

BETTER ASSISTANCE IN CRISES PERFORMANCE EVALUATION

Midline Evaluation - Appendix A: Methodology and supporting technical information

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1 Description of the intervention and its context

This section presents the background of the evaluation and the BASIC programme. It describes the aims and planned work of the BASIC programme, along with its local and international context, geographical coverage, approach to addressing issues of equity, poverty, and exclusion, and key stakeholders. A descriptive analysis of BASIC delivery is presented in Appendix B.

1.1 Responding to poverty and fragility

BASIC seeks to address varied forms of crises, and our evaluation will aim to examine these varied settings through our case study selection. The underlying premise of the BASIC programme is that extreme poverty and fragility are closely interlinked but the humanitarian system is ill-suited to respond and, in a context of unprecedented need, severely overstretched. Crises are increasingly protracted or recurrent, with 86 percent of aid going to crises lasting three years or more; however, financing and delivery models are mainly short-term and reactive.¹ The programme aims to address the increasing need and specific challenges resulting from different types of crises – all of which jeopardise SDG 1 and its objective of ending poverty in all its forms, as well as the central promise of the 2030 Agenda for Sustainable Development to ‘leave no one behind’:²

- **Recurring climate-related shocks and natural disasters:** Climate-related shocks are set to become more frequent: they are a major impediment to development in many countries, setting back poverty alleviation and leading to loss of lives and livelihoods. These trends are putting greater pressure on an overstretched humanitarian system. Types of disasters that generate most humanitarian need such as cyclones, floods, and droughts are predictable and yet international humanitarian aid often comes too little, too late. £5 million of BASIC funds are committed to climate-related spend, including £3 million for a workstream of BASIC Research which will focus on what works in social protection approaches in climate-related crises.³
- **Protracted conflict-related crisis in most fragile and conflict-affected states (FCAS):** Most humanitarian aid is spent in conflict-related crises in a relatively small number of countries over long periods of time. FCAS have a percentage of people who are very poor, and routinely feature at the very low end of Human Development Index. As a result, there is considerable overlap between the map of fragile states and humanitarian caseload.⁴
- **Protracted displacement and refugees:** The number of forcibly displaced people is rising, and they are displaced for extended periods, with generational implications. More than 80 percent of refugee crises last for more than ten years, and two in five for more than twenty years. Despite the protracted nature of displacement, responses are often based on short-term planning with funding mostly allocated on a yearly basis.⁵

Over the past year, existing drivers of fragility and poverty have been exacerbated by primary and secondary effects of the ongoing COVID-19 pandemic. Our evaluation will consider this driver explicitly, including how BASIC has responded to the needs of countries already experiencing humanitarian crises and with social protection systems of differing levels of maturity. C-19 has been a ‘game-changer’ for levels of interest in social assistance in crises, opening new opportunities to work on critical aspects of the humanitarian-social protection nexus with governments and other partners globally ([Box 1.1](#)).⁶ To date, most BASIC engagement has been targeted towards country level support, most often through an FCDO entry point. However, in consultations carried out during the inception phase for this evaluation, stakeholders expressed an interest in expanding BASIC’s offer to a broader range of actors, both at country level and globally, and building strategic partnerships on key policy issues.⁷

Box 1.1: Social protection and the COVID-19 pandemic

The COVID-19 pandemic has exacerbated pre-existing vulnerabilities ('COVID-19-intensified') and created new vulnerabilities ('COVID-19-specific') (Archibald et al., 2020), disproportionately affecting the poorest and most vulnerable. Populations who already faced elevated risks of destitution, malnutrition, and mortality pre-pandemic, may be at higher risk of infection and, especially, secondary impacts (SPACE, 2020). Vulnerabilities are produced by both context and identities (and related barriers), with groups who are particularly vulnerable to secondary economic impacts including: women, children, urban informal workers, rural agricultural households, migrants, internally displaced persons (IDPs) and refugees, and pastoralists.^{8,9,10}

Social assistance measures are an indispensable part of COVID-19 response, ensuring that people can effectively access health care while supporting job and income security. At the same time, the pandemic has been, the International Labour Organisation (ILO) (2020) argues, "a wake-up call to strengthen social assistance systems". It has thrown into sharp relief a familiar paradox – those countries with the greatest needs for social protection have the lowest capacity to address these needs.¹¹ Social assistance must meet immediate needs as well as respond to the pandemic's long-term consequences. Social assistance systems face a triple challenge: ensuring continuity of existing social assistance services; immediate scale up of social assistance systems to provide health and economic protection to poor and vulnerable people, wherever possible; and in the medium to longer-term, accelerating progress towards building universal and shock-responsive social assistance systems to mitigate the impact of the economic downturn, and have better capability and resilience to future shocks.¹²

1.2 Policy context and UK strategic priorities

The rationale for intervention is underpinned by suboptimal use of social protection approaches.

The starting point of the BASIC programme is that social assistance can help address crises more effectively and efficiently, but is currently underused due to limited evidence, knowledge, and capacity to guide programme design and delivery, and political economy challenges to reform.¹³ Programme documents argue that the delivery of humanitarian cash can be fragmented, weakly coordinated, short-term, and unpredictable even in protracted crises, leaving no sustainable systems behind. In addition, they contend that social assistance approaches can help address these weaknesses, and transcend the humanitarian-development divide, by bridging humanitarian cash transfers with longer-term social assistance and providing a medium-term exit strategy from humanitarian assistance to sustainable, national government-owned systems. A series of important policy commitments (Box 1.2) reflect a clear international consensus to maximise the use of social assistance systems and approaches in crises to help provide more effective, efficient, and sustainable responses to affected populations.

Box 1.2: Key policy commitments related

At the **2016 World Humanitarian Summit (WHS)** stakeholders called for crisis responses which more effectively meet immediate needs but also contribute to people's longer-term resilience, drawing on development approaches and financing – that is, for strengthening of the humanitarian-development nexus.

The **Grand Bargain**, launched at the WHS, committed donors (including the UK) and humanitarian organisations to improving the effectiveness of humanitarian action, including through increased use and coordination of cash programming, and more support for local and national responders (localisation). The FCDO is co-Chair of the Grand Bargain Sub-Group on Linking Humanitarian Cash and Social Protection.

The **2016 Wilton Park Principles** commit key humanitarian actors, including the UK, to work more through national and local systems, support host communities and social cohesion, enable economic participation, and provide impactful and innovative financing.

The **2017 UK Humanitarian Reform Policy** outlines a commitment to: help countries prepare for crises by building resilience; strengthen linkages between humanitarian and development approaches; and reform the

Box 1.2: Key policy commitments related

humanitarian system through innovation and greater efficiency. Social protection approaches can drive humanitarian reform.

Both tackling poverty (helping the bottom billion) and climate change are expected to feature prominently in the **forthcoming UK aid strategy**. 'Humanitarian preparedness and response' also forms one of the seven global challenges which will form the backbone of the strategy. This will include reforming the international humanitarian system to lead stronger collective international response to crises.

FCDO SPT has three main policy priorities: first, and overarchingly, increasing the coverage and adequacy of social protection in general; second, increasing use of social assistance in crises (with BASIC the centrepiece of this effort); and third, more inclusive social protection, with reference to gender and other dimensions of vulnerability, including disability. SPT seeks to influence the uptake of each of these agendas through its programmes.

1.3 Stakeholder analysis

There are several other FCDO programmes which are working in the fields of humanitarian assistance and/or social protection and have core research and/or TAS workstreams. Given BASIC's wider influencing aim of normalising the use of social assistance in crises and strengthening linkages between social and humanitarian assistance, other relevant donor and multilateral programmes were considered. An illustrative summary of these programmes is provided in [Table 1.1](#).

Table 1.1: Other relevant FCDO and wider donor and agency programming

Programme	Objective
FCDO	
Gender-Responsive Social Protection (GSP)	Now jointly managed by STAAR, GSP aims to enhance outcome for women and girls from social protection systems, through high quality research and evidence on what interventions are most effective, and provision of advisory services and resources to FCDO and partners to allow them to design, implement and monitor and evaluate social protection systems that deliver improved results for women and girls.
Maintaining Essential Services after a Natural Disaster (MAINTAINS)	Now closed, MAINTAINS sought to undertake multi-country research to generate operationally relevant evidence on how to design, fund and better deliver essential (education, health, social protection, nutrition, and water and sanitation) services that can respond to shocks in weak and fragile and conflict affected states.
Supporting Pastoralism and Agriculture in Recurrent and Protracted Crises (SPARC)	To generate evidence that will strengthen the effectiveness of agricultural programmes to support and rebuild agriculture during different types of protracted crises, including those in fragile and conflict-affected states.
Centre for Global Disaster Protection	To support developing countries to strengthen their pre-disaster planning and financial arrangements so they can respond more rapidly and effectively when a natural disaster strikes, thereby reducing the impact on people and helping to safeguard economic development.
Humanitarian Global Services	To improve the quality, effectiveness, and efficiency of humanitarian responses, by providing financial support to five independent partners that produce global public goods on providing early warning, advice, and risk analysis to the international community, and safety and security advice to the NGO sector.
Other illustrative donor and agency programming	
Pacific Partnerships for Social Protection (P4SP) (DFAT)	A four-year AUD18 million initiative launched in 2021 to establish and strengthen social protection systems in Pacific Island Countries. The P4SP Initiative aims to provide catalytic technical assistance to establish and improve PIC social protection systems. It aims to support analysis for system and program development, facilitate cross country cooperation and learning and fund pilot programs, where required. It will be a scalable, flexible mechanism that allows bilateral programs to buy into the investment.
World Bank Social Protection initiatives	Delivery strategy on Social Protection to improve resilience, equity and opportunity for people in LMICs, with a focus on extending coverage, links with job creation programmes and availability of knowledge about what works in social protection. Implemented through

Programme	Objective
	large, multi-sector in-country social protection programming and complemented with global research support, especially in response to C-19.
ECHO technical assistance facility (managed by WFP)	Explore how social protection systems can be strengthened in fragile and forced displacement contexts, with a view to contributing to the global learning agenda on when and how these can be used to address humanitarian needs in a more cost-effective, efficient, and predictable way. Short-term technical assistance was provided to improve programme design or implementation in nine countries facing protracted crises. Each assignment tackled a priority theme identified collectively by humanitarian and development partners, complementing and catalysing efforts by national governments and their partners to enhance the well-being of chronically poor or vulnerable populations, those affected by crises, those living in conflict situations and/or refugees.
Social Protection (FAO)	FAO provides policy support to countries, aims to generate evidence on the impact of social protection interventions, disseminate knowledge and promote knowledge exchange, develop capacity within governments, civil society and development partners and increases awareness of the effectiveness of social protection with a focus of agricultural infrastructure and programming.
Social Protection Inter-Agency Cooperation Board (ILO)	The Social Protection Inter-Agency Cooperation Board is an inter-agency coordination mechanism—composed of representatives of international organizations and bilateral institutions – that aims to enhance global coordination and advocacy on social protection issues and to coordinate international cooperation in country demand-driven actions.
Improving Social Protection for All (ISPA)	A set of tools that aim to help countries improve their social protection system by analysing its strengths and weaknesses and offering options for further action. These assessments analyse the state of the country's social protection system, a particular programme, or delivery aspect.

BASIC seeks to influence a wide range of stakeholders to draw on social protection approaches in crisis response, through direct support and/or a range of wider influencing efforts. Our

understanding of who BASIC stakeholders are, and the nature of BASIC's engagement with them, will inform our design of data collection strategies. Stakeholder consultations indicated that whilst most early BASIC support was provided to FCDO Country Offices, the range of stakeholders being engaged by the programme has, and will continue to, expand over time. [Figure 1.1](#) illustrates the main stakeholder groups the programme intends to engage, influence and/or benefit. It is expected the type and strength of these relationships will continue to evolve across the programme's lifetime; our stakeholder mapping will therefore be revisited at the beginning of each stage of the evaluation.

Figure 1.1: Mapping of BASIC key stakeholders

INTERNAL STAKEHOLDERS

INDIRECT

- FCDO communities of practice e.g.
 - SP community of practice
 - Shock responsive services group
 - Protracted Crisis Community of Practice
 - Group on Helpdesks and TAS facilities
- FCDO TAS and research programmes in humanitarian assistance or social protection e.g.
 - GSP
 - MAINTAINS
 - SPARC
 - Centre for Global Disaster Protection
- Other FCDO staff working on humanitarian assistance and social protection in HQ and in country
 - Including HA, SDA Climate and environment and Livelihoods advisory cadres; CHASE, PSD and CED

DIRECT

- FCDO country offices and teams receiving BASIC TAS
Examples include DRC, Lebanon, Nigeria, Sudan and Yemen

END BENEFICIARIES:

Vulnerable people in humanitarian settings

INDIRECT BENEFICIARIES:

Other FCDO and donor TAS and Research programmes

DIRECT BENEFICIARIES:

FCDO Country Offices and teams
Country governments
Partners

BASIC:

FCDO Social Protection Team
BASIC TAF Supplier
BASIC – IDS Research consortium

EXTERNAL STAKEHOLDERS

INDIRECT

- Donors and other partners in country, working on humanitarian assistance and social protection e.g.
 - World Bank
 - UN agencies
 - Red Cross/Red Crescent Movement
 - (I)NGOs and civil society
- Other development partners globally including those cited above, as well as:
 - Like-minded donors, including GIZ (as SPACE co-funder)
 - Other donor programmes e.g., ECHO TAS facilities
 - CALP and Cash Cap
 - Think tanks and research organisations e.g., ODI, Climate Centre
 - Relevant Grand Bargain workstreams and groups (including sub-group on Linking Humanitarian Cash and Social Protection co-chaired by FCDO SPT)

DIRECT

- National and local government policymakers and implementers receiving / benefitting from BASIC TAS
- Multilateral agencies or other partners receiving BASIC TAS

Source: Integrity (2021).

