

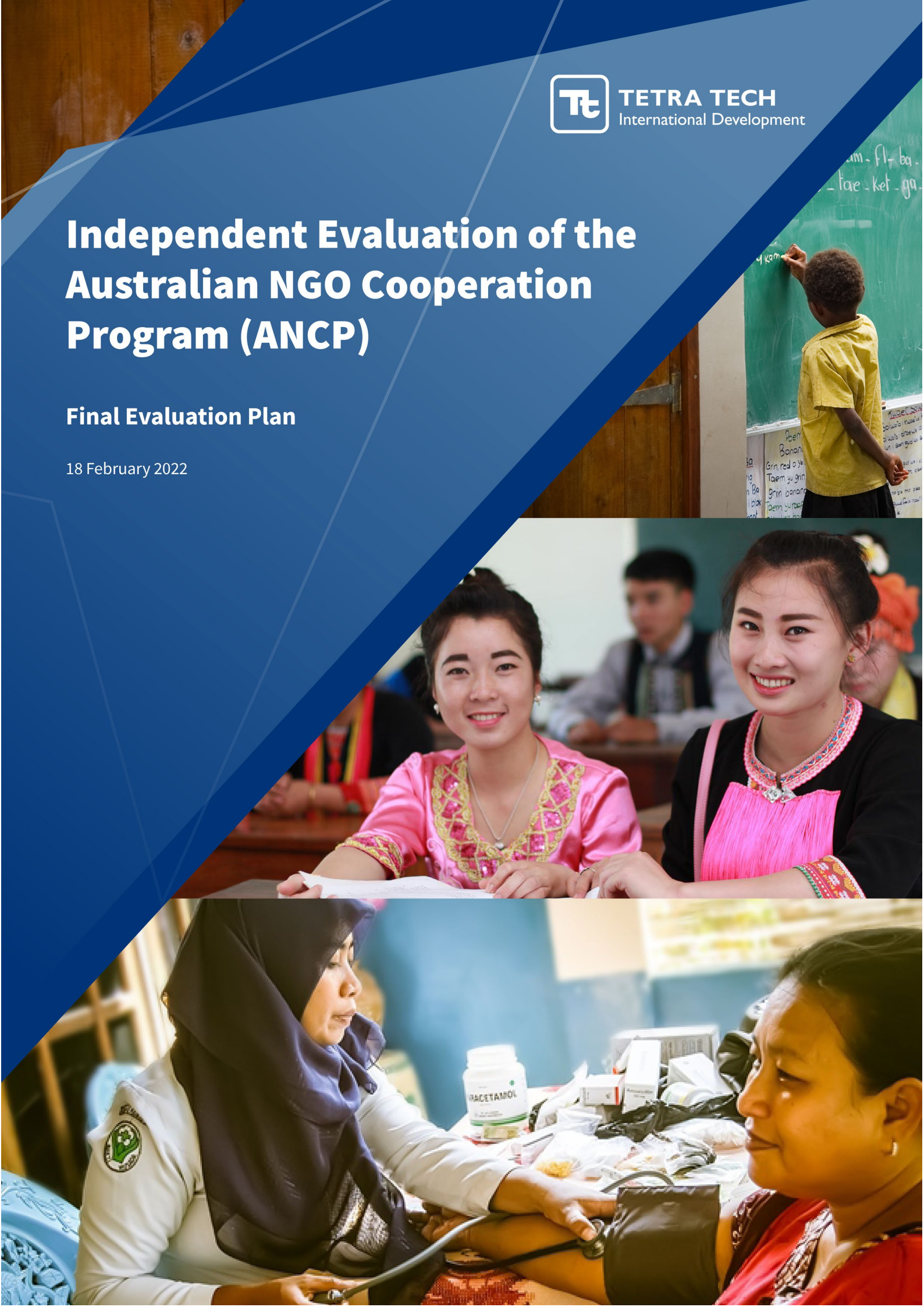


TETRA TECH
International Development

Independent Evaluation of the Australian NGO Cooperation Program (ANCP)

Final Evaluation Plan

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List of Acronyms

ACFID	Australian Council for International Development
ANCP	Australian NGO Cooperation Program
ANGO	Australian Non-Government Organisation
CBAF	Criterion Based Assessment Framework
DANIDA	Danish International Development Agency
DFAT	Department of Foreign Affairs and Trade
DPC	Development Practice Committee
EoPO	End of Program Outcome
ERG	Evaluation Reference Group
EWG	Evaluation Working Group
FCDO	Foreign Commonwealth Development Office
GEDSI	Gender Equality, Disability and Social Inclusion
LIP	Local Implementing Partner
MFAT	Ministry of Foreign Affairs and Trade
MEL	Monitoring, Evaluation and Learning
NORAD	Norwegian Department for Development Cooperation
NPQ	NGO Program and Partnerships Section
ODA	Official Development Assistance
OPD	Organisations of persons with disabilities
RDE	Recognised Development Expenditure
SIDA	Swedish International Development Cooperation Agency
ToR	Terms of Reference
USAID	United States Agency for International Development

Evaluation Plan for the Independent Evaluation of the Australian NGO Cooperation Program (ANCP)

1 Introduction

The Department of Foreign Affairs and Trade (DFAT) has engaged Tetra Tech International Development (Tetra Tech) to undertake an independent evaluation of the Australian NGO Cooperation Program (ANCP).

This document describes how the review of the ANCP will be undertaken from November 2021 to August 2022.

1.1 Purpose of the Evaluation Plan

The Evaluation Plan has been developed by the Tetra Tech evaluation team with input from DFAT and the Development Practice Committee (DPC) of the Australian Council for International Development (ACFID). The document builds on the evaluation team's proposal and addresses the Terms of Reference (ToR) by providing specific details on how the evaluation will be implemented. This includes details on the approach, methodology, tools and how the work will be allocated among team members.

In addition to the Evaluation Plan, the ToR asked that a Key Issues Paper be developed. The Key Issues Paper is an important output during the early phase of the evaluation. It enables the evaluation team to develop a solid understanding of the management and administration of the ANCP and clarify the critical issues for examination through the evaluation. The final Key Issues Paper will be shared with stakeholders.

The Key Issues Paper is an inception document with the purpose of presenting the issues associated with each key evaluation question (KEQ). The analysis has been used to build on and refine the Evaluation Framework developed as part of the Evaluation Plan. The Evaluation Framework presents the evaluation questions, judgement criteria, evaluation methods and sources of evidence. The Key Issues Paper drew on a range of data sources including existing ANCP documentation, international literature, interviews with relevant DFAT staff, ACFID and a sample of ANCP accredited Australian Non-Government Organisations (ANGOs).

The draft Evaluation Plan was shared with the Evaluation Reference Group (ERG) which comprises of ACFID's Development Practice Committee, the Evaluation Working Group (EWG), DFAT's Development Policy Division and ANGOs. All parties provided comments and feedback on the document through feedback sessions and/or consolidated written feedback. The evaluation team, in close consultation with DFAT, updated the Evaluation Plan addressing the feedback to the greatest extent possible. The feedback was taken into account in the development of the Final Evaluation Report.

This document constitutes the final version of the Evaluation Plan and represents the key point of reference for this evaluation. To ensure consistency and one point of reference the Key Issues Paper can be found at Annex 7 of this Evaluation Plan. The Stakeholder Engagement and Communication Plan (at Annex 4) will remain a live document throughout the period of the evaluation, and be updated as required.

1.2 Background and Context of the Australian NGO Cooperation Program (ANCP)

The ANCP is a unique global program that supports trusted Australian NGOs through flexible annual grants for effective development projects overseas. It is the key partnership between Australian-based Non-Government organisations (ANGOs) and DFAT. The ANCP is DFAT's largest support mechanism for ANGOs. Since 1974, it has supported poverty alleviation projects in developing countries through funding to Australian NGOs.¹ The ANCP is managed by the NGO Program and Partnerships Section (NPQ) within the Development Policy Division of DFAT.

By working with effective ANGOs, the Australian Government aims to achieve quality development outcomes and to extend the reach of Australia's development program. ANGOs engaged in international development provide a unique capability to further the achievement of Australia's development program through their public support in Australia; grass roots connection with communities; and their ability to operate in conflict affected and complex environments to reach the poorest and most marginalised people.

The overarching objective of the ANCP is to progress Sustainable Development Goals (SDGs) through supporting inclusive development, and open and transparent civil society. The ANCP is an ongoing program, so the end of program outcome (EoPO) should be considered 'ongoing', and is stated as:

¹ ANCP was established in 1974 to support accredited ANGOs through annual grants to implement their own projects and strategic priorities, consistent with the goals of the Australian development program.

“in partnership, ANCP seeks to contribute to Australian Government and partner country priorities to reduce poverty and promote sustainable and inclusive development.”

To realise the ANCP outcome, there are three inter-related outcome pathways that ensure the ANCP is positioned to deliver towards its final outcome, and contribute to the overarching goal:



Outcome Pathway 1: ANCP Modality – flexible funding to ANGOs to deliver outcomes



Outcome Pathway 2: Development Outcomes – ANGOs work with in-country partners



Outcome Pathway 3: Public Diplomacy – communicating the impact of the ANCP in partner countries and in Australia.

These pathways, when combined, explain how the ANCP works with ANGOs through an ongoing flexible funding modality to deliver value-for-money development outcomes. The ANCP supports accredited ANGOs to work with in-country partners, to deliver effective and inclusive development programs with a focus on Gender Equality, Disability and Social Inclusion (GEDSI). The ANCP also supports Australia's public diplomacy efforts through communicating the program's impact in partner countries and in Australia, and supporting people-to-people links.

1.2.1 Evolving Development Policy Context

Australia's development program has undergone considerable change over the past fifty years. Change has occurred in the administration of the program, its focus, the major countries receiving Australian aid and the type of aid provided. Australia's spending on Official Development Assistance (ODA) as a proportion of government expenditure continues its downward trajectory, falling from 1.32 per cent in 2012–13 to 0.62 per cent in 2020–21. Australia's ODA will remain at \$4 billion in 2020–21, down \$44 million from 2019–20 and in line with the Government's freeze on aid funding expected to remain in place until 2022–23².

In May 2020, the Australian Government acknowledged COVID-19's threat to global development with the release of its development policy response, *The Partnerships for Recovery: Australia's COVID-19 Development Response (2020)* (PfR). The policy refocused the development program on minimising the pandemic's impact in the region, with particular focus on helping governments in the Pacific and Southeast Asia deliver essential medical and social services, strengthening health systems, and providing economic recovery measures, including emergency budget support.

ACFID welcomed Australia's PfR strategy, but criticised the lack of additional funding for its delivery, calling on the Government to do more to address health and livelihoods in the Asia-Pacific and the growing humanitarian crisis around the globe.

PfR identifies NGOs as a critical part of Australia's international development efforts. ANCP NGOs and their in-country partners have particular skills, networks and reach, and the ANCP allows them to design and deliver projects to these strengths. The DFAT *Working with Non-government organisations: Effective Development Partners Statement*³ broadly outlines the Australian Government's approach to working with NGOs to support its development program. DFAT recognises that complex development challenges require partnerships between government and civil society and that NGOs can act as agents of change.

During the last decade, much attention has been given to the effectiveness of ODA. One central issue is that of aid modalities⁴ i.e. the methods used to finance development activities. It is clear that the way ODA is delivered affects outcomes, and some aid modalities are argued to be more effective than others. When identifying modalities, donors are also balancing their resourcing and capacity with the ambitions of development effectiveness. Donors will continue to spread risks by using a range of aid modalities. Therefore, it is important to discuss complementarities between aid modalities as well as why they are singularly effective.

DFAT is committed to enhancing the capability of the NGO sector as development partners and is committed to continuing to focus on identifying how the ANCP and its funding arrangements can support enhanced ANGO effectiveness.

² Parliament of Australia. "Australia's foreign aid budget 2020–21." Accessed online 27 January 2022 at [Australia's foreign aid budget 2020–21 – Parliament of Australia \(aph.gov.au\)](https://aph.gov.au)

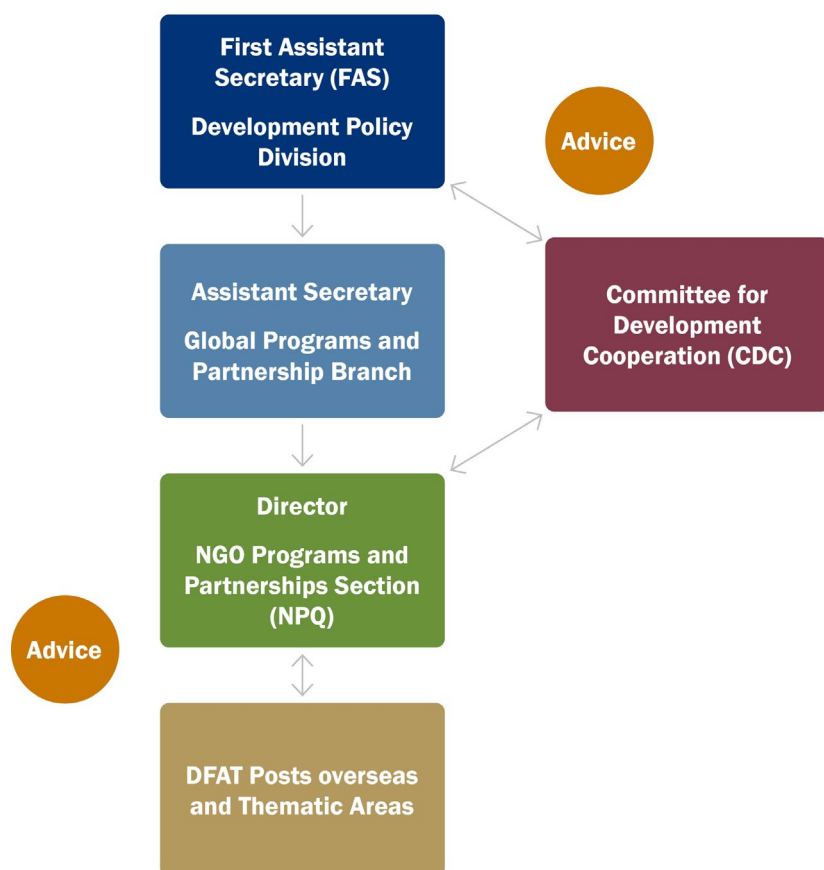
³ DFAT. "Working with Non-government organisations (NGOs): Effective Development Partners Statement." Accessed online 27 January 2022 at [Working with Non-government organisations \(NGOs\): Effective Development Partners Statement | Australian Government Department of Foreign Affairs and Trade \(dfat.gov.au\)](https://dfat.gov.au)

⁴ "An aid modality (or aid instrument), describes a way of delivering ODA. Aid modalities have primarily been distinguished according to the technical arrangements governing the disbursement and management of funds. These include: i) type and terms of finance; ii) disbursement channels; iii) procurement conditions; and iv) targeting and tracking of donor resources. And the choice of these features has been informed by the priorities of the aid effectiveness agenda.

1.2.2 ANCP Implementation and Management Arrangements

The ANCP Manual details the comprehensive management arrangements and expectations around program implementation. DFAT sets the program policy and manages ANCP risks, while NGOs are responsible for the design, delivery, monitoring and evaluation of activities, submission of reports and acquittals and for fully accounting for funds provided by DFAT. The ANCP is directly managed by the NPQ. DFAT Posts, Country Programs and Thematic Areas assist with the implementation of the centrally managed ANCP by setting overarching development program policy, and providing advice on ANGO projects to ensure the best possible development and public diplomacy outcomes. The four key roles for Posts, Country Programs and Thematic Areas in the ANCP include: nominating ANCP focal points; reviewing new, high risk and significantly amended Annual Development Plans (ADPlans); undertaking monitoring visits to ANCP projects, and engaging with NGOs. Figure 1 outlines the governance arrangements for the ANCP.

Figure 1: ANCP Governance Arrangements



DFAT's NPQ team based in Canberra performs the following activities in implementing and managing the ANCP⁵:

- Provide briefings and training for ANCP focal points
- Liaison with NGOs on DFAT feedback to ADPlans. Provide ADPlan data / information internally
- Provide funding, tools and support for monitoring activities
- Provide funding, tools and support for engagement activities
- Provide ADPlan and Performance Report data / information internally

The ANCP enables over 50 accredited ANGOs to deliver locally-led development projects in over 50 countries. Projects are delivered across a range of sectors including education, health, water and sanitation, food security and civil society strengthening and where it may be difficult for bilateral and regional programs to be delivered. This allows Australia to build relationships in new areas and to be involved in long-term programming. In 2020-2021, the ANCP distributed \$132.9 million in grant funding to support 57 ANGOs and over 2,000 of their local partners to deliver 406 projects across 50 countries.⁶

⁵ Further information on ANCP implementation and management activities is outlined in the Key Issues Paper." World Bank. "What do discussions about aid modalities and institutional change have in common?" Accessed online 27 January 2022

⁶ DFAT. "Australian NGO Cooperation Program (ANCP) Manual." Accessed 27 January 2022 online at [Australian NGO Cooperation Program Manual \(dfat.gov.au\)](https://www.dfat.gov.au/publications/australian-ngo-cooperation-program-manual)

ANGOs funded under the ANCP must pass a rigorous accreditation process that assesses an NGO's governance, program management capacity, partner management, links with and support from the Australian public, and financial and risk management. The accreditation scheme commenced in 1996 and has undergone continuous improvement in response to independent, management and administrative reviews.

