

**AID EFFECTIVENESS AND SOCIAL POLICY EVIDENCE GATHERING  
PROJECT ON CROSS CUTTING ISSUES – GENDER EQUALITY, RIGHTS  
AND SOCIAL INCLUSION**

**Scoping Phase One**

***Terms of Reference***

**Background and rationale**

1 In March 2005 over one hundred donors and developing countries agreed to undertake some landmark reforms in the way they do business together. The *Paris Declaration on Aid Effectiveness* marks an unprecedented level of consensus and resolve to reform aid and to make it more effective in combating global poverty.

2 The *Paris Declaration* is based on five overarching principles or partnership commitments – ownership, alignment, harmonization, managing for development results and mutual accountability. It goes beyond previous agreements and lays down a practical, action-oriented roadmap intended to improve the quality of aid and its impact on development and to shift the balance of power away from donors to a greater emphasis on mutual accountability with partner countries. The Paris Declaration specifies indicators, time tables and targets and has an evolving agenda for clarification and dissemination on commitments and for implementation and monitoring of progress, up to 2010. This includes a **Third High Level Forum to take place in Ghana in autumn 2008**.

3 In their efforts towards implementation of the *Paris Declaration*, donors and partners have been primarily focusing on improving ownership by partner countries and the efficiency of financial and administrative arrangements. This focus on aid delivery modalities, strengthening country leadership, alignment behind country strategies and financial systems, appropriate mix of aid instruments, harmonisation of donor procedures and adoption of joint approaches, is an essential contribution to making aid more effective.

4 **However, the five overall principles of the *Paris Declaration* have broader implications than improvements in aid delivery per se and greater attention needs to be paid to ensuring development leads to improved poverty outcomes, especially for poor, vulnerable and excluded groups.** The principles are major reference points for strengthening broad based ownership, guiding policy dialogue, shaping the contents of development co-operation programmes and bringing about institutional and budgetary changes required to improve poverty outcomes and empower poor and excluded groups.

5 More attention is required on the ends as well as the means of channelling aid if we want to ensure the equitable and sustainable achievement of the Millennium Development Goals. In particular, more evidence is needed on cross cutting social policy issues, such as human

rights, social inclusion and gender equality, and these need to be brought into mainstream work on the Paris Declaration (see annex A for further rationale for this emphasis).

6 The work programme on monitoring the Paris Declaration is well underway. It will focus primarily on the baseline survey and the twelve indicators and corresponding targets in the Paris Declaration (see annex B for further details) and also the multi donor evaluation of the Paris Declaration which is likely to focus on donor behaviour and attitudes. However, the review of progress in Ghana in 2008 will not only focus on the monitoring survey and the indicators of progress and targets. There will be a progress report looking at all 56 commitments, and more generally at how the spirit of the commitments has translated.

7 DFID CLEAR and Equity and Rights team are commissioning an evidence gathering exercise on aid effectiveness and cross cutting social policy issues to fill this identified gap. We are seeking to develop some shared analysis, in the spirit of the Paris principles, across DFID's Global Development Effectiveness Division and Policy and Research Division, and other bilateral donors (e.g. Nordic +), civil society and partner country institutions. This work will complement on going work and fill an evidence gap both at the international level but also within DFID, including the work the Central Research Department is doing on the effectiveness of aid, our support to the baseline survey analysis and evidence based work on Aid Effectiveness and country led approaches<sup>1</sup>.