2 Evaluation methodology and approach

This section presents our evaluation methodology and management approach, covering our:

- **Overarching evaluation design**, as set out in Section 2 of our main report, covering the guiding principles of our evaluation, specification of EQs, our evaluation framework and approach, data collection and analysis methods used, sampling, data disaggregation, and triangulation (including inherent imbalances and biases), engagement with evaluation participants and stakeholders, and our application of the Paris Declaration principles.
- **Approach to ethics and safeguarding**. This includes an overview of our key guiding principles with respect to ethics, consideration of different groups in our design, adherence to international best practices and “Do No Harm”, stakeholder engagement, data protection and security, safeguarding and duty of care.
- **Approach to evaluation management**, which includes team and stakeholder management, risk management, use and influence plan, conflicts of interest, the ability of the team to work freely, and our commitments to monitoring use of evaluation products.

2.1 Principles underpinning our evaluation approach

The following key principles were underpinned our evaluation approach:

- **Independence is crucial to the credibility and integrity of evaluation findings.** Independence was maintained by ensuring our team did not suffer from conflicts of interest in terms of BASIC’s evaluation and that feedback from a range of stakeholders and data sources are used, so findings were not overly in favour of a specific stakeholder group.
- **A utility-focused approach was important to ensure optimal use of the evidence, findings, and lessons by programme stakeholders.** A participatory approach was used to maximise engagement of the evaluation’s target audiences in the evaluation process, engender ownership in its findings and secure buy-in to learning and recommendations.
- **Rigour in our methodological approach** is critical to generate defensible conclusions feeding into implementable, useful recommendations,
- **Minimisation of the burden of the evaluation process** by avoidance of duplication of evidence gathering being conducted by technical assistance and Research workstream suppliers. To streamline the process, the evaluation team will use the evidence and gathered by both suppliers in their KML activities to feed into the evidence base for the evaluation.
- **Adherence to high ethical standards in our conduct**, ensuring that the evaluation is inclusive, respectful of participant rights, and cognisant of confidentiality and privacy concerns of respondents.

2.2 Evaluation questions, approach, and data collection and analysis methods

2.2.1 Refining our Evaluation Questions

During inception, we considered the questions set out in the ToR, consulted with stakeholders on their evaluation and learning needs. We then revised these questions using the following steps:

- Prioritisation of “mission critical” EQs for users by including questions/themes suggested by stakeholders during the inception phase consultation process.
- Revisions focused on refining the ToR questions to make them simpler and clearer.

- Division of questions into key research questions that are higher level and more strategically focused questions as well as sub-questions which will be used in data collection processes.
- Regrouping of the questions to better align with the Organisation for Economic Co-operation and Development-Development Assistance Committee (OECD-DAC) evaluation criteria.
- Streamlining the balance of coverage of accountability questions and learning themes, where performance questions focus on “what” has happened and learning themes examine “how” and “why” change may have occurred.
- Consideration of when to ask the different EQs (baseline, midline, endline) and to whom and how (using which data collection method).

During the data review and analysis tasks of the baseline phase, we further refined our questions to improve utility. These changes largely reorganised questions so that the same volume of evaluation evidence can be explored and discussed more efficiently and clearly in the report ([Table 2.1](#)).

Table 2.1: Revised Evaluation Questions

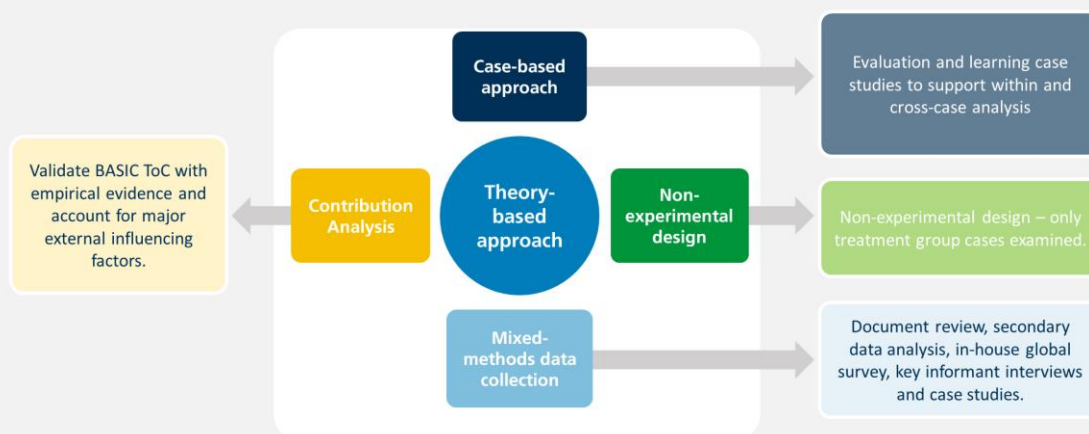
OECD-DAC Criteria	Previous Sub-Evaluation Question	Current Sub- Evaluation Question	Rationale for revision
Relevance	1.1 Is BASIC aligned with FCDO priorities (relating to social protection, humanitarian, and climate change) and Grand Bargain commitments?	1.1 Is BASIC aligned with FCDO priorities (relating to social protection, humanitarian, and climate change) and Grand Bargain commitments?	No change
Relevance	1.2 Is BASIC responding to demand and meeting priority needs of immediate users at global and at country levels?	1.2 Is BASIC responding to demand and meeting priority needs of immediate users at global and at country levels?	No change
Relevance	1.3 Does the design of BASIC allow for an appropriate balance between strategic, and demand driven (responsive and flexible) support?	1.3 Does the design of BASIC allow for an appropriate balance between strategic, and demand driven (responsive and flexible) support?	No change
Relevance	1.4 Is BASIC's articulation of ToC sufficient and plausible and does it comprehensively capture in its assumptions blocking and enabling factors?	NA	Now addressed in Appendix B
Relevance	1.5 Is the logframe an appropriate results measurement framework?		
Relevance	1.6 To what extent do BASIC's interventions take GESI considerations into account?	1.4 To what extent do BASIC's interventions take GESI considerations into account?	Numbering change
Relevance	1.7 Have changes to the context impacted the relevance of BASIC and its workstreams?	1.5 Context and adaptation: Have change in context affected the relevance of BASIC, and has the programme adapted appropriately to these changes?	Merged context and adaptation to avoid duplication; numbering change
Relevance	1.8 Has BASIC adapted appropriately to contextual changes?		
Coherence	6.1 What are the linkages and coordination mechanisms in place between BASIC and its workstreams?	2.1 Internal Coherence: What are the design linkages and coordination mechanisms in place between BASIC and its workstreams?	Clarified distinction between “design links” and “coordination mechanisms” and focused on BASIC case countries.
Coherence	6.2 What are the linkages and coordination mechanisms in place between BASIC and other relevant FCDO and development partner interventions in BASIC's deep engagement countries and globally?	2.2 External Coherence: What are the design linkages and coordination mechanisms in place between BASIC and other relevant FCDO and development partner interventions in BASIC case countries and globally?	
Effectiveness	2.1 Has each workstream, and BASIC overall, achieved their intended outputs and contributed to outcomes?	3.1 Has each workstream, and BASIC overall, achieved their intended outputs?	Separated sub-EQs out to address outputs and outcomes separately, numbering change
Effectiveness	2.2 How effective are the different types of BASIC's interventions (e.g., smaller demand driven TAS versus longer-term deeper engagement)?	3.2 What factors have contributed to or hindered achievement of outputs and why?	
Effectiveness	2.3 To what extent has BASIC contributed to the development of gender-responsive and inclusive social protection policies, systems, and programmes (and programme outputs) in partner countries and globally?	3.3 Has each workstream, and BASIC overall, contributed to outcomes?	

OECD-DAC Criteria	Previous Sub-Evaluation Question	Current Sub- Evaluation Question	Rationale for revision
Effectiveness	2.4 What factors have contributed to or hindered the achievement of results affecting the impact of TA / research on system level change (including gender responsive social protection systems).	3.4 To what extent has BASIC contributed to the development of gender-responsive and inclusive social protection policies, systems, and programmes (and programme outputs) in partner countries and globally?	
Effectiveness	2.5 How effective are BASIC's different intervention types at responding to the needs of vulnerable groups and in ensuring politically sensitive delivery?	3.5 What factors have contributed to or hindered achievement of outcomes and why? Have underpinning assumptions held?	
Effectiveness	2.6 Do the three workstream of BASIC synergize and together bring about changes in the use of SP approaches in crises?	3.6 Do the three workstream of BASIC synergize and together bring about changes in the use of SP approaches in crises?	
Effectiveness	2.7 Has BASIC succeeded in delivering change in accordance with envisaged causal impact pathways in its Theory of Change and have underpinning assumptions held?	NA	Dropped ToC effectiveness questions as it is covered in new #1.4; numbering change
Impact	4.1 Logframe: Has BASIC and its workstream achieved or likely to contribute to intended impacts per logframe and Business Case?	4.1 Has BASIC and its workstream achieved or likely to contribute to intended impacts per the theory of change and business case?	Simplified language
Impact	4.2 Systemic Change: What has been the impact of BASIC and its workstreams on policy, programme and system change in deep engagement countries? What complementary actions outside of BASIC are necessary to create impact?"	4.2 What has been the impact of BASIC and its workstreams on policy, programme and system change in countries with varying levels of engagement? What complementary actions outside of BASIC are necessary to create impact?	Clarified to focus on case-study countries
Impact	4.3 How have stakeholders responded outside of BASIC support to drive systemic change?	NA	
Impact	4.4 What has been the impact of BASIC and its workstreams on policy, programme and system change globally (including legacy impact of SPACE)?	4.3 What has been the impact of BASIC and its workstreams on policy, programme and system change globally (including legacy impact of SPACE)?	Numbering change
Impact	4.5 Synergistic impact: Does the combination of BASIC workstreams affect the level of impact achieved by BASIC?	NA	Content covered in new #4.1
Efficiency	3.1 Does BASIC, its workstreams and different types of intervention represent good value for money in terms of the 5Es (economy, efficiency, effectiveness and cost effectiveness)?	5.1 Does BASIC, its workstreams and different types of intervention represent good value for money in terms of the 5Es (economy, efficiency, effectiveness and cost effectiveness)?	Numbering change
Efficiency	3.2 Is BASIC managed to ensure delivery of VfM throughout the programme cycle (design, procurement, delivery and close of interventions)?	5.2 Is BASIC managed to ensure delivery of VfM throughout the programme cycle (design, procurement, delivery and close of interventions)?	Numbering change
Efficiency	3.3 Is BASIC responding to demand and needs in a timely way and in line with user expectations?	5.3 Is BASIC responding to demand and needs in a timely way and in line with user expectations?	Numbering change
Sustainability	5.1 What is the likelihood that the policy, programme and system changes supported by BASIC at global and country levels will be sustainable after the programme ends?	6.1 What is the likelihood that foundations for catalytic change or policy, programme and system changes at global or at country levels have been laid as a result of BASIC Support?	Merged previous 5.1 and 5.3 to avoid duplication
Sustainability	5.2 What are the factors likely to hinder/support sustainable outcome in terms of influencing global policy and influencing governments and partners?	6.2 What are the factors likely to hinder/support sustainable outcome in terms of influencing global policy and influencing governments and partners?	Numbering change
Sustainability	5.3 Have the foundations for catalytic change been established even if longer term change is not yet detectable?	NA	Merged previous 5.1 and 5.3 to avoid duplication
Sustainability	5.4 Has BASIC increased the uptake and institutional capabilities of FCDO and partners on gender responsive social protection approaches?	NA	Content addressed in new #3.3

2.2.2 Design of the evaluation

Our approach was utilisation-focused and used multiple approaches. We considered several methodologies before selecting the design for the evaluation of BASIC. It draws on a theory-based approach, supplemented by a case-based approach, both of which are underpinned by mixed-methods and Contribution Analysis ([Figure 2.1](#)).

Figure 2.1: Overview of BASIC's Evaluation Design



Source: Integrity (2021).

We selected a non-experimental design, given the challenges in selecting suitable comparators that have not received BASIC support. BASIC seeks to change how multiple fragile states draw on social assistance approaches in times of crises. Because countries have already been selected for support, the interest of FCDO in understanding how BASIC was implemented in detail, and the various operating contexts of BASIC, we implemented a non-experimental design. We considered the additional effects of BASIC in targeted countries of support by considering what would have happened in the absence of support while collecting and reviewing data, i.e., assess the strength of self-reported counterfactual claims and alternative explanatory factors.

Central to BASIC's evaluation design is the use of a theory-based approach. Given the interest in understanding any effects of BASIC and how they arose, implementing a theory-based approach is appropriate. Using the existing ToC to assess BASIC provides a reasonably systematic framework for understanding whether the programme is working as intended ([Box 2.1](#)). In practice, we structured data collection and analysis to assess the validity of anticipated causal pathways depicted in the ToC and the assumptions underpinning them. This approach enabled us to draw conclusions about whether and how BASIC contributed to changes in the use of social assistance approaches during crises, gather early feedback about what is or is not working and identify any unintended effects of BASIC.

Box 2.1: Strengths of a theory-based approach

- Generates understanding of what types of intervention work in different contexts.
- Distils lessons which can allow generalisation beyond one project.
- Provides flexibility to combine different data collection approaches and is cost-effective.

We updated the BASIC ToC to support the evaluation and programme management. The quality of a theory-based approach depends largely on the depiction of the ToC. Theory-based evaluations require a predicted change to assess. During inception, we facilitated a participatory ToC workshop with the FCDO team and BASIC's suppliers. The workshop demonstrated the sufficiency of the articulation of the BASIC programme ToC, thus allowing an assessment on its basis. During the baseline, we also undertook a focused review of the BASIC ToC to further understand and refine the causal pathways and assumptions underpinning it. These refinements informed the design of data collection tools and the lines of inquiry adopted during data collection. Further refinements are expected throughout the evaluation contract as evaluation evidence is produced.