In order to apply for accreditation, ANGOs must meet pre-eligibility criteria which will be assessed by DFAT prior to the commencement of the review process. The pre-eligibility criteria are:

- ANGO must be registered with the Australian Charities and Not-for-Profits Commission (ACNC).
- ANGO is not included on: the World Bank Listing of ineligible firms and individuals; the Asian Development Bank Sanctions List; the Attorney General's Department List of Terrorist organisations; or DFAT's consolidated list of individuals and entities subject to targeted financial sanctions, including relating to terrorism.
- ANGO must be a signatory to the Australian Council for International Development (ACFID) Code of Conduct.
- ANGO meets the relevant RDE threshold i.e. a RDE of \$50,000 minimum, averaged over three years, if applying for Base accreditation; or a RDE of \$100,000 minimum, averaged over three years, if applying for Full accreditation. Funding eligibility amounts are outlined in the ANCP Manual. ANGOs that have not previously been accredited, may need to undergo an RDE assessment by a financial assessor.
- ANGO must demonstrate a minimum two-year track record of managing development activities.

Accreditation includes an assessment of ANGO structures, systems and principles to verify their capability and the effectiveness and quality of development delivery. Accredited ANGOs receive funding based on two levels of accreditation: Base or Full. There are currently 17 Base accredited ANGOs receiving \$150,000 a year, and 40 Full accredited ANGOs receiving a minimum of \$300,000 a year. Full accredited NGOs also receive a proportion of the remaining funds after the base funds have been allocated.

A key aspect of the ANCP funding policy is the calculation of Recognised Development Expenditure (RDE). This is the *"total eligible contribution that each NGO receives from the Australian community for the organisation's own development assistance, emergency relief or rehabilitation activities overseas and development education in Australia"*⁷. A three-yearly average of RDE is used to: determine eligibility for accreditation to the ANCP; and calculate the annual grant amount for each Full level accredited NGO for the ANCP in line with the Funding Policy⁸.

Once accredited, ANGOs are eligible to receive an annual grant for which they develop an Annual Development Plan outlining proposed activities. A portion (up to 10%) of each annual grant may be rolled over to the next year – without approval from DFAT - if unspent. Any proportion of unspent funds greater than 10% requires approval from the Director of NPQ. DFAT wants to ensure it has management and implementation arrangements in place that best support ANGOs to continue their work in sometimes rapidly changing operating environments.

1.2.3 Development Disrupted and a 'Fit-for-Purpose' Modality

The global development sector is grappling with complexity - in a changing development landscape, donors are evolving as new players with new approaches to development cooperation and new aid modalities are making an increasingly important contribution to development. Research reveals a fragmented development ecosystem and an ever-expanding cast of players. It illuminates concerns about how to stay relevant in a world that is heading in many different directions at once. During this upheaval, development leaders are innovating, harnessing technology in exciting ways, using data to drive decision-making, and empowering partners on the front lines. In 2020, the ANCP was one of the first Australian Government programs to redirect a significant proportion of existing ANGO development programming to respond to the immediate impact of the COVID-19 pandemic.

There have been four main shifts in the current policy and operating environment impacting on the work of ANCP ANGOs that will need to be considered in light of its impacts on the effectiveness, efficiency, and relevance of the ANCP:

- ✓ Increasing challenges related to COVID-19, strategic competition and climate change
- ✓ Australian Government shifting development priorities in response to these trends
- ✓ Sector and systemic effectiveness
- ✓ Financial challenges facing ANGOs due to changing fundraising pressures.

1.3 Evaluation Purpose, Scope and Audience

The purpose of the evaluation is to identify ways to strengthen the management and implementation arrangements of the ANCP, particularly in response to the changing development and NGO context. The evaluation will provide learnings for the wider Australian development program. The proposed objectives of the evaluation are to:

⁷ http://aid.dfat.gov.au/ngos/ancp/Documents/rde_notes.pdf

⁸ Ibid.

1. Assess the efficiency and relevance of the ANCP modality, including the capacity of the ANCP to adapt and respond to emerging trends and issues in the international development and NGO sectors
2. Assess the effectiveness of the ANCP modality in facilitating ANGOs and DFAT to achieve or contribute to development outcomes
3. Make recommendations for improvements to the management and implementation of the ANCP in the context of the changing development and NGO sector policy and operating environment.

1.3.1 Evaluation scope

The primary focus of the evaluation will be formative. It will identify improvements to the management and implementation arrangements of the ANCP in the context of the changing development and NGO context.

Assessing the full impact of the ANCP on individuals and communities in developing countries across the globe is beyond the scope of this evaluation. Rather a secondary focus on impact will assess the effectiveness of the ANCP modality to assist ANGOs to help partners address development challenges, reduce poverty, build resilience and support sustainable development.

The evaluation will also consider the role of accreditation as a key process within the modality, noting that a detailed review of the effectiveness and efficiency of the accreditation process is being commissioned separately to this evaluation. The findings of this evaluation may inform this additional research.

1.3.2 Intended Users

The primary stakeholders and intended users of the evaluation include: DFAT staff in NPQ and other areas with development management responsibilities, ANCP ANGOs and ACFID. The evaluation team also recognises and will be responsive to the interests of a number of other stakeholders including: the Australian public; the local partners and participants of ANCP in developing countries, and other development organisations internationally.

1.4 Key evaluation questions

To ensure a common understanding of the evaluation, its objectives, expected outcomes and to obtain further buy-in from DFAT stakeholders, the Tetra Tech evaluation team conducted inception meetings with DFAT, as well as introductory discussions with the ERG and three preliminary focus groups with ANCP ANGOs. The evaluation team sought their feedback on the evaluation purpose and objectives, evaluation questions and explored their interests and stakes in the evaluation process and outcome.

From the discussions held, all stakeholders agreed with and found the objectives relevant and appropriate to meet the objectives of the evaluation. Based on these discussions, the evaluation team have proposed a refined set of key evaluation questions. Substantial insights were also provided through the preliminary consultations to assist in the development of sub-questions, inform appropriate data collection methods and various other contextual and operational advice. There was also interest that the evaluation explore: key stakeholder perceptions of the ANCP modality; its strengths and areas for improvement; and lessons learned to inform recommendations to improve the implementation and management of the ANCP.

These insights and feedback have informed the finalisation of the methodology and work plan contained within this document. The proposed and refined set of key evaluation questions are as follows:

1. **How effective is the ANCP modality in assisting ANGOs to reduce poverty and promote sustainable and inclusive development?**
 - 1.1. What are the major outcomes of delivering development through the ANCP?
 - 1.2. How has ANCP contributed to outcomes under Partnerships for Recovery?
 - 1.3. What are the features of the modality that contribute to or inhibit the delivery of outcomes? What is the relative importance of those features?
2. **What are the key trends and emerging issues in the international development and NGO sector context which may impact on the ANCP modality and DFAT-ANGO relationships, and how might they be addressed?**
 - 2.1. What are the anticipated key trends in the NGO sector and in international development and their impacts that will be most relevant to delivering aid through the ANCP modality over the next 10 years?
 - 2.2. What opportunities and risks does this changing context present for ANCP?
3. **Is ANCP supported by robust and appropriate monitoring, evaluation and learning (MEL) processes?**
 - 3.1. Does the current program logic adequately reflect the theory of change for the ANCP in the changing context, and how does the modality support this?

- 3.2. To what extent do ANCP MEL processes and systems generate robust evidence about the results and drive learning, policy and program improvement?
4. **To what extent is the ANCP modality, including management, implementation and funding arrangements, appropriate to the changing context and how can ANCP be adapted to be more relevant in the future?**
 - 4.1. How efficient are current ANCP management, implementation and funding arrangements in delivering against the ANCP's objectives in the changing context?
 - 4.2. What are the features of good practice in NGO funding that are relevant to the current context?
 - 4.3. What comparative models of NGO funding and program management has DFAT employed and what lessons can be learned from these?
 - 4.4. What comparative models of NGO funding and program management have other like-minded donors employed and what lessons can be learned from these?
 - 4.5. What are the management implications of the ANCP for DFAT and the NGO sector, and what are the lessons for the broader Australian development program?

2 Evaluation Approach and Methods

This section describes how information will be collected and analysed to answer the key evaluation questions. It covers the methodological approach underpinning the evaluation, identifies the main types of data collection tools and their sources, stakeholder engagement plan and a summarised work plan.

2.1 Methodological approach

We have planned for an approach and methodology that is responsive to the need to deliver the evaluation in a discrete and iterative process. The findings for each question will sequentially scaffold the evidence base to build on with evidence for the next question – this is part of Tetra Tech's progressive inquiry technique, that applies an approach whereby stakeholder engagement and emerging findings continually inform the evaluation approach and its ongoing refinement throughout the evaluation. The evaluation will draw evidence from existing reports and quantitative data, as well as review secondary qualitative data and collect primary qualitative data from identified stakeholders. Doing this will provide a more comprehensive picture and enable the evaluation team to triangulate findings in a robust way. The approach is also designed to work with the practical constraints of remote consultation. Therefore, to help meet the objectives of the evaluation, the methodology and inquiry will use:

Approach	How it will be used
Mixed methods approach	The evaluation team will combine different forms of data collection in a phased approach. The mixed approach is suitable as it will allow the evaluation to combine different methods and data sources to arrive at a richer and more nuanced understanding than what might be achieved through the use of a single method alone. The mixed approach will enhance the robustness and validity (both internal and external) of the evaluation as well as increase its credibility as it will not rely on a single source of data but rather multiple sources of data, which through a triangulation process present nuanced findings and recommendations. Both qualitative and quantitative data will be collected and integrated into analysis and synthesis.
Process and outcomes evaluation	In line with DFAT's expectations on understanding outcomes achieved but also on how the implementation was conducted, the evaluation team will assess both the process and quality of implementation and how that has led to the achievement of results. The evaluation will be primarily formative, while the summative components will be retrospective, evaluating past processes and results to assess performance. Using process-outcome analysis, the evaluation will seek to ascertain the relationship and effects of operational factors and results, to make recommendations into program feasibility and future implementation and management arrangements given the changing development context.

Approach	How it will be used
Contribution and attribution outcomes analysis	Acknowledging the complexity of international development programs where there are multiple actors, the evaluation team will assess the performance and impact of the ANCP through a contribution rather than the attribution lens. Primarily, the evaluation team will be looking for how the ANCP modality's management and implementation arrangements have contributed to outcomes, rather than seeking to attribute specific outcomes to the program alone. This will enable the evaluators to deal realistically with complexity, and for DFAT to understand how its efforts fit within a wider perspective and in what way ANGO partnerships are contributing to better outcomes.
Realist approach	The evaluation will apply a realist approach—that is, not only assessing outcomes achieved but also understanding what mechanisms have worked in which contexts, and what outcomes have resulted. The evaluation will tease out mechanisms/factors that have enhanced and undermined effective partnerships between ANGOs and DFAT historically and how that has shifted in the evaluative period 2016-2022. This will enable DFAT to determine future efforts and investments based on their likely effectiveness within the shifting and increasingly complex context.
Assessing GEDSI outcomes	The evaluation will assess the GEDSI outcomes and other GEDSI intended and unintended outcomes. The evaluation will look at how the ANCP modality has contributed (or not) to gender outcomes and advanced social inclusion of the marginalised groups. The evaluation will also assess any other unintended outcomes both positive and negative and how the outcomes have progressed benefits or undermined results.

2.2 Data collection tools

To implement the above evaluation approaches, we will utilise the data collection methods and tools shown below.

Method / tool	How it will be used
Phase 1a: Evaluation planning and preliminary consultations	
Evaluation criteria	To evaluate the program, the evaluation team has clearly defined and agreed on the evaluation criteria with reference to the extent to which the ANCP modality meets the outcomes and activities outlined in the Theory of Change and Theory of Action. This has been done collaboratively with DFAT, at the outset of the evaluation through workshops on the Theory of Action to jointly agree on the basis for assessment. This helps to improve objectivity and make the basis for conclusions transparent.
Analytical Framework	The evaluation's Analytical Framework describes how data collection and analysis will be used to answer the evaluation questions. It will help establish an agreed framework for the evaluation upfront and to guide analysis throughout. The evaluation team will use the Analytical Framework to jointly agree with DFAT on the type and extent of evidence required to answer the evaluation questions.

Method / tool	How it will be used
Stakeholder Engagement and Communication Plan	<p>The evaluation is designed to facilitate ANGO's participation, with multiple opportunities to provide input and feedback. The team will engage with stakeholders throughout the evaluation and utilise varying communication tools. The data collection and reporting phase will take place over February to June 2022 and will include a range of methods to engage with ANGOs. The evaluation aims to be accessible to and inclusive of diverse participants, including enabling the participation of people with disabilities facing particular barriers. For example, consideration will also be given to ensure that within the purposive sample of local implementing partners (LIPs) that are organisations of persons with disabilities (OPDs) will be included. Tetra Tech has worked with sign language interpreters previously and can arrange to engage Echo Interpreting to support consultations.</p> <p>The evaluation team are aware of the large amount of ANGOs, local partners and projects and plans that focus on some aspect of the key issues the evaluation will seek to address and we are coordinating our work with ANGOs, the DPC ERG and DFAT and other agencies to ensure rigorous consultation processes.</p> <p>The Stakeholder Engagement and Communication Plan provides the framework to do this. In late 2021, a purposive sample of ANGOs were invited to participate in some initial focus groups to help inform the team's planning and to clarify the most relevant issues for the future of the program. For a detailed stakeholder consultation list, see Annex 4.</p>
Phase 1b: Desktop and Literature Review	
Document review	<p>A thorough desktop review of both operational and reporting data for ANCP will be conducted. Initial descriptive analysis of the baseline program data allows knowledge of information available through progress reports and various departmental internal reports. This secondary data will be analysed against the Analytical Framework, which will generate initial findings and help the evaluation team to identify where primary data collection should focus. We will use NVivo software to structure the analysis and continue coding data to this throughout the evaluation.</p>
Contextual analysis	<p>The contextual analysis will be used to help give a holistic view of the changing development context; the whole environment in which the ANCP operates. The environment will span all the policies, institutions and processes including the accreditation and contracting process and the operational, MEL and reporting and communications aspects of the modality. This will help during the analysis to assess the contribution and attribution of the ANCP and understand what the findings mean in the context of the modality.</p>
Rapid literature review	<p>A rapid literature scan will be undertaken to capture literature and reporting from similar DFAT-funded and other donor-funded programs and modalities. This review will be light touch, to identify the most salient findings. The evaluation team will refer to the literature in more detail at later points if it helps to answer specific questions or triangulate findings from the primary data collection.</p>
Criterion based Assessment Framework	<p>The evaluation team will draw together the information collected through the desktop research and prepare two draft Criterion Based Assessment Frameworks (CBAF) detailing the explicit set of:</p> <ol style="list-style-type: none"> 1. Objectives and measurable criteria by which to assess good practice MEL – including a twin track approach to exploring gender, disability and social inclusion responsiveness via explicit criterion around monitoring of GEDSI plus through applying a GEDSI lens to all other criterion – DFAT have developed one before in the Independent Evaluation of DFAT Investment Level Monitoring Systems which will be leveraged here (refer to Annex 6 for an example) 2. Features of NGO funding modalities (which encompasses all features including but not limited to their governance, approach to GEDSI, management and implementation arrangements). <p>Once a broad outline of the CBAF has been developed, we propose to meet with DFAT and the DPC ERG to gain confirmation of this approach - a two and a half hour participatory workshop will be held where the CBAF will be tested and refined. Following confirmation of the approach, we will undertake the detailed development of specific criterion, including the qualitative methods for assessing the outcomes, in addition to the design of templates to</p>

