-type: none"> • Responsive and accountable local government • Market access for the poor • Collaborative forest management • Sustainable tourism <p>OTHER PRACTICE AREAS SPECIFIC TO A SINGLE REGION</p> <ul style="list-style-type: none"> • Renewable energy and biogas, Asia • Water management, Latin America • Dry-land management, Western Africa • HIV/Aids and peace building and conflict transformation in Eastern Africa <p>Source: SNV subsidy application 2007–2015. May 2006.</p> |
|---|

In 2008, SNV reorganized its work to focus on six sectors: agriculture, forestry, renewable energy, 'water, sanitation and hygiene' (WASH), education and tourism. In early 2011, SNV announced that it would further reduce the number of sectors to three: agriculture, WASH and renewable energy, with 'governance for empowerment' as a cross-cutting theme.

Figure 5. Total expenditure per sector 2008–2010

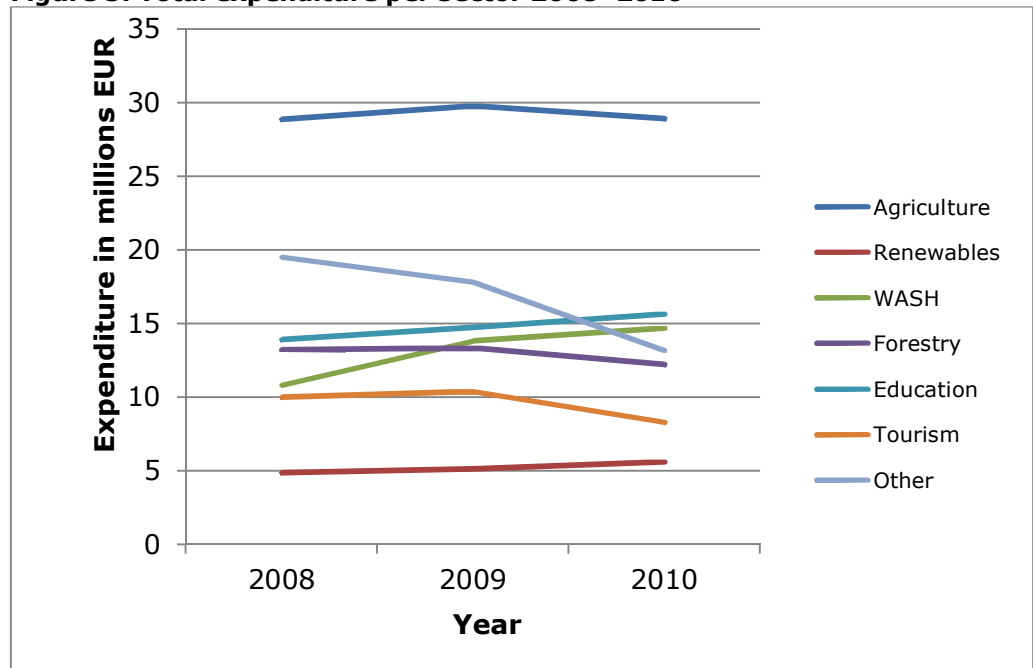


Figure 5 illustrates that most expenditures are made in the agricultural sector. With an average expenditure of close to €30 million per year, the agricultural sector's share comprises nearly 30% of SNV's annual total expenditure. Expenditures on WASH increased from €10 million to €15 million per year. SNV's contribution in terms of advisory days is modest in comparison to the total investment in biogas programmes.

3 Evaluability study

3.1 Introduction

IOB conducted an evaluability study to establish in advance whether the SNV programme *can* be evaluated, and which evaluation questions for this evaluation can be answered. 'Evaluability' is the extent to which an activity or a programme can be evaluated in a reliable and credible fashion.¹¹ An evaluability assessment will reveal whether the programme design is sound, and whether the required information is available, valid and reliable. It sheds light onto the need to conduct a policy reconstruction and to conduct more research in order to produce additional information. It is IOB's experience that this is almost always necessary. In SNV's case, this is all the more crucial since its programme is spread over several sectors and over 30 countries, making it difficult to conduct an evaluation that can generate general conclusions about SNV's effectiveness. Therefore, the evaluability study did not aim to make a 'go or no-go' assessment; rather, its aim was to create a clearer picture of the extent to which it would be possible to evaluate the SNV programme. This, in turn, made it possible to formulate relevant evaluation questions that are assumed to be answered satisfactorily.

A sound programme design assumes, in the case of SNV, that it has laid out its goals and objectives, and examined them in relation to programme activities. This information allows a comparison to be made between what is actually happening in the programme and what the programme was designed to achieve. Other assumptions are that SNV has formulated realistic and achievable goals, set plausible and measurable programme objectives, and has planned activities related to those objectives. If the goals or objectives are unrealistic or unattainable, or the activities are unrelated to the objectives, an evaluation is a waste of time and resources.

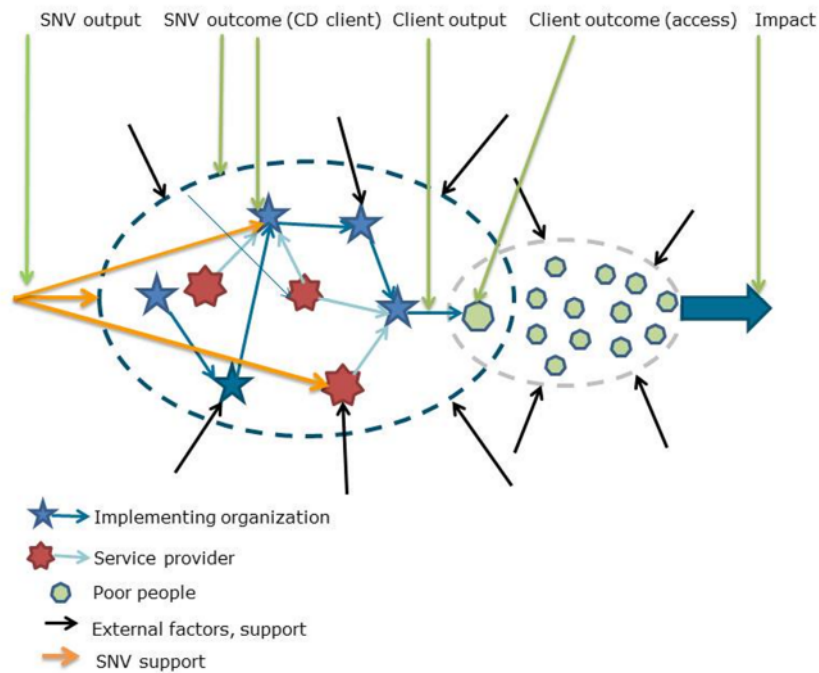
The availability of results information assumes that SNV has baseline studies, progress indicators that track change over time and information about results for the various levels of its programmes.

Figure 6 graphically illustrates the IOB's interpretation of SNV's theory of change and the context in which SNV aims to achieve its impact. The figure indicates that the results chain between SNV's output and achievement of objectives involves a long chain with many actors and external factors that may have an influence on intermediate and final results.

¹¹ OECD 2010. *Glossary of Key Terms in Evaluation and Results-Based Management*.

Figure 6. SNV intervention theory

Intervention theory



The illustration also indicates that SNV provides support to groups of clients at different levels. This combined support is assumed to generate changes at the system level with improved services for the poor, resulting in better access to these services and products by the poor and improved living conditions for the poor (impact).