We supplemented a theory-based approach with a case-based approach. A case-based approach considers a specific unit for systematic analysis where the use of theory is less pronounced.¹⁴ We selected countries receiving BASIC support as the case unit.¹⁵ We used this approach to enrich the theory-based approach by providing detailed illustrations and learning relating to how BASIC has been used in-country. This approach supported an in-depth assessment of BASIC's work in priority countries, allowing the team to examine over time, using a longitudinal approach, the extent to which BASIC engineered change, given the context of the specific country and the intervention modality and support provided. To support the implementation of this approach, and address the challenges outlined in [Box 2.2](#), we used the following supporting frameworks in a light-touch manner:

- **Actor narrative interest model:** Related to political economy analysis, the actor, narrative, interest model considers how policy process are affected by their context. It assumes that the policy development process is non-linear and complex. In our case, it assumes the development of social assistance policy for use in times of crisis is not simply a translation of science to policy but more a function of the interplay between three key areas - social assistance policy narratives, actors and networks, and politics and interests.
- **Kirkpatrick model:** We will apply the Kirkpatrick model to assess the effects of TAS. The Kirkpatrick model is an approach used to assess learning effectiveness of training which has been applied to the delivery of TAS. We will use the model to assess the effects of providing TAS. It considers effective training to be comprised of four levels: immediate reaction, learning, behaviour change, and broader results.

Box 2.2: Challenges of evaluating capacity

- **Research and policy influence:** It can be challenging to determine the links between the outputs of the research and changes in policy as policy change is not linear and policy processes are shaped by a multitude of interacting forces and actors. Moreover, policy change tends to take place over long timeframes¹⁶.
- **Evaluating TAS:** Many of the results of capacity building activities are intangible and hard to measure. Capacity development is not a linear process and there are other factors at play in determining how technical assistance impacts on capacity and capability. Technical assistance can take time to deliver strengthened capacity.

We operationalised these approaches by 1) developing associated codes to use when reviewing documents, 2) including specific questions and prompts in interview topic guides, 3) undertaking

structured analysis as part of our country case studies, and 4) structured discussion during internal analysis sessions.

We used Contribution Analysis to distinguish between the contribution of BASIC to observed outcomes and impacts and alternative factors. A well-established approach developed by John Mayne in the 2000s,¹⁷ Contribution Analysis is designed to be used alongside theories of change to measure the contribution of a programme to results, considering alternative explanations. Six steps are used to apply this method as shown below ([Table 2.2: Using Contribution Analysis](#)), with data collection spanning the pre-intervention situation to allow comparison with what happened post intervention at end-line. We used this approach as it provides a useful means to appraise the effects of an intervention in the absences of an experimental or quasi-experimental design.

We used mixed-methods to support our blended approach. We operationalised our blended approach by collecting a range of quantitative and qualitative data. Taking a mixed-method approach enabled us to answer a more varied set of EQs. It also reduced the risk of biased findings because it permitted the triangulation or systematic comparison of evaluation evidence produced by different sources and researchers.

Table 2.2: Using Contribution Analysis

#	Step description	Practical procedure to be followed
1	Set out the attribution problem to be addressed	Refine EQs during our inception phase to reflect FCDO priorities for the evaluation.
2	Develop a ToC	Analyse the existing ToC and build consensus on causal pathways and assumption of interest to test in each evaluation phase.
3	Populate the ToC with existing data and evidence	Collect case study data from the sources described below and map findings against the ToC using coding in MS Excel.
4	Assemble and assess the ToC	Test the ToC by analysing how far case study results evidence the theory works as intended. Where case study results do not support the theory, we will assess for 1) theory failure, 2) implementation failure or 3) context influence. Where the theory is supported, we will consider what facilitating factors might be present. This process will produce a performance story, or SoC and supporting commentary to disprove other possible stories of change.
5	Seek out additional evidence	If the analysis is inconclusive, review existing data to address weaknesses in the performance story or plan to collect it in the next phase.
6	Revise and strengthen our understanding of the ToC	Repeat steps 3-5 and during the midline and endline report to refine the contribution narrative and disprove other performance stories for each case.

Source: Integrity (2020). Adapted from Mayne (2001).

2.2.3 Evaluation framework and methods

This section presents our detailed evaluation framework ([Table 2.3](#) overleaf). It clearly maps evaluation questions and learning themes to data collection and analytical methods. The programme logframe (Appendix B) specifies a set of indicators for each impact, outcome and output statement, and these indicators have all been mapped to questions and data sources presented in this framework. This framework shows how the data collection and analytical methods (presented in below) were expected to be used to address evaluations questions as part of our evaluation design.

Table 2.3: BASIC programme evaluation framework

Sub-EQ Performance (what)	Learning Themes (why and how)	Data collection						Analysis methods			
		Doc. Rev.	Mon. data	Ex. data	Surv.	KII	CS	GESI	VFM	SoC	CA
EQ1 Relevance: To what extent do BASIC interventions, individually or in combination, suit the needs of target groups?											
1.1 Is BASIC aligned with FCDO priorities (relating to social protection, humanitarian, and climate change) and Grand Bargain commitments?	Meeting demand and needs										
1.2 Is BASIC responding to demand and meeting priority needs of immediate users at global and at country levels?	Adaptation and evolution of service offering										
1.3 Does the design of BASIC allow for an appropriate balance between strategic, and demand driven (responsive and flexible) support?											
1.4 Is BASIC's articulation of ToC sufficient and plausible and does it comprehensively capture in its assumptions blocking and enabling factors?											
1.5 Is the logframe an appropriate results measurement framework?											
1.6 To what extent do BASIC's interventions take GESI considerations into account?											
1.7 Have change in context affected the relevance of BASIC, and has the programme adapted appropriately to these changes?											
EQ2 Coherence: Are BASIC interventions internally coherent and do they work in harmony with the operations of other donors and actors in the same field?											
2.1 Internal Coherence: What are the design linkages and coordination mechanisms in place between BASIC and its workstreams?	NA										
2.2 External Coherence: What are the design linkages and coordination mechanisms in place between BASIC and other relevant FCDO and development partner interventions in BASIC case countries and globally?											
EQ3: Effectiveness: To what extent are BASIC interventions, individually and in combination, attaining their objectives and why?											
3.1 Has each workstream, and BASIC overall, achieved their intended outputs?	Delivery of BASIC in different contexts										
3.3 What factors have contributed to or hindered achievement of outputs and why?	Improving effectiveness and maximising impact										

Sub-EQ Performance (what)	Learning Themes (why and how)	Data collection						Analysis methods			
		Doc. Rev.	Mon. data	Ex. data	Surv.	KII	CS	GESI	VFM	SoC	CA
3.3 Has each workstream, and BASIC overall, contributed to outcomes?	Measurement of effectiveness of BASIC and its workstreams										
3.4 To what extent has BASIC contributed to the development of gender-responsive and inclusive social protection policies, systems, and programmes (and programme outputs) in partner countries and globally?											
3.5 What factors have contributed to or hindered achievement of outcomes and why? Have underpinning assumptions held?											
3.6 Do the three workstreams of BASIC synergize and together bring about changes in the use of SP approaches in crises?											
EQ4 Impact: What are the positive and negative, intended and unintended consequences of BASIC interventions, individually and in combination?											
4.1 Has BASIC and its workstreams achieved or likely to contribute to intended impacts per the theory of change and business case?	Outcomes of social protection approaches in crises versus humanitarian approaches										
4.2 What has been the impact of BASIC and its workstreams on policy, programme and system change in countries with varying levels of engagement? What complementary actions outside of BASIC are necessary to create impact?											
4.3 What has been the impact of BASIC and its workstreams on policy, programme and system change globally (including legacy impact of SPACE)?	Influencing behaviour change, policies and operations of national governments and other partners										
	Knowledge exchange and learning across the sector										
EQ5 Efficiency: Are BASIC interventions, individually and in combination, delivering in a timely and cost-efficient manner?											
5.1 Does BASIC, its workstreams and different types of intervention represent good value for money in terms of the 5Es (economy, efficiency, effectiveness and cost effectiveness)?	Efficiency of central programme delivery (bringing delivery of the different TAS requests together) through a single supplier?										
5.2 Is BASIC managed to ensure delivery of VfM throughout the programme cycle (design, procurement, delivery and close of interventions)?											
5.3 Is BASIC responding to demand and needs in a timely way and in line with user expectations?											
EQ6 Sustainability: To what extent are the benefits and activities associated with BASIC interventions, individually and in combination, likely to continue after funding ceases?											

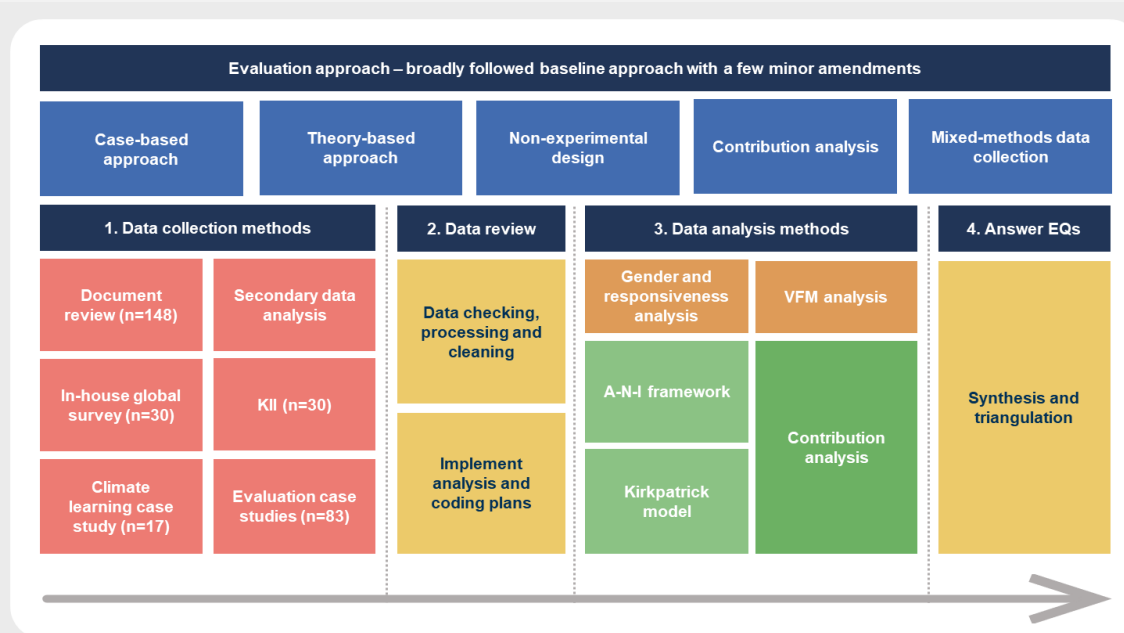
Sub-EQ Performance (what)	Learning Themes (why and how)	Data collection						Analysis methods			
		Doc. Rev.	Mon. data	Ex. data	Surv.	KII	CS	GESI	VFM	SoC	CA
6.1 What is the likelihood that foundations for catalytic change or policy, programme and system changes at global or at country levels have been laid as a result of BASIC Support?	Sustainable capacity building (FCDO, country governments and other development partners)										
6.2 What are the factors likely to hinder/support sustainable outcome in terms of influencing global policy and influencing governments and partners?	Sustainable policy and programme influence on governments and partners										

Source: Integrity (2021). *N.B. Doc. Rev = Document review; Mon. data = Monitoring data; Ex. Data = External data; Surv. = Survey; KII = Key informant interview; CS = Case studies; GESI= Gender Equality and Social Inclusion scorecard analysis; VFM = Value for Money analysis; SoC = Learning case Stories of Change; CA = Contribution Analysis.*

Evaluation methods

This subsection describes all data collection activities undertaken in the baseline. In total, we engaged with 153 BASIC stakeholder engagements against an original plan of up to 200 stakeholders (Figure 5). In line with our original plan, no primary research was undertaken with end-beneficiaries of BASIC (see the mapping of BASIC stakeholders in [Figure 2.2](#)).¹⁸

Figure 2.2: Overview of baseline data collection and analysis



Source: Integrity (2021). **N.B.** Actual primary data collection sample sizes for the midline are denoted under Step 1 for all relevant data collection methods. Expected engagement: Survey=100; KII=30; SPACE learning case=10; country case studies=60; total=200.

We drew on recognised data collection methods to evaluate BASIC. The evaluation methods we used are described and justified in [Table 2.4](#) below, with a set of limitations discussed alongside strategies undertaken to mitigate these below.

Access to analytical outputs is provided where appropriate but raw data is not provided to protect the anonymity of evaluation participants, i.e., we want to prohibit the ability of evaluation users to link evaluation participants to report content. As such, analytical outputs from specific data collection tasks are provided in Appendix B, and raw and coded data will be held securely, as per our data protection and information security policies (Section 2.3.7).