Method / tool	How it will be used
	<p>collect additional qualitative information through the stakeholder interviews and literature review and case studies.</p> <p>The CBAF will inform the development of a set of consistent consultation and assessment tools which can be used to support meaningful and relevant consultation and outcomes, and to ensure that required information is accessed in an appropriately consistent way from each donor and ANGO.</p>
Case studies	<p>One of the primary purposes of the evaluation is to understand what is working (in addition to what is not working) and why in order to inform the modality and investment going forward. The evaluation also seeks to generate information about what is being implemented in line with best practice to inform broader discussions within DFAT and other stakeholders.</p> <p>Case study research methods will be used to document characteristics of comparable modalities used by other donors (n=7). A key consideration of the evaluation is identifying those conditions that support strong NGO modalities and how this can be strengthened and/or replicated across the Australian development program. It will be important to select cases that teach the most i.e. examples of especially effective performance management and of developing creative methods for responding to challenges.</p> <p>Case study methods are preferred when “how” and “why” questions are posed; the researcher has little control over events; the focus is on real-life contexts; and where the relationship between cause and effect is complex and multiple sources of evidence and triangulation of data are required – all of these factors are relevant in assessing NGO partnership funding and the ANCP.</p>
Nvivo database	<p>The evaluation will use NVivo, a data analysis tool, to organise and analyse data throughout the evaluation. The database will be established in this phase, and the data structured against the Analytical Framework. NVivo provides a data audit trail and management information system that ensures transparency, clarity and consistency in data analysis.</p>
Phase 2: Primary data collection and analysis	
Sampling framework	<p>Given the learning focus of this evaluation and the extensive amount of information available, purposive sampling will be used to select stakeholders to participate in consultation activities. ANGOs will be invited to participate in roundtables aligned with specific issues/themes of interest – all ANCP ANGOs will be given the opportunity to self select into at least one roundtable, insights will be gained into the factors which influence the effectiveness of implementation and administration arrangements of ANCP from the perspective of both DFAT and ANGOs.</p>
Key informant interviews	<p>Interviews can be used flexibly to gather data to answer the evaluation questions, understand stakeholder perspectives as well as seek a response to evaluation material (e.g., a draft review report). We anticipate using a mix of semi-structured and open interviews for these purposes, tailored to different stakeholders and phases. We also anticipate having remote and face-to-face interviews with a purposive sample of local partners and posts. KIIs will also be undertaken with accreditation reviewers.</p>
Focus group discussions	<p>In some cases, it is appropriate to group people together to enable more people to contribute, and for the group to interact with each other. We will use these group discussions where people are likely to feel able to participate freely (e.g., where there is no significant power differential, and where protocol is less likely to dictate who says what). For example, we may speak to representatives from ANGOs with base accreditation together or FGDs may be organised according to thematic topics with a cross section of large, medium, small NGOs participants.</p>
Local partners	<p>We will map stakeholders and engage with and collect data from local stakeholders in a sample of countries where ANGOs and local partners are operating. We will also consider the benefit in consulting with Peak Regional Bodies who may represent views of local partners. We know that working in a culturally appropriate manner enables community participation, and ultimately the inclusion of their perspectives and experience in findings.</p>

Method / tool	How it will be used
Other donors	We will undertake remote interviews with selected donors (i.e. The New Zealand Ministry of Foreign Affairs and Trade (MFAT), Canadian Aid, United States Agency for International Development (USAID), the Foreign Commonwealth and Development Office (FCDO), Norwegian Department for Development Cooperation (NORAD), Swedish International Development Cooperation Agency (SIDA) and the Danish International Development Agency (DANIDA), and the Irish Aid Civil Society Fund) who also deliver NGO funding to better understand incentives, drivers and management arrangements of this modality. We anticipate using a mix of semi-structured and open interviews for this purpose.
Phase 3a: Analysis and Draft reporting	
Validation & sensemaking workshops	Insightful findings are more than the result of crunching data. A significant and creative step is needed between consolidating the evidence and interpreting and communicating meaning. Through co-design and the use of collaborative spaces, we will hold validation workshops with DFAT, DPC and ANCP ANGOS throughout the evaluation process to ensure that every phase is participatory, and deliverables are acceptable and well understood. The timing and sequence of workshops are outlined in Section 3 (Work plan) and Annex 4 (Stakeholder Engagement and Communication Plan).
Emerging findings presentations	We will provide a briefings and findings presentations at the end of the desktop review phase after the data collection period through the Aide Memoire (to share emerging findings) and when the draft report has been submitted (to gather feedback on the findings and the recommendations made). The timing and sequence of these meetings are outlined in Annex 4. Stakeholder Engagement and Communication Plan.
Phase 3b: Final reporting & dissemination	
Communication tools/products	To accompany a brief, readable Final Evaluation Report that presents key findings, conclusions, and recommendations, we plan additional material aimed at improving the reach and use of the evaluation – such as a visually appealing 3-page executive summary which may include infographics. An additional Internal Recommendations Paper will also supplement the report with options for addressing matters raised that may not be appropriate for the Final Evaluation Report.

2.3 Sampling Framework

Step one: Purposive sample of ANGOS for consultation

Up to 9 x two-hour Focus Group Discussions (FGDs) and Thematic Roundtables will be conducted including:

1. 1 x two-hour FGD with ACFID
2. 8 x two-hour Thematic Roundtables aligned with the current issues disrupting development as outlined in the Key Issues Paper – ANGOS will be invited to self select into specific Roundtables noting that numbers for each roundtable will be capped and the evaluation team will monitor that every ANGO has had the opportunity to participate in at least one Roundtable.
 - a. COVID-19 and health security
 - b. Localisation
 - c. Fundraising landscape
 - d. DFAT-ANGO relationships
 - e. Climate Change
 - f. Humanitarian-Development Nexus
 - g. Geopolitics
 - h. Innovation

Step two: Purposive sample of DFAT posts and Canberra based staff for consultation

Following descriptive analysis of the program data examining: countries, sectors, level of funding, number of actors and strategic importance to Australia, the evaluation team have provided DFAT with a proposed list of posts and staff in Canberra to interview and conduct FGDs with. This list is outlined below and subject to final approval. Once finalised, it will be updated in the Stakeholder Engagement and Communication Plan at Annex 4. This limited number will allow for in-depth analysis within the existing resource envelope for this evaluation. These FGDs and KIs will be particularly important for identifying enabling and inhibiting factors for the program and assessing their relative importance.

Up to 5 x one-hour FGDs with Posts will be conducted (1 Pacific, 3 Asia and 1 Other) including:

- 1 x Melanesia including Solomon Islands, Papua New Guinea, Fiji and Vanuatu⁹
- 1 x Bangladesh, Pakistan, Sri Lanka, Nepal
- 1 x Mekong Countries including Myanmar, Laos, Cambodia and Vietnam
- 1 x Indonesia and Timor Leste
- 1 x Middle East and Africa including Egypt, Ghana, Ethiopia, Kenya, Uganda, Zimbabwe.

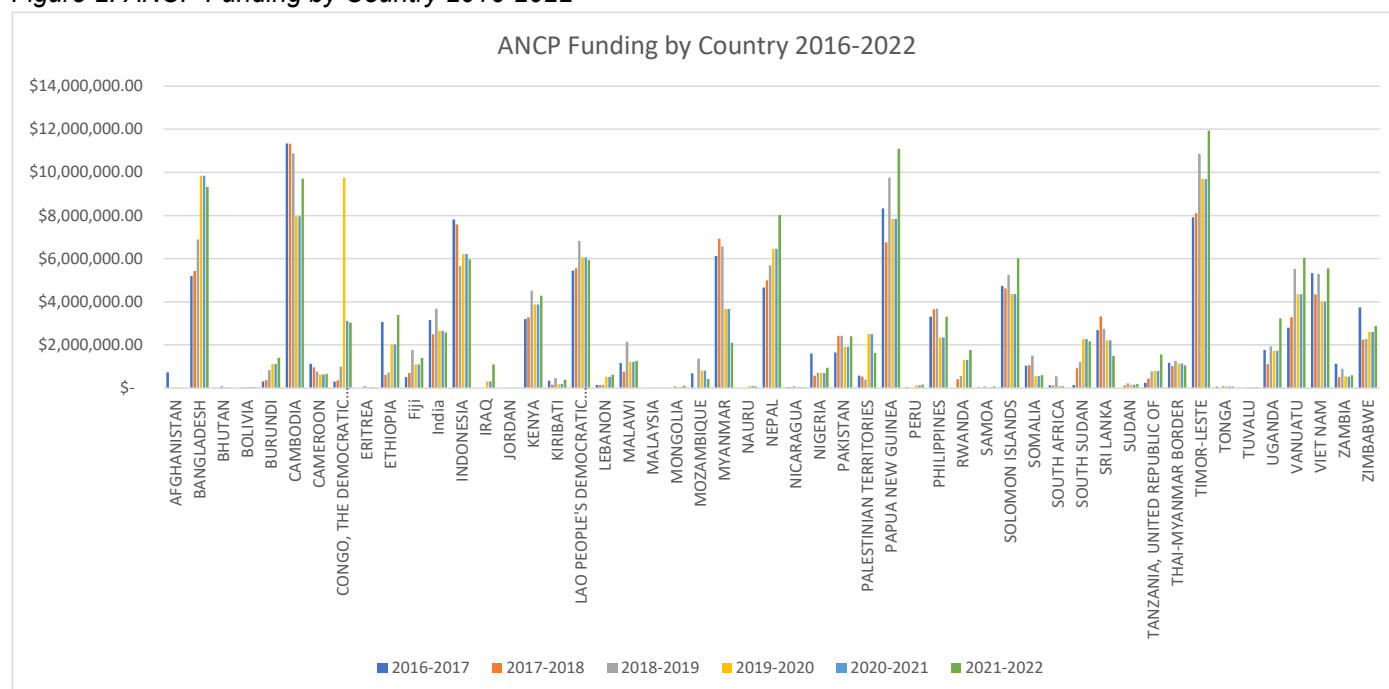
Up to 5 x one-hour Key Informant Interviews (KII) or FGDs with DFAT staff in Canberra including:

- 2 x 1.5-hour DFAT ANCP team FGD
- 1 x one-hour New Divisional FAS KII
- 1 x one-hour with Accreditation Reviewers KII
- 1 x one hour FGD with a range of Canberra based DFAT staff from areas aligned with the current issues disrupting development as outlined in the Key Issues Paper (e.g. *Health Security (COVID-19 team)*, *Localisation Policy Development Team*, *Climate Change and GEB and Disability*, *Safeguards*, *Design*).

Step three: Purposive sample of local partners for consultation

Up to 6 x one-hour FGDs with local implementing partners (LIPs) will be undertaken to ascertain the views of grassroots agencies. Key geography will be selected/determined by applying the following criteria in discussion with DFAT: total funding envelope expended per year by country as per Figure 2 below; geostrategic importance; and access to other development modalities and sectoral spread of projects.

Figure 2. ANCP Funding by Country 2016-2022



Countries selected to identify Local Implementing Partners (LIPs) for consultation include¹⁰:

- 1 x one hour Solomon Islands
- 1 x one hour Timor Leste
- 1 x one hour Indonesia
- 1 x one hour DRC
- 1 x one hour Vietnam
- 1 x one-hour KII with Local Implementing Partner Peak Body in Mekong

A purposive sampling approach will be undertaken for Local Implementing Partners operating in those five countries as follows:

- DFAT/ANGOs will be approached for a list of all partners operating in that country
- The list will be alphabetised
- Every third Local Partner will be selected until quota of 10 per category reached.

⁹ Given the current situation in Tonga it will be omitted.

¹⁰ Tetra Tech confirms that it has staff in all the proposed countries and/or who speak the language fluently and can facilitate face to face or remote consultations in language.

Consideration will also be given to ensure that within the purposive sample of LIPs that are organisations of persons with disabilities (OPDs) will be included.

ANGOs will be asked to facilitate an additional data request to LIPs to provide up to 2 case studies (written submission) per organisation in a template provided by the evaluation Team. This will provide rich, qualitative information on the LIPs experience of ANCP to be included in the qualitative analysis.

2.4 Evaluation Framework

The sections above outline the methods and tools to be used to collect evidence to address each of the evaluation questions. The full evaluation framework is presented in Annex 2, and it is here we demonstrate how we will answer each evaluation question by triangulating findings from more than one source of evidence both qualitative and quantitative.

2.5 Challenges, limitations, and mitigation strategies

The evaluation team also envisages below limitations and challenges and proposes the following adaptive strategies to ensure that the evaluation is completed in time, is robust, consultative and meets the expectations of DFAT.

Limitation	Adaptive strategies
Covering all evaluation questions and additional issues in sufficient depth	The evaluation will prioritise issues that emerge as particularly important to those consulted throughout the evaluation. Adequate resources will be dedicated to collecting robust evidence on which to base conclusions and recommendations for these issues.
Unsolicited stakeholder responses	The Evaluation Plan presents an approach and methodology that will provide all stakeholders with an opportunity to voice their ideas, concerns and opinions. The evaluation will benefit from systematic collection and processing of evidence to ensure that it is as balanced as possible.
Reliance on perceptions	Each evaluation question will be examined drawing on more than one source of data and judgements will be made based on triangulation of data. The evaluation will seek to draw on as much quantitative data as possible and consult stakeholders not directly involved with ANCP. It is envisaged this will bring some further objectivity to the evaluation. The evaluation team will also work with DFAT to carry out an extensive desktop document review on ANCP results. This will largely be based on independent reviews and evaluations carried out over the last few years, together with the outcome data held within Smartygrants.
Selection bias	The evaluation plan presents an approach and methodology that will provide all stakeholders with an opportunity to voice their ideas, concerns and opinions and to recount their lived experiences of the program including relevant examples of outcomes and activities. In order to limit bias, Section 2.3 outlines the purposive sampling approach to stakeholder selection and participation in qualitative data collection activities. To support limiting bias further all interviews and discussions will: ask indirect, open ended questions. Data will be triangulated and a thematic analysis undertaken of key findings against the evaluation questions.
Low quality of existing data, missed information or data sources	Early identification of data gaps and information pertinent to the development of the methodology, through early consultation with key stakeholders at the start of evaluation has been undertaken.
Key stakeholders and other parties of interest to the evaluation are not able to directly participate	The Stakeholder Engagement Strategy outlines our experienced insight into what is realistic and likely to work. Where scheduled interviews or meetings do not, we can try approaches such as short phone calls to answer specific questions, emailing data for their confirmation, or asking an intermediary (e.g., EWG and ERG) if they can help.
Language and cultural barriers with ANGO's in-country partners affecting the quality of data collected and interpretation	The evaluation team will ensure that information gathered throughout the data collection process will be triangulated to validate the findings. The methodology proposed will promote rigour in the data collection and analysis.

Limitation	Adaptive strategies
Misunderstanding of ANCP Evaluation objectives	The team have established a common understanding of the objectives during the project inception meeting and the design of the Evaluation Plan. The development of the project timetable, tasks required to deliver the evaluation, and expectations of the deliverables have been agreed upon with DFAT the DPC ERG. Regular meetings with DFAT will also mitigate this risk to ensure a collaborative evaluation process.
Limitations of remote data collection platforms (Zoom, Microsoft Teams, Webex) affecting data quality	Videoconferencing platforms can sometimes be limited by the reception quality of the Internet and the socio-cultural-relational barriers that present with digital communications, particularly when working cross-culturally. This can often be a factor for evaluation participants in more remote and rural areas where Internet coverage may not be optimal. The team will be adaptive to the situation with alternative options to collecting data and where required will use in country team members to support face to face consultation where appropriate and in consultation with DFAT.
COVID-19 and its health and safety implications for the team, the evaluation participants and DFAT staff	The evaluation will be undertaken mostly remotely, limiting the risks of interpersonal contact to minimal. However, COVID-19 restrictions permitting, face-to-face consultations may occur and will be in line with Tetra Tech's and DFAT's health and safety requirements.

3 Work plan

This section describes the main activities and deliverables during each phase of the evaluation process.



Phase 1a: Evaluation planning and preliminary consultations

What we'll do: The Tetra Tech team will establish a firm foundation for the evaluation through inception meetings and early consultations as well as the development of the Key Issues Paper and Evaluation Plan. Preliminary consultations with key stakeholders – including DFAT program staff, the Evaluation Working Group (EWG), the DPC Evaluation Reference Group (ERG), and NGO representatives, will assist in finalising the evaluation questions and stakeholder engagement strategies. The Evaluation Plan will contain the agreed evaluation questions and Analytical Framework, identify evidence sources and methods for data collection as well as the Stakeholder Engagement Strategy.

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| <ul style="list-style-type: none"> • Inception meeting • Key program document review • Preliminary consultations with DFAT staff, EWG, DPC ERG, and ANGO representatives | <ul style="list-style-type: none"> • Stakeholder mapping and engagement planning • High level literature scan to inform Key Issues Paper • Development of Evaluation Plan |
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Commences: 5 November 2021

Submission date/Completed: 10 January 2022 and 28 January 2022 respectively

Primary Responsibility: Amy, Grace, and Donna

Deliverables: Draft and Final Key Issues Paper and Draft and Final Evaluation Plan (this document)



Phase 1b: Desktop and Literature Review

What we'll do: We will comprehensively review ANCP's substantial program documentation and draw on our team expertise to understand the current ANCP management, implementation and funding arrangements as well as to undertake the preliminary assessment of effectiveness and lessons learned. Our desktop review will be designed to make the best use of this data by analysing content against the evaluation's Analytical Framework (refer to Annex 2) to identify areas for primary data collection. This includes analysis of the ANCP's contribution to gender equality, disability, social inclusion, climate change and other critical cross-cutting issues. We will also draw on the desktop review to develop a comparative analysis of alternative programs and major donor approaches to funding ANGOs and managing and implementing such modalities.

The high-level desktop review and preliminary consultations which informed the Key Issues Paper will in turn inform the detailed desktop review and secondary data analysis. This paper will provide critical context for focusing data collection and analysis including of the white and grey literature.