3.2 Methodology

On the basis of a first scan of available documents and a mission to SNV Ethiopia, IOB drew some draft conclusions in July 2010 regarding the quality of the design of SNV's programme and sector documents, and of the availability of information. IOB concluded that the availability of essential information was uneven, incomplete at the higher levels (access to services and impact) and not sufficiently accessible for outsiders.¹² Both parties agreed that SNV would systematize and present the information available to it before 1 November 2011 so IOB could make a final assessment of the evaluability of SNV's programme.¹³

Collecting the required information and making it accessible in a standard format, involved a substantial effort on SNV's part in six countries in the three sectors that formed the tentative focus of the evaluation. The countries were Benin, Ethiopia, Tanzania and Vietnam, with Nepal and Rwanda as alternates in case evaluations were not feasible in one of the first countries; and the sectors considered were agriculture (value chains), renewable energy (biogas installations) and water, sanitation and hygiene (WASH).

¹² IOB presentation on 3 July 2011.

¹³ *Evaluability study: Mid-term evaluation SNV programme 2007–2015*. IOB. November 2011.

IOB received files from 18 of SNV's programmes. These originated in the six selected countries and the three sectors. All the files presented the available information in a uniform and systematic manner. Selected reference documents were made available on CD-ROM.

For each of the different result levels, IOB studied the availability and quality of:

- Baseline information
- Indicators that allow changes to be tracked over time
- The presence, validity and reliability of monitoring and evaluation information

IOB also assessed:

- The availability of system information such as the support of other donors and external international, national and local factors affecting the intervention
- The quality of the theory of change (ToC)

Figure 7 gives an overview of the findings. The horizontal axis presents the four results levels, SNV's output, the quality of the system information and the quality of the theory of change (ToC) underlying SNV's interventions.

Figure 7. The quality of information: Trends in three sectors

	Impact	Access	Client output	Client CD	SNV output	System info	ToC
Agriculture							
Cotton VC, Benin	⊕	⊕	n.a.	n.a.	⊕	⊕⊕	⊕⊕
Fruit VC (apple, pineapple and mango), Ethiopia	⊕⊕	⊕	⊕⊕	⊕⊕	⊕⊕	⊕⊕	⊕⊕⊕
Coffee VC, Rwanda	⊕⊕	⊕	⊕⊕	⊕	⊕⊕	⊕⊕	⊕⊕
Edible oil seeds VC, Tanzania	⊕	⊕⊕⊕	⊕⊕	⊕⊕⊕	⊕⊕⊕	⊕	⊕⊕⊕
Forest products VC, Nepal	⊕⊕	⊕	⊕⊕⊕	⊕⊕	⊕⊕	⊕	⊕⊕⊕⊕
Tea and cardamom VC, Vietnam	⊕	⊕	⊕	⊕	⊕⊕	⊕⊕⊕	⊕⊕
Renewable energy (Biogas sector)							
Biogas Benin	⊕	⊕	⊕	⊕	⊕	⊕	⊕⊕⊕
Biogas Ethiopia	⊕	⊕	⊕⊕	⊕⊕	⊕⊕	⊕	⊕⊕⊕⊕
Biogas Rwanda	⊕	⊕⊕	⊕⊕	⊕⊕	⊕⊕	⊕	⊕⊕⊕⊕
Biogas Tanzania	⊕	⊕⊕	⊕⊕⊕	⊕⊕⊕	⊕⊕⊕	⊕	⊕⊕⊕⊕
Improved watermill Nepal	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Biogas Vietnam	⊕⊕⊕	⊕⊕⊕⊕	⊕⊕⊕⊕	⊕⊕⊕	⊕⊕	⊕	⊕⊕⊕⊕
Water, sanitation and							

hygiene							
WASH Benin	⊕	⊕⊕⊕	⊕⊕⊕	⊕⊕⊕	⊕⊕⊕	⊕	⊕⊕
WASH Ethiopia	⊕	⊕ ⊕	⊕	⊕ ⊕	⊕ ⊕	⊕	⊕⊕
WASH Rwanda	⊕	⊕⊕	⊕⊕	⊕⊕	⊕⊕	⊕	⊕
Rural Water supply Tanzania	⊕	⊕	⊕⊕	⊕	⊕⊕⊕	⊕	⊕⊕
Sustainable Sanitation and Hygiene for All (SSH4A) Nepal	⊕	⊕⊕⊕	⊕⊕⊕	⊕⊕	⊕⊕	⊕	⊕⊕
SSH4A Vietnam	⊕	⊕	⊕⊕	⊕	⊕⊕	⊕	⊕⊕
⊕: Very Low ⊕⊕: Low ⊕⊕⊕: Moderate ⊕⊕⊕⊕: High							

3.3 Conclusions

On the basis of its study IOB concluded the following in response to the questions posed for the study.¹⁴

- SNV is clearly committed to poverty reduction and sustainable development. It aims to help strengthen the capacity of relevant organizations at the meso level. SNV's choice to support the agriculture, renewable energy and WASH sectors provides a logical avenue for achieving SNV's goals of poverty reduction and sustainable development.
- SNV recognizes the vital importance of power imbalances as a root cause of poverty and a factor that undermines sustainable development. SNV believes that 'governance for empowerment', which includes good governance and gender equity, is critical to all its work. However, at the sector level, the analyses and related strategies conducted by SNV remain weak, and results indicators regarding power issues are largely absent.
- SNV has no target group policy and identifies its beneficiaries at the target group level indirectly through the countries, subsectors and sectors it selects to work in. Consequently, SNV chooses its clients. It is through its clients' outputs that SNV expects to contribute indirectly to creating better living conditions for poor people. So the sectors, subsectors and clients that SNV selects are crucial, and determine whether or not SNV's support reaches poor people.
- SNV's theory of change is reasonably clear. However, the results chains have two serious deficiencies: 1) SNV's definition of impact is ambiguous and covers both changes in the living conditions of poor people as well as their access to basic services; and 2) SNV has no explicit theory of change in

¹⁴ In the letter from SNV to IOB dated on 6 March 2012, SNV acknowledges the gaps in the information available regarding the cases of SNV and that the quality and quantity of information available on the different result levels vary from result level to result level as well as from sector to sector. SNV supports the evaluation approach proposed in the ToR.

relation to capacity development that is supported by indicators that allow changes to be systematically tracked over time. SNV uses client output as proxy evidence that capacity development has taken place.

- At a corporate level, SNV has not specified its objectives in terms that can be measured over time. SNV's objectives are basically a political commitment and a guide for the further implementation of SNV's programme at the country level. SNV's sphere of influence is limited in case it provides only technical support for capacity development, and the results chain between SNV's input and impact tends to be long and complex. As a result, it is not at all clear beforehand whether, or to what extent, SNV is in a position to contribute to poverty reduction and sustainable development – which makes it difficult to attribute changes in outcomes and impact to SNV support. SNV's sphere of influence is bigger when it provides financial support and technical support, which is the case, for example, with the value chains in Ethiopia or the biogas programme in Vietnam.
- SNV's grant application provides little relevant information to suggest that the proposed programme will meet its objectives. SNV's strategy is rather ambitious regarding impact achievement (improvements in the well-being of poor people), with a clearly defined role for SNV as an advisor/facilitator. In practice, SNV's strategy revolves around advisory services and the facilitation of multi-stakeholder platforms. This approach is innovative. However, there is no evidence of its effectiveness. The absence of reliable evaluations produced by SNV and the lack of evidence from other quarters makes it impossible to judge the feasibility of SNV's programme.^{15,16}

IOB's final conclusion is that it is not possible to conduct an evaluation that can draw representative conclusions for SNV's entire programme and all result levels since the absence or low quality of the available information necessitates additional research beyond the remit of this evaluation.