Table 2.4: Overview of evaluation data collection and analysis methods

Method description	Justification	Limitations	Mitigations
Data collection methods			
Document review: A qualitative review of key FCDO and donor and agency documents related to the evaluation. We implemented our review following Bowen (2009): A high-level review of documents was completed to determine their relevance, quality, and usefulness to the evaluation. All documents marked for detailed review were read thoroughly and coded against our EQs using MS Excel.	<ul style="list-style-type: none"> Assess questions related to relevance, effectiveness, efficiency, and impact. Gain useful programme context and background information. Track programme developments over time Refine the BASIC ToC and data collection tools 	<ul style="list-style-type: none"> Challenging to assess data completeness and the presence of underlying author biases. In-consistent reporting / discussion of key themes 	<ul style="list-style-type: none"> Early engagement with FCDO to collect documents High-level review of documents to determine usefulness before committing to detailed review Clear documentation of coding to link findings to documents using MS Excel. Annotation of coding to document coder views on bias and interpretation in MS Excel
Secondary data analysis (Monitoring data): Monitoring data collected by suppliers to support programme management were analysed. This primarily focused on BASIC TAS given no main-stage BASIC Research implementation.	<ul style="list-style-type: none"> Assess questions related to effectiveness, efficiency, impact, and changes in context. Gain understanding of programme delivery (translation of inputs into outputs) 	<ul style="list-style-type: none"> Limited documentation explaining monitoring datasets 	<ul style="list-style-type: none"> Make early data requests and identify clear cut-off point for data to be shared
Secondary data analysis (External data): A range of open-source data were used to assess the maturity of social protection systems and the prevalence of different types of crises overtime for all BASIC countries and country case studies using mean values for indicators (see Appendix B).	<ul style="list-style-type: none"> Gain understanding of country performance Provide a global overview of current social protection systems and crises levels and how they are changing over time Cost-effective enables comparison across other programmes using common indicators 	<ul style="list-style-type: none"> Challenging to make contribution claims to external indicators that could be influenced by a range of factors Data may be incomplete. 	<ul style="list-style-type: none"> Specification of pre-analysis plan to guide analysis prior to data access and processing, including processes for dealing with missing values (imputation) Highlight the contextual nature of data in reporting, i.e., make it clear the design is not attributing changes in external data indicators to BASIC Reporting confidence intervals and standard errors with mean values to indicate spread
In-house survey: A structured online survey using MS TEAMS. The survey was structured against the ToC and collected both qualitative and quantitative data. The survey tool used is presented in Section 5. Our approach to sampling is presented below. The main output of the survey is a set of descriptive analyses mapped against the ToC (See Appendix B).	<ul style="list-style-type: none"> Able to collect data from population within evaluation time and resource constraints. Collect representative views on BASIC relevance, effectiveness, impact, and sustainability Appraise changes in capability and the influence of BASIC on country plans, policies, and systems Online surveys are cost-effective and permit a range of questioning styles 	<ul style="list-style-type: none"> In-country adviser time-constraints may limit responses Response rates associated with online surveys are usually lower than those achieved by other modes 	<ul style="list-style-type: none"> Questionnaire length piloted, then subsequently revised and shortened. Targeted email communications shared by FCDO SPT with the population Questionnaire length shortened during mainstage delivery, and mainstage delivery period extended to improve response rate Report response rate to FCDO periodically to enable proactive management.
Key informant interviews: We completed 30 semi-structured interviews, lasting 60-90 minutes. Interview guides were structured against the evaluation framework. Main questions were used to elicit general views about BASIC. Each main question included additional prompts to collect more detailed responses to substantiate interviewee answers – for example, to explain why a change happened, for whom or in what context. For each interview the following outputs were	<ul style="list-style-type: none"> Key method to engage FCDO SPT and supplier in detail as part of the evaluation. Collect strategic views on the performance of BASIC for central and global stakeholders Situate BASIC in its wider global context 	<ul style="list-style-type: none"> Limited engagement from informants Strategic responses by informants may produce biased data Topic guides not fit for purpose 	<ul style="list-style-type: none"> Early requests for contact details to FCDO through the data sharing agreement of the contract, and desk research. Undertook five pilot interviews, co-lead by two evaluators, and refined guides based on feedback. Clear process and documentation procedures, including an interview recruitment log.

Method description	Justification	Limitations	Mitigations
<p>produced: audio recording, summary note structured against the evaluation framework, coded interview data against the framework in MS Excel.</p> <p>Country case studies: Four baseline case studies provided a detailed examination of the implementation and performance of BASIC activities, in combination and/or independently, in a range of diverse country contexts. These cases will be revisited in future evaluation phases to understand the long-term effects of BASIC intervention. Country sampling is discussed below. Case studies will be underpinned by a focused document review, secondary data analysis and country-level KIIs, following the approach specified in the relevant tasks above. Contribution Analysis will be used to consider the contribution of BASIC to any results observed. Key outputs of this task included: interview recordings, coded data against the evaluation matrix, and a summary report (See Appendix B). Operational procedures used are specified in below).</p> <p>Learning case study: Case study that explored the extent to which and how SPACE delivered change. This learning case took a Stories of Change (SoC) approach to capture important programme learning. The focus of future learning cases will be determined in advance of future evaluation phases. This learning case applied the same delivery model of, and produced the same outputs as, country case countries. Sampling is discussed below).</p>	<ul style="list-style-type: none"> Case-based approach to exploring country-level effects in detail across all OECD-DAC criteria. Useful means to engage with wider BASIC stakeholders, especially primary users of BASIC outputs Generate evaluation evidence to explain wider changes reported in other data collection Understanding of the conditions to result in progression through the ToC. 	<ul style="list-style-type: none"> Findings not externally valid, i.e., findings are not generalisable across other contexts Challenges engaging with key stakeholders Limited access to key documents and monitoring data Challenges to evaluation findings from country stakeholders Challenges in understanding country context 	<ul style="list-style-type: none"> Joint drafting of recruitment communications with FCDO Multiple topic guides to cater to each group. Early engagement with FCDO through the specification of a country point of contact (PoC) for the evaluation Early document requests to FCDO SPT and country PoC Complete validation workshop with FCDO country PoC to test findings and provide opportunities for FCDO feedback on results Recruit local National Consultants to support delivery Clear operational procedures for face-to-face interviewing with a preference for remote delivery.
Analytical methods			
<p>Contribution analysis: Mixed-methods approach to understand whether the BASIC ToC holds true. Where it does, we assessed the strength of BASIC's contribution to any changes in outcomes observed. Where it does not, we considered if 1) the theory has failed, 2) implementation failed or 3) the context of BASIC significantly affected its ability to meet its objectives.</p>	<ul style="list-style-type: none"> Provide clear approach to assessing contribution Useful approach for evaluating impact when quantitative methods to appraise the additional effects of interventions are not feasible. 	<ul style="list-style-type: none"> Unclear use of data to substantiate contribution claims. 	<ul style="list-style-type: none"> Specified and piloted clear reporting conventions Internal and case study validation workshops to challenge the results of contribution analyses. Use of analytical frameworks in light-touch way to structure discussion of contribution claims.
<p>GESI analysis: To appraise GESI-responsiveness and inclusiveness of BASIC activities, we used mixed methods to assess GESI-related issues across multiple OECD-DAC EQs. For case countries we implemented a GESI score card (Appendix 5). GESI reporting was mainstreamed.</p>	<ul style="list-style-type: none"> Enables mainstreaming of GESI-related issues Use of externally developed scale to appraise BASIC in line with sector Enables consideration of multiple GESI-dimensions and data collection from multiple sources. 	<ul style="list-style-type: none"> Scorecard results not externally valid, i.e., findings not generalisable across other contexts Data not available to fully substantiate scoring Data may not be available or provided in a timely manner 	<ul style="list-style-type: none"> Early engagement with supplier to collect documents and data Early engagement with GESI FCDO adviser and FCDO BASIC Evaluation SRO during inception and delivery to review approach. Internal and case study validation workshops to challenge the results of scorecards
<p>VfM analysis: We assessed VfM of BASIC overall and the BASIC Research and TAS workstreams using a VfM scorecard that covers all 5E's of the FCDO 5e VfM framework. This assessment drew on both financial programme data, monitoring data and qualitative views from informants.</p>	<ul style="list-style-type: none"> Use of clear and transparent scorecard to appraise VfM Enables consideration of multiple VfM-dimensions and data collection from multiple sources. 		

2.2.4 Cross-cutting assessments – GESI and VFM

Gender equality and social inclusion assessment

Risks and vulnerabilities are gendered and play out differently across the life course, as do coping strategies and mechanisms.¹⁹ Well-designed social assistance can make a difference for gender, age and other forms of social equality;²⁰ conversely, design features that do not take social dynamics into account can fail to appropriately mitigate risks faced by women and girls, and men and boys.²¹ BASIC has begun to draw on and embed GESI expertise, in the form of a gender audit²² and, most recently, the provision of gender and disability experts to SPACE assignment teams by GSP. It is anticipated that the new STAAR delivery model, which will serve both the BASIC programme and GSP, will cement these nascent linkages.²³

The evaluation of BASIC was gender- and inclusion-responsive in that:

- First, it was inclusive and participatory of a wide range of stakeholders: whilst the evaluation did not engage end beneficiaries (vulnerable people) directly (in keeping with the evaluation ToR), participation in evaluation processes will be gender-equitable as far as possible, and inclusive of those of varied age, disability, and ethnicity.
- Second, it assessed whether, the extent to which and how the programme managed to promoted the development of GESI-responsive social assistance policies and systems (see [Box 2.3](#) for key definitions). This involves exploring, for example, whether policies and programmes supported by BASIC address gendered and age-related needs and vulnerabilities, and the role played by (i.e., contribution of) BASIC interventions in their development.

Box 2.3: Defining gender-responsive and inclusive social assistance

Gender equality refers to the full and equal exercise of rights by women and men, and equal access to socially, economically, and politically valued goods, resources, opportunities, benefits, and services. It also refers to the absence of any discrimination based on gender.

Social exclusion occurs when certain groups are systematically disadvantaged based on social characteristics, including gender, age, particular risk factors (e.g. (dis)ability, ethnicity, caste, migrant or refugee status, religion, sexual orientation), type of household (e.g., one-person, single parent, or skipped generation), levels of education and literacy, employment, or housing status. This results in social, political, and economic inequalities, and in individuals being discriminated against and denied resources.

Social inclusion refers to the process of removing barriers and improving incentives to increase access to opportunities for marginalised individuals and groups – essentially, making the ‘rules of the game’ fairer.

Gender equality and social inclusion are distinct but overlapping concepts. For most people, exclusion is based on several factors across both gender and other social dimensions, which shift in the context of different relationships and institutional settings.

GESI-responsive social assistance involves strengthening the design, implementation, monitoring and evaluation of SA policies and systems so that they better respond to the differential needs and vulnerabilities facing girls and women, boys, and men across the lifecycle. It also means strengthening the linkages and coordination between SA, gender equality, inclusion and complementary services and interventions to address the barriers and exclusions faced by the poorest and most vulnerable.

In doing so, the evaluation will hold the programme to account for its equity-related commitments and produce GESI-related lessons and recommendations to inform and improve BASIC, as well as other relevant FCDO and donor programming. Since BASIC is designed to support more effective social assistance in crises, supporting poor and vulnerable people is central to the programme objectives. As such, GESI is a cross cutting theme of the evaluation that cuts across the different evaluation lines of inquiry. Consideration of GESI issues is mainstreamed across the EQs

(set out in [Section 2.2.1](#) above), as follows (GESI considerations will also be included in our exploration of learning themes):

- **Relevance:** To what extent do BASIC's interventions take GESI considerations into account?
- **Effectiveness:** To what extent has BASIC contributed to the development of GESI-responsive social assistance policies, systems, and programmes (and programme outputs)?
- **Efficiency:** Does BASIC, its workstreams and different types of intervention represent good value for money (Gender and inclusion will be considered under 'Equity', as set out in the Value for money assessment below)?
- **Impact:** Has BASIC and its workstreams achieved/likely to achieve intended impacts per logframe and Business Case? This question will also be answered with reference to the ToC impact statement: "Vulnerable people cope better with crises and meet their basic needs".
- **Coherence:** Are BASIC interventions internally coherent and do they work in harmony with and reinforce the operations of other donors and actors working on G&I-related issues across the humanitarian-development nexus? This question will include consideration of linkages and synergies with GSP.

We drew on qualitative and quantitative data to assess GESI-responsiveness. To assess whether BASIC interventions are facilitating the development of social assistance policies and systems that are gender-responsive and inclusive, we analysed data from desk-based document review and programme and country-level KIIs:

- At programme level, we explored how and to what extent GESI-related considerations have been integrated into decision making and management processes. These will include prioritisation of STAAR requests, support to scope development, recruitment and deployment of relevant expertise, budgeting, monitoring, and reporting (including of sex and age-disaggregated data where appropriate).
- For BASIC TA, for each case study, we will analyse STAAR assignment ToRs and deliverables to assess whether, for example, GESI-related needs and vulnerabilities have been considered in context analysis, and how effectively the solutions proposed respond to those needs and vulnerabilities. Analysis of KIIs will explore similar issues, as well as whether GESI-related recommendations have been implemented, and whether and how support has been provided in such a way as to build beneficiary capacity to develop SP policies and programmes which are GESI responsive.
- For BASIC Research, we will explore how far consideration of gendered and other needs and vulnerabilities are integrated across the seven research themes (including that on 'principled and inclusive' social assistance), as well as whether Research is strengthening the evidence base on GESI considerations for social assistance in crisis contexts and influencing the uptake of GESI-related findings in policy and practice, at global level and in focus countries.
- For KML, we will explore the extent to which learning on gender-responsive, age-sensitive and inclusive social assistance is reflected in related products and events.

GESI considerations will be reflected in dedicated analysis as well as mainstreamed throughout. The main analytical tool used will be a scorecard, which will be informed by the Gender Integration Continuum developed by UNICEF Innocenti for GSP. The scorecard will cover the dimensions mentioned above and be developed in such a way as to enable comparison across BASIC interventions, and their scoring on a scale from 'discriminatory' to 'transformative'. [Table 2.5](#) sets out scoring assessment criteria, which expand commonly used methodologies focused on gender to integrate other key dimensions of vulnerability, including age and ability. The scorecard will be completed for individual interventions in case study countries, at each evaluation stage, based on data gathered from document review and key informant interviews. Intervention level scores will be

aggregated to provide a view as to how well BASIC is integrating GESI considerations in each case study country, both by workstream and overall programme.