The evaluation team will draw together the information collected through the desktop research and prepare the draft CBAF detailing:

1. the explicit set of objectives and measurable criteria by which to assess
 - 1.1. the MEL system – including a twin track approach to exploring GEDSI features
 - 1.2. features of NGO funding modalities (which encompasses all features including but not limited to their governance, approach to GEDSI, management and implementation arrangements).
2. provide structure to the consultations.

Once a broad outline of the CBAF has been developed, we propose to meet with DFAT and the DPC ERG to gain confirmation of this approach - a two and a half hour participatory workshop will be held where the CBAF will be tested and refined. Following confirmation of the approach, we will undertake the detailed development of specific criterion, in addition to the design of templates to collect additional qualitative information through the stakeholder interviews and donor case studies.

The framework will inform development of a set of consistent consultation and data collection tools which can be used to support meaningful and relevant consultation and outcomes, and to ensure that required information is accessed in an appropriately consistent way from stakeholders.

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| <ul style="list-style-type: none"> • Literature review of NGO grant funding modalities/models of major donors and emerging trends, risks and opportunities • Secondary analysis of program data | <ul style="list-style-type: none"> • Comparative analysis of major donors' approaches / modalities to funding NGOs • Analysis and synthesis of data collected |
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Commences: 28 January 2022

Completed: 27 May 2022

Primary Responsibility: Donna, Catriona, Amy and Grace

Deliverables: Nil



Phase 2: Primary data collection and analysis

What we'll do: The evaluation team will use a range of approaches to collect stakeholder perspectives for the evaluation to understanding the strengths and limitations of the modality in the current and changing development context. Given the large and diverse number of ANCP partners, and the importance of their views, the evaluation team will conduct key informant interviews, but also utilise broad-based consultation tools and group methodologies such as roundtables and focus group discussions to ensure multiple perspectives are heard and considered within the evaluation data.

Key informant interviews, focus group discussions, roundtables, case studies and written submissions will be used to dig deeply into specific questions and gather insights from stakeholders including ACFID and CDC, DFAT posts, other donors, ANGO partners, local civil society partners, government counterparts and potentially community groups. We will use a mix of investigative and structured interviewing, based on data collection tools developed in line with the evaluation Analytical Framework (within the Evaluation Plan). A data audit trail and management information system (Nvivo) will ensure transparency, clarity and consistency in data analysis, especially given the 6-month timeframe for primary data collection.

While interviews and conferences will mostly be conducted remotely using videoconferencing platforms (i.e., Microsoft Teams, Zoom and Webex), should COVID-19 restrictions allow, some interviews with Australian stakeholders could be conducted face-to-face in Canberra, Sydney and Adelaide, where our proposed team members are based. We will use our Stakeholder Engagement and Communication Plan to drive how stakeholders are engaged in the evaluation process.

Following primary data collection (and ahead of developing the Aide Memoire), the evaluation team will analyse and triangulate evidence from the various evidence sources and identify emerging themes along with the evaluation questions and Analytical Framework.

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| <ul style="list-style-type: none"> • Key informant interviews, FGDs and roundtables – remote and/or in-person (<i>indicative</i>): <ul style="list-style-type: none"> - Up to 8 thematic roundtables with ANGOs (refer to Section 2.3) - 1 x 2 hour FGD with ACFID - Up to 5 DFAT posts (refer to Section 2.3) - 2 x 1.5 hour FGDs with the DFAT ANCP team - 1 KII with the divisional FAS - 1 KII with accreditation reviewers - 1 FGD with a range of Canberra based DFAT staff across areas aligned with current issues disrupting development (refer to Section 2.3) - Up to 6 FGDs with local implementing organisations / partners (language / translation available) - Up to 5 other major donor partners. | <ul style="list-style-type: none"> • Develop broad-based consultation tools participatory, discussion-based methods (i.e. focus group discussions, roundtables) for ANGO & local partners • Ongoing secondary data analysis & coding data against evaluation framework to identify gaps in data collection • Drafting of early findings in the Aide Memoire |
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Commences: 28 January 2022

Submission date/Completed: 6 May 2022

Primary Responsibility: Amy, Donna, Grace and Denise

Deliverables: Aide Memoire



Phase 3a: Analysis and Draft reporting

What we'll do: DFAT's M&E requirements and the needs of its audience and decision-makers call for reporting that is succinct, well presented and evidenced, and makes strategic recommendations. We also recognise that reporting is part of a larger process for utilisation that involves generating ownership and commitment to action.

We find that recommendations are improved by the early involvement of DFAT and stakeholders. The Team Leader will use a collaborative approach to drafting the report and incorporating feedback. We will use a series of workshops to test findings and co-design recommendations with stakeholders before finalising the reporting.

- 1 x 1.5 hour findings and validation workshop with the DFAT NPQ/EWG (*indicative timing: 20 May 2022*)
- 1 x 1.5 hour findings and validation workshop with DPC ERG (*indicative timing: 20 May 2022*)
- 1 x one hour presentation of findings to ANGOs (*indicative timing: 20 May 2022*)
- 1 x 2 hour strategy testing workshop to develop recommendations with DFAT NPQ/EWG (*indicative timing: 26 May 2022*)
- 1 x 2 hour strategy testing workshop to develop recommendations with DPC ERG (*indicative timing: 26 May 2022*)
- 3 x 2 hour strategy testing workshops to develop recommendations with ANCP ANGOs (*indicative timing: 27 May 2022*)

The validation workshop will be interactive and participatory and will utilise online whiteboarding software (i.e. Google Jamboard, Lucidchart) and polling tools (i.e. through Zoom functions, Slido, Mentimeter) where appropriate.

This includes consultation with DFAT on the development of the report format and content prior to writing Version 1 of the report.

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| <ul style="list-style-type: none"> • Analyse and triangulate different evidence sources and identify emerging themes • Thematic analysis according to the evaluation objective • Ensuring logical links between evidence, findings and recommendations | <ul style="list-style-type: none"> • Regular internal sensemaking workshops with the full evaluation team • Findings and Strategy Testing workshops with key stakeholders held |
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Commences: 27 May 2022

Submission date/Completed: 10 June 2022 and 15 July 2022 respectively

Primary Responsibility: Amy, Donna, Catriona, Grace, Denise

Deliverables: First Draft Evaluation Report and Second Draft Evaluation Report



Phase 3b: Final reporting & dissemination

What we'll do: An Evaluation Report will be complemented by an Internal Recommendations Paper. The Internal Recommendations Paper may include options for addressing matters raised in workshops that may not be appropriate for a wider audience, while the Evaluation Report will be suitable for publication and be written in a concise, clear and engaging manner.

Communication tools - additional products to accompany the evaluation report to improve the reach and use of the evaluation will be agreed with DFAT and developed this may include a visual PowerPoint presentation and/or series of infographics and/or policy briefs.

Commences: 18 July 2022

Submission date/Completed: 14 August 2022 (all)

Primary Responsibility: Amy and Donna

Deliverables: Final Evaluation Report, Internal Recommendations Paper & Summary PowerPoint

4 Stakeholder engagement

We will interact with many stakeholders throughout the evaluation, including collecting data, reflecting on findings and lessons learning, and sharing findings and recommendations. We will do this in a coordinated and intentional way, interacting with people appropriately and maximising their use of the evaluation. Our detailed Stakeholder Engagement and Communication Strategy (at Annex 4) provides the framework to do this.

4.1 Safety and ethical practice

We will adopt Tetra Tech's Safety Plan to ensure the safety of the evaluation team that meets the safety standards of DFAT as well as for Tetra Tech. Ensuring the health, safety and security of staff working in these operating environments is a core value for us. Our Duty of Care Standards for international services and our Health, Safety and Environment Policy are designed to protect the lives of our employees while carrying out work around the globe.

In keeping with confidentiality and privacy requirements, the Team Leader will be responsible for ensuring that data collection and analysis approaches protect participants' privacy by establishing and following credible ethical evaluation principles. The Team Leader will ensure all members of the evaluation team have been oriented in the ethical considerations employed in the evaluation. Ethical principles will include the following:

Voluntarism, Confidentiality and Anonymity

All participation in interviews will be voluntary, will not create harm to participants during or after the data gathering, and their anonymity and confidentiality will be protected. Voluntary involvement will be assured by a verbal explanation of the review being conducted and seeking their oral consent to take part in the interview. The interviewer will inform respondents that they may choose to not respond to certain questions and may end the interview at any time. We will de-identify data relating to specific individuals. Individual evaluation participant data will be stored securely and presented in a de-identified manner in all external materials. Individuals will only be identified in reporting if this is desirable for conveying important findings and if informed consent is given by the person before the written material is circulated.

Participant review of perspectives

To the extent possible, the evaluation team conducting interviews will summarise the interview discussion points to the respondents and seek their agreement that it is a true reflection of their feedback and reflections. This will help the interviewee clarify any issues or add on some thoughts which might have been missed during the interview. Though this might be challenging due to time constraints, in cases where possible, we will summarise interview perspectives to all stakeholders.

5 Project Governance

This section describes how the review will be governed, including management and reporting arrangements, roles and responsibilities of team members, timeframe and key deliverables, and project risks and management strategies.

5.1 Evaluation team roles and responsibilities

The team consists of six key members. The team will collectively design the evaluation process and each team member will then have discrete roles and responsibilities concerning data collection, collation, analysis and reporting. The team will communicate regularly on emerging findings and the team will all come together to determine and articulate the review findings and lessons learned. Team members' roles are outlined below.

Name	Role	Responsibilities
Rachel George	Contractor Representative	<ul style="list-style-type: none"> • Single point of contractual accountability for DFAT • Provides strategic oversight for the Tetra Tech review team • Quality assures draft and final deliverables
Amy Gildea	Team Leader and M&E Specialist	<ul style="list-style-type: none"> • Leads team in evaluation design, consultation, analysis, and reporting • Leads on the design of the analytical framework and data collection tools • Conducts remote KIIs with select Australia and overseas-based stakeholders • Develops draft reports outlines and leads the drafting of the reports • Reviews work delivered by team members
Donna Holden	Partnerships and Grant Funding Specialist	<ul style="list-style-type: none"> • Provides input in the methodology, work plan and other deliverables • Leads stakeholder mobilisation and engagement • Conducts KIIs, FGDs and roundtables (remote and face-to-face) with stakeholders • Contribute to internal team sensemaking workshops, key findings workshops with stakeholders • Lead the writing of the Key Issues Paper • Contribute to drafting agreed sections of the Evaluation Report
Grace Nicholas	NGO & GEDSI Specialist	<ul style="list-style-type: none"> • Provides advisory input on the context and issues of NGO architecture and the current approaches to GEDSI • Participates in stakeholder engagement and consultations and primary data collection throughout the project • Supports the drafting and finalisation of the agreed sections of the evaluation reports
Catriona Flavel	Organisational Performance Specialist	<ul style="list-style-type: none"> • Provides technical advice and targeted analysis of the ANCP modality and its suitability to the operational and governance models across the diversity of ANCP partners • Assess the strengths and weaknesses of the modality • Identify potential options or adjustments to the modality through structured comparison with other donor partnership models • Contributes the drafting of the Key Issues Paper and other agreed sections of the Evaluation Report
Denise Ng	Research and Coordination Support	<ul style="list-style-type: none"> • Coordinates all aspects of the team and project to ensure tasks and deliverables are on time and within budget • Provides technical and research input and review for all deliverables to ensure they align with the evaluation plan and DFAT expectations

5.2 Evaluation working group

An internal DFAT working group has been established to oversee the evaluation process and provide input on key evaluation deliverables. This includes: The Key Issues Paper, Evaluation Plan (this document), Aide Memoire and Evaluation Report.

The working group comprises representatives from NPQ, relevant Posts, cross-cutting areas (gender, disability), risk management section and other relevant areas of DFAT.

It is envisaged that the working group will meet and/or provide input up to 4 times during the course of the evaluation to coincide with each key milestone or deliverable and a follow-up six months after the evaluation report's completion/publication to follow-up on how implementation of recommendations is tracking:

January 2022	Feedback on Key Issues Paper and Evaluation Plan
May 2022	Feedback on Aide Memoire
June 2022	Feedback on Draft Evaluation Report and recommendations; and advice on distribution and socialisation of the report
December 2022	Follow-up meeting to assess progress on implementation of recommendations

5.3 Development Practice Committee Evaluation reference group

DFAT established the DPC ERG to oversee and provide input into the evaluation process and quality assure the deliverables of the evaluation team. As with the 2015 ANCP evaluation approach, the DPC was requested to fill the role of ERG and be active participants in overseeing the evaluation process and contributing expert advice and feedback on the focus, approach and key deliverables. This includes participating and contributing to key meetings/workshops with DFAT and the evaluation team and providing input and consolidated feedback from a diverse representation of ANGOs. Input will be provided at key milestones of the evaluation, including the Key Issues Paper, Evaluation Plan, Findings and Strategy Testing workshops and the Final Evaluation Report.

In this role, the DPC ERG is considered to represent the broader ANGOs and the broader Australian development NGO community and as such will liaise with ANGOs as appropriate throughout its role as reference group. In addition, the DPC ERG and other ANGOs will be key informants of the evaluation as part of the data collection process. This includes participating in a FGD facilitated by the evaluation team. The ANCP evaluation team will be responsible for direct contact with ANGOs for data collection, although the DPC may facilitate engagement of the evaluation team with broader ACFID members if required.

January 2022	Feedback on Key Issues Paper and Evaluation Plan
May/June 2022	Participate in Findings and Strategy Testing Workshops and feedback on Draft Evaluation Report

5.4 Summary of timelines and key deliverables

Phases	Key deliverables / milestones	Commence	Completed
Phase 1a: Evaluation planning and preliminary consultations	Evaluation Plan and Evaluation Plan	5 November 2021	28 January 2022
Phase 1b: Desktop and Literature Review	Literature review and comparative analysis (case studies) of other donor approaches	28 January 2022	27 May 2022
Phase 2: Primary data collection and analysis	Aide Memoire Findings workshop Strategy testing workshops	28 January 2022	6 May 2022 20 May 2022 26/27 May 2022
Phase 3a: Analysis and Draft reporting	First Evaluation Report Second Draft Evaluation Report	27 May 2022	10 June 2022 15 July 2022
Phase 3b: Final reporting & dissemination	Final Evaluation Report, Internal Recommendations Paper & Summary PowerPoint Presentation	18 July 2022	14 August 2022

5.5 Reporting

The Team Leader, Amy Gildea, will be responsible for the development and quality assurance of all deliverables (i.e., Evaluation Plan, Key Issues Paper, developing the Aide Memoire, the interim analysis, draft and final reports) in accordance with a format to be agreed with DFAT. All deliverables will also be quality assured by Contractor Representative, Rachel George.

Led by Amy Gildea with support from all team members, the results of the evaluation process will be compiled in clear, concise formats that are accessible to a range of stakeholders. Reporting will be clear and concise and contain practical recommendations to inform future program design and implementation. All team members will contribute to the technical review of reporting to ensure the accurate presentation and communication of findings. All reports are to meet DFAT's relevant standards.

5.6 Communication

Amy Gildea will be the key project liaison with DFAT. Amy will brief DFAT and be available for contact as required. DFAT and the evaluation team will hold weekly check-in meetings to assess review progress, emerging issues, key challenges and proactively manage any risks and challenges. Tetra Tech will develop agenda for these meetings and lead the discussions.

5.7 Risk Management

Refer to Annex 5 for identified risks and mitigation strategies for this evaluation.



Annex 1: Terms of Reference

TERMS OF REFERENCE: INDEPENDENT EVALUATION OF THE AUSTRALIAN NGO COOPERATION PROGRAM (ANCP)

September 2021

PURPOSE

The purpose of the evaluation is to assess the ANCP as a modality. The review will seek to identify ways to strengthen the management and implementation arrangements of the ANCP, particularly in response to the changing development and NGO context and identify any learnings for the wider Australian development program. The evaluation is primarily formative; however, a secondary summative focus will also assess high level impacts of the ANCP program.

The intended audience for the evaluation is primarily DFAT staff in the Humanitarian, NGOs and Partnership Division and other areas with development management responsibilities, Australian NGOs (ANGOS) and the Australian Council for International Development.

The proposed objectives of the evaluation are to:


1. Assess the efficiency and relevance of the ANCP modality, including the capacity of the ANCP to adapt and respond to emerging trends and issues in the international development and NGO sectors.
2. Assess the effectiveness of the ANCP modality in facilitating ANGOS and DFAT to achieve or contribute to development outcomes.
3. Make recommendations for improvements to the management and the implementation of the ANCP in the context of the changing development and NGO sector policy and operating environment.

OVERVIEW

Established in 1974, the ANCP is DFAT's largest support mechanism for Australian non-government organisations (ANGOs). The ANCP supports accredited ANGOs through annual grants to implement their own projects and strategic priorities, consistent with the goals of the Australian development program. In 2020-21 the ANCP distributed \$132.9 million in grant funds to support 57 Australian NGOs, and over 2000 of their local partners, to deliver 406 projects across 50 countries.