## Scope

8 The overall goal of the evidence gathering will be to improve the evidence base on social policy cross cutting issues, aid effectiveness, and poverty outcomes. It will explore the implementation of the Paris declaration through the social policy lens of human rights, social inclusion and gender equality to:

- Provide evidence on the experience to date of the Paris Declaration's key principles and partnership commitments in *advancing* cross cutting and social policy issues central to multi dimensional poverty reduction outcomes<sup>2</sup> – human rights, social inclusion and gender equality;
- the potential for cross cutting social policy issues *to contribute to and strengthen* the implementation and review of the Paris Declaration;
- propose recommendations for furthering cross cutting social policy issues; through the mainstream aid effectiveness agenda and debate, and
- map key opportunities and entry points, and develop and support implementation of a partnership and influencing strategy to build a

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<sup>1</sup> In particular it will complement recent evidence work commissioned by DFID on Aid effectiveness and CLA e.g. Agulhas 2006 and ODI on CLA 2006

<sup>2</sup> E.g. impact and outcomes for poor, excluded and marginalised groups including women on e.g. socio economic impacts changes in livelihoods, voice and accountability, agency and decision making, access to goods and services etc

receptive environment for the evidence and recommendations, which speaks to the mainstream aid effectiveness agenda, across partners and countries, and which ultimately influences the outcomes at Ghana.

9 This will include a focus on changes in policy content, institutional changes, funding flows, power relationships and poverty outcomes, resulting from the Paris Declaration. (Annex C & D provide examples of some of the issues and key questions we are seeking to address in phase 2).

10 The aim is to help to articulate a clear evidence-based position at *Ghana 2008* for strengthening the focus on social policy and poverty outcomes as part of the aid effectiveness agenda post Ghana and beyond. It will help to strengthen links with the Working Party on Aid Effectiveness (WP-EFF) and influence the mainstream aid effectiveness agenda. It will also contribute to the consolidated progress report, inform and influence donor positions, and feed into policy and practice to improve implementation and review of Paris, including how cross cutting social policy issues may be promoted and monitored as part of the aid effectiveness agenda in the future.

11 This project will be undertaken in two phases. Phase one is the scoping phase and phase two will be the evidence gathering, and partnership and influencing. **The focus of this consultancy is phase one.** Based on the outcome from phase one the aim is to go to tender for phase two.

### **Phase One Purpose**

12 The purpose of this consultancy is to undertake the scoping work, and to produce a proposal and terms of reference in preparation for tender for phase 2.

### **Phase One Outputs**

13 There are five key outputs for this phase:

- An analytical framework and approach on aid effectiveness and social policy including gender, rights and social inclusion. This should be based on a literature review, findings of the Paris baseline survey, recent synthesis reports<sup>3</sup>, NGO critiques and discussions with key stakeholders. It should bring together thinking on mainstream aid effectiveness issues and social policy.
- A partnership and influencing strategy which identifies and maps key opportunities, partners and processes for DFID and partners to engage with. The aim is to build a receptive environment and broader understanding of the importance of cross cutting social policy issues, leading up to Ghana 2008. It has to speak to the mainstream aid effectiveness audiences, the joint ventures and DAC subsidiary bodies,

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<sup>3</sup> E.g. Agulhas April 2006, ODI CLA paper Nov 2006;

as well as across partners and countries including civil society, and not just social policy experts. It should also identify opportunities for cross fertilisation, peer review and quality assurance with other relevant evidence gathering work.

- A synthesis of relevant literature and evidence work to date on aid effectiveness including social policy, and civil society engagement and perspectives, as well as the mainstream literature as short standalone documents
- Draft ToRs for phase two by end of February in preparation for the tender process for phase two
- A final proposal in the form of a consolidated report in draft by mid March and final by end March (maximum 30 pages), framed according to the Paris principles, outlining:
  - an executive summary
  - an analytical framework through which the Paris principles can be applied to cross cutting social policy issues and development outcomes
  - summary of the existing literature on the relevance of the Paris principles to the cross cutting issues of human rights, social inclusion and gender equality
  - gaps in evidence
  - criteria for selecting case study material
  - a partnership and influencing strategy which includes key milestones up to and including Ghana 2008, and beyond,
  - final ToRs detailing issues, outputs, timeframe, partners and a partnership and influencing strategy

14 It will be important to take on board the overall goal of this evidence gathering project as outlined above in paras 8 - 11. It is also important not to duplicate the more general evidence gathering work to date but to develop and build on this.