Table 2.5 Gender and inclusion responsiveness assessment scale

Level	Key characteristics
1: GESI-discriminatory	<ul style="list-style-type: none"> Perpetuates gender, age, and other forms of inequality by reinforcing unbalanced norms, roles and relations Privileges one sex or age group over another Often leads to one sex or age group enjoying more rights or opportunities than the other
2: GESI-neutral or blind	<ul style="list-style-type: none"> Ignores gender and age-related norms, roles and relations Very often reinforces gender, age and ability-based discrimination Ignores differences in opportunities and resource allocation by sex, age and ability Often constructed based on the principle of being “fair” by treating everyone the same
3: GESI-sensitive	<ul style="list-style-type: none"> Considers gender and age-related norms, roles and relations Does not address inequality generated by unequal norms, roles or relations Indicates gender, age, and ability awareness, although often no remedial action is developed
4: GESI-responsive	<ul style="list-style-type: none"> Considers gender and age-related norms, roles, and relations and how they affect access to and control over resources Considers the specific needs of different groups by sex, age and ability Intentionally targets and benefits a specific group of women or men to achieve certain policy or programme goals or meet certain needs Makes it easier for women and girls, and men and boys to fulfil duties and roles that are ascribed to them based on social norms
5: GESI-transformative	<ul style="list-style-type: none"> Considers gender, age and ability-related norms, roles, and relations for different people and how these affect access to and control over resources Considers the specific needs of different groups by sex, age and ability Addresses the causes of gender, age and ability-based inequities Includes ways to transform harmful social norms, roles and relations Aims explicitly to promote gender and other forms of equality Includes strategies to foster progressive changes in power relationships between different groups of women and girls, men, and boys.

Source: Adapted from UNICEF (2020) *Gender-Responsive Age-Sensitive Social Protection: A conceptual framework and WHO (n.d.) Gender responsive assessment scale: criteria for assessing programmes and policies. WHO Gender Mainstreaming Manual.*

Value for money assessment

At midline, VFM was assessed in two main ways. First, whether BASIC, its workstreams, and different types of intervention being implemented through each of those workstreams, represent good VFM with reference to FCDO principles. Second, whether the BASIC programme is managing delivery of VFM at each stage in the programme’s cycle (design, procurement, implementation and close out). For the first VFM measurement, we assessed the VFM of each workstream, and the programme, with reference to the 5 ‘Es’ ([Box 2.4](#)). Four ‘E’s were assessed at each evaluation point. However, it will only be possible to examine cost-effectiveness later as the programme matures as part of the endline evaluation. The assessment of the implications for VFM of synergies and

coordination between workstreams, at country level (particularly in deep engagement countries) and globally was a challenge at baseline due to the differing pace of delivery of the TAS and Research workstreams. Assessing synergies during the midline was also a challenge given the implementation delays observed during the evaluation period. VFM analysis on synergies and coordination will continue to be explored at endline when both workstreams are fully in implementation.

Box 2.4: The '5 Es' of Value for Money²⁴

- **Economy (inputs):** Is the programme buying inputs of the appropriate quality at the right price?
- **Efficiency (inputs to outputs):** How well is the programme converting inputs into outputs? ('Spending well')
- **Effectiveness (outputs to outcomes):** Are the outputs produced by the programme having the intended effect? ('Spending wisely')
- **Equity (throughout the ToC):** To what extent will the programme reach marginalised groups? Is the programme gender and inclusion responsive, i.e., 'Spending fairly' (see section 4.2.3 above)?
- **Cost-effectiveness (inputs to impact):** What is the programme's ultimate impact on poverty reduction, relative to the inputs invested?

Several indicators, including but not limited to supplier KPIs, were used to assess VFM across BASIC workstreams. For BASIC TAS, 'economy' was measured with reference to the extent that cost containment measures and competitive procurement approaches were used by both TA and Research workstreams. Measurement of 'efficiency' included exploration of whether responses to requests were timely, and the extent outputs and deliverables were submitted in accordance with pre-agreed timelines and the efficiency of the delivery models in use. In the absence of multiple periods of available STAAR KPIs, our assessment of timeliness was also underpinned with qualitative views shared by stakeholders. Assessment of effectiveness focused on extent the programme was effective in achieving its targets at outcome level, noting that there were some evidence gaps in the assessment of effectiveness, notably the extent to which the evidence generated by the programme has so far been used to inform policy and practice. The assessment of the Equity criterion of the 5Es VFM framework drew on the GESI analysis conducted by the evaluation team. For BASIC Research, the assessment of VFM in delivery was somewhat compromised by the delivery status of the programme which was transitioning from inception to implementation during the evaluation period, although the VFM assessment explored the economy, efficiency, and equity dimensions of VFM. STAAR and Research KPIs were not fully made available during the midline period due to implementation delays and uncertainties outlined in the main report. It is expected that the STAAR and Research KPIs will be used to inform our assessment of VFM as they are increasingly reported on and made available.

VFM management was assessed with reference to various VFM-related processes including: financial management (including payment modalities and particularly payment by results elements), procurement and cost containment, as well as governance, wider programme management and risk management arrangements. The evaluation team used a bespoke VFM management scorecard to support the assessment. A list of criteria used in this scorecard assessment is provided below:

1. Relevance and robustness of Vfm measures in place
2. Approach to procurement and cost containment
3. Efficient use of resources and inputs by BASIC interventions
4. Validation of Theory of Change causal pathways
5. Sustainability of programme activities
6. Ability of leadership, management, and oversight structures to support delivery
7. Strategies and measures adopted to enhance delivery and mitigate risk
8. Equity of programme design and approach

2.2.5 Sampling, data disaggregation and triangulation

Sampling and data disaggregation

We proposed reliable and valid sampling strategies based on the context of the evaluation and practical delivery considerations. This section presents our sampling for each data collection method. [Table 2.8](#) below summarises the sampling strategy adopted in each case and the key limitations and mitigating measures we took to minimise the effects of these limitations:

Document review: We considered sampling separately for FCDO BASIC documents and wider donor and agency documents. For FCDO documents, we reviewed all new BASIC programme documents identified at midline (census). These documents provide a useful source of information about BASIC developments and provide a key means of validating qualitative data collected by the study, such as minimising the effects of strategic responses by informants. Where documents were relevant to a case study, these documents were reviewed by the case study lead in detail only. For donor and agency documents, we took a purposive sampling approach because we wanted to collect a diverse set of data across the following actors that were indicated to be key actors in this space during our inception phase: Care International, ECHO, European Commission, FAO, GIZ, ILO, ODI, Oxfam, Red Cross/Red Crescent, UNDP, UNHCR, UNICEF, USAID, WFP, and World Bank.

The resources required to undertake a more detailed review of donor and agency documents would not have been proportionate to the resources made available to the evaluation. Documents from these organisations were identified by developing search strings for online searches using Google Scholar and requesting key informants to suggest citations. Search terms and suggested document by informants were documented to support research transparency. The total set of documents we reviewed is presented in Section 6.

Secondary data analysis: We used a range of open-source data to assess the maturity of social protection systems and the prevalence of different types of crises overtime for all BASIC countries and country case studies using mean values for indicators. When estimating mean values for BASIC overall, we included all countries that had received at least one BASIC intervention in the analysis (census).

In-house survey: We aimed to survey all social development, humanitarian, conflict, and climate in-country advisers based in countries targeted by BASIC as of June 2022. A list of advisers was provided to us by FCDO under the terms of the evaluation contract. We implemented surveys as structured interviews. These were delivered by evaluation team members on MS TEAMS. We achieved a response rate of 30 percent. Survey results were triangulated with multiple data sources to minimise risk of bias. More information of the survey response rate and results is provided in Appendix B.

Key Informant Interviews: We elicited a range of views about BASIC and its context from delivery staff, FCDO, agencies, donors, and researchers. We defined the population of interest across three groups: a) FCDO internal stakeholders, b) BASIC suppliers, and c) external actors, including donors, agencies, academics, and research groups. To yield a variety of views about BASIC, we adopted a diverse, stratified, purposive sampling strategy²⁵, by selecting interviewees across these groups (as listed in Section 6). We selected 30 interviews based on literature that suggested evidence saturation would be reached at this point ([Table 2.6](#)). In practice, seven interviewees took part in two interviews and several interviews included more than one participant. In total, we engaged with. We anticipate the distribution of interviews by category to stay broadly the same for the endline.

Case studies: To select the four country case studies, we adopted purposive sampling, aiming for diversity in country characteristics and type of BASIC support received ([Table 2.7](#)). In particular, we sought to select four countries from the 13 countries that were initially prioritised to receive different

combinations of Research and technical assistance. In practice, there were no countries that were only targeted for BASIC Research that were not also targeted for technical assistance. We also considered accessibility, including physical accessibility and responsiveness into account in our selection. This selection was discussed and approved with FCDO SPT during inception. We agreed with FCDO SPT that the learning case would focus on understanding the links between social protection and the climate change agenda. For the document review and KIIs conducted in support of case studies, we adopted the same sampling strategies as those specified above, where the focus was on the country or theme level. We additionally implemented a snowball sampling approach to collect relevant in-country stakeholder contacts for interview. Additional KII categories used to support purposive sampling for case studies were host government officials, research users, NGOs and CSOs.

Table 2.6: KII Midline sampling frame summary

Sampling group	Type	Number of interviews	
		Planned	Actual Midline
A. FCDO internal stakeholders	FCDO SPT	2	3
	FCDO complementary programme and policy leads	3	2
B. BASIC suppliers	BASIC supplier team - Research	5	7
	BASIC supplier team - TAS	3	6
	BASIC supplier team - TAS (SPACE)	2	0
C. External stakeholders	Donors and agencies	15	11
	Academic and research organisations	2	1
Total		30	30

Source: Integrity (2022).

Table 2.7: Country case study selection (indicators based on 2021 baseline values)

Country	BASIC coverage			General context					SP systems		
	BASIC Res.	# past TAS assignments*	Likely future TAS priority	Reg.	Income Group	Type of crisis	Climate risk country index**	Access	CPIA score	Adequacy	Coverage
Jordan	Y	1	Y	Middle East	Upper middle	Forced displacement	130	Accessible	-	18	73
Nigeria	Y	1	Y	Sub-S. Africa	Lower middle	Protracted conflict; floods	104	Partly accessible	4	18	6
Somalia	N	1	Y	Sub-S. Africa	Low	Protracted conflict; food security	93	Accessible	1	2	6
Yemen	Y	2	Y	Middle East	Low	Protracted conflict; water scarcity	76	Limited access	3	9	21

Source: Integrity (2021). Adaption of FCDO and IDS programme documentation and World Bank Databank 2021. N.B. Income categories were defined using the Atlas Gross National Income approach. Accessibility refers to how easy it is expected to be to engage with country offices as part of this study, and is based on conversations with the BASIC programme team; CPIA SP

score is a 1-6 score of a country's social protection system where 6 is the best score possible and forms part of the World Bank Country Policy And Institutional Assessment index; Adequacy refers to the total amount of social protection received by beneficiary households as a proportion of total welfare; Coverage refers to the proportion of the population covered by social protection and labour programs; figures provided are for 2017 or the latest reporting year. * Excluding SPACE ** A lower score refers to a higher level of climate related risk between 2000-2019.²⁶

Additional data collection may have added additional nuance but would likely not have

overcome all forms of bias present: Our sampling approach reflects the evaluation purpose, the BASIC programme implementation stage and resources made available to support the evaluation. Additional case studies with more countries and/or interviews with more FCDO country posts would have been the most reasonable extensions of primary data collection. Both were limited by time and budget. Even if these limitations did not exist, we anticipate we would have struggled to engage country teams that had received limited BASIC support or none at all. Engaging these groups may have led to more conservative estimates of the effect of the programme. Our findings thus mainly interrogate if BASIC can be effective once it is used, and how it can be effective. More time and resources may have nonetheless allowed us to engage with a greater number of countries that did receive different forms and levels of BASIC support. Our results from our current purposive sample are illustrative, and in some ways also representative as they represent a diverse set of component configurations and settings. Nonetheless, adding more detailed cases may have allowed us to explore configurational approaches more thoroughly.

Table 2.8: Overview data collection sampling strategies limitations and mitigations

Method	Sampling	Disaggregation (subgroups)	Limitations	Mitigations
Document review	Census: All BASIC FCDO documents Purposive: Policy documents from key actors	<ul style="list-style-type: none"> FCDO versus external documents 	<ul style="list-style-type: none"> Not all FCDO documents will be shared/available Search terms may not yield relevant documents Researchers may fail to code documents sufficiently against the evaluation framework 	<ul style="list-style-type: none"> Multiple document requests to FCDO and BASIC suppliers. Requests made early in evaluation process Clear documentation and coding using MS Excel to trace data back to documents. Evaluation team interrogate coding to check alignment with framework when completing EQ analysis
Secondary data analysis	Census: All countries that received at least one BASIC intervention.	<ul style="list-style-type: none"> Country 	<ul style="list-style-type: none"> Data gaps 	<ul style="list-style-type: none"> Documented approach to fill data gaps using mean values (see Appendix B)
Key informant interviews	Stratified, purposive: Diverse set of stakeholder groups to maximise the range of views documented about BASIC	<ul style="list-style-type: none"> Sampling group Interviewee organisation Geography 	<ul style="list-style-type: none"> Development of sample may suffer from bias Provision of strategic views by participants knowing that the sampling is purposive Challenging to identify relevant participants 	<ul style="list-style-type: none"> Draw on FCDO ad team expertise to develop sampling frame Clear recruitment and engagement approach approved by FCDO Evidence triangulation and subgroup analysis to improve quality of findings.
In-house survey	Census: All FCDO in-country advisers based in countries targeted by BASIC, as per June in 2022.	<ul style="list-style-type: none"> Country / region 	<ul style="list-style-type: none"> Response rate low using online modes Challenges accessing the sample 	<ul style="list-style-type: none"> Early engagement with FCDO to collect sample
Case studies	Purposive: Country cases selected to maximise variation in BASIC support and country context	<ul style="list-style-type: none"> Interviewee type 	<ul style="list-style-type: none"> Challenging to account for all context factors of interest Limited engagement from countries that received minimal or no BASIC support 	<ul style="list-style-type: none"> Early engagement with FCDO and country-coordinator STAAR to test sample frame Multiple sampling options produced for FCDO approval Clear presentation of the strengths and weaknesses of sampling options to FCDO

- Operational/political challenges need to be considered

Source: Integrity (2022).