A feasible evaluation is one that critically analyses SNV's way of working and presents results as far as available information allows with some additional in-depth studies. The aim of the in-depth studies is to unearth sufficient information so insights can be drawn about SNV's effectiveness in relation to access poor people have to services and products and capacity development of its clients, but not regarding impact (improvement wellbeing poor people).

This option will be further developed in the following chapter.

¹⁵ 'Not all evaluators comment on outcome. Those who do, indicate that outcome is difficult to assess due to a lack of data. Nonetheless, outcome is generally evaluated rather positively. Unfortunately this is rarely backed by quantitative or qualitative data collected by SNV, and is almost exclusively expressed in client comments during interviews by evaluators. It could be made more tangible by improving data measurement. Moreover, we must keep in mind that client satisfaction is not the same as good outcome.' 'Regarding impact, evaluations are rather divided. Many indicate that it is difficult to measure the impact, for various reasons. Some indicate positive impact and others indicate that no impact was achieved.' Source: *SNV evaluations analyzed: Lessons learned from past evaluations 2007-2008*. 10 April 2009. Pippa M. Groenenberg, Warner strategy and Fundraising.

¹⁶ The evaluators underscore (1) the fact that no impact data are available, (2) no clear target groups are defined and related to this outcome, and impacts are poorly formulated and reported. Source: Memorandum SNV, 16 June 2011, *Albania country programme evaluation 2007-2010*).

4 Evaluation framework

4.1 Objectives

The objective of the evaluation is to generate insights and conclusions that fulfil the accountability and learning purpose of this evaluation. The accountability purpose will be realized by assessing SNV's effectiveness and efficiency within the limitations as will be explained in the next section. The learning purpose will be realized by a critical analysis of the translation of the subsidy agreement into SNV policies and how SNV operationalized these policies in its way of working in the countries where it operates, and by researching the factors that explain the degree of SNVs effectiveness and efficiency.

The evaluation takes the position that SNV's clients and the system in which they operate are open systems that function in and respond to complex environments. It assumes that SNV's clients are embedded in wider systems that transcend geographical levels (local, national and global). The evaluation also takes the position that capacity development is a non-linear, endogenous process – that is, it develops from within – rather than something that results from outside support. Some of the implications for the evaluation are, for example, that external factors need to be taken into consideration and that SNV's support will be discussed from the perspective that capacity development originates from within their client's organisation.

4.2 Limitations of the evaluation

The conclusion of the evaluability study that availability of information is limited means the evaluation is also limited in its ability to measure effectiveness and efficiency.¹⁷ The number of programmes to be evaluated also needed to be reduced.

Effectiveness will not be studied at the impact level (e.g. changes in the socio-economic status of the ultimate beneficiaries) in the four in-depth studies as this will require efforts beyond the scope of this evaluation. Impact information will thus only be included as far as reliable information is available from earlier evaluations of SNV activities and relevant international research. Effectiveness will be measured at the outcome level, i.e. output of clients and the access (and use) by ultimate beneficiaries (poor people). While it is definitely possible to determine the way in which access to services has improved, the establishment of causal linkages with SNV activities is challenging because SNV uses a wide range of intermediaries (in particular the local partners, or clients).

The evaluation will measure efficiency only in terms of SNV's output-input ratio (Figure 11, p. 29). In addition, the evaluation will present the costs of SNV services in relation to achieved results in terms of their clients' capacity development and outputs. However, measuring efficiency is limited by the difficulty of converting results in capacity development in monetary terms (or other units of measurement that can be compared to costs).

Optimal representativeness will be aimed for through the selection of countries, sectors and programmes that are typical of SNV's policy and the conditions under which SNV works. IOB's selection of the countries, sectors and programmes for this evaluation was done with SNV's consent.

¹⁷ The evaluation follows the DAC/OECD criteria for evaluations. *Glossary of Key Terms in Evaluation and Results-Based Management*. OECD/DAC. 2002.

4.3 Main evaluation questions

Policy reconstruction:

The policy reconstruction covers three separate but closely related subjects; the relationship between the Ministry and SNV, SNV's way of working and some institutional aspects.

Ministry–SNV relationship

- 1) What was the underlying rationale for the Ministry to provide a subsidy to SNV, and what conditions did the Ministry attach to the subsidy?
- 2) On the basis of which considerations did SNV revise its policy, and how large an impact did the Ministry's conditions have on these changes?

SNV's way of working

- 3) What are SNV's criteria for country selection?
- 4) How does SNV operate, and what is SNV's position in the countries?
- 5) How does SNV support endogenous capacity development?

Specific institutional aspects

- 6) What is the nature of SNV's collaboration with the embassies?
- 7) How has SNV's localization process been implemented?
- 8) Does SNV have a PM&E system in place that makes it possible to monitor SNV's performance and effectiveness, and adjust its policy?
- 9) Has SNV succeeded in diversifying its resource base?

Effectiveness:

- 10) How effective has SNV support been in terms of strengthening the capacity of its clients (or client groups) and their outputs?
- 11) Has poor people's access to services and products and how they use them changed, and to what extent is this attributable to changes in the outputs of SNV's clients?
- 12) What factors explain the degree of effectiveness of SNV's support?

Efficiency:

- 13) How efficient is SNV in terms of its output/input ratio?
- 14) What are the costs of the services provided by SNV in relation to the changes in capacity development of its clients (group of clients) and their outputs?
- 15) What factors explain the degree of SNV's efficiency and the cost of its services?

The answers to the questions will be disaggregated to the greatest extent possible by gender with particular attention on the effects on women.

For the in-depth studies, the more general questions stated above will be specified according to programme characteristics (see also Table 5 and Annex 1 for preliminary questions).

4.4 Scope

4.4.1 Evaluation period

The evaluation covers the period 2007–2010 and 2011 to the extent that information is available. Programmes that received SNV support before 2007 may be included if it was continued during the evaluation period.

4.4.2 Sector and country selection

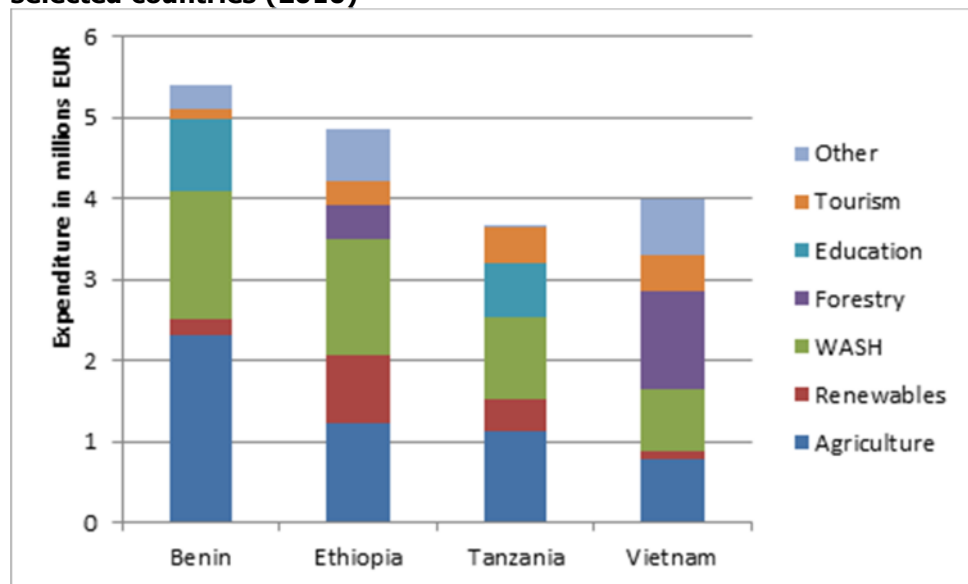
The evaluation's initial focus was on the three sectors in which SNV will continue to work; agriculture, water, sanitation and hygiene (WASH) and renewable energies.