### **Suggested Tasks for Phase One**

15 The different team members are responsible for undertaking the following tasks with a view to delivering on the five key outputs as outlined above ( ):

- Identify and interview key stakeholders
- Review and synthesise the aid effectiveness literature, from a social policy and civil society perspective
- Conduct a stakeholder analysis identifying key players and institutions and their interests and opportunities for partnership building, influencing, and synergies between this work and other ongoing work
- Synthesise the last 10 DAC peer reviews undertaken since 2005 to distil conclusions and lessons learnt about donor engagement with civil society by end February

- Input into the design phase brainstorming session
- Provide feedback and recommendations on draft ToRs, analytical framework and reports as requested by the team leader

16 The team will be made up of three consultants with expertise in aid effectiveness. This will include a social policy expert as team leader and team members including a governance expert and civil society expert. The team leader is responsible for leading and coordinating the team; for facilitating the cross fertilisation of ideas and ensuring a multi disciplinary approach; and for clarifying individual contributions, objectives and deliverables within the required timeframes. A suggested breakdown of tasks according to expertise is presented in Annex E.

17 The team leader has overall responsibility for bringing together the various team member contributions into the final analytical framework, a final consolidated report and ToRs, and for ensuring the team meets the ToRs within the specified timeframe and to good quality. The team leader is also responsible for providing the social policy analytical inputs including the literature review on AE and social policy. Team members are expected to maintain good communication with the team leader; and to feed into the consolidated report as agreed with the team leader at the beginning of the consultancy. Team members will be expected to feed into the initial brainstorming and to produce standalone documents to contribute to the overall report.

### **Phase Two:**

18 The proposal for Phase Two and budget will be determined at the end of Phase One. Outputs from phase one will be used to prepare for the tender process. Although we can not guarantee funding for phase two at this stage, we would expect a contribution to funding from Nordic plus partners as well as DFID Equity and Rights and Clear teams and Donor Policy and Partnership teams.

### **Timing**

19 Phase one is to be completed by the end of March. All draft outputs are to be submitted by 15<sup>th</sup> March, with the exception of draft TORs for Phase 2 and the synthesis of the DAC peer review on donor civil society engagement which should be submitted by the end of February. Proposals for Phase Two will be agreed before May 2007.

### **Inputs**

20 Phase one will be carried out by a team of three consultants with up to 62 days in total:

- Team leader: up to 35 days
- Governance expert: up to 10 days

- Civil society expert: up to 17 days

## **Competencies**

21 The lead consultant will be an expert in social policy – gender, rights and exclusion and aid effectiveness and will have proven experience in managing a multi disciplinary team. In addition consultants will be required to demonstrate experience against the following skill set and knowledge base:

- Excellent knowledge and significant experience of current and recent aid effectiveness debates including in social policy;
- Excellent knowledge and significant experience of one or more of the technical areas under review;
- Excellent analytical and secondary research skills;
- Excellent written communication, and presentational and facilitation skills;
- Excellent team working;
- A good understanding of DFID and other donors.

## **Budget**

22 The total budget for Phase One is £25,690 including fee rates, administrative overheads, travel, accommodation and communications. This is to be split equally between the Equity and Rights and the Clear teams.

## **Reporting**

23 Phase 1 is to be lead by the Equity and Rights and CLEAR teams in DFID with reporting to Katja Jobes (CLEAR Team) and Rahul Malhotra (Equity and Rights Team, PRD). It is expected that Phase 2 will be supported by other DFID teams (e.g. DPP, FACT, DFI, CHASE) and other donors (e.g. Nordic +, Canada).