Triangulation and strength of evidence

Considering the risk of bias present in evaluation studies is important for effective evidence uptake and use. Quantitative approaches employed to appraise the causal effects of programmes typically undergo an independent Risk of Bias (RoB) assessment.²⁷ These assessments provide a transparent mechanism to appraise RoB and apply a suitable health warning to policy and research stakeholders seeking to interpret study results. While we cannot employ the same tools in the case of a non-experimental performance evaluation designs, we undertook a proportionate approach to 1) address, and 2) be transparent about RoB.

To address the risk of bias we triangulated data across multiple sources. Triangulation refers to the process of combining results produced from different methods to produce overall findings that are not overly affected by biases that may be present in the results of one method.²⁸ In particular, it increases the trustworthiness of evaluation evidence and reduces threats to validity (i.e., reduces the chance our BASIC evaluation results do not reflect reality). We relied primarily on data and methods triangulation by combining different data sources, analysis methods, and researcher perspectives. We followed a systematic approach to appraising and triangulating results from different sources. Data collection and analysis methods were implemented in parallel. One member of the evaluation team was responsible for at least one data collection and analysis method. To triangulate results from different methods, the following steps were executed sequentially:

- Results from different methods were structured consistently: The results produced by each method were transparently structured and coded against the EQs using a data aggregation tool in MS Excel and cross-verified by multiple team members.
- Internal analysis discussions: We held several informal and formal analysis sessions to review data and generate findings, conclusions, and recommendations. Where conflicting or outlier results arise, we considered the bias and saturation of different methods and agreed to either: 1) investigate further or 2) halt the analysis and report conflicting results. In all cases, we conflicts arose during the analysis, a consensus was reached internally after conducting further investigation.
- Reporting: We reported results across all methods together, with separate annexes reporting the results of specific analyses as appropriate. Where results conflicted, we reported the most reasonable answer to EQs, and associated caveats as required.

To transparently document where bias may be present, we implemented a simple rubric to appraise the strength of evidence underpinning each sub-EQ.²⁹ To do this, we reviewed each sub-EQ answer provided against the rubrics presented in

[Table 2.9](#) below. We used three rubrics that consider the strength of evidence (SoE) as a function of evidence triangulation, consistency, and saturation.³⁰ Sub-EQs that scored 'High' across all three dimensions were considered to be more internally valid than those that scored 'Medium' or 'Low'. These codes were assigned subjectively by the main evaluator responding to each question and checked by the Team Lead. Any coding disagreements were resolved in team meetings. We selected the lowest score achieved by a sub-EQ to denote the overall strength of evidence underpinning a sub-EQ. We will consider the results of this assessment in the design of our endline. For example, areas where consistency was low may require more analysis by different sub-groups. Similarly, we may

consider revising our data collection approach to respond to areas where triangulation or saturation was a concern.

Our analysis of strength of evidence suggested the majority of our answers were sufficiently underpinned by quality evidence. The majority of sub-EQs were supported by reasonable evidence (SoE=2; 3), with sub-EQ 3.4 the only question with a considerable RoB where were based on limited evidence (Table 2.10). During the endline, we can attempt to account for this through reviewing on sampling strategies across our data collection methods.

Table 2.9: Strength of Evidence Rubric

Strength of evidence	Low	Medium	High
Triangulation: The extent to which answers were substantiated by more than one data source.	The sub-EQ answer was only supported by one data source or stakeholder group.	The sub-EQ was supported by at least two data sources, and multiple stakeholder groups.	The sub-EQ was supported by at least three data sources, and multiple stakeholder groups
Consistency: The extent to which all relevant data used to answer a sub-EQ is consistent across different data collection sources or sampling units, i.e., did the data suggest the same results?	The majority of relevant data sources providing competing answers to the sub-EQ. These differences were considered significant by the reporting team and were acknowledged in the report.	Most relevant data sources support the answer provided, but some competing narratives emerged – these competing answers were reported.	All relevant data sources supported the answer provided. Any divergent data sources were minor and not considered significant by the study team.
Saturation: The extent to which we captured the full variety of themes and explanations of those themes, i.e., if we collected more data, would our answer change?	We have low confidence our sub-EQ answer would stay the same if we collected more data. Collecting more data would identify multiple new themes and explanations.	We have some confidence our sub-EQ answer would stay the same if we collected more data. Collecting more data may add nuance or explanations but our answer will ultimately be the same	We have a high degree of confidence our sub-EQ answer would stay the same if we collected more data. We are confident we have identified all the main themes and associated explanatory factors related to the study.
Strength of evidence: A summary indicator of evidence underpinning each sub-EQ	Broader use of data sources, further subgroup analysis, and/or more data collection may change our answer.	We have a moderate degree of confidence in the validity of our answer given the study design employed.	We have a high degree of confidence in the validity of our answer given the study design employed.

Source: Integrity (2022). N.B. a Total of five data sources were implemented: secondary/administrative data analysis, global KIs, case studies, survey, and the global document review.

Table 2.10: Strength of Evidence Results

EQ	Sub-EQ	# Sources	Consistency	Saturation	Strength of Evidence
1. Relevance	1.1	3	2	2	2
	1.2	3	2	2	2
	1.3	3	3	3	3
	1.4	3	3	3	3
	1.5	3	2	2	2
2. Coherence	2.1	3	3	3	3
	2.2	2	3	3	2
3. Effectiveness	3.1	2	3	2	2
	3.2	2	2	2	2
	3.3	3	3	3	3
	3.4	2	1	2	1
	3.5	3	3	3	3
	3.6	2	3	2	2

4. Impact	4.1	2	3	2	2
	4.2	3	3	3	3
	4.3	2	2	2	2
5. VFM	5.1	2	2	3	2
	5.2	2	2	3	2
	5.3	2	3	3	3
6. Sustainability	6.1	2	3	2	2
	6.2	2	3	3	2

Source: Integrity (2022). N.B. a Total of five data sources were implemented: secondary/administrative data analysis, global KII, case studies, survey, and the global document review.

2.2.6 Testing and validation of data collection instruments

We tested and validated all data collection instruments and tools across all methods prior to implementation, drawing on the team's and FCDO's expertise to ensure quality. For both primary and secondary data collection and analysis methods, we developed and piloted a range of instruments ([Table 2.11](#)). These were reviewed internally as a team and signed-off for quality by our Team Lead. We updated FCDO regularly on their development and created opportunities for FCDO to share feedback on data collection tools too. We then piloted tools and revised them as appropriate, drawing on cognitive testing approaches, i.e., including time during pilots to ask evaluation participants to reflect on the process and the tool being used.

Table 2.11: Overview testing and validation of data collection instruments

#	Data collection method	Tool / instrument	Testing and validation	Result
1	Document review	EQ coding tool	<ul style="list-style-type: none"> Team Lead and Project Director review and sign-off Pilot of tool using 1-2 documents Team lead review with pilot lead 	<ul style="list-style-type: none"> Amended columns to make it easier to append coded data from different sources
2	Secondary data analysis	NA	NA	NA
3	Key informant interviews	Topic guides EQ coding tool	<ul style="list-style-type: none"> Team Lead and Project Director review and sign-off Five pilot interviews with two interviewers, covering all sampling groups 	<ul style="list-style-type: none"> Revised topic guide to reorganise prompts and lines of questioning to improve flow Flagged which modules would be more relevant to each sampling group
4	In-house survey	Questionnaire Online coded questionnaire	<ul style="list-style-type: none"> Team Lead and Project Director review and sign-off FCDO review Undertook 3 pilot survey responses and requested written or verbal feedback 	<ul style="list-style-type: none"> Removed questions to reduce response time and updated guidance with average time taken to complete Reframed content to better reflect humanitarian context and issues
5	Case studies	Topic guides and EQ coding tool (see above)	<ul style="list-style-type: none"> Development of case study operational guide See above regarding document review and KII 	<ul style="list-style-type: none"> See above regarding document review and KII

Source: Integrity (2021).

2.2.7 Stakeholder participation and engagement

Stakeholder participation in the evaluation was prominent throughout the inception and delivery phases of the evaluation. We were able to reach the number of participants agreed during inception in all other primary data collection modes, albeit our response rate was low, but comparable to rates achieved through similar modes in other studies. We also amended our design to include more global stakeholders and worked with FCDO and/or carried out desk research to find

replacements where required. Our analysis also suggested that we can be reasonably confident we came close to evidence saturation, i.e., more data collection would not have yielded significantly more insights. We substantiated data collection with secondary evidence from documents and open-source data and considered a broad range of organisations to complement primary data collection.

We offered multiple opportunities for FCDO and BASIC suppliers to feedback on our results and progress. During the implementation period, this included:

- **Contract management meetings (x4):** providing clear project management and delivery reporting to FCDO SPT in formats they can reuse to communicate updates to their stakeholders.
- **Validation workshops with FCDO in-country teams (x4):** Country case study leads presented draft evaluation results to FCDO points of contact in all case countries – Jordan, Nigeria, Somalia, and Yemen. These workshops aimed to 1) test the findings of case studies with participants, and 2) offer the opportunity for case study participants to feedback on our results prior to their use in analysis as part of the evaluation.
- **Results presentations to FCDO (x3):** Sharing and discussing preliminary findings, conclusions, and recommendations with FCDO prior to finalising report drafting.
- **Coordination meetings with BASIC suppliers (x2):** Providing updates and collecting feedback on evaluation tasks from BASIC suppliers.
- **Learning event with FCDO in country teams and BASIC suppliers:** To discuss the results of the evaluation and enable knowledge sharing between FCDO country teams that formed the focus of country case studies.

We also plan to share our published report with all evaluation participants across all qualitative data collection tasks.

Our approach to stakeholder engagement from an ethics perspective is outlined below (2.2.10), which covers design, implementation, feedback, dissemination, use, and confidentiality.

2.2.8 Consideration of the Paris Declaration

The evaluation will consider the five key principles of the Paris Declaration. The Paris Declaration lays out five principles which aim to improve the quality of aid and its impact on development: ownership, alignment, harmonisation, results, and mutual accountability.³¹ [Table 2.11](#) shows how the evaluation will explore each of these principles as part of the study, as well as how the evaluation itself was delivered in line with these principles.

Table 2.12: Approaches to exploring the Paris Declaration principles

#	Principle	Approach to exploring the principle
1	Ownership: Developing countries set their own strategies, improve their institutions, and tackle corruption.	Through EQ1 we will consider how far activities are adapted to the needs of country offices, which in turn are responsive to the needs and priorities of country governments
2	Alignment: Donor countries and organisations bring their support in line with these strategies and use local systems.	Through EQ3 and EQ5, the evaluation will explore how far BASIC has resulted in more efficient and effective use of existing social protection systems to provide humanitarian support.
3	Harmonisation: Donor countries and organisations coordinate development efforts, simplify procedures and share information to avoid duplication.	EQ2 directly considers the extent to which BASIC works in harmony with the effort of other donors in the sector, with an explicit focus on coordination at the global and country levels. Case studies will also consider how coordinated BASIC support has been with existing in-country efforts to respond to crises using social protection approaches.

#	Principle	Approach to exploring the principle
4	Managing for results: Developing countries and donors focus on producing – and measuring – results.	This evaluation provides a robust mechanism through which progress and results achieved are assessed.
5	Mutual accountability: Donors and developing countries are accountable for development results.	

Source: Adapted from OECD (2005). *The Paris Declaration on Aid Effectiveness: Five Principles for Smart Aid*.

2.2.9 Limitations of the evaluation

We identified several key evaluation limitations and mitigating measures. These limitations related to misalignment of delivery timelines, C-19, the strategic prioritisation of Official Development Assistance (ODA) resources and the ability to detect outcomes and impact within the timeline of the evaluation. These limitations, the potential impact on delivery and a set of mitigating measures we took to minimise their effect are described in [Table 2.13](#) overleaf.

Our risk management approach identifies additional risks aligned to FCDO risk categories and proposed mitigating measures. This is presented in 2.3.6.