SNV's expenditure in these three sectors was about 50% of its total expenditure (Figure 8).

The main consideration for country selection was that SNV had substantial programmes there in these three sectors. From the countries IOB could choose from, it deliberately selected Benin, Ethiopia and Tanzania in order to focus on Africa as this continent is expected to receive the biggest share of the ministry's support in the future. Vietnam was selected as a contrasting case in Asia. The countries represent different development stages and different types of bilateral relations (Vietnam, transition; Tanzania, RNE exit; Ethiopia and Benin regular MDG). The consequence of this sampling may be that the country selection is positively biased towards countries with a better enabling environment for SNV's work.

Annex 2 provides an overview of SNV's expenditures in the three sectors in the four selected countries for the period 2007-2010. Figure 8 illustrates that the expenditure in 2010 were a substantial share of SNV's total expenditure, ranging from around 70% (Benin, Ethiopia and Tanzania) to 40% (Vietnam).

Figure 8. Share of total SNV expenditure in EUR in the three sectors in selected countries (2010)



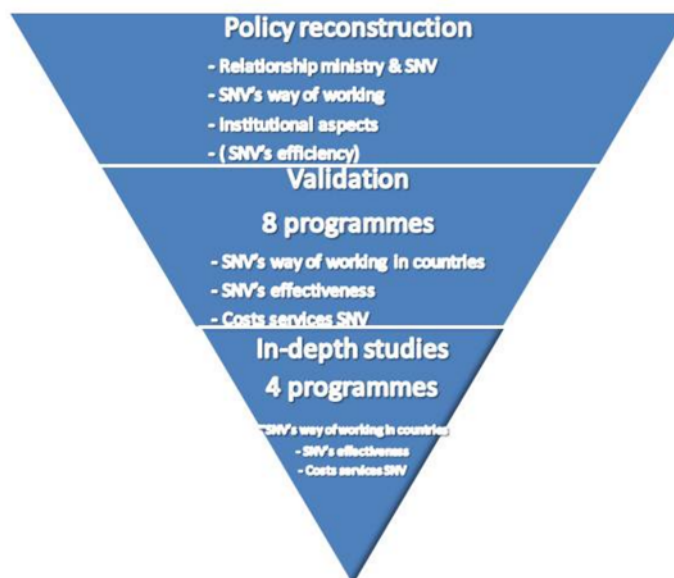
4.5 Research design

The research consists of three parts:

- **Policy reconstruction** to study the relationship between the Ministry and SNV, SNV's policy development and way of working in the countries, and of four specific institutional aspects that were part of the subsidy agreement 2007–2015; complementarity, localization, PM&E and SNV's resource diversification.
- **Validation** – a study of eight programmes to document SNV's way of working in those programmes and to assess SNV's effectiveness and efficiency to the extent that the available information permits.
- **In-depth studies** (4) to unearth sufficient information so conclusions can be drawn about SNV's way of working, effectiveness in relation to the access poor people have to services and products and capacity development of its clients, but not regarding impact (improving poor people's well-being) and efficiency.

The total sample therefore consists of 12 programmes.

Figure 9. Research design



Together, the policy reconstruction, validation and in-depth studies should result in conclusions that are representative of SNV's work in the three selected sectors of agriculture, renewable energy (biogas) and water, sanitation and hygiene. To achieve this, it is necessary to correlate the findings of the three research components, in order to establish a link between the findings of the four in-depth studies and SNVs policy and way of working and vice versa. The function of the study of the eight programmes is to enhance the external validity of the conclusions of the in-depth studies by presenting the diversity of the contexts in which SNV is working and the results it achieves.

IOB selected the 12 programmes from the three sectors. Each programme will be analysed from a systems perspective. The system includes all organizations and institutions, and the external factors that are crucially important for achieving the objectives, including all external support and the inputs of the clients themselves (Figure 6).

The IOB team will conduct the policy reconstruction and validation. The four in-depth studies will be commissioned. See Table 7 in section 4.10 ('Planning') for further details. A provision has been made in the budget to conduct some specific studies in case, if necessary, to support the policy reconstruction.



4.5.1 Policy reconstruction

Ministry–SNV relationship and SNV's policy development

The study of the relationship between the Ministry and SNV's policy development will start by presenting the origins of the subsidy agreement 2007–2015, which is an unusually long period. Next, the reconstruction will describe how this agreement evolved over time to be revised and ultimately replaced by a new agreement at the end of 2011. Next, the reconstruction will analyse how great an impact these conditions had on SNV's policy.

SNV's way of working in countries

SNV's way of working in countries will be reconstructed from the perspective of capacity development as an endogenous process. SNV's capacity development support focuses on identified bottlenecks (at the system level or organization level),

that prevent the system or organization from delivering the necessary performance to achieve impact.

The guiding themes are:

1. How SNV reaches poor people by identifying its programmes and clients.
2. How SNV supports its clients to identify and design their capacity development programmes.
3. How SNV support its clients to implement capacity development programmes.
4. How SNV functions as a learning organization.

Annex 3 gives a more detailed overview of those four themes. Information will be collected from the policy reconstruction, but in particular from the validation and in-depth studies.

Specific institutional aspects

The evaluation will document the processes and the results of the four specific institutional aspects that were emphasized in the subsidy agreement 2007-2015, namely complementarity, localization, PM&E and SNV's resource diversification. Next, the evaluation will attempt to correlate them with SNV's effectiveness.

The perceived quality of SNV's PM&E system will be based on the quality of the information that is available in the programme files, how this information has been made available at the corporate level and how this information has been used for management and accounting purposes. The quality of SNV's corporate evaluations will be assessed against the quality criteria that IOB uses to assess the programme evaluations conducted under MFS I.¹⁸

Table 3 presents the research methodology for the policy reconstruction.

Table 3. Evaluation matrix policy reconstruction

Aspect	Indicator	Data source	Research method
Ministry-SNV relationship	The reconstruction of the relationship will be descriptive	<ul style="list-style-type: none"> • Ministry files • SNV files • Key ministerial informants • Key SNV informants 	<ul style="list-style-type: none"> • Desk study • Specific interviews
SNV's way of working in countries	The reconstruction of SNV's way of working will be descriptive (see Annex 3)	<ul style="list-style-type: none"> • SNV strategic documents • Files 12 programmes • SNV clients • Outsiders 	<ul style="list-style-type: none"> • Desk study • Specific interviews
Inst. aspects			
• Localization	*	•	<ul style="list-style-type: none"> • Desk study • Specific interviews
• Complementarity	*	•	<ul style="list-style-type: none"> • Desk study • Specific interviews
• PM&E	<ul style="list-style-type: none"> • Design of interventions is of good quality and informed by analysis (Annex 3) • Results data of interventions is systematically available (Annex 3) • SNV produced agreed number of good quality corporate evaluations 	<ul style="list-style-type: none"> • Files of programmes • SNV corporate evaluations • SNV key informants 	<ul style="list-style-type: none"> • Desk study • Interviews
• Diversification resource base	• Measures taken by SNV to diversify its resource base% of SNV's budget externally financed	<ul style="list-style-type: none"> • SNV files • SNV key informants 	<ul style="list-style-type: none"> • Desk study • Interviews

¹⁸ *Methodische kwaliteit van programma-evaluaties in het medefinancieringsstelsel-I 2007-2010* ('Methodological quality of programme evaluations in the Dutch cofinancing system-I'). IOB, December 2011.