The program is managed by the NGO Program and Partnerships Section (NPQ) within the Humanitarian, NGOs Partnership Division within DFAT.

The objective of the ANCP is to progress the Sustainable Development Goals (SDGs) through supporting inclusive development, and open and transparent civil society. The program outcomes are that, in partnership, ANCP contributes to Australian Government and partner country priorities to reduce poverty and promote sustainable and inclusive development. The ANCP Program Logic articulates the value-add of the ANCP to Australia's development program where ANCP extends and complements bilateral and regional programs. ANCP projects are delivered across a range of sectors, including in those where it may be difficult for bilateral and regional programs to engage.





NGOs are vital development partners. The *Partnerships for Recovery: Australia's COVID-19 Development Response* (2020) identifies NGOs as a critical part of Australia's international development efforts. ANCP NGOs and their in-country partners have particular skills, networks and reach, and the ANCP allows them to design and deliver projects to these strengths. *DFAT and NGOs: Effective Development Partners* (2015) outlines the Australian Government's approach to working with NGOs to support its development program. It recognises that complex development challenges require partnerships between government and civil society and that NGOs can act as agents of change.

Australian NGOs funded under the ANCP must pass a rigorous accreditation process that assesses an NGO's governance, program management capacity, partner management, links with and support from the Australian public, and financial and risk management. Once accredited, NGOs are eligible to receive an annual grant for which they develop an Annual Development Plan outlining proposed activities.


DFAT wants to ensure it has management and implementation arrangements in place that best support NGOs to continue their work in sometimes rapidly changing operating environments. In 2020, the ANCP was one of the first Australian Government programs to redirect a significant proportion of existing ANGO development programming to respond to the immediate impact of the COVID-19 pandemic.


There are four main shifts in the current policy and operating environment impacting on the work of ANCP NGOs.

1. DFAT's shifting development priorities in response to COVID-19 and possible changes to development priorities and approaches beyond Partnerships for Recovery. This has necessitated NGOs to adapt their programs to respond to immediate health security, economic and stability challenges the pandemic presents, as well as longer term COVID-19 impacts such as increasing inequalities and disruptions in progressing the SDGs.
2. Sector and systemic effectiveness agendas and reforms such as localisation and the growing integration of humanitarian and development activities are changing the development landscape. For example, as part of localisation, NGOs are increasingly transitioning from direct service delivery to supporting local actors to strengthen their capacity in service delivery and other roles.
3. Financial challenges facing NGOs due to changing fundraising pressures, including the rise of direct giving NGOs.
4. The increasing challenge of climate change which now needs to be integrated into many ANCP programs.

It is therefore timely to assess, through this evaluation, how the ANCP management and implementation arrangements can adequately respond to this changing operating environment.

In 2015 the Office of Development Effectiveness completed the most recent ANCP evaluation. It responded to the requirements of DFAT at that time, namely a reform agenda following the integration of DFAT and AusAID. The primary objective was to determine the ongoing relevance of the ANCP by assessing the effectiveness of the ANCP modality to assist NGOs to reduce poverty and support sustainable development. It assessed the relevance, effectiveness and efficiency of the ANCP, assessed the results of delivering development through the ANCP and made





recommendations for improvements to the management of the ANCP. These recommendations have informed current ANCP management and implementation arrangements.

SCOPE


The primary focus of the evaluation will be formative. It will identify improvements to the management and implementation arrangements of the ANCP in the context of the changing development and NGO context.

Assessing the full impact of the ANCP on individuals and communities in developing countries across the globe is beyond the scope of this evaluation. Rather a secondary focus on impact will assess the effectiveness of the ANCP modality to assist ANGOs to help partners address development challenges, reduce poverty, build resilience and support sustainable development. The ANCP has well established processes for measuring outcomes each year. This evaluation will use these processes to summarise high-level outcomes, especially outcomes achieved under *Partnerships for Recovery*.

KEY EVALUATION QUESTIONS

The evaluation should respond to the following indicative key and sub-questions with a credible evidence base. The evaluation team will be expected to work with DFAT to suggest, refine and agree on final evaluation questions when preparing the evaluation plan.

DFAT envisages Questions 1 – 3 will take 80% and Question 4 20% of the allocated time of the evaluation, respectively.

- 1. Is the ANCP modality, including management, implementation and funding arrangements ‘fit for purpose’ and how can it be improved?**
 - 1.1 How efficient are current ANCP management, implementation and funding arrangements in delivering against the ANCP’s program logic?
 - 1.2 To what extent have current arrangements enabled the ANCP to respond effectively to the changing international development and NGO context and how could they be strengthened to further facilitate responsiveness?
 - 1.3 What are the strengths and weaknesses of the ANCP including the partnership and program management model compared to other major DFAT NGO programs such as Australian Humanitarian Partnerships Program and Water for Women?
 - 1.4 What models of NGO funding and program management have other like-minded donors employed and what lessons can be learned from these?
- 



2. Is ANCP supported by robust and appropriate monitoring, evaluation and learning processes?

2.1 Does the current program logic adequately reflect the theory of change for the ANCP in the changing context?

2.2 To what extent do ANCP M&E processes and systems generate robust evidence about the results and drive learning, policy and program improvement?

3. What are the key trends and emerging issues in the NGO sector and international development context that may impact on the ANCP and how should DFAT and ANCP partners address these?

3.1 What are the anticipated key trends in the NGO sector and in international development that will be most relevant to ensuring an effective ANCP program model over the next 10 years?

3.2 To what extent is the ANCP modality and its objectives appropriate for the changing context?

3.3 What opportunities and risks does this changing context present for ANCP and how can ANCP be adapted to be more relevant for the future?

4. How effective is the ANCP modality in assisting ANGOs to reduce poverty and promote sustainable and inclusive development?

4.1 What are the major outcomes of delivering development through the ANCP?

4.2 How has ANCP contributed to outcomes under Partnerships for Recovery?

4.3 How does the ANCP modality contribute to or inhibit the impact of the program and what are the lessons for the broader Australian development program?

EVALUATION METHODOLOGY


The methodology will be refined in consultation with the evaluation team. It is expected the evaluation will include:


1. a desktop review of relevant program documentation and international literature
2. interviews with internal and external stakeholders involved in the implementation of ANCP and other relevant NGO programs (including DFAT desks, posts and relevant program managers, ANCP partners, other donors) and
3. data analysis and synthesis of findings into an evaluation report suitable for publication.

EVALUATION TEAM COMPOSITION

The **Evaluation Team** will comprise a **team leader and two technical experts** that have demonstrated experience in one or more of the following: evaluation, change management, and program management. An understanding of the international development context, and the NGO and civil society sector is essential. Knowledge of the Australian development program is desirable. A DFAT officer may also be a member of the evaluation team.

The Team Leader must have extensive M&E experience, including leading independent evaluation teams. Relevant postgraduate qualifications and sound knowledge of the Australian development





program are desirable. The team leader is responsible for ensuring the consistency and quality of all evaluation products. The team leader will:

1. effectively lead the evaluation team, promote and maintain team coherence
lead regular meetings with DFAT staff to consult on the evaluation content and process and inform of evaluation progress
2. use the expertise of team members in meeting the Evaluation Terms of Reference and contractual obligations
3. finalise and submit an Evaluation Plan that meets DFAT's M & E Standards (Standards 5)
4. lead the evaluation process (including participating in an inception briefing; assigning tasks and responsibilities to team members; leading the remote interviews, efficiency and performance)
5. process and analyse all data in consultation with team members
6. lead team discussions and reflections
7. develop the aide memoire and lead the presentation of preliminary findings to DFAT
8. deliver an evaluation report that meets DFAT's M & E Standards (Standards 6)
9. perform other duties in the TOR and as directed by DFAT.


The **Evaluation Team** is required to collectively possess the following skills and experience:


1. evaluation skills from relevant technical, social, economic and financial perspectives
2. critical thinking, broad evaluation, analytical and research skills
3. consultative skills and participatory research methods
4. excellent report writing skills
5. strong knowledge of socio-economic issues, the role of NGOs in development and contemporary development issues such as localisation and humanitarian and development nexus
6. organisational capacity assessment and development
7. sound knowledge and understanding of development effectiveness.

An NPQ staff member will act as Evaluation Manager and contact point for the evaluation team.

SERVICES REQUIRED

The Evaluation Team (which may include a representative from DFAT) will:

1. concurrently prepare an issues paper and evaluation plan
 2. complete a desk review of existing material relevant to the program, including DFAT ANCP policies, guidelines, planning documents, reports and public communication products, case studies, monitoring and evaluation products
 3. conduct remote interviews and other data gathering exercises, including through appropriate in-country networks with relevant DFAT staff; ANGO, ACFID and CDC stakeholders; local implementing organisations and community representatives, both in Australia and overseas
- 



(some domestic travel for Melbourne, Sydney and Canberra may be possible, COVID-19 restrictions permitting)


4. produce an evaluation report and other deliverables as specified below that addresses the evaluation purpose and questions.

GOVERNANCE AND CONSULTATION

The Development Practice Committee (DPC) of ACFID will act as an **Evaluation Reference Group (ERG)** to coordinate and provide NGO input to the evaluation. The ERG will engage closely with ACFID to ensure ANCP ANGOs are active participants in the planning, implementation, findings and recommendations of the evaluation.

DFAT will also establish an internal **Evaluation Working Group (EWG)** comprising representatives across a range of policy and geographic areas in the Department, to oversee the planning and implementation of the evaluation process and quality-assure the deliverables of the evaluation team.

DFAT will additionally convene an **Evaluation Advisory Group (EAG)** to ensure a diversity of voices. This could draw members from public, private and academic sectors, and/or from a range of countries. The main requirement of the EAG will be to attend a findings workshop and offer views on the findings presented. DFAT will work with the ACFID DPC to further articulate and agree the TORs for this group including how it complements other governance mechanisms for the evaluation



EXPECTED DELIVERABLES

The Evaluation Team is expected to provide the following deliverables.

Deliverable	Due date	Specifications	Inclusions
Draft Evaluation Plan, including Key Issues Paper	Submitted for review by DFAT by TBC	In line with DFAT's <i>Monitoring and Evaluation Standard 5</i> (2016) 10 pages maximum, including summary, plus annexes	<p>The evaluation plan will include:</p> <ul style="list-style-type: none"> i. An evaluation design that describes an appropriate methodology for answering the evaluation questions within the time and resources provided ii. Confirmation of the key evaluation questions and sub-questions iii. The proposed data collection and analysis process, including the sampling strategy and key informant categories iv. Challenges/limitations to achieving the evaluation objectives and corresponding mitigation strategies v. Roles and responsibilities of team members vi. Key performance indicators vii. A draft itinerary and target dates for deliverables viii. Proposed engagement strategies for key stakeholders, including to support buy-in for evaluation recommendations by ANCP ANGOs ix. Ethical consideration for the evaluation should also be articulated. <p>The evaluation plan will include as an annex a Key Issues Paper.</p> <p>The Key Issues Paper is an important output during the early phase of the evaluation. It will allow the Evaluation Team to develop a solid understanding of the management and administration of the ANCP and clarify the critical issues to examine through the evaluation. The final Key Issues Paper will be shared with stakeholders.</p>

			<p>The issues paper will draw on a range of data sources including existing ANCP documentation, international literature, interviews with relevant DFAT staff, ACFID and a sample of ANCP NGOs.</p> <p>The issues paper will include:</p> <ol style="list-style-type: none"> 1. examine international literature about other major donor approaches to funding NGOs 2. identify emerging trends, risks and opportunities in the NGO sector 3. compare and analyse Australian Government funding for NGOs alongside non-ANCP modes of NGO funding 4. examine the strengths and weaknesses of different NGO grant funding management models. <p>Five days is provided for meetings/interviews with key stakeholders - including DFAT program staff and ACFID and NGO representatives - in this initial phase to obtain a general understanding of the ANCP, discuss evaluation methodology and seek views for the Key Issues Paper.</p>
DFAT approval of Evaluation Plan	TBC	As above	Evaluation Plan finalised based on DFAT's feedback.
Aide Memoire	Submitted to DFAT by TBC	5 page maximum, including summary, plus annexes	<p>The aide memoire will present initial findings and recommendations, seek verification of facts and assumptions and discuss the feasibility of initial recommendations.</p> <p>The key audience for the aide memoir is internal to DFAT.</p>
Key findings workshop	TBC		
Draft 1: Evaluation Report	Submitted for review by DFAT by TBC	25 page maximum, including	<p>The report will be in accordance with the Evaluation Plan, and will:</p> <ol style="list-style-type: none"> i. Address the evaluation objectives in a succinct manner

		summary, plus annexes <i>Monitoring and Evaluation Standard 6</i> (2016)	<ul style="list-style-type: none"> ii. Include an executive summary which can be read as a standalone document iii. Make logical links between evidence, findings and recommendations iv. Outline key achievements and challenges in the executive summary and throughout the report v. Provide logical and strategic conclusions, and a limited number of related recommendations <ul style="list-style-type: none"> vi. Provide photos (with relevant captions, credits and permissions) or graphics to illustrate keys messages to a lay audience vii. Provide an infographic with a summary of some of the key findings and results.
Draft 2: Evaluation Report	Submitted for review by DFAT by TBC		Evaluation Report is progressed, based on DFAT's feedback of draft 1.
Final Evaluation Report	Submitted to DFAT by TBC		An accessible document suitable for publication on DFAT's website, taking DFAT's feedback on the draft reports into consideration.
Internal Recommendations		2 – 5 pages	DFAT's Management consideration
Dissemination and stakeholder engagement activities	TBC		Following finalisation of the Report, the Team Leader will be required to present at DFAT-hosted events or seminars, and/or participate in an interview.

INDICATIVE EVALUATION TIMELINE

Indicative time period	Phase / Activity
October 2021	Prepare evaluation plan and key issues paper
November 2021 – April 2022	Data collection and analysis Prepare Aide Memoire
May 2022	Drafting of evaluation report (versions 1 & 2)
June 2022	Prepare final evaluation report
July 2022	Team leader participation in dissemination activities

KEY DOCUMENTS

DFAT will make available to the team information, documents and particulars relating to ANCP management and implementation. These will include, but not be limited to the following documents. DFAT shall make available to the evaluation team any other reasonable requests for information and documentation relating to the evaluation. The evaluation team is also expected to independently source other relevant material and literature.

- [ANCP Program Manual](#)
- [ANCP Accreditation Framework](#)
- ANCP Assurance Framework
- [ANCP Monitoring, Evaluation and Learning Framework](#) and other related program documents
- [DFAT monitoring and evaluation standards](#)
- [ANCP Program Logic](#)
- [DFAT Aid programming guide](#)
- [DFAT and NGOs: Effective Development Partners](#)
- [Evaluation of the ANCP Program Final Report 2015](#)

Annex 2: Analytical Framework

No.	Key Evaluation Question	Desk Research ¹¹	KIIs	FGDs	Round-tables	Written Submissions	Case Studies	Strategy Testing Workshop
1.	How effective is the ANCP modality in assisting ANGOs to reduce poverty and promote sustainable and inclusive development?	✓	✓	✓			✓	✓
1.1	What are the major outcomes of delivering development through the ANCP?	✓	✓	✓			✓	✓
1.2	How has ANCP contributed to outcomes under Partnerships for Recovery?		✓	✓			✓	✓
1.3	What are the features of the modality that contribute to or inhibit the delivery of outcomes? What is the relative importance of those features?	✓	✓	✓			✓	✓
Factors to be considered <ul style="list-style-type: none"> To what extent have the three pathways in the program logic (modality, development outcomes and public diplomacy) and associated activities contributed to long term outcomes? What activities have led to the most significant positive impact on ANCP? To what extent have the activities contributed to and/or inhibited the lives of women, people living with disability and others who experience social exclusion? Is the ANCP modality an effective way of promoting development? If so why and under what conditions does it work best? What are the major strengths of the ANCP and how might these be leveraged? 								
2.	What are the key trends and emerging issues in the international development and NGO sector context which may impact on the ANCP modality and DFAT-ANGO relationships, and how might they be addressed?	✓	✓	✓	✓	✓		✓
2.1	What are the anticipated key trends in the NGO sector and in international development and their impacts that will be most relevant to delivering aid through the ANCP modality over the next 10 years?	✓	✓	✓	✓	✓		✓
2.2	What opportunities and risks does this changing context present for ANCP?	✓	✓	✓	✓	✓		✓
Factors to be considered <ul style="list-style-type: none"> What are the emerging issues and new priorities within the development context? What opportunities are there to improve the implementation of the ANCP? What risks are there to the management and implementation of the ANCP? 								
3.	Is ANCP supported by robust and appropriate monitoring, evaluation and learning (MEL) processes?	✓	✓	✓			✓	✓
3.1	Does the current program logic adequately reflect the theory of change for the ANCP in the changing context, and how does the modality support this?	✓	✓	✓			✓	✓

¹¹ Desk research captures an extensive review and analysis of qualitative and quantitative secondary data.