## **Tendering for Phase Two**

24 The consultants involved in phase one would in most cases be excluded from tendering for phase two because of a potential conflict of interest. Any tenders for phase two involving the consultants for phase one would have to declare a potential conflict of interest and demonstrate how they have addressed this in their bid. In addition, DFID will take all necessary steps to ensure there is no conflict of interest when making documentation available to bidders and when assessing bids.

CLEAR team and Equity and Rights  
*Department for International Development*

**AID EFFECTIVENESS AND SOCIAL POLICY EVIDENCE GATHERING  
PROJECT ON CROSS CUTTING ISSUES – GENDER EQUALITY, RIGHTS  
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**Annex A: Rationale for focusing on Paris Declaration and cross cutting  
social policy issues**

There are several compelling reasons for focusing on social policy cross-cutting issues. Each faces similar challenges from the changes in how aid is delivered. Each is focused on the achievement of development outcomes.

Gender equality and human rights are closely intertwined as universal concerns and indicators of the progress of societies. Each takes an holistic approach to development. Each is critical to sustainable development. Each has been the subject of important global agreements made in Vienna (1993) and Beijing (1995). At the same time, each raises sensitivities and difficult challenges within donor agencies and in partner countries.

For over two decades most DAC members have had policies which have included a strong commitment to using development cooperation for achieving gender equality. It has, however, proven to be difficult to address, not responsive to “quick fixes”, and, as often as not, there has been a gap between “what we say we do” and “what we actually do”. Although the focus on human rights and social inclusion in development is more recent, its integration into development agendas has been subject to similar challenges to those experienced with gender equality.

The DAC GENDERNET and the GOVNET have recently commissioned innovative work on the connections between gender equality/human rights and development effectiveness. The resulting papers<sup>4</sup> clearly articulate the contributions that gender equality and human rights thinking and practice can make to the implementation of the Paris Declaration and identify ways of using the Declaration's key principles and partnership commitments to advance gender equality and human rights.

**Annex B: Progress to date on Monitoring Paris**

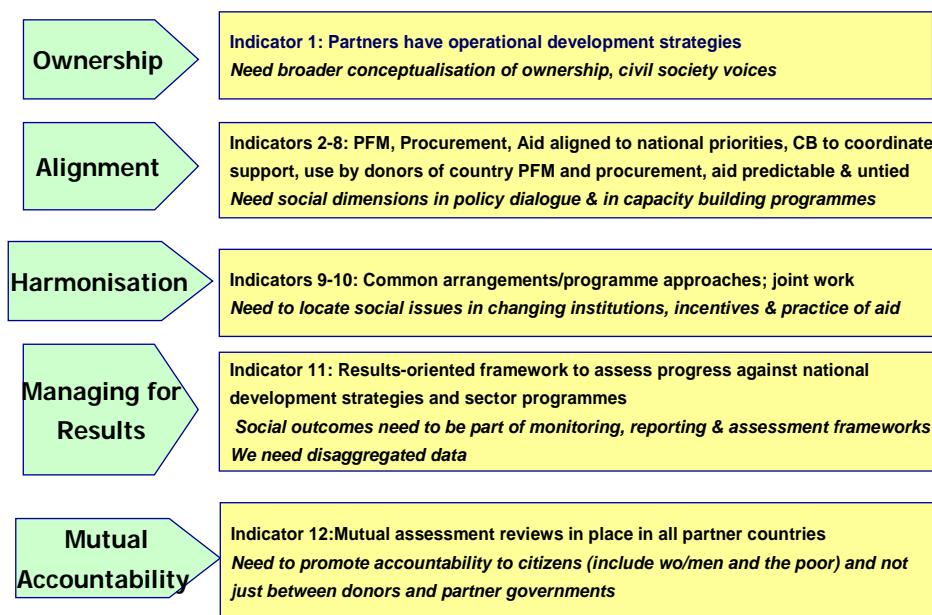
Twelve indicators and corresponding targets to be achieved by 2010 were agreed in 2005 and monitoring of these will take place in 2006 and 2008 ahead of the next High Level Forum in Ghana. These indicators attend to be of a technical nature and in some cases are rather narrow measures of much