	<ul style="list-style-type: none"> Prospects 2015: Value pipeline Diversity of donors 		
* Indicators still need to be identified			



4.5.2 Validation

The validation consists of a study of eight programmes and will be conducted on the basis of available material such as monitoring and evaluation reports. It will give insights in SNV's way of working, effectiveness concerning: 1) capacity development clients, 2) the related changes in the outputs of clients, and 3) the changes in access of poor people to services and products and how this was influenced by the outputs of SNV's clients. Limited field research will be conducted to check the validity and reliability of available data and to collect some information that may be critical for drawing conclusions. Next, the study of eight programmes is expected to give insight in the costs of SNV's output in relation to the capacity development of its clients and their outputs.

The eight programmes were selected by IOB from a broader sample presented by SNV (Table 4). This study – to be conducted by the IOB evaluation team – will result in a description of SNV's way of working and present results to the extent possible. The findings will be based on the results available in SNV's monitoring and evaluation system and some additional research conducted by the IOB evaluation team in the four countries.

Table 4. Overview of programmes for evaluation

	Programme period	Investment SNV**	Involvement RNE	Involvement other donors
Benin				
Cotton value chain	2007–present	SNV PPds***: 6041 LCB : 1353	Y	DGIS
Biogas	2008–present	SNV PPds: 1077 LCB : 555	N	DGIS/ABP Hivos
WASH****	2008–present	SNV PPds: 4918 LCB : 1714	Y	EKN
Ethiopia				
Fruit value chains	2007–present	SNV PPds: 2613 LCB : 1289	Y	DGIS Irish
Biogas	2008–present	SNV PPds: 1566 LCB : 334	N	DGIS/ABP Hivos
WASH Programme	2008–present	SNV PPds: 4004 LCB : 1759	Y	DGIS UNICEF WSP
Tanzania				
Oil seed value chain	2007–present	SNV PPds: 3301 LCB : 611	N	DGIS
Biogas	2008–present	SNV PPds: 1493 LCB : 163	N	DGIS/ABP Hivos
Rural water supply	2007–present	SNV PPds: 2138 LCB : 1054	Y/ PATA	DGIS
Vietnam				
Tea and cardamom value chain	2009–2012	SNV PPds: 2481 LCB : 1733	Y	Cordaid IPADE DGIS
Vietnam national biogas programme	2007–2012	SNV PPds: 1834 LCB : 403	Y	DGIS
SSH4A*	2010–2011	SNV PPds: 2428 LCB : 2930	Y	AusAid DGIS IPADE Vietnam Min. of Agriculture

*This programme also includes the related pilot and research programmes.
 ** From 2007 till mid-2011.
 *** (PPDs) Primary process days are the advisory days made available by SNV through its own staff or associated local capacity builders (LCB). Not included are the services SNV makes available through consultants contracted by SNV.
 **** ***Programmes in bold and italics are tentatively selected for in-depth studies***



4.5.3 In-depth studies

The in-depth studies will shed light on SNV's way of working and effectiveness in terms of: 1) capacity development of its clients, 2) the related quantitative and qualitative changes in the outputs of clients, and 3) the changes in poor people's access to services and products, and how this was affected by the outputs of SNV's clients. Assessing effectiveness at the access level will be done through primary research at the community and household levels. The possibilities of comparing non-beneficiaries and alternative products or services will be explored. The research methods will differ for each of the in-depth studies. Next, the in-depth studies are expected to shed light on the costs of SNV's output in relation to its clients' capacity development and outputs.

The selection criteria for the programmes for the in-depth studies are that they should:

- a. Be illustrative of SNVs approach in the sector concerned;
- b. Have a substantial SNV investment;
- c. Have results data available;
- d. Be operational during the period 2007–2011, or prior to 2007 and continued after 2007.

The tentative in-depth studies selected from the 12 programmes mentioned above are WASH in Benin; the fruit value chain in Ethiopia; the oil seeds value chain in Tanzania; and biogas in Vietnam. The tentative selection may be changed should better options to conduct the in-depth studies emerge during the inception phase.

4.6 Effectiveness appraisal

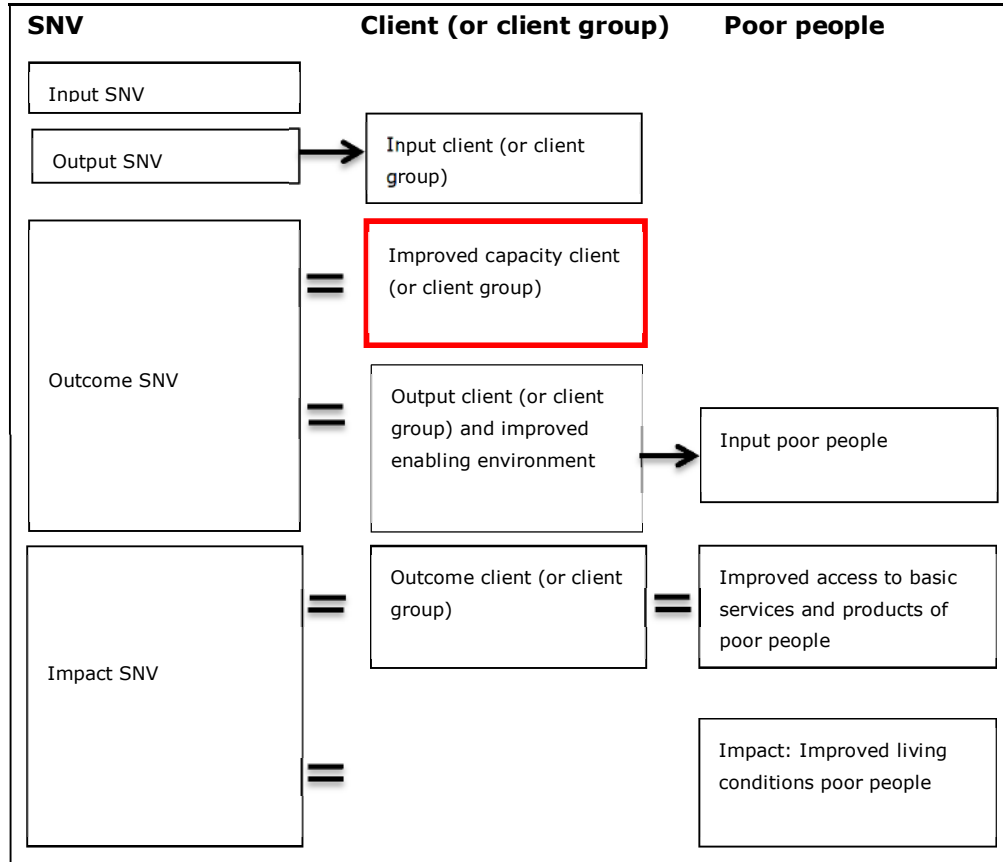
Figure 10 presents in general terms SNV's results chain, in which the capacity of the client or group of clients takes a central position. Improved client (group) capacity has been placed in the centre as this is where SNV's effectiveness is expected to initially materialize.

IOB distinguishes four broad result areas from SNV's intervention theory: 1) capacity development client (or client group), 2) output client (or client group), 3) access poor people, and impact.

Annex 1 gives an overview of how evaluation question 10 ('How effective has SNV support been in terms of strengthening the capacity of its clients (groups) and their outputs?') has been further detailed in specific questions.

Table 5 provides the evaluation matrix to assess SNV's effectiveness. The matrix serves as a guide for the validation and in-depth studies. SNV's results chain has been reallocated in this table in accordance with the results levels as defined by IOB. This has been done at the general level and for the three sectors. A difficulty in drafting this matrix was that SNV intervenes at different levels, sometimes simultaneously. In the biogas sector, for example, SNV may help the Ministry to manage the programme, provide training for masons and may help potential buyers to acquire credit (Figure 6). Strengthening the position of masons is thus not necessarily an outcome of the Ministry.