No.	Key Evaluation Question	Desk Research ¹¹	KIIs	FGDs	Round-tables	Written Submissions	Case Studies	Strategy Testing Workshop
3.2	To what extent do ANCP M&E processes and systems generate robust evidence about the results and drive learning, policy and program improvement?	✓	✓	✓			✓	✓
Factors to be considered <ul style="list-style-type: none"> What data is available to assess the effectiveness of the ANCP? Are the assumptions and risk assessments in the original program logic still valid in the changing environment? To what extent do lessons learned validate or challenge the program logic and underpinning rationale for the existing ANCP approach? What are the characteristics of “better practice” investment monitoring and evaluation framework for NGO funding mechanisms? What factors contribute to, or inhibit, “better practice” MEL frameworks? What are the management implications for GoA? 								
4.	To what extent is the ANCP modality, including management, implementation and funding arrangements, appropriate to the changing context and how can ANCP be adapted to be more relevant in the future?	✓	✓	✓	✓	✓	✓	✓
4.1	How efficient are current ANCP management, implementation and funding arrangements in delivering against the ANCP’s objectives in the changing context?	✓	✓	✓	✓	✓		
4.2	What are the features of good practice in NGO modalities that are relevant to the current context?	✓	✓	✓			✓	✓
4.3	What comparative models of NGO funding and program management has DFAT employed and what lessons can be learned from these?	✓	✓	✓			✓	✓
4.4	What comparative models of NGO funding and program management have other like-minded donors employed and what lessons can be learned from these?	✓	✓				✓	✓
4.5	What are the management implications for the ANCP for DFAT and the NGO sector, and what are the lessons for the broader Australian development program?		✓	✓	✓			✓
Factors to be considered <ul style="list-style-type: none"> What value has been derived from the structural approach to ANCP delivery? Is there any evidence to suggest that the outcome of the ANCP is greater than the sum of its parts? To what extent does the structure of the ANCP modality contribute to establishing effective and sustainable partnerships –at the delivery, management and governance levels? To what extent and in what ways has ANCP been delivered in response to the changing environment? What have been the resource implications of this on DFAT, on ANGOS and on local partners? What factors have enabled or inhibited the relationship between DFAT and ANGOS? How best could this level of funding in this sector achieve the desired outcomes in the existing ANCP design? What can we learn from international best practice? How could the modality’s arrangements be amended to enhance its relevance, efficiency and effectiveness? 								

Annex 3: Deliverables and Activities

Deliverables and Activities	Nov 2021	Dec 2021	Jan 2022	Feb 2022	Mar 2022	Apr 2022	May 2022	Jun 2022	Jul 2022	Aug 2022
Phase 1A: Inception and Scoping										
Tetra Tech Contractor Representative (CR) will mobilise the team	✓									
Inception meetings between DFAT, Evaluation Working Group, and Tetra Tech Evaluation Team	✓									
Access and collate ANCP documents and data	✓	✓								
Preliminary discussions with Evaluation Reference Group (ERG) to inform evaluation planning	✓									
Preliminary focus group discussions with ACFID / NGO representatives	✓	✓								
Series of workshops on the modality and ToA with DFAT to triangulate findings and agree on evaluation framework	✓	✓								
Prepare the Evaluation Plan (consistent with DFAT's M&E Standards 5)	✓	✓	✓							
Develop Stakeholder Engagement and Communication Plan (Annex to Evaluation Plan)	✓	✓	✓							
Synthesise research and develop the Key Issues Paper (Annex to Evaluation Plan)	✓	✓	✓							
Facilitate verbal feedback sessions (3) with ACFID and ANGOS	✓	✓	✓							
Present draft Evaluation Plan and Key Issues Paper to DFAT's Evaluation Working Group	✓	✓	✓							
Incorporate feedback from DFAT and finalise Evaluation Plan and Key Issues Paper	✓	✓	✓							
Deliverables: Draft and Final Key Issues Paper and Evaluation Plan by 10 and 28 January 2022	✓	✓	✓							
Phase 1B: Desktop Review and Research on Key Issues										
Development of CBAF				✓						
Workshop to test CBAF with DFAT and DPC ERG				✓						
Review ANCP documents and data				✓	✓	✓				
Detailed literature review on donor approaches, risks and opportunities, modalities / models				✓	✓	✓				
Development of donor case studies				✓	✓	✓	✓			
Develop tools for data collection (i.e. information sheets, semi-structured questionnaires, etc.)				✓						
Phase 2: Primary data collection and analysis										
Identify and invite participants for interviews, send information, and schedule times				✓						
Invite call for written submissions by ANGOS				✓						
Invite call for case studies by Local Implementing Partners				✓						
Facilitate interviews and roundtables ANGO, ACFID, and CDC stakeholders					✓	✓	✓			
Facilitate interviews and roundtables of staff groups at 5 posts and desks					✓	✓	✓			
Facilitate FGDs local implementing organisations / partners (Where language allows)					✓	✓	✓			
Interview other donors					✓	✓	✓			

Deliverables and Activities	Nov 2021	Dec 2021	Jan 2022	Feb 2022	Mar 2022	Apr 2022	May 2022	Jun 2022	Jul 2022	Aug 2022
Analyse and synthesis all primary data against analytical framework							✓			
Prepare Aide Memoire for DFAT							✓			
Deliverable: Aide Memoire by 6 May 2022							✓			
Phase 3A: Draft reporting										
Present preliminary findings at Key Findings Workshop/s to the EWG, DPC ERG and ANGOs							✓	✓		
Internal team sensemaking workshops according to emerging themes and/or evaluation questions							✓	✓		
Facilitate Strategy Testing Workshops with to the EWG, DPC ERG and ANGOs							✓	✓		
Deliver draft outline of the Evaluation Report and discuss with DFAT and DPC ERG							✓	✓		
Draft Version 1 of the Evaluation Report (consistent with M&E Standards 6) & deliver to DFAT							✓	✓		
Address feedback and deliver Version 2 of the Evaluation Report							✓	✓		
Analyse feedback and debrief with DFAT to understand and address feedback							✓	✓	✓	
Additional data collection / analysis to strengthen report							✓	✓	✓	
Deliverables: Draft Evaluation Report (Version 1 & Version 2) by 10 June and 15 July 2022								✓	✓	
Phase 3B: Final reporting and dissemination										
Debrief with DFAT to understand and address feedback									✓	✓
Additional data collection/analysis to strengthen report (if necessary)									✓	✓
Address stakeholder feedback and deliver Final Evaluation Report suitable for publication									✓	✓
Develop Internal Recommendations Paper for DFAT's Management Consideration									✓	✓
Develop communication tools (e.g. briefing, presentation, infographics, etc.)									✓	✓
Dissemination and stakeholder engagement activities									✓	✓
Address stakeholder feedback and deliver Final Evaluation Report suitable for publication									✓	✓
Develop Internal Recommendations Paper for DFAT's Management Consideration									✓	✓
Deliverables: Final Evaluation Report, Internal Recommendations Paper and PowerPoint Presentation by 14 August 2022									✓	✓

Annex 4: Stakeholder Engagement and Communication Plan



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Annex 5: Risk Management

Risk description	Risk outcome	Rating	Mitigation strategy	Responsible officer
Lack of common understanding of evaluation objectives	Outputs and key deliverables do not meet DFAT's requirements	Low	<ul style="list-style-type: none"> Establish a common understanding of the evaluation objectives during the project inception meeting and during the design of the Evaluation Plan Develop comprehensive project timetable with realistic timelines for tasks and deliverables Ensure sign off by DFAT on the Methodology and Work Plan Provide regular verbal updates on project progress Ensure open communication is established and the ability to highlight potential issues as they arise 	<ul style="list-style-type: none"> Tetra Tech Contractor Representative and Team Leader DFAT Evaluation Manager
Low quality of existing data, missed information or data sources	Limited ability to triangulate data to determine progress towards project outcomes based on incomplete information	Low	<ul style="list-style-type: none"> Early identification of data gaps and information pertinent to the development of evaluation method and implementation Sign-off from DFAT on Stakeholder Engagement and Communications Plan Consultation with key stakeholders at the start of the evaluation 	<ul style="list-style-type: none"> Tetra Tech Team Leader DFAT Evaluation Manager and Program Manager
Key stakeholders not willing to engage or not available for consultation	Delayed deliverables Reduced buy-in from stakeholders if some are left out of the consultation process Missed information	Medium	<ul style="list-style-type: none"> Early identification of key stakeholders and initiate early contact with stakeholders Build off DFAT, DPC ERG and evaluation team member's contacts and relationships with partners, government and local partners Seek advice from DFAT Develop a list of alternative stakeholders for consultation where possible 	<ul style="list-style-type: none"> Tetra Tech Team Leader DFAT Evaluation Manager
COVID-19	Coronavirus (COVID-19) restrictions negatively influence review activities and progress	Low	<ul style="list-style-type: none"> Be guided by Laws and any State of Emergency Declarations or other warnings Ensure awareness and application of Tetra Tech Health & Safety policies, Safety & Security Plan and TOTAL online incident reporting and management platform Prioritise welfare of the team, program partners and stakeholders through Protective and Sanitisation protocols 	<ul style="list-style-type: none"> Tetra Tech Team Leader DFAT Evaluation Manager

Risk description	Risk outcome	Rating	Mitigation strategy	Responsible officer
			<ul style="list-style-type: none"> Adaptive management approach to planning enabling flexible implementation: re-evaluate priority activities if threats change and scale up/down activities accordingly 	
COVID-19 health risks	Illness of team members and partners	Medium	<ul style="list-style-type: none"> Follow relevant COVID-19 safety advice Encourage all team members to be vaccinated Monitor COVID-19 situation and reinforce COVID safe procedures before any in-person meeting. Revert to remote only options should the situation deteriorate. 	<ul style="list-style-type: none"> Tetra Tech Team Leader DFAT Evaluation Manager
Work Plan	Estimates of task/activity timeframes and resource requirements are not adequate	Low	<ul style="list-style-type: none"> Collaborate closely with DFAT on the work plan and methodology development. Tetra Tech to accurately schedule tasks and activities allowing for contingencies. Establish and maintain a meaningful communication strategy with DFAT and team members 	<ul style="list-style-type: none"> Tetra Tech Contractor Representative Tetra Tech Team Leader
Support/Project Management	Insufficient management support provided to the Team Leader	Low	<ul style="list-style-type: none"> The team remain responsive to changes. Engage with a broader range of counterparts to mitigate the loss of knowledge Secondary data (reports, meeting notes etc) will be used if there is limited access to counterparts for primary data collection 	<ul style="list-style-type: none"> Tetra Tech Contractor Representative
Natural disaster	Natural disasters may interrupt service delivery	Medium	<ul style="list-style-type: none"> Flexibility in planning and delivery of services. Ongoing monitoring of weather forecasts. Contingency logistics 	<ul style="list-style-type: none"> Tetra Tech Team Leader DFAT Evaluation Manager
Results	Consultation, research results and lessons learned do not inform evaluation questions	Low	<ul style="list-style-type: none"> Team synthesise results and communicate information, to guide future concepts. Buy in, through effective consultation with stakeholders, will ensure that the evidence, research and analysis is presented in an appropriate and relevant way that is fit for the purpose. 	<ul style="list-style-type: none"> Team Leader with support from the team

Annex 6: Criterion Based Assessment Framework

The Criterion Based Assessment Framework (CBAF) provides the evaluation team with a structure based on the determinants of quality for investment monitoring systems from which to assess the ANCP MEL system¹².

The domains (shown in Figure 3) represent the four key areas in which good quality monitoring takes place. They describe the essential characteristics of good quality monitoring systems. The CBAF forms a structure with which the evaluation team can review, question and analyse the systems and processes that form the basis of DFAT monitoring systems. Associated with each domain is a set of four related elements that further inform the nature of the research and evaluation required. They are the core determinants of quality of each domain and are designed to provide guidance on what must be in place or addressed within monitoring systems to achieve sustained success within each domain.

Figure 3: CBAF



Source: Office of Development Effectiveness (2018), *Evaluation of DFAT Investment Level Monitoring Systems*.

¹² Office of Development Effectiveness. "Evaluation of DFAT Investment Level Monitoring Systems." Accessed online 27 January 2022 at [evaluation-of-investment-level-monitoring-systems.pdf](https://www.dfat.gov.au/evaluation-of-investment-level-monitoring-systems.pdf) (dfat.gov.au)

Independent Evaluation of the Australian NGO Cooperation Program

Final Key Issues Paper – January 2022

Annex 7: Final Key Issues Paper

1 Background

1.1 The Evaluation

Tetra Tech International Development has been engaged by the Department of Foreign Affairs and Trade (DFAT) to undertake an independent evaluation of the Australian NGO Cooperation Program (ANCP) to:

- assess the efficiency and relevance of the ANCP modality, including the capacity of the ANCP to adapt and respond to emerging trends and issues in the international development and NGO sectors
- assess the effectiveness of the ANCP modality in facilitating Australian NGOs (ANGOs) and DFAT to achieve or contribute to development outcomes
- make recommendations for improvements to the management and the implementation of the ANCP in the context of the changing development and NGO sector policy and operating environment.

The evaluation is being undertaken between November 2021 and August 2022.

1.2 Purpose of the Key Issues Paper

The Key Issues Paper is an inception document with the purpose of presenting the issues associated with each key evaluation question (KEQ). The analysis has been used to build on and refine the Evaluation Framework developed as part of the Evaluation Plan. The Evaluation Framework presents the evaluation questions, judgement criteria, evaluation methods and sources of evidence.

It is not intended as a comprehensive analysis of each issue but rather as a tool to indicate the scope, key fields of inquiry and inform the Analytical Framework for the evaluation. This Paper also poses a number of questions based on the analysis for discussion with DFAT to confirm the scope of evaluative inquiry.

Finally, the Paper provided a further opportunity for DFAT, the DPC Evaluation Reference Group and ANGOs to give structured written and verbal feedback on the issues associated with the evaluation¹³.

1.3 Data sources

The Key Issues Paper has been developed by the evaluation team based on desk research and consultation with key ANCP stakeholders, involving:

Desk research

The evaluation team undertook a document search and preliminary desk review of key issues relating to the evaluation including:

- ANCP foundational documents and statistical information generated through the ANCP Monitoring, Evaluation and Learning Framework (MELF)
- good practice in donor financing and the relationship between donors and NGOs globally
- trends in international development
- key DFAT and ACFID policy documents.

¹³ DFAT, the Evaluation Working Group and the DPC ERG provided written and verbal feedback and ANGOs provided feedback through three Focus Group Discussions.

DFAT and Development Practice Committee (DPC) Consultations

Formative consultations with DFAT and the DPC to confirm an engagement strategy, ways of working and to understand the issues raised in consultations around the drafting of the evaluation Terms of Reference (ToR).

ANGO Consultations

Preliminary discussions with ACFID and the DPC on key issues affecting the evaluation. A purposive sample of 30 ANGOs were identified and invited to provide feedback on the scope of the evaluation and critical themes from an ANGO perspective. The sample included a mix of ANGOs and the three focus group discussions (FGDs)¹⁴ explored underlying factors that shape the evaluation's approach within the ANCP evaluation with regard to:

- emerging trends in the development sector and the impacts of these on the DFAT-ANGO relationship
- strengths and weakness of the ANCP modality in the face of these trends.

The evaluation team also reviewed ANGO written submissions to DFAT on the draft ToR.

ANGO had a further opportunity to feedback on the draft Key Issues Paper in January 2022 through a further three Focus Group Discussions (FGDs).

2 Foundational understandings informing the evaluation

Several issues (see **Figure 1**) apply to all or some of the evaluation questions, and act as foundational understandings and building blocks for developing the Analytical Framework and informing evaluation methods.

Figure 4: Foundational understandings



2.1 The ANCP Architecture

The ANCP mechanism is a complex and complicated system¹⁵. It has a visible externally facing architecture, which includes processes for eligibility and accreditation, operations, monitoring, evaluation, and learning (MEL) and communications. Each of these, however, rely on each ANGOs themselves having their own aligned systems that work across their international program portfolios in order to access and meet these requirements.

The wider each organisation's global footprint, the more complicated this system becomes as it relies on alignment of multiple systems across a network of international organisations.

The ANCP architecture also has implications for local implementing partners who also need to align their systems, policies and safeguards with DFAT and partner requirements (see Figure 2).

Finally, analysis of the ANCP architecture and the ANCP modality itself consider the different experiences of the diversity of ANCP partner types, particularly Base and Full accredited ANGOs.

¹⁴ Three focus groups were attended by 26 participants from 20 organisations.

¹⁵ Complicated systems have many moving parts but operate in patterned ways. Complex systems, by contrast, are imbued with features that may operate in patterned ways but whose interactions are continually changing. Three properties determine the complexity of an environment. The first, *multiplicity*, refers to the number of potentially interacting elements. The second, *interdependence*, relates to how connected those elements are. The third, *diversity*, has to do with the degree of their heterogeneity. The greater the multiplicity, interdependence, and diversity, the greater the complexity.

2.2 The ANCP Value Proposition

The ability for ANGOs to work at community levels to support poverty alleviation outcomes underlies the narrative for DFAT-ANGO engagement and partnership and the ANCP Theory of Change (ToC)¹⁶.