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<sup>4</sup> Cathy Gaynor, “Paris Declaration commitments and implications for gender equality and women’s empowerment”. Paper commissioned by Development Cooperation Ireland, presented at the Meetings of the GENDERNET and the WP-EFF on 5-7 July 2006, DCD/DC/GEN(2006)1; Marta Foresti, David Booth and Tammie O’Neill, “Framework paper: Aid effectiveness and human rights – strengthening the implementation of the Paris Declaration”. Paper commissioned by the GOVNET Human Rights Task Team (October 2006); Paolo de Renzio, Verena Fritz, Zainab Kizilbash Agha, Marta Foresti and Tammie O’Neil, “Illustration papers on human rights and the partnership commitments of the Paris Declaration on Aid Effectiveness”. Papers commissioned by the GOVNET Human Rights Task Team (October 2006).

broader commitments. A baseline survey was undertaken by the OECD/DAC in 2006. The baseline used a variety of methods to assess progress against the indicators. This included questionnaires completed by partner countries and donors, and desk reviews by the OECD-DAC and the World Bank for 4 indicators where country-level data was considered difficult to acquire. The baseline data is currently being analysed and the final report is expected in March 2007.

**ANNEX C: Opportunities and challenges presented by Paris principles for cross cutting social policy issues**



**Ownership** – Partner country ownership and leadership cannot be taken for granted in these areas and are rather limited when viewed from a social policy perspective in terms of gender and inclusion. Often partner country governments see these as the imposition of external norms and values systems although global agreements have been signed and ratified. When coupled with the use of new aid modalities, such as general budget support, there is a risk of reducing quality policy or political dialogue on potentially sensitive cross-cutting issues. Such dialogue has long been a cornerstone of development partnerships.

**Alignment & Harmonisation** – There are already some examples of donors harmonising their approaches to gender equality and *aligning* with a country’s priorities such as the *Zambian Joint Assistance Strategy*. But this is the exception to the norm with social policy concerns. These experiences could be shared with specialists working on other cross-cutting issues and would be of interest to colleagues in donor agencies and in partner countries that are responsible for implementing the aid effectiveness agenda.

**Managing for development results** – Existing performance assessment frameworks may not always pay attention to measuring results relating to cross-cutting issues or impact on poor, vulnerable or excluded groups. However, the Managing for Development Results (MfDR) framework is predicated on the need to relate outputs to outcomes to results, and to modify inputs and activities according to the extent to which results are being achieved. Thus the MfDR approach should be a useful tool for monitoring progress in these areas, including MDGs, UN Conventions (on human rights) and other international agreements which should be integrated into national development strategies and plans.

**Mutual accountability** – Advancing gender equality, women's empowerment and human rights are essential to strengthening local capacity, leadership, voice and accountability in the formulation, implementation and monitoring of national development strategies. There is often a lack of strong national accountability mechanisms for human rights and gender equality through parliaments, audit offices, a free media, an active civil society and all the other means that are used in donor countries to hold governments accountable to taxpayers and the community

#### **ANNEX D: Key Questions**

We will seek to answer some of the following questions, with a focus on human rights, social inclusion and gender equality:

1. What relevance do human rights, social inclusion and gender equality have for the Paris principles, what value-added, and what role should they play in evolving thinking around aid effectiveness?
2. What potential is there for the five overarching partnership commitments (with a particular focus on ownership, accountability and results) to be used as valuable tools for advancing these policy issues?
3. What impact is harmonisation and alignment and the resultant changes in institutions, systems and processes having on substantive gains in social policy and cross cutting areas of concern, or their potential marginalisation and evaporation?
4. What impact is there on relationships and institutional changes required for substantive gains in social policy areas?
5. What impact is increasing convergence of aid modalities (e.g. PRBS) and processes of aid management (e.g. PAFs, JAS) having on furthering these agendas, in terms of quality policy dialogue on potentially sensitive issues, resource allocation and measuring results?<sup>5</sup>
6. In this context of convergence and harmonisation how resources are best tracked to development outcomes and impact on poor and vulnerable groups?