Figure 10. Results chain



That the capacity development of SNVs clients is not a linear process and is influenced by many factors, and not only SNV's support, implies that the history (biography) of the client's organization needs to be systematically documented, in particular regarding the realization of its objectives and how these contribute to changing society. This is the context for documenting and analyzing SNV's support.

Table 5. Evaluation matrix effectiveness

Results level IOB	Definitions and indicators SNV*				Information source	Research technique
	General	Indicators: Agriculture/value chains	Indicators: Renewable energy/biogas	Indicators: Water, sanitation and hygiene (WASH)		
Better living conditions for poor people	Related improvements in the well-being of poor people	<ul style="list-style-type: none"> Poor smallholders and workers have improved their living conditions (more money to spend) 	<ul style="list-style-type: none"> Poor biogas installation owners have improved their living conditions (more money to spend) Biogas installation owners (women) have improved health Poor people work as masons, etc. and have increased their incomes Reduction of CO₂ Environment is protected (less deforestation) 	<ul style="list-style-type: none"> Poor households have improved health and nutrition (reduction in child mortality and weight loss) Poor households have more time for school and livelihoods (increased productivity and incomes) 	<ul style="list-style-type: none"> Evaluation reports 	<ul style="list-style-type: none"> Part of study 8 programmes <p>Note: Research about impact at this level is not part of the in-depth studies</p>
Poor people's access to basic services and products	Better access to good quality basic services (BASE) and increased productivity, income and employment (PIE)	<ul style="list-style-type: none"> Poor smallholders use new technology, are eligible for credit and have access to the market Poor smallholders have increased production Poor workers are employed 	<ul style="list-style-type: none"> An increase in the number of biogas installations owned by poor people Biogas plants are functioning according to specifications Biogas is used according to good practice (for cooking and light) Biogas slurry is used according to good practice (to increase agricultural production) 	<ul style="list-style-type: none"> Poor people use sanitary facilities (toilets) Poor people improve their hygiene behaviour Poor people maintain their sanitation facilities Poor people/households use sufficient and safe drinking water 	<ul style="list-style-type: none"> Evaluation reports External sources Households Non-beneficiaries SNV files Client files Target group files (cooperatives, etc.) 	<ul style="list-style-type: none"> Desk study Interviews In-depth study may include: <ul style="list-style-type: none"> Descriptive statistics On-site observations Household survey Market/ product analysis Comparison with non-beneficiaries Inter-programme comparison
Output client (or client group)	The improved performance of clients (or	<ul style="list-style-type: none"> Relevant technical, financial and R&D services delivered to 	<ul style="list-style-type: none"> An increase in the number of biogas plants constructed 	<ul style="list-style-type: none"> A % increase in the number of adequate operation and 	<ul style="list-style-type: none"> Client files SNV files Target group files 	<ul style="list-style-type: none"> Desk study Interviews

output:	groups of clients), for the poor.	<ul style="list-style-type: none"> o poor producers o New market opportunities made available to poor producers 	<ul style="list-style-type: none"> o An increase in the proportion of households (particularly poor households) receiving formal credits to acquire biogas plants o National programme implemented 	<ul style="list-style-type: none"> o maintenance systems in place o An increase in the number of water sources with safe water sustained o Hygiene promotion o An increase in the number of sanitary toilets o An increase in the number of hand-washing stations 	(cooperatives, etc.)	
	Improved enabling environment for performance**	<ul style="list-style-type: none"> o *** 	<ul style="list-style-type: none"> o 	<ul style="list-style-type: none"> o 	<ul style="list-style-type: none"> o 	<ul style="list-style-type: none"> o
The capacity development of clients (or client groups)	Client (or client group) enabled to perform better	<ul style="list-style-type: none"> o Strong farmers organizations o Strong chain actors (processors and retailers) o Strong subsector organizations o Strong service providers 	<ul style="list-style-type: none"> o Potential buyers take informed decisions to buy biogas plants o Potential buyers have bargaining power o Owners know how to use and maintain biogas plants o Qualified companies, masons and banks to service the biogas market (delivery and maintenance) o A sustainable biogas sector (adaptive and innovative) o A supportive government 	<ul style="list-style-type: none"> o Functioning WASH multi-stakeholder processes (i.e. proper budget, M&E system in place, active participation of civil society organizations and women in decision making, plans and strategies developed and implemented, sharing of information) o More women and minorities in water management structures o More resources mobilized for WASH at the municipal, district and regional levels o Stronger client leadership and sector coordination o Improved rural WASH sector master planning o More focus on sanitation in policies, planning and 	<ul style="list-style-type: none"> o SNV files (assignment agreements, outcome reviews, end of contract scores, etc.) o Clients o Resource persons (outsiders) 	<ul style="list-style-type: none"> o Desk study o Interviews o Most significant change story (panel) o Information structured and analysed with 5CC framework

				<ul style="list-style-type: none"> o implementation o Making WASH end-users' voices heard and improving accountability o Improved responsiveness to consumer demands o Stronger sector cooperation, coordination and networking 		
SNV output	Output: The quantity and quality of SNV's services	<ul style="list-style-type: none"> o Budget o Number of PPDs o Facilitation of multi-stakeholder processes o Advisory services o Lobbying national and regional policies o Advocacy 	<ul style="list-style-type: none"> o Budget o Number of PPDs o Facilitation of multi-stakeholder processes o Advisory services o Lobbying national and regional policies o Advocacy 	<ul style="list-style-type: none"> o Budget o Number of PPDs o Facilitation of multi-stakeholder processes o Advisory services o Lobbying national and regional policies o Advocacy 	<ul style="list-style-type: none"> o SNV files (client satisfaction assessment, timetel, etc.) o Clients o Resource persons 	<ul style="list-style-type: none"> o Dossier study o Interviews
<p>* The indicators serve as illustrative examples and are by no means exhaustive. The assessment will be done on the basis of the operationalized indicators as available in SNV's programme files. ** Improved enabling environment is placed under output client, even though it is at a different level than performance clients *** Indicators still need to be identified.</p>						

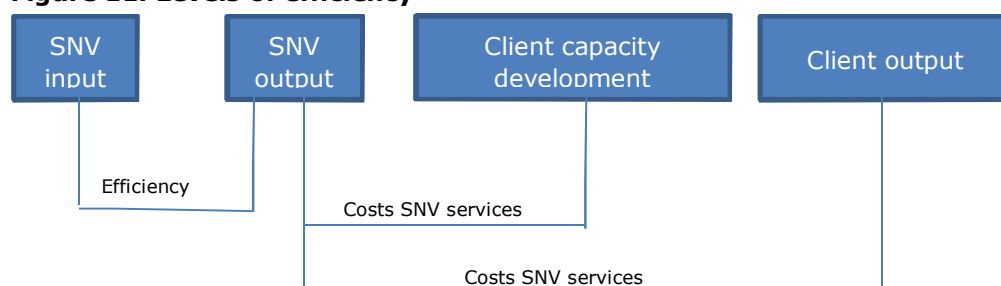
4.7 Efficiency appraisal

Since measuring efficiency is limited by the difficulty of converting results regarding capacity development and access into monetary terms (or other units of measurement that can be compared to costs) and to establish causal relations between SNV's support and these results, IOB has opted for an efficient form of measurement that focuses only on SNV's internal processes. Next, the evaluation will attempt to shed light on the costs of SNV's services in relation to achieved results concerning developed capacity and client output (figure 11).