Table 2.13: Overview of technical limitations of the evaluation

Limitation	Potential impact	Mitigation measures
Misalignment of BASIC's delivery with evaluation timelines		
Approval of STAAR and BASIC Research workstreams was ongoing during the evaluation period. More broadly, programme delivery is delayed compared to initial expectations set out on the BASIC Business case.	There is a risk the evaluation may not be able to fully evidence the programme theory of change in its entirety	We worked closely with FCDO SPT and BASIC suppliers to 1) periodically request and update our document library throughout the evaluation period, not just at the start, 2) completed interviews with a broad set of suppliers at the global and country level to understand performance and any effects of delayed implementation, and 3) coordinated with suppliers in advance to make sure all relevant supplier contacts had enough time to engage in the evaluation process.
Continued BASIC budget uncertainties may impact evaluation activities		
BASIC supplier uncertainties around budget and delivery resulting in lack of clarity around operational context and reduced supplier engagement del	Reduction in financial allocations to BASIC may alter the expected results of the programme and delay the start of workstreams	We liaised closely with the FCDO SPT to keep informed of budget changes and considered the impact of any reported changes on the design and plans for the evaluation of BASIC. We received confirmation during implementation that the evaluation contract value would not be cut this financial year. As such, we did not adjust our approach.
Assessing impact of BASIC within the timeframe for the evaluation		
Some of the impact from BASIC's interventions may be outside the evaluation's time horizon	As some interventions, particularly those delivered late on in the delivery timeframe for BASIC may not have matured into impact by the time the evaluation ends in 2024.	The evaluation team will assess results all along the causal pathways of BASIC's ToC at each stage in the evaluation lifecycle (baseline, midline and endline), ensuring maximum capture of results. Since the TAS workstream has been running for some time, it will afford an opportunity even at baseline of capture of any early emerging results.
Since the TAS workstream has been running for some time, the timing of the baseline data collection comes after the initiation of implementation.	The baseline will not be a true baseline i.e., representing the pre-intervention situation.	The evaluation team sought to consider intervention contexts prior to BASIC delivery when delivering KIIs in the context of both global and country level data collection.
Attribution of impact to BASIC		
Since some of BASIC's interventions are short term and in view of the complexity of policy processes and non-linearity of capacity development processes, it will be challenging to attribute the impact of BASIC to these types of changes.	Attribution of impact of BASIC on capacity development and policy change will be a challenge.	Using our bespoke methodological approach, we will measure the plausible contribution of BASIC towards outcome and impact, rather than attribute results solely to BASIC. To specifically assess the policy influence of the research workstream in case study countries we propose to use the Actor, Narrative, Interest framework and the Kirkpatrick Model of evaluation to assess contributions to capacity and capability development. Contribution analysis will allow us to plausibly assess the overall contribution of BASIC to intended outcomes and impact in accordance with its ToC.
While the Kirkpatrick model of evaluation is a useful framework to assess technical assistance and capacity strengthening interventions, it does have some weaknesses. Gill ⁵² noted that the model suffers from several weaknesses: (1) reliance on self-reported data on the impact of the support (2) the proposed linear logic of the model, and (3) the model does not assess whether the	Measuring the contribution of BASIC to change because of its technical assistance and capacity support may be compromised.	The main mitigation measures to address these shortcomings are as follows: <ul style="list-style-type: none"> - Triangulation of data from other sources to ensure all self-reported data is validated through sourcing additional evidence. - Reframing the first level in the model "reaction" to focus more on asking stakeholders whether the support provided addressed their needs and could be usefully applied in their work.

Limitation	Potential impact	Mitigation measures
capacity support provided was the right thing to be doing in the first place.		- Using KIIs to explore whether the support provided was the right thing to do in the first place (for example questions on relevance of the modality of support).
Case study sampling		
Limited sample of country case studies given extensive engagement of BASIC across different geographies and contexts. Risk of skewing findings.	A small set of case countries may not sufficiently evidence the BASIC programme ToC	A purposive stratified sampling approach will provide the evaluation team with evidence on BASIC's results and lessons learned from a combination of deep engagement countries, as well as countries which receive lighter touch support. This approach will also ensure coverage of results emerging from the global workstream of the research workstream through examining the results of its thematic work. An exploration of the monitoring data generated by the suppliers for the three workstreams, coupled with the findings from other data collection sources (notably KIIs) will provide an opportunity to capture results and lessons not captured by the case study research.

Source: Integrity (2021).

2.2.10 Ethics, safeguarding and inclusivity of design and analysis

We recognise that BASIC operates in complex humanitarian and fragile contexts – which requires careful consideration of ethics, equity, safety, dignity, inclusion, privacy, consent, and accountability to affected populations. At Integrity, we are led in all our work by our values; our commitments to inclusivity, diversity, sensitivity, and accountability all require us to consider the ethical implications of research we conduct. We have a zero-tolerance approach to exploitation and abuse, and we maintain comprehensive policies on conflict sensitivity, sexual exploitation, modern slavery, and preventing fraud and corruption. All our evaluations comply with UK Government Social Research Unit Professional Guidance for Ethical Assurance for Social Research, DAC principles and quality standards, General Data Protection Regulation (GDPR), and UK Data Protection law.

The evaluation upheld the FCDO Ethics Principles for Research and Evaluation and be guided by the UK Evaluation Society Guidelines for Good Practice. As the evaluation did not engage with end-beneficiaries directly or conduct large scale data collection exercises in BASIC-supported countries, compliance with national regulations around permissions and consent before any country level data collection is undertaken was not required. All Integrity staff and contractors are required to adhere to Integrity's Code of Conduct, Safeguarding, Anti-Fraud/Bribery and Corruption, GESI, Environmental and Social Impact, Information Security and Internet Use policies which set out in detail expected behaviours to ensure that we continue to deliver quality work in a safe manner. To that end, team members were provided training on key ethical protocols during the inception phase and at the beginning of each phase of the evaluation.

Our safeguarding policy goes beyond 'do no harm' and covers anyone we interact with professionally. We are signatories to the Safeguarding Leads Network "Putting People First" commitments and work collaboratively with the Network to help prevent sexual exploitation, sexual harassment, and abuse in the delivery of UKAid. We have two designated Safeguarding Officers in the London Office and a permanent reporting line. Our Safeguarding Policy requires all personnel to:

- Go beyond 'do no harm' to ensure that existing risks to vulnerable people are understood and no additional risks are introduced.
- Work in a conflict-sensitive manner and respect cultural sensitivities.
- Identify other potential sources of risks, including those arising from other actors or existing structural or normative factors.
- Integrity's full Safeguarding Policy can be shared upon request.
- Proactively manage ethics and safeguarding risk, as shown below.

Inclusivity of evaluation design and analysis

The evaluation was inclusive and promoted the participation of a wide range of stakeholders.

Whilst the midline did not engage end-beneficiaries (i.e., vulnerable people) directly, participation in the process was broadly gender-equitable (57 percent of evaluation global and case study KII participants were female), and inclusive of those of varied age, disability, and ethnicity. In addition, our analysis, including case study analysis, considered GESI-related issues and broader power dynamics, and assessed whether, the extent to which, and how, BASIC promoted the development of equitable policies and systems for social assistance.

Data collection procedures

Informed consent was obtained from all baseline participants. Before participating in interviews, participants were informed of the purpose of the interview, that their participation was voluntary, and

how findings were used and will be presented. Informed consent was sought and recorded at the beginning of all interviews. Participants were made aware of their right not to answer any questions they may be uncomfortable with and to withdraw from the process at any time.

No reward or compensation structure was implemented but data collection and review processes accounted for research burden. All team members that conducted primary research with stakeholders were required to document their views on any underlying bias present in the data collected - this included bias linked to potential research burden. These views were added when data was coded against the evaluation framework, meaning evidence triangulation directly considered reported biases.

Participants were assured of privacy and confidentiality as appropriate. The content of all interviews was assumed confidential unless explicitly agreed, with steps taken to ensure the anonymity of data in both oral and written presentation of findings. Respondents were entitled to see transcripts of their own interviews, as well as evaluation outputs, and were provided with a contact person if they have questions or concerns. All evaluation outputs will anonymise respondent perspectives.

All data collection instruments were reviewed for ethical issues by the Team Lead and Project Director. Our data collection and analysis tools were developed in line with the values, policies and practices specified above, and reviewed using our Quality Management System (Section 2.3.5) by the team's senior leadership prior to use. These tools are presented below.

2.3 Evaluation management

2.3.1 Team structure and composition

The team is comprised of four key units to enable fluid management and high-quality delivery.

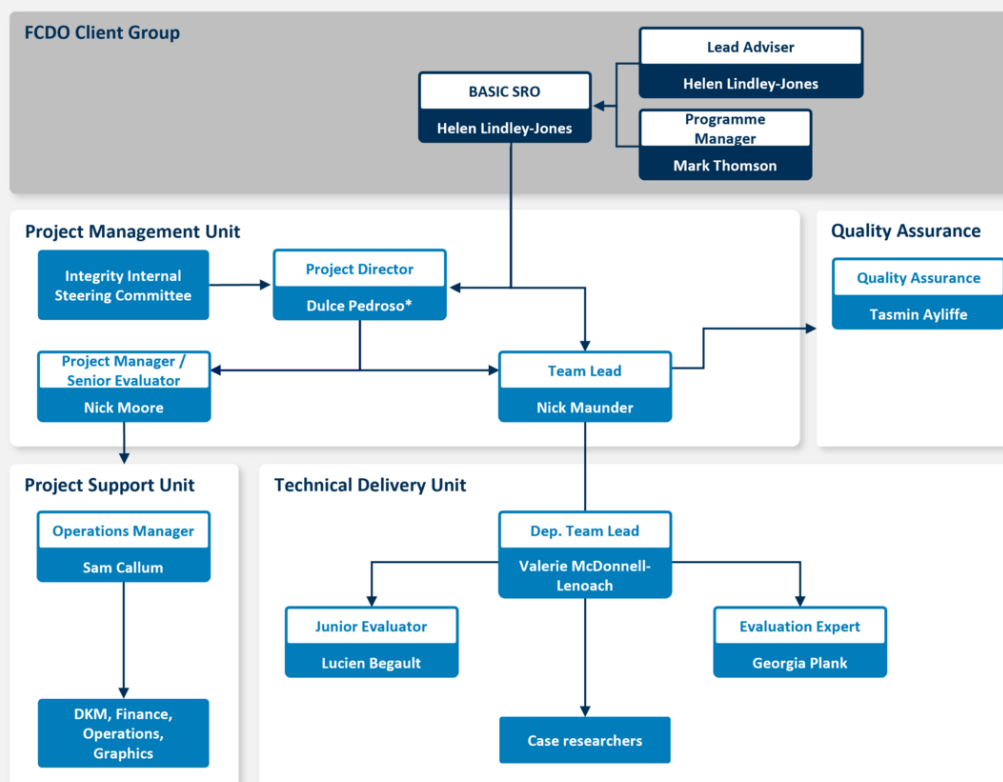
Figure 6 below shows that our team was comprised of four distinct units: Project Management, Technical Delivery, Project Support, and Quality Assurance. This structure enabled: (a) an accountable point-of-contact system to FCDO; (b) clearly defined roles, responsibilities, and reporting lines; (c) team-wide responsibilities for effective stakeholder engagement, field management and operations, and communications and learning; and (d) regular reporting and communications on decision making.

The team brings extensive thematic, methodological, and project management experience suited to the evaluation's demands. Our technical team was comprised of experienced and skilled evaluators with a combination of management, methodological and subject matter expertise:

- **Dulce Pedroso (Project Director)** – Dulce Pedroso holds 14 years of experience spanning project management and technical roles in the field of monitoring and evaluation. Dulce brings a strong skillset in project management, financial management, and external resource management. She has successfully delivered a range of contracts for FCDO, taking on responsibility for overall project delivery, budget management, client and stakeholder engagement, and team management. For example, as the Technical Manager of FCDO's £80m Maternal, Newborn & Child Health Programme in Nigeria.
- **Nick Maunder (Team Leader)** – Nick Maunder is an experienced evaluator of social protection and humanitarian assistance programmes with 30 years of experience in over 30 countries and expertise in assessing programmes that seek to build resilience to crises. He has been the Team Lead on 12 complex programme evaluations and employed a range of evaluation and research methods to answer client-focused questions.

- **Valerie McDonnell-Lenoach (Deputy Team Leader)** – Valerie is a multi-sectoral evaluation expert with 30 years' experience directing and quality assuring independent evaluations for UK Government, including FCDO. This includes evaluations of projects with TAS, research and knowledge management and learning workstreams.
- **Tasmin Ayliffe (Quality Director)** – Tamsin Ayliffe is a social protection specialist with 25 years' experience who has worked on a range of FCDO's social protection interventions globally.
- **Georgia Plank (Evaluation Expert)** – Georgia is an evaluation expert and former FCDO advisor, with expertise in programme implementation and mixed-methods evaluation. She has proven prowess working across a range of social protection topics including gender equality, social protection and inclusion, governance, and adaptive programming.
- **Nick Moore (Project Manager/Evaluator)** – Nick Moore is an evaluator with a background in economics and eight years' experience in the application of quasi- and non-experimental evaluation methods. Nick has managed a portfolio of mixed-method evaluation contracts for a range of UK Government clients.
- **Lucien Begault (Junior Evaluator)** – Lucien is an evaluator with a background in delivering research and evaluation contracts in FCAS. He has expertise in the delivery of case-based research and political economy analyses.
- **Local evaluation consultants** – We recruited National Evaluation Consultants with evaluation and/or social protection expertise to support the delivery of country case studies: Oluwatosin Abayomi (Nigeria), Deema Al-Hamdan (Jordan), Mohamed Warsame Yusuf (Somalia), Wameedh Shakir (Yemen).

Figure 2.3: Evaluation team structure



Source: Integrity (2022).

2.3.2 Team accountabilities, and lines of reporting and communication

Reporting lines and processes have been set up and clearly articulated to each team unit. The following overall accountabilities, responsibilities, and lines of communication within the team and between the evaluation team and the FCDO Client Group were defined:

- FCDO Client Group:** The FCDO Client Group was led by the BASIC evaluation SRO, India Perry, and Technical Advisor, Helen Lindley-Jones. India left her role in August 2022 and was taken on by Helen. Helen was supported in the interim by Mark Thomson in a programme Management role.
- Project Management Unit:** The project was managed on a day-to-day basis by the Team Lead, Nick Maunder, and Project Manager, Nick Moore. The Team Lead and Project Manager reported to the Project Director, Dulce Pedroso, who held ultimate responsibility for the successful delivery of the evaluation and was accountable to FCDO. The Team Lead was the key FCDO contact for technical discussions and the Project Director and Project Manager were the key FCDO contacts for contract management discussions. An Integrity Internal Steering Committee comprised of Integrity's Services, Operations, and Finance Directors provided further senior technical and commercial oversight. The Project Director reported into this group periodically to request input.
- Technical Delivery Unit:** The Deputy Team Lead and Evaluation Experts reported into the Team Lead and were responsible for the delivery of technical outputs. The Team Lead was accountable for the satisfactory and timely production of technical outputs. Each workplan task was assigned a lead and supporting team member. Task leads were responsible for the satisfactory and timely production of task-related outputs ([Table 2.14](#)). Each task lead reported into the Deputy Team Lead. In the context of case research, each case study lead was supported by one locally based researcher. Case researchers reported into their respective case lead. Case Leads were accountable for the satisfactory and timely production of case study outputs.