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<sup>5</sup> A recent paper for DFID noted that the evidence base for demonstrating the relative effectiveness and impact of different aid instruments on the lives of poor women and men is weak and indicated that there is a need for more impact assessment; for greater dissemination of lessons; and for ensuring capacity and commitment to follow up.

7. What new approaches are needed to measure progress and to hold donors and partners accountable for commitments and outcomes? What kind of indicators and targets for performance are needed?
8. How can the national policy fora that donors support stay in touch with the realities faced by poor men and women, and their rights, needs and interests? How has the Paris Declaration supported broad based ownership, beyond government?
9. How has the Paris Declaration served to shift/ re-balance power dynamics and relationships, and empower citizens?

### **ANNEX E: Suggested breakdown of tasks for Phase 1:**

#### **Team leader**

- Develop final analytical framework and ToRs for phase 2 with a clear focus on social policy bringing in contributions from all team members
- Lead, coordinate and manage the team so that the team delivers on all five key outputs
- Clarify and agree objectives and specific outputs with team members and for delivery on their specific standalone outputs within the required timeframe
- Facilitate involvement of team members in the initial design phase of the framework, ToRs and partnership and influencing strategy and ensure a cross fertilisation of ideas and inputs and feedback on draft and final reports
- Bring in the social policy expertise into the conceptual thinking and framework design, literature review, partnership and influencing strategy
- Undertake interviews with key stakeholders and delegate where appropriate in discussion with the lead DFID adviser
- Be the main point of contact between DFID and the team

#### **Governance expert**

Drawing on in depth understanding of AE issues and existing data the value added of this team member is to integrate the broader contextual issues into the thinking for the evidence gathering around AE and social policy so that the results of this work speak to the mainstream AE audiences as well as social policy experts. The key area of focus will be the partnership and influencing strategy

- Revisit mainstream AE literature and synthesis reports for any evidence and reference to social policy considerations and provide a brief overview (8 pages) including possible entry points
- Undertake a stakeholder analysis (actor mapping) identifying key players and institutions and their interests and develop a roadmap generally within the AE mainstream agenda and within the field of social policy – rights, gender and exclusion (5 pages)

- Develop the partnership and influencing strategy and associated roadmap up to Ghana 2008 which will help to mainstream social policy and civil society concerns (5 pages)
- Provide recommendations for the analytical framework

### **Civil Society expert**

This team member will bring an in-depth knowledge of the concerns of civil society around the AE agenda and the Paris Declaration. Specific outputs would include

- Undertake a synthesis (max 8 pages) of the last 10 DAC peer reviews undertaken since 2005 re conclusions and lessons learnt about donor engagement with civil society. The report should draw out relevant conclusion and lessons and their relevance to the Paris Declaration and the AE agenda by end Feb.
- Undertake a brief literature review (8 pages) based on civil society perspectives on the Paris Declaration and AE to date drawing out the opportunities and concerns from the civil society perspective and the kinds of changes they would like to see coming out of Ghana 2008 including any issues around social policy – gender, rights and inclusion
- Develop a brief overview of engagement to date by civil society in the Paris Declaration process itself in country and internationally including examples of good practice more broadly and with regard to gender, rights and inclusion (6 pages)
- Undertake a stakeholder analysis (actor mapping) and develop a road map, identifying key civil society events/ partners for the partnership and influencing strategy as well as evidence gathering work that is in the pipe line. This should include a disaggregated understanding of civil society that goes beyond development NGOs and takes on board issues of exclusion and gender.
- Identify gaps in evidence from a civil society perspective (4 pages)
- Make recommendations for the analytical framework to ensure civil society concerns are integrated