The two main evaluation questions under this heading are:

- How efficiently does SNV operate in terms of its output/input ratio?
- What are the costs of the services provided by SNV in relation to the capacity development of its clients (group of clients) and their outputs?

Figure 11. Levels of efficiency



SNV's efficiency will be measured in terms of the value of the services it provides in proportion to the Ministry's subsidy (Table 7). This question can be answered on the basis of information available at SNV's head office in The Hague.

The presentation of the costs of SNV services will contain details of the knowledge or information SNV's clients have of the costs of these services, their ability and willingness to pay for these services and the availability of cheaper acceptable alternatives for similar services.

Table 6. Evaluation matrix efficiency, costs SNV services

Efficiency level	Criteria	Information source	Research method
Efficiency	<ul style="list-style-type: none"> • Subsidy DGIS • Rates PPDs 2007–2010 (SNV staff, local capacity builders). • Volume of PPDs per annum (SNV staff, local capacity builders). • Rates SNV compared to other consultants 	<ul style="list-style-type: none"> • Administration SNV corporate level 	<ul style="list-style-type: none"> • Desk study • Specific interviews
Costs SNV services in relation to CD and output clients	<ul style="list-style-type: none"> • Costs SNV services delivered • Appreciation of clients about price/quality ratio of SNV services compared to price/quality ratio of services provided by other organizations. 	<ul style="list-style-type: none"> • Administration SNV country level • SNV's clients, partners, competitors 	<ul style="list-style-type: none"> • Eight programmes • Four in-depth studies • Desk study • Specific interviews • Product analysis • Inter-programme comparison

4.8 Products

4.8.1 Inception report on in-depth studies

The team leader is expected to produce an inception report in collaboration with the specialist consultants eight weeks after the start of the assignment. This inception report should propose a methodology and approach for the in-depth evaluations of the effectiveness of specific SNV programmes in four countries (as discussed in section 4.5.3 and 4.6). In preparing the inception report, the consultants should go on short missions to the selected countries.

The final draft of the inception report will be reviewed by the internal IOB peer review team and the reference group. After taking into account the outcomes of these consultations, a go/no-go decision will be taken by the director of IOB about the actual implementation of the in-depth studies. If the decision is positive, the consultants will be expected to conduct the in-depth evaluations and prepare the reports on the four in-depth studies (section 4.8.2).

The inception report should include:

- A short description of the four selected programmes, including:
 - Description of the programmes' inputs (financial and human resources), approach and organization, key stakeholders, etc.¹⁹
 - Analysis of the intervention theory of the programme (target, inputs, objectives)
 - Analysis of the intervention logic regarding capacity development.
- A specification of all main evaluation questions according to the programme characteristics (on the basis of the general questions stated in 4.3).
- An evaluation matrix, specifying for each question:
 - Indicators
 - Data sources (methods for collection)
 - Evaluation methods (qualitative and/or quantitative)²⁰
- The selection of the clients, and communities (compared), to be researched, whereby the possibility of comparing these beneficiaries with non-beneficiaries and users of alternative products or services should be ascertained.
- A list of key informants in the programme
- Detailed work plan (including planning and human resources)
- Specification of the budget for the study
- Limitations of the proposed research approach and methodology

The inception report should ensure that the following conditions are met in each in-depth study:

- Sufficient number of participating households in the client programme (minimum sample size)
- Availability of local control groups (households not participating in programmes related to SNV and its clients)
- Clear matching criteria (non-programme sensitive indicators)
- Sensitive (valid) result indicators (at outcome level)
- Insight into confounding factors (e.g. other donors)

Moreover, the final inception report should pay attention to the way in which the results of the separate in-depth studies will be synthesized (cross-cutting conclusions on the main evaluation criteria).

¹⁹ IOB has first drafts of the programme descriptions available.

²⁰ The chosen research methods should make it possible to generate the required information within the limitations of the available resources (budget and time).

4.8.2 Reports of in-depth studies

The team leader will submit separate reports of each of the four in-depth studies for approval by IOB. Each report, written in English with an executive summary, will have a maximum length of 50 pages, excluding annexes. The reports are made available to SNV for fact-checking. The team leader will respond to comments made by SNV through IOB. These reports will be used as a source of information for IOB and will not be published (available on request).

4.8.3 Evaluation report

The evaluation report will present the findings of the policy analysis, the study of the 12 programmes and the in-depth studies. The main findings respond to the evaluation questions. The evaluation report will be written in English with a summary in the Dutch language. The evaluation report, together with a response from the Minister for European Affairs and International Cooperation, will be sent to Parliament.

4.9 Organization of the evaluation

4.9.1 General reference group

A general reference group will be established to ensure the quality of the evaluation. Its main task will be to provide advice to the director of IOB regarding the quality and relevance of the ToR, the inception report, the in-depth study reports and the draft evaluation report. The general reference group consists of external referents professor Menno Pradhan, University of Amsterdam; professor Louk de la Rive Box (former rector of ISS) and associate professor Joy Clancy, University of Twente; for SNV, Andy Wehkamp, regional director for West and Central Africa; for the Ministry of Foreign Affairs, Loes Lammerts (DSO/MO). The reference group is chaired by the director of IOB. The members of the general reference group will put their advice regarding the quality of the draft evaluation report in writing, after which the director of IOB will take a final decision.

If there are dissenting views regarding the content of the synthesis report, they will be explained in the synthesis report.

4.9.2 IOB team

IOB's responsibilities for the evaluation will be taken on by a core team composed of IOB evaluator Piet de Lange, Phil Compennolle as advisor for the in-depth studies, and research assistant Rafaëla Feddes. As mentioned in section 4.5, the IOB team will conduct the policy reconstruction, the validation and write the evaluation report.

The IOB internal peer-review team consists of IOB evaluators Paul de Nooijer and Henri Jorritsma, chaired by IOB director Ruerd Ruben. The peer-review team will review interim products such as the inception reports and the reports of the in-depth studies and be available for friendly advice.

4.9.3 Consultants

The assignment for the consultants concerns four in-depth studies that will 1) describe SNV's way of working, 2) assess the effectiveness of SNV's support in terms of the capacity its clients have developed, output of clients and poor people's access to services and products and, 3) assess the costs of SNV's services in relation to the capacity its clients have developed and client output.

The responsibility for the assignments rests with the team leader in collaboration with the specialist consultants and includes developing a research approach and associated methodology, ensuring proper conduct of the evaluation process, and producing accurate evaluation reports that meet IOB standards and answer the evaluation questions (Annex 4).

The main tasks of the team leader include:

- Identifying and contracting consultants for the four in-depth studies, in consultation with the IOB evaluator
- Designing the evaluation approach and methodology
- Planning, coordinating and performing quality control of the four feasibility studies and in-depth studies
- Submitting the inception report that includes the four feasibility studies for each of the four in-depth studies
- Submitting separate evaluation reports of each of the four in-depth studies

The team leader should have extensive experience in conducting mixed-method evaluations (quantitative and qualitative), multi-stakeholder evaluations, management of multi-disciplinary evaluation teams and avail of a network of experienced evaluators preferably from the four countries and the three sectors concerned.

To ensure that the in-depth studies are conducted at a high standard, it is important that the consultant team meets the following qualifications:

- Evaluation expertise (qualitative and quasi experimental research designs)
- Capacity development expertise
- Sector/country expertise
- Financial expertise
- Gender expertise

IOB will contract the team leader in compliance with the EU public procurement law, who in his turn will identify and contract the consultants.

The team leader and consultants must not have been involved in any way in the design or implementation of SNV's programme in the three sectors that are the focus of the evaluation, nor may they have commercial interests that compete with SNV's interests.