DFAT's Effective Development Partners Statement¹⁷ articulates what DFAT values in its relationship with NGOs, in particular:

- the ties NGOs build between Australian communities and communities and institutions across the region
- NGO's trusted relationships, local networks, and knowledge
- NGO's comprehensive understanding of local contexts, deep development expertise and sophisticated models
- NGO's established infrastructure and capabilities
- the visibility that NGOs provide to the Australian development program
- NGO's ability to mobilise public support and voluntary contributions for development
- NGO's focus on local capacity building and empowering local communities to manage their lives and livelihoods
- NGO's strong local partnership and approaches which strengthen local system and support locally led development and humanitarian responses
- NGO's reach into remote areas and fragile and conflict affected states
- NGO's role in contributing to an informed and engaged civil society, which strengthens governance and is a development outcome in its own right as it enables communities to play an active role in the development process.

Preliminary consultations with ANGOs highlighted development effectiveness and the mobilisation of co-financing as key parts of the value proposition that ANGOs bring to the ANCP.

Consultations also highlighted that some of the aspects ANGOs value in their relationship with DFAT through the ANCP are:

- ability to engage in policy dialogue – though it was noted that the space for dialogue has significantly diminished over the last 7 years
- organisational strengthening that comes about through the accreditation process
- flexibility in funding enables adaptive management, investment in innovation and responses to locally led priorities
- an entry point into the broader DFAT network, including thematic areas and posts.

The Theory of Action set out in Section 2.5 provides some hypotheses for how ANCP enables DFAT and ANGOs to leverage these values. These will be expanded through further consultation and tested through the evaluation process.

2.3 The Changing Context

Formative consultations with DFAT, a selection of its ANGOs, ACFID and the desk study have surfaced several factors that are driving change in the development context, and which impact development actors and their ways of working (see Figure 3).

These issues will frame our inquiry, and analysis will focus on what these issues mean for the relationship between DFAT and ANGOs in the delivery of ANCP. This will inform recommendations of any changes that need to be made to the ANCP objectives or modality to respond to these changes.

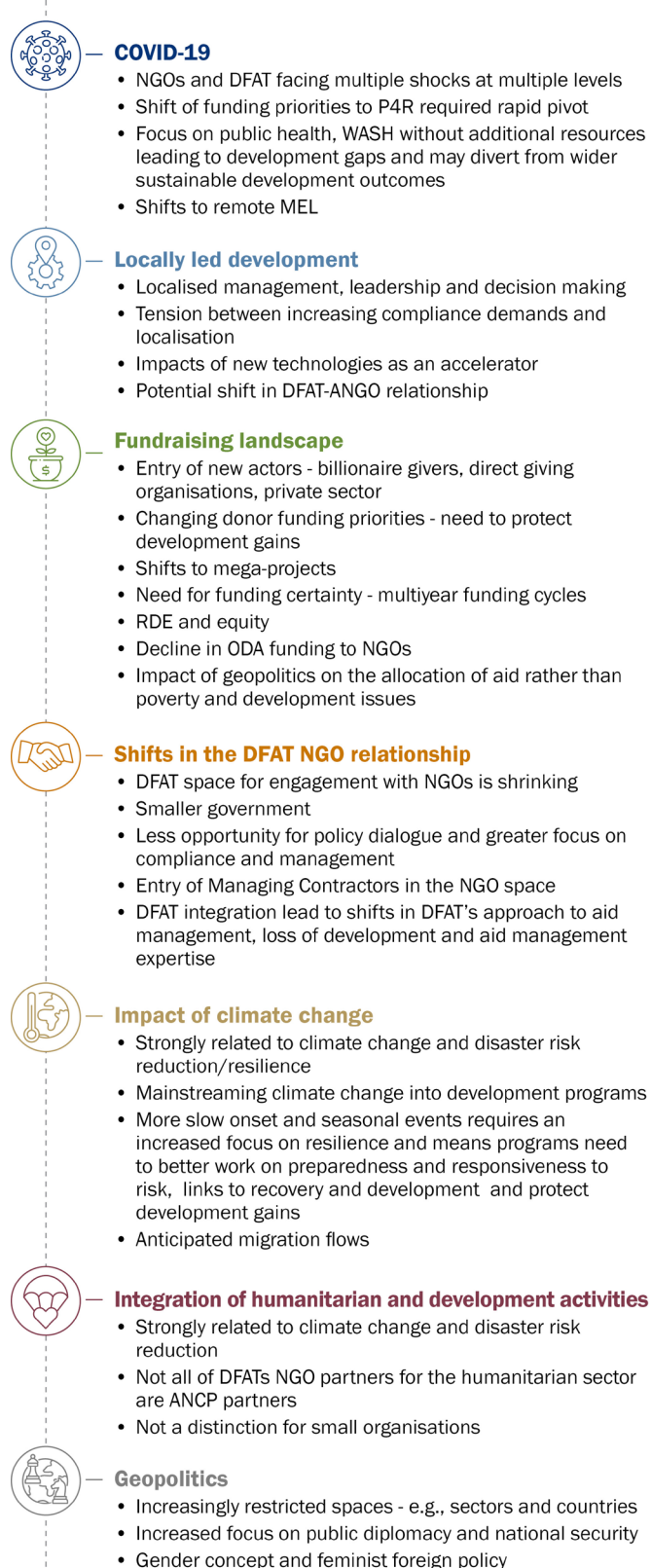
¹⁶ DFAT advice in *(Program Logic – understanding the foundation for effective aid program management. June 2014)* rolls Theory of Change and Program Logic together under the single heading - Program Logic. Regardless of terminology, the Theory of Change / Program logic is the core of the Program Design.

¹⁷ [Working with Non-government organisations \(NGOs\): Effective Development Partners Statement | Australian Government Department of Foreign Affairs and Trade \(dfat.gov.au\)](https://www.dfat.gov.au/working-with-non-government-organisations/ngos/effective-development-partners-statement)

Figure 5: ANCP architecture



Figure 6: Emerging contextual issues affecting the development sector



2.4 Good practice and trends in NGO financing

An assessment of the relevance, effectiveness, and efficiency of the ANCP modality is best positioned within an understanding of current trends in good practice financing for civil society. Drawing on a range of sources including the Governance and Social Development Resource Centre (GSDRC)¹⁸, the Good Humanitarian Donorship (GHD) Initiative¹⁹ and evaluations of donor modalities, key trends, and principles of good NGO financing models in development and humanitarian contexts include:

Figure 7: Principles of Good Practice NGO Financing



¹⁸ Governance and Social Development Resource Centre. "Civil Society Funding Mechanisms". Accessed online 7 January 2022 at <http://gsdrc.org/docs/open/hd633.pdf>

¹⁹ Good Humanitarian Donorship. "24 Principles and Good Practice of Humanitarian Donorship". Accessed online 7 January 2022 at <https://www.ghdinitiative.org/ghd/gns/principles-good-practice-of-ghd/principles-good-practice-ghd.html>

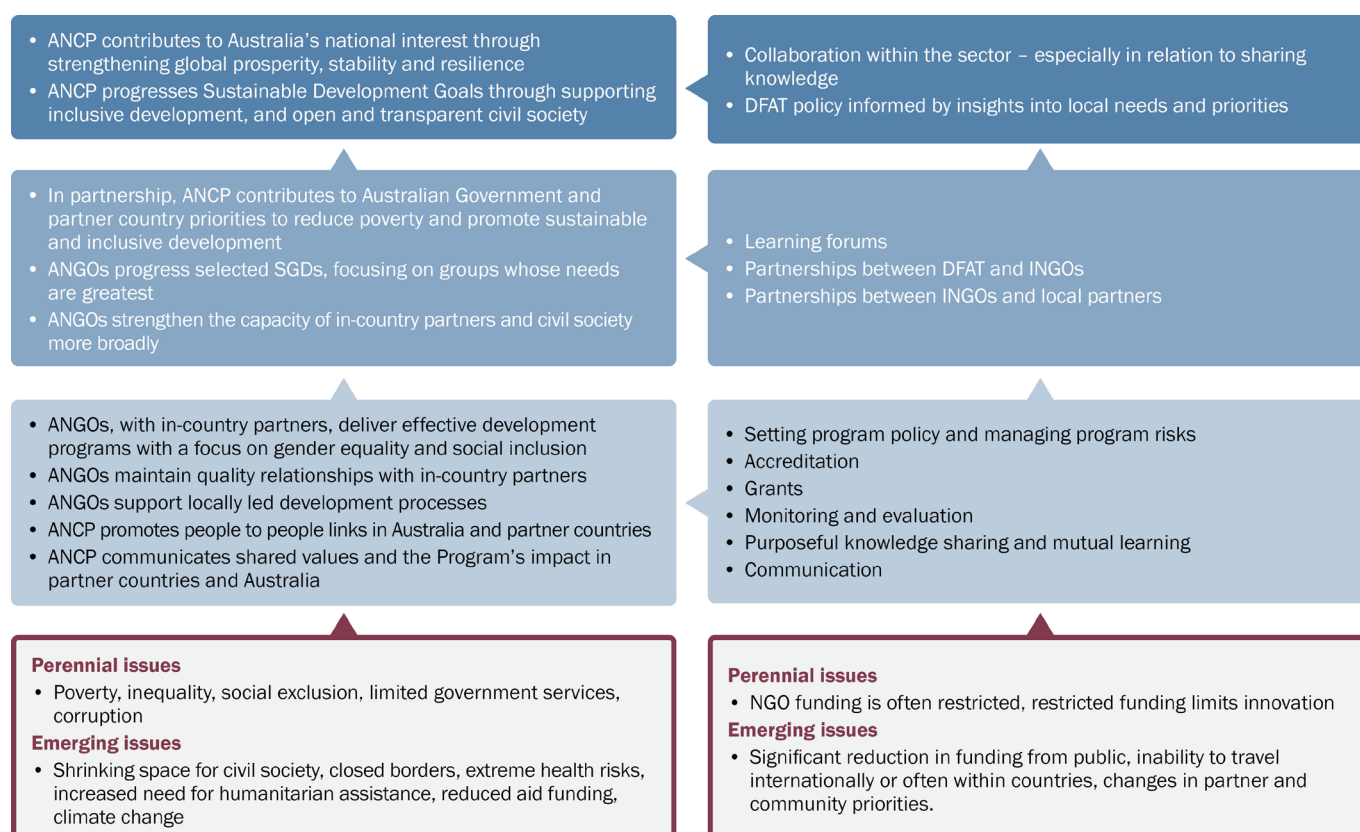
2.5 Theory of Action (ToA) for ANCP

As a key focus of the evaluation is on assessing the effectiveness of the delivery modality, the evaluation team has worked with DFAT to develop a ToA (see Figure 8) that articulates how the ANCP delivery modality contributes to the outcomes and realises the value that each partner finds in the relationship ie the ToA (the right hand column in Figure 8) connects what the program plans to do (and how) with what the program hopes to achieve (the ToC on the left hand column of Figure 8).

Where the ToC describes the processes through which the program outcomes come about, the ToA articulates the delivery model, or modality, for the ToC. As such, the ToA is an integral part of the ANCP program logic and helps us understand how the ANCP modality itself contributes to the way activities are delivered and the outcomes achieved. It also recognises that there are some inherent benefits to the delivery model itself – for example the broader organisational capacity building that happens as a result of the accreditation process.

The rest of this section seeks to elaborate on how the ANCP activities and program features ‘activate’ the ToC – this effectively expands on the arrows Figure 8.

Figure 8: ANCP Theory of Action



The following hypotheses have been developed to articulate how the delivery modality influences activities and outcomes. They are linked to principles of good practice financing and will be **refined and tested** through the evaluation process.



How does the ANCP modality address issues in the Australian civil society landscape?

- Reliability of funding based on Recognised Development Expenditure (RDE) facilitates calculations longer term planning and programming.
- A non-competitive funding allocation process enhances collaboration between ANGOs.



How does the ANCP delivery modality contribute to NGO activities and intermediate outcomes?

The evaluation will test the extent to which the ANCP activities contribute to outcomes in line with Table 1 below.

What are the structures and processes created by the ANCP modality?

- The longevity of ANCP has led to strong relationships between ANGO's and DFAT's ANCP team.
- The predictability of funding helps ANGO's to commit to longer term relationships with in-country partners.
- Accreditation requirements have enhanced organisational systems and processes within ANGOs and across the sector.

**How do the structures and processes created by ANCP activities contribute to ANCP program outcomes?**

- Trusted relationships between ANGOs and DFAT mean that issues can be dealt with proactively and effectively.
- Learning from ANCP programs is spread across ANGOs, and between ANGOs and DFAT.
- Partnerships through ANCP are leveraged through other parts of DFAT, in particular:
 - ANGOs provide DFAT posts, desks and thematic areas with local contextual knowledge
 - ANGOs facilitate DFAT access to communities where they are working.
- ANCP Partnership between ANGOs and local CSOs improves the way that the CSO operates more generally – outside of ANCP funding.
- Long term partnerships between ANGOs and local CSO partners strengthen civil society in partner countries by sustainably building local CSO capacity.

**What are the sustained benefits of the delivery model?**

- The longevity of the ANCP has enhanced ANGO organisational capacity, beyond the ANCP program funding.
- Learning from ANCP and relationships with ANGOs has enhanced DFAT policy and programming by anchoring it in contextual knowledge and understanding of local priorities.
- The non-competitive nature of ANCP funding has created sustainable networks and coalitions of ANGOs.

**How do the sustained benefits of the delivery model contribute to the ANCP goal and objective?**

- Enhanced DFAT policy leads to more effective programming and delivery.
- Enhanced ANGO organisational capacity leads to better development programming for all ANGO activity.
- ANGO programming is more joined up and complementary as a result of collaboration between ANGOs.

Table 1: ANCP Activities

ANCP Activity	Relationship to activity / intermediate outcome
Setting program policy and managing program risks	<ul style="list-style-type: none"> • ANCP aligns with DFAT funding priorities • Contracting and management arrangements meet DFAT risk management requirements • ANCP contributes to Australia's national interests and public diplomacy efforts
Accreditation	<ul style="list-style-type: none"> • Accreditation requirements around social inclusion and local capacity building lift the standards of practice in these areas • Accreditation acts as a front-end risk management and due diligence process
Grants	<ul style="list-style-type: none"> • Flexible funding is used to pilot innovative approaches • Flexible funding is used to leverage other funds • Flexible funding is used to develop implementation models that can be delivered across different country contexts • Flexibility of funding means that ANCP can pivot to respond to emerging issues • ANCP projects complement and extend Australia's bilateral and regional program and priorities
Monitoring and evaluation	<ul style="list-style-type: none"> • Smarty Grants enables DFAT to aggregate and analyse data across the portfolio • Smarty Grants enables DFAT to manage across the whole program cycle • Requirements to disaggregate beneficiary data by gender and disability status promotes social inclusion
Purposeful knowledge sharing and mutual learning	<ul style="list-style-type: none"> • Annual review workshops provide learning that is applied to ANGO programs • Annual review workshops create connections between ANGOs that are maintained • Findings from thematic and meta-evaluations are used to enhance NGO and DFAT practice
Communication	<ul style="list-style-type: none"> • Communication raises awareness of the Australia's Development Program in-country • Communication raises awareness of the Australia's Development Program in Australia



QUESTION: Does the ToA and hypotheses provide appropriate framing to test the effectiveness and efficiency of the ANCP delivery modality?

3 Key Evaluation Questions (KEQs)

The following section aims to explore the key issues that underline each of the KEQs as presented in the ToR. Based on this analysis, the evaluation team has proposed some changes in the sequencing of the questions (see Section 4, Table 2).

3.1 KEQ 1 The Modality

KEQ 1: Is the ANCP modality, including management, implementation, and funding arrangements ‘fit for purpose’ and how can it be improved?

This is the central question for the evaluation that addresses the efficiency, relevance and effectiveness of the ANCP modality in delivering against its objectives within the Australian development program.

All of the proposed key evaluation questions that follow contribute in some way to answering this question. As a result, the evaluation team have proposed that this question become KEQ 4, enabling a final summative analysis of the extent to which ANCP is future fit for purpose and the formulate recommendations based on the evaluation evidence surfaced through the treatment of the other KEQs (see Table 2).

1.1. How efficient are current ANCP management, implementation, and funding arrangements in delivering against the ANCP’s program logic?

DFAT defines efficiency as “making an efficient use of Australia’s and our partners’ time and resources to achieve outputs and expected deliverables”²⁰.

In responding to this question, we will draw on both DFAT and ANGO perspectives of the value proposition for ANCP (see section 2.2) and analyse this in relation to:

- The objectives of ANCP
 - Joint development objectives
 - DFAT objectives (engage with diverse civil society)
 - ANGO objectives (funding certainty, position in Australian development program)
- The features of the ANCP modality that are designed to achieve them and how are these features supporting to achieve the objectives?
 - Management (in-house project management, annual reporting)
 - Implementation
 - Funding arrangements (RDE, annual funding cycles)
- The extent to which these features deliver the objectives efficiently.