Table 2.14: Mapping team responsibilities and accountabilities to evaluation tasks

Task		Name	NMo	NMa	VML	TA	LB	GP	TBC
		Role	PM	TL	DTL	QD	Eval	Eval	Con.
Mgt & QA	Management		L	S					
	Reporting		S	L	S		S	S	
	Quality assurance		S	S		L			
Technical delivery	Document review		S					L	
	Secondary data analysis		L		S		S		
	In-house survey		L				S		
	Key informant interviews		S	S	L		S	S	
	Case studies		S	S	S		S	L	S
	VFM analysis				L		S		
	GESI assessment							L	
	Triangulation, synthesis, and reporting		S	L	S		S	S	S
	Learning and dissemination		S	S	S			L	

Source: Integrity (2022). N.B. L = technical task lead, S = supporting task delivery.

- Quality Assurance Unit:** This group, comprised of the team Quality Director, was responsible for quality assuring all FCDO evaluation outputs produced by the contract. The Quality Director

reported into the Team Lead, and the Project Director was ultimately responsible for all FCDO outputs, as described above.

- **Project Support Unit:** This unit was comprised of back-office support functions to support the operational delivery of the evaluation, including operations, risk and security management, finance, IT, Human Resources and Graphics and project learning functions. This group was coordinated by the BASIC evaluation Operations Officer, who reported into the Project Manager. The Project Manager was accountable for the effective and timely use of back-office support for the evaluation. A senior operations manager reported directly into the Team Lead and led on in-country risk management.

We use a series of management, accounting, and control procedures during the lifetime of all programmes. Our financial systems provide a coherent and robust approach to managing the financial performance of the BASIC evaluation. Our finance and compliance department, led by the Finance Manager, implements transaction reconciliation and processing, cash flow analysis, client invoicing, and budget utilisation and burn rate reports throughout the project cycle. The report acknowledges differences of opinion within the evaluation team, or amongst stakeholders consulted.

2.3.3 Stakeholder engagement

Internal and external management processes were used to support contract delivery. Following the inception period, FCDO were engaged on a quarterly basis to manage contract performance and updated monthly on project finances. FCDO were also engaged monthly to discuss technical performance during the evaluation. Internal evaluation team meetings were held to review progress and support delivery. Finally, the quarterly BASIC Coordination Group meeting – comprised of FCDO and BASIC suppliers – was attended to share updates and results from the evaluation.

Stakeholders and end-users were given opportunities to comment on the draft findings, recommendations and lessons. As discussed in the main report and above, evaluation progress was shared at least monthly with FCDO SPT and BASIC suppliers, and FCDO SPT, FCDO country offices that formed the focus of case studies, and suppliers had the opportunity to comment on findings prior to final publication.

2.3.4 Conflicts of interest

We implemented a four pillar approach to managing Conflicts of Interest. This included building contractual obligations into Integrity staff and consultant contracts, the provision of policy and training to team members, the use of firewalls and permission so only relevant team members access specific documents, and early report and proactive management of any alerts.

Our team did not experience actual or potential conflicts of interest affecting during delivery. The Team Leader and Project Director have not worked for DFID since 2013 and 2017 respectively and have no current direct involvement with the BASIC programme. While the team have all worked on FCDO programming in the past, a key requirement of the TOR was for our team to have “knowledge and expertise of working with DFID, developing country governments, development and humanitarian partners, other donors and civil society”. Finally, Integrity is currently a subcontractor on Lot B of DFID’s Expert Advisory Call Down Service. However, we have never delivered anything through this framework, and we conflict ourselves out of any opportunities on this framework.

The evaluation team was able to work freely and without interference. During the baseline planning stages, all team members approved the level of effort in days assigned to them during the study period and confirmed they did not suffer from any conflicts of interest. Clear escalation procedures were developed to let team members inform the project management unit of any changes in their ability to work on the project.

2.3.5 Quality assurance

Quality assurance is key to effective evidence use. The timely production and dissemination of high-quality BASIC evaluation evidence products can help FCDO take the following actions with confidence:

- Make BASIC programme design and implementations decisions.
- Inform current and future policy decisions.
- Demonstrate accountability of the BASIC programme.

To make taking these actions straightforward FCDO, we follow a set of organisational quality assurance practices to make sure that BASIC evaluation products are as valid and reliable as possible.

We will use a comprehensive Quality Management System at the project and organisational level to deliver BASIC evaluation outputs products. Our Quality Management System (QMS) consists of transparent quality assurance and quality control mechanisms to make evaluation products robust, timely, useful, and ethical. These procedures are built around best practices in the industry and the OECD-DAC Guidelines on Quality Standards for Development Evaluation. Our QMS is implemented at both the project and the organisational level (see Section 2.3.5 for an overview of these procedures). The Project Director and Project Manager are responsible for implementing the QMS and the Team Lead is responsible for collating feedback from the Quality Director.

2.3.6 Risk management

Our approach to risk management

Optimal risk management is essential in supporting high quality delivery. We will complete proper risk management throughout the project cycle. This will enable us to deliver evaluation outputs safely, efficiently, and effectively. To manage risk on this project, the following steps, will/have been taken:

- Review the risks identified in the ToR.
- Test the likelihood and impact of documented risks and identify new risks during inception.
- Periodically monitor and report risks and mitigating strategies using a risk register.
- Escalate risks through the evaluation governance structure as required.

We will use a risk register to record, monitor and report project related risks. We recognise the challenges outlined in the ToR including discontinuity, shifts in policy, difficulties accessing policy makers, and ensuring duty of care. We have created a risk register ([Error! Reference source not found.](#) overleaf) aligned to FCDO's six key risk categories (context, delivery, fiduciary, operational, reputational, and safeguarding) to manage the risks that could affect project delivery. This register categorises each risk across several dimensions, including type of risk, the probability of the risk occurring, and the impact this risk will have on project delivery. Each risk is assigned a set of mitigating strategies and the residual risk to the project is determined.

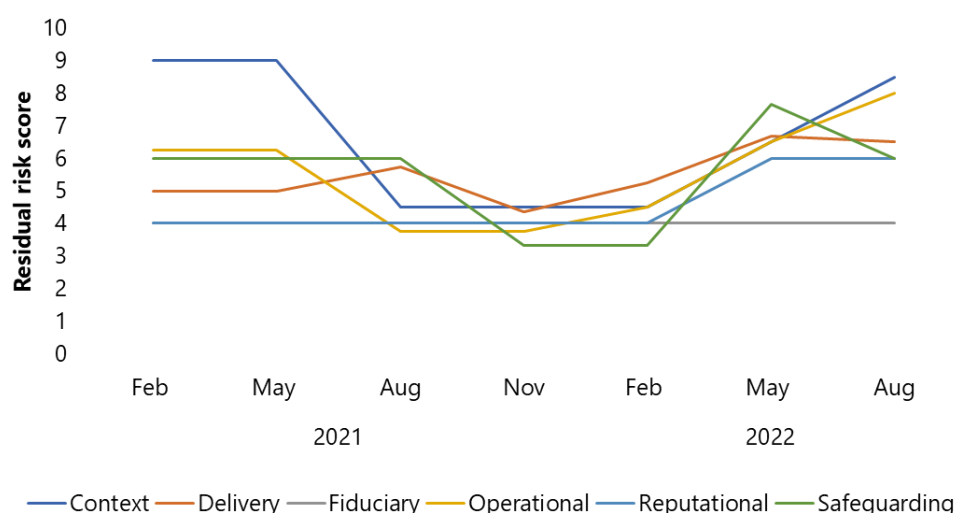
This register will be kept up to date throughout the project cycle. As our understanding of the programme improved during the inception phase, we updated the register and reported changed to FCDO monthly. The Project Manager will monitor risks periodically with input from the evaluation team and will be responsible for keeping it up to date. As new risks arise, or changes in context affect existing risks, we will update the risk register and report any changes to FCDO as part of our quarterly reporting process.

Risk management in practice

The risk management procedures outlined above were effective in identifying and mitigating risk during midline implementation. Using our approach, the residual level of contract risk across all FCDO risk categories was at an acceptable level in the period.³³ The level of risk is expected to fluctuate as we reach different stages of the evaluation and hence, we have seen safeguarding risks, for example, increasing during fieldwork periods.

Contextual risks and operational risks increased since the beginning of the Midline phase. This reflects the political and budget uncertainty surrounding the implementation and the impact of this context on the ability to strategically manage the programme beyond the short-term. Operational risks mostly relate to the availability and retention of key personnel whether within the evaluation team, supplier or the FCDO. While we may not be able to reduce this risk, we have been able to mitigate the impact through regular and transparent engagement with the FCDO and the suppliers, having a cross-functional team and following adaptive management principles.

Figure 4: Average residual risk over time



Source: Integrity (2021). *BASIC Evaluation Contract Management Meeting. August 2021.* **N.B.** Fiduciary and reputational residual risk was 4 on average for all periods.

2.3.7 Data protection, data security, and intellectual property

We employed legally compliant data protection and security protocols. Integrity is obliged to abide by all relevant UK and European Union legislation including General Data Protection Regulation (GDPR) and UK Data Protection Act 1998. We have procedures to support the safe collection, management, analysis, dissemination, and destruction of information collected throughout the contract. The remainder of this subsection details our approach to data protection and security as part of this contract. We can provide copied of our data protection and security policies upon request.

We did not develop any digital tools for the purposes of this evaluation and as such the need to adhere to the Principles for Digital Development was not applicable.³⁴ We have shared our survey questionnaire that was implemented using a pre-existing digital survey tool, MS Forms, in Section 5, which aligns to the open and collaborative working principle.

Data protection

We followed compliant and transparent practices to safeguard against personal data breaches.

Through our work collecting data in FCAS environments and other contexts, we understand the importance of beneficiary data protection and building respondent trust through the provision of

anonymity. We anticipate the need to access and process personal data through our programme of primary research. To safeguard against data breaches, we adhered to the Data Protection Principles³⁵ during baseline by implementing the following practices:

- **Development of data flows:** For each primary research method involving the access and processing of personal and/or sensitive data, we developed a data flow that explicitly states how this information will move through our organisation. This will cover the identification of data subjects, controllers, and processors, as well as when data is accessed and securely destroyed.
- **Use of premium survey tool:** To deliver the online survey, we used MS Forms, a premium survey software tool that enables anonymity and provides a range of information protection and security measures.
- **Data protection training:** We briefed all team members and supporting staff on the relevant areas of the project that require data protection considerations – This will include training on relevant Integrity policies prior to every evaluation implementation phase, and data protection modules will be included in all training provided to fieldwork staff prior to the implementation of virtual and physical fieldwork.
- **Appropriate storage and sharing of information:** All primary data collected was stored securely in the project's dedicated SharePoint folder. We coded and stored respondent information separately from response data so that respondents can be identified via a multi-stage process, should FCDO request data for accountability purposes, as stated in Annex 4 of the ToR.
- **Data and knowledge management support:** We have a specialist data and knowledge management team that is responsible for maintaining Integrity's General Data Protection Regulation compliant data privacy posture and undertaking organisation-wide data audits.

Data security

Our information security policy safeguarded against information incidents. Our Information Security Policy outlines procedures to manage and protect sensitive information held by Integrity. These procedures also extended to FCDO documents share with Integrity under the terms of this contract:

- All Integrity contracted staff have access to IT infrastructure with multiple layers of protection.
- Access to Integrity systems is severely restricted on non-Integrity devices.
- All Integrity staff follow clear procedures on the use of communications software and communications procedures.
- SharePoint and Podio, two knowledge management systems, are the only file storage locations for the evaluation and access to evaluation documents is restricted to our team.
- Sensitive information is only shared electronically with evaluation team members via SharePoint links, i.e., not email attachments.
- A range of security procedures are in place for the use of hardware, that cover passwords, physical access control practices and disposal.
- Integrity staff have clear procedures for reporting IT, software, or hardware incidents, including loss, damage, and theft.
- Clear employee guidance and code of conduct on the use of IT software and hardware, covering general security practices, prohibited uses, and use of personal devices.

2.3.8 Duty of Care

There are clear risks associated with providing sufficient duty of care when undertaking the proposed case study research in-country given their nature and context. This is because risky

events may arise in locations we expect to visit, such as natural disasters or instances of civil unrest. Considering the on-going global pandemic, most of the research was conducted remotely, except in the case of face-to-face interviews. We developed a case study implementation plan and guidance note for all teams to follow (see below). International and National consultants were trained in this guidance by the core team. All face-to-face interviews were identified to the core team prior to their delivery using a pre-approval form on our project management tool, Podio. The form included key logistical details and listed any pre-arranged travel information and was signed-off by the project management unit. Before leaving, upon arrival and when arriving home after an interview, consultants sent What's-app messages to their case lead and the project manager to keep us informed of their whereabouts.

Integrity accepted responsibility for Duty of Care throughout the lifetime of the contract. We accepted the moral, ethical, and legal obligation to ensure the safety and wellbeing of all team members and stakeholders at the specific points at which they interact with the evaluation. This responsibility will last for the entire length of the contract. We have developed the following set of procedures to provide adequate Duty of Care to all evaluation team members:

- Use of organisation insurance and security policy.
- Review FCDO Duty of Care policies to check how far our existing policies align with practices expected by FCDO.
- Periodic discussion of Duty of Care as a team, and with FCDO and other