4.10 Planning

The plan is to have the evaluation completed no later than one year after the framework contract with the main consultant has been signed.

Table 7. Planning evaluation

	01	02	03	04	05	06	07	08	09	10	12	13	14
Approval ToR (IOB)	X												
Tender procedure (IOB)	X	X	X										
Policy reconstruction (IOB)	X	X	X	X	X	X							
Contract team leader (IOB)			X										
Study of eight programmes (IOB)			X	X	X	X	X	X	X				
Final selection 4 in-depth studies (IOB)			X										
Feasibility study (ET)				X	X								
Go/no-go inception report (IOB)					X								
In-depth studies (ET)						X	X	X	X				
Approval of in-depth studies (IOB)										X			
Evaluation report (IOB)									X	X	X		
Evaluation report approved (IOB)													X

4.11 Budget

Tender 4 in-depth studies

Feasibility study

Coordination team leader 15 days

4 feasibility studies

40 days

4 missions 5 days

Inception report

5 days

Subtotal

-----+

Implementation 4 in-depth studies

Coordination team leader 20 days

80 days researchers

4 surveys

4 missions 5 days

Subtotal

-----+

Subtotal tender

-----+

4 Specific studies *

3 sector studies

1 efficiency study

Subtotal

-----+

Reference group

3 external referents, 3 meeting

IOB

IOB travel

8 missions; DSA tickets

Evaluation report

Full editing of evaluation report, ToR

Production and printing of evaluation report,

500 copies

IOB newsletter; 300 copies

Subtotal

-----+

Subtotal

-----+

5% Contingency

19% BTW (VAT) tender

TOTAL € (rounded off)

-----+

Annex 1. Specific questions on effectiveness

Effectiveness

How effective has SNV support been in terms of strengthening the capacity of its clients (or client groups) and their outputs?

1. *How has the capacity of SNV's clients (or client group) changed?*
 - 1.1 What is the present level of capacity of SNV's clients (or client group)?
 - 1.2 How has the capacity of the client (group) changed in recent years in relation to its development objectives (outcome statement)?
 - 1.3 Is the client (group) capable of lobbying for an enabling environment?
 - 1.4 To what extent has the client (group) changed in gender awareness?
 - 1.5 Has client output changed, and to what extent are these changes attributable to changes in the clients' capacity?
 - 1.6 Does the client (group) have a monitoring system in place to systematically monitor its output?
 - 1.7 What external factors have the most significant impact on the client (group)? How have these factors changed over time, and which of these external factors were particularly relevant to their capacity?
 - 1.8 What are the most important internal factors? How have these factors changed over time, and which of these internal factors had a particularly significant impact on the capacity of the client (group)?
 - 1.9 How did SNV help improve its clients' capacity development?
 - 1.10 How has SNV's support induced change in the capacity of the client (group), and what kind of changes has it introduced at the system level?
 - 1.11 What conditions have clients introduced in their organization and enabling environment to sustain the present capacity level?
 - 1.12 Do SNV clients consider SNV support to have added value (compared to other support)? If so, why?

Annex 2. SNV total expenditures 2007–2010 for three sectors per country

	2007	2008	2009	2010	Total 2007-2010
Vietnam	2,879,702	3,017,221	3,586,498	3,983,963	13,467,384
Benin	3,343,762	4,616,210	5,172,671	5,393,603	18,526,246
Ethiopia	2,478,736	3,696,276	5,015,680	4,853,653	16,044,345
Tanzania	3,453,596	4,072,457	4,660,243	3,676,667	15,862,964
Total	12,155,796	15,402,165	18,435,091	17,907,886	63,900,938

Annex 3. Reconstruction framework of SNV's way of working

Themes	Pointers
SNV invests in a qualitative process to identify the interventions and its clients	<ul style="list-style-type: none"> • SNV's selection of the type of intervention is underpinned by a solid assessment of poverty problems and their root causes and opportunities for sustainable development • The client's objectives are relevant to the problems of the poor and to the root causes of these problems • The client's strategy and outcome statement are based on a systematic identification and analysis of poverty problems and their root causes • A systematic assessment has been conducted to determine whether the client and target groups are capable of achieving their objectives and results
SNV supports clients in identifying and designing their capacity development programmes	<ul style="list-style-type: none"> • SNV has advised the client of the following where necessary: <ul style="list-style-type: none"> • The client's strategy is an adequate response to the problem of poverty and its root causes • The client has developed a theory of change regarding capacity in relation to its strategy/outcome statement • This theory is useful given the capacity constraints, their causes and overriding factors • The client has formulated its capacity development programme according to SMART principles • The client systematically plans, monitors and evaluates its results
SNV's support for capacity development is result-oriented	<ul style="list-style-type: none"> • SNV's support: <ul style="list-style-type: none"> • Reflects state-of-the-art knowledge • Is harmonized with other donors • Is formulated according to SMART principles • Is systematically planned, monitored and evaluated
SNV is a learning organization	<ul style="list-style-type: none"> • SNV uses the results of PM&E as a feedback mechanism and to improve • SNV advisors participate actively in knowledge and learning networks • SNV has systematic training and staff development at its disposal (including performance appraisals)

Annex 4. IOB assessment framework for evaluations

	Validity
1.1.1	The problem definition concisely formulates the criteria on which the subject is to be evaluated. The evaluation questions arise from the problem definition.
1.1.2	Unambiguous description of the benchmark criteria- such as effectiveness- that are applied in the evaluation.
1.2.1	List, description and parameters of the operational population of component activities (type, target group, location, period, organisation, financial scope, etc.) to which the evaluation results relate.
1.2.2	Relevant policy-related background information and principles, and an account of the institutional setting in which the subject of the evaluation operates.
1.3.1	Description of policy theory including the assumptions about the causal and final relationships underlying the interventions evaluated and about the input/output/outcome hierarchy.
1.3.2	Degree to which the indicators defined at the various result levels can be considered specific, measurable and time-related.
1.4.1	Degree of care with which the information sources have been selected; accuracy and transparency with which data from these sources have been analysed and processed.
1.4.2	Degree to which the conclusions are actually underpinned by the evaluation results.
	Reliability
2.1.1	Accurate identification and justification of the methods and techniques applied in the evaluation.
2.1.2	Degree to which data have been checked, and a range of different sources/methods used for collecting data about the same characteristics and phenomena.
2.2.1	Degree to which the conclusions drawn from the sample evaluated or case studies conducted apply to the entire evaluation population.
2.2.2	Identification and explanation of any shortcomings in the evaluation and limitations on the general applicability of the findings and conclusions.
2.3.1	Degree to which the selection and content of the information sources consulted, particularly documentation and respondents, were independent of parties with an interest in the evaluation, e.g. contracting authorities, implementing agencies and beneficiaries.

2.3.2	Degree to which the evaluators operated and reported independently from parties with an interest in the evaluation, e.g. contracting authorities, implementing agencies and beneficiaries.
2.4.1	Account and explanation of the progress of the evaluation, including any modifications to the original design.
2.4.2	Checks on the design and/or conduct of the evaluation by a supervisory or steering group within or outside the MFS organisation(s).
	Usefulness
3.1.1	Clarity of the stated aim of the evaluation (external to the evaluation itself), for which the evaluation results will be, or have been, used.
3.1.2	Degree of clarity and completeness with which the essence of the evaluation (especially its main findings) are reflected in the evaluation report and its summary.
3.2.1	Extent to which the conclusions fully answer all the evaluation questions.
3.2.2.	Practical feasibility of the recommendations presented and the degree to which they lie within the capacity of the parties responsible, especially those that commissioned the evaluation.