1.2. To what extent have current arrangements enabled the ANCP to respond effectively to the changing international development and NGO context and how could they be strengthened to further facilitate responsiveness?

The evaluation will map what changes have been made or are being made in response to the contextual changes identified in 1.3 and consultations will assess the extent to which these changes position ANCP to be able to adapt to these challenges into the future.

²⁰ DFAT definition as outlined in the Investment Monitoring Reporting framework.

1.3. What are the strengths and weaknesses of the ANCP including the partnership and program management model compared to other major DFAT NGO programs such as Australian Humanitarian Partnerships Program (AHP) and Water for Women?

This question is intended, along with exploration of other donor modalities of similar size and purpose, to assist DFAT to make a comparative analysis of the strengths and weaknesses of different types of modalities for ANGO funding that may be available to it.

To do this, DFAT needs to consider the relevance and efficiency of these models in delivering against ANCPs intended objectives. The analysis of selected models will therefore be undertaken in two parts:

1. What are these modalities trying to achieve and are these relevant to ANCP?

And if so:

2. The strengths and weaknesses of relevant models will be assessed using a criterion-based assessment framework that considers key parts of the system such as eligibility, accreditation, and due diligence; partnering arrangements; funding structure; program cycle - flexibility and adaptability; MEL, aid communications and public diplomacy.

This analysis will be underpinned and informed by the value proposition for DFAT-ANGO engagement (see section 2.1) and principles of good practice in NGO financing (see section 1.4), and Partnership Theory.

It is important that the evaluation draws on models most relevant to ANCP's objectives. Water for Women and the AHP are multi-country thematic programmes, only now completing their first four-year terms. While mid-term evaluations have been undertaken, the evaluation will benefit from also drawing on evaluative evidence of other DFAT-NGO partnership models such as:

- evaluations and analysis of funding modalities including the ODE evaluation of DFAT Facilities and the Review of NGO Funding in the Mekong;
- hybrid models of shared management arrangements between DFAT and a managing entity (NGO or contractor) such as the Australian Afghanistan Community Resilience Scheme (AACRS); and
- historic models of DFAT- NGO engagement for example or evaluations of DFAT-NGO Cooperation Agreements (such as the Australia Middle East NGO Cooperation Agreement (AMENCA), and Strategic Partnership Arrangements (such as the DFAT Red Cross Humanitarian Partnership and the DFAT Asia Foundation (TAF) Partnership),

Our revisions to the KEQs (refer to Table 2) propose an amendment to the wording of KEQ 1.3 to enable this broader analysis.



QUESTION: Is there agreement that the analysis of comparative models extend beyond AHP and Water for Women to include case studies of additional modality types used by DFAT.

1.4. What models of NGO funding and program management have other like-minded donors employed and what lessons can be learned from these?

DFAT and NGO partners are keen to learn from international experience and position the ANCP as a leader in donor- NGO funding.

The evaluation will explore several NGO funding modalities with similar objectives the ANCP from:

- United Kingdom Foreign Commonwealth and Development Office (FCDO)
- Norwegian Department for Development Cooperation (NORAD),
- Swedish International Development Cooperation Agency (SIDA)
- Danish International Development Agency (DANIDA)
- Irish Aid Civil Society Fund
- United States Agency for International Development (USAID)
- New Zealand Ministry of Foreign Affairs and Trade (MFAT).

To ensure consistent analysis, the assessment of donor models will be undertaken in two parts:

1. What are these funding arrangements trying to achieve and are these relevant to ANCP?

And if so:

2. The strengths and weaknesses of relevant models will be assessed using a criterion-based assessment framework that considers key parts of the system such as eligibility, accreditation, and due diligence; partnering arrangements; funding structure; program cycle - flexibility and adaptability; MEL, aid communications and public diplomacy.



QUESTION: Is this an appropriate cross section of donors for the case studies?

3.2 KEQ 2: Monitoring Evaluation and Learning

KEQ 2. Is ANCP supported by robust and appropriate monitoring, evaluation and learning (MEL) processes?

ANCP MEL arrangements are an important part of DFAT's performance management framework and have the potential to influence DFAT's own priorities and those of partner organisations and the work that they do. It is important therefore that the MEL system drives positive behaviour and promotes shared learning and policy dialogue between DFAT and ANGOs and within the NGO sector.

The evaluation will assess the effectiveness and appropriateness of ANCP MEL arrangements with consideration to the accountability needs of DFAT, and the multiple accountabilities faced by ANGOs and their ability to bring evidence to development practice and policy. This will be done through two sub questions:

2.1. Does the current program logic adequately reflect the ToC for the ANCP in the changing context?

The evaluation will draw on an analysis of key trends affecting the sector to understand how these affect development priorities and the relationships between DFAT and ANGOs as they pertain to the ANCP.

These will be mapped against the ANCP program logic to assess the extent to which it remains relevant and effective for delivering development outcomes in the changing context.

This process will also test the assumptions that underlie the ToC to assess whether they remain relevant and to consider what changes to the ANCP operational model (ToC and ToA) may be required to respond to these changing contexts.

2.2. To what extent do ANCP M&E processes and systems generate robust evidence about the results and drive learning, policy, and program improvement?

Understanding the results and long-term impact of development activities is important for accountability, and to drive learning and continuous improvement. In considering the extent to which the ANCP MELF generates robust evidence about results, the evaluation will:

- describe the ANCP MEL processes and system and assess the extent to which these generate credible information
- assess how this evidence is or is not used to contribute to learning for program improvement, at the sectoral level and within DFAT
- assess how this evidence is or is not used for informing policy within DFAT.

The analysis will consider the extent to which information gained through the MEL system: generates robust evidence; drives learning, program and policy improvement.

3.3 KEQ 3: Trends

KEQ 3. What are the key trends and emerging issues in the NGO sector and international development context that may impact on the ANCP and how should DFAT and ANCP partners address these?

This field of analysis positions the evaluation as a future focussed piece of work by examining trends and their potential impacts on the DFAT-ANGO relationship and considers potential adaptations that may be required to ensure a continued and efficient ANCP modality.

3.1. What are the anticipated key trends in the NGO sector and in international development that will be most relevant to ensuring an effective ANCP program model over the next 10 years?

Desk review and formative consultations with DFAT and NGOs and have surfaced several trends (see **Figure 3** in section 2.3) that are expected to drive change that will impact on an effective ANCP program model into the future.

We will describe how these issues (see section 1.3) are expected to affect the ANCP modality and relationships between DFAT and NGOs into the future.

3.2. To what extent is the ANCP modality and its objectives appropriate for the changing context?

This question requires an understanding of how each of these issues are likely to impact the NGO context, predict what changes to funding and operational contexts may be required and assess the extent to which the current modality is able to adapt to these changes.

This sub-question is strongly linked to the analysis of the efficiency and effectiveness of the ANCP modality and as a result we propose that this question is treated as a subset of KEQ 4 (see Table 2).

3.3. What opportunities and risks does this changing context present for ANCP and how can ANCP be adapted to be more relevant for the future?

Treatment of KEQ 3 and sub questions 3.1 and 3.3 are intended to frame the future context for ANCP in order to be able to present some possible future scenarios that will inform recommendations relating to possible adaptations to the ANCP.

The question is presented in two parts. The first part is a natural fit with KEQ 3.1 and enables a concurrent analysis of opportunities and risks presented by the shifting context.

The second part of the question however is best considered alongside analyses undertaken within other KEQs, specifically KEQ 1 which explores the efficiency of the ANCP modality. As a result, we propose that this question is amended in line with Table 2.



QUESTION: Is there agreement that the contextual factors presented in Figure 3 represented the central issues that are expected to impact the DFAT-NGO relationship over the next ten years.

3.4 KEQ 4: Development Effectiveness and Impact

KEQ 4. How effective is the ANCP modality in assisting ANGOs to reduce poverty and promote sustainable and inclusive development?

This question relates to the ANCP effectiveness in achieving the Program Outcomes as articulated in the ANCP Program Logic²¹:

“In Partnership, ANCP contributes to Australian Government and partner country priorities to reduce poverty and promote sustainable and inclusive development”.

The assessment of effectiveness provides an important foundation for the evaluation:

1. By acknowledging the achievements of DFAT’s ANCP partners.
2. Informing assessment around the value and potential of the modality as a tool for Australia’s development efforts.

The evaluation team propose that the current KEQ 4 and sub-questions become KEQ 1 enabling an up-front assessment of ANCP’s contribution to the Australian development program (see Table 2).

4.1. What are the major outcomes of delivering development through the ANCP?

ANCP is a large program that delivers against a wide range of outcome areas.

The evaluation will articulate high level results against the intermediate outcomes of the three pathways of the ANCP ToC as follows²²



Outcome Pathway:1 ANCP Modality There is some overlap between the outcomes in the ANCP Modality Pathway 1 and the KEQs. Treatment of this question provides an opportunity for the evaluation to highlight the architecture and key strengths and weakness of the modality that will contribute to the summative analysis of the efficiency of the modality (KEQ 1).



Outcome Pathway 2: Development Outcomes Given the plethora of NGO and DFAT generated reports, this analysis will focus on an independent review and verification of DFAT consolidated reporting against the outcomes. Consultations with NGO partners. will look for evidence of results (intended and unintended) that are not captured in reporting against the TOC, as well as any related to the changing development context.



Outcome Pathway 3: Public Diplomacy Assessment of Pathway 3 will consider both internal and external facing public diplomacy that is, how ANCP contributes to building Australian support for the development program and how it contributes to building people-to-people linkages in the countries where it works. This analysis will be framed around DFAT’s Public Diplomacy Strategy²³ and draw on wider understandings of public diplomacy through for example the DFAT Soft Power Review and experiences of Posts.

The evaluation will also consider how results and reporting have been affected by COVID-19 and the pivot to Partnerships for Recovery (P4R) as framing for our response to sub-question 4.2.

²¹ DFAT. “Australian NGO Cooperation Program (ANCP) Program Narrative (August 2020). Accessed online 22 December 2021 at <https://www.dfat.gov.au/sites/default/files/ancp-program-logic.pdf>

²² *ibid*

²³ DFAT. “Public Diplomacy Strategy”. Accessed online 21 December 2021 at <https://www.dfat.gov.au/people-to-people/public-diplomacy/public-diplomacy-strategy>

4.2. How has ANCP contributed to outcomes under Partnerships for Recovery?

ANGOs are considered to have made a major contribution to P4R.

Joint COVID-19 indicators were finalised in August 2020 to allow consolidated reporting across the ANCP²⁴. ANGOs have been reporting against these indicators for the 2019-2020 and 2020-2021 reporting periods and will continue to do so until the end of P4R. These 19 indicators spanning health security, water sanitation and hygiene (WASH), child protection, food security, gender equality and social inclusion, livelihoods and the private sector, have been integrated into ANCPs MELF and Pathway 2 of the ToC, and provide a quantitative snapshot of the reach of NGOs activities contributing to the COVID-19 response.

The evaluation will explore this further including by assessing the stated outcomes in reporting and through interviews/ focus group discussions with a cross-section of NGOs. Early evidence suggests that ANCP may be one of the most significant contributors to P4R, comparing favourably with other mechanisms supported through the development program. However, NGOs have raised questions around the impact on their other programming commitments to communities, and the need for funding to adapt and implement pre-existing programs. The evaluation will explore the process used to enable NGOs to pivot through ANCP to supporting P4R (the 'how'), the results achieved against the P4R framework, and the expected impact on the longer-term objectives and goal for the ANCP, which currently remains "ANCP progresses SDGs through supporting inclusive development, and open and transparent civil society".

The evaluation will draw on ANCP's meta-analysis of NGO reporting against P4R indicators and make a comparison with P4R outcomes achieved across DFAT overall to measure the contribution of ANCP partners. Noting that the indicators are all quantitative and represent a snapshot or cross-section of activities undertaken by NGOs in response to COVID-19, FGDs, and interviews with NGOs will also be used to explore qualitative aspects of results beyond outputs, as well as identifying areas of action and outcomes not captured through current reporting systems.

4.3. Does the ANCP modality contribute to or inhibit the impact of the program and what are the lessons for the broader Australian development program?

This question is about the outcomes of the ANCP modality itself, that is, the contribution of the ANCP mechanism to the delivery of development outcomes. As such it is a central question for the whole evaluation in that helps us also to consider whether better outcomes could be achieved if the modality were different and therefore make recommendations for change.

We propose therefore that this question is discussed early in the sequence of enquiry.

The evaluation will analyse the ANCP ToA (Figure 4) and hypothesis' outlined in section 2.4 to articulate how the ANCP modality and its associated systems triggers the development outcomes identified in sub-questions 4.1. and 4.2 by exploring:

- To what extent do the systems and operating requirements of ANCP facilitate or limit results? For example, what is the influence of DFAT policy and aid priorities on outcomes - e.g., climate change, gender and social inclusion (GESI) and the COVID-19 pivot; how does accreditation contribute to capability build and strong civil CSOs.
- Are ANGOS able to use ANCP funding to achieve their goals, or are they limited by the requirements of the modality, for example accreditation and RDE?
- How do these systems affect different partner typologies (Base level, Full level)?

²⁴ Joint indicators apply to both ANCP and AHP NGO partners.

4 Proposed Amendments to the ToR

Our exploration of the key issues indicates several areas of overlap across the KEQs.

Given the central focus of the evaluation on understanding the extent to which the ANCP modality is fit for purpose to the future context, and the contribution of evidence relating to development outcomes and the changing context are foundational to this analysis. The evaluation team propose a reordering of the KEQs as indicated in Table 2. Minor shifts in wording are also proposed across some of the evaluation questions to enable a sharper focus and greater clarity on the line of enquiry.

This reflected the priorities established through the ToR - that the evaluation will be 20% summative and 80% formative. As such the priority questions for DFAT relate to KEQ 2,3 and 4 within Table 2.

In proposing these changes, the evaluation team have planned for an approach and methodology that is responsive and methodologically rigorous to deliver the evaluation in a discrete and iterative process. This will assist in streamlining the presentation of evaluative evidence as findings for each question will sequentially scaffold the evidence base to build on with evidence for the next question.

The evaluation will draw evidence from existing reports and quantitative data, as well as review secondary qualitative data and collect primary qualitative data from identified stakeholders. Doing this will provide a more comprehensive picture and enable the evaluation team to triangulate findings in a robust way. This is part of Tetra Tech's progressive inquiry technique, that applies an approach whereby stakeholder engagement and emerging findings continually inform the evaluation approach and its ongoing refinement throughout the evaluation process.



QUESTION: Do the proposed changes to the sequencing and nuancing the KEQs presented in Table 2 make sense and enable streamlined and sequenced reporting of evaluation outcomes?

Table 2: Proposed Changes to the KEQs

Proposed amendments to KEQs
KEQ 1: Previously KEQ 4 Focus: Development Effectiveness and Results - what have ANGO partners delivered through ANCP Foundational - contributes to the evidence base for later questions How effective is the ANCP in assisting ANGOs to reduce poverty and promote sustainable and inclusive development?
1.1 (previously 4.1) What are the major outcomes of delivering development through the ANCP?
1.2 (previously 4.2) How has ANCP contributed to outcomes under Partnerships for Recovery?
1.3 (new) What are the features of the modality that contribute to or inhibit the delivery of outcomes? What is the relative importance of those features?
KEQ 2: Previously KEQ 3 Focus: Relevance and Coherence Efficiency Foundational understanding - sets the scene What are the key trends and emerging issues in the international development and NGO sector context which may impact on the ANCP modality and DFAT-ANGO relationships, and how might they be addressed?
2.1 (previously 3.1) What are the anticipated key trends in the NGO sector and in international development and their impacts that will be most relevant to delivering aid through the ANCP modality over the next 10 years?
2.2 (previously 3.3) What opportunities and risks does this changing context present for ANCP?
KEQ 3. Previously KEQ 2 Focus: Efficiency Relevance and Coherence Effectiveness

Proposed amendments to KEQs

Builds on KEQ 2

Is ANCP supported by robust and appropriate monitoring, evaluation and learning (MEL) processes?

New 3.1 (previously 2.1) Does the current program logic adequately reflect the theory of change for the ANCP in the changing context, and how does the modality support this?

New 3.2 (previously 2.2) To what extent do ANCP MEL processes and systems generate robust evidence about the results and drive learning, policy, and program improvement?

KEQ 4: Previously KEQ 1

Focus:

Summative

Builds on all questions

To what extent is the ANCP modality, including management, implementation, and funding arrangements, appropriate to the changing context and how can ANCP be adapted to be more relevant in the future?

4.1 (previously 1.1) How efficient are current ANCP management, implementation, and funding arrangements in delivering against the ANCP's objectives in the changing context?

4.2 (previously 1.2) What are the features of good practice in NGO funding that are relevant to the current context?

4.3 (previously 1.3) What comparative models of NGO funding and program management has DFAT employed and what lessons can be learned from these?

4.4 (previously 1.4) What comparative models of NGO funding and program management have other like-minded donors employed and what lessons can be learned from these?

4.5 (new) What are the management implications of the ANCP for DFAT and the NGO sector, and what are the lessons for the broader Australian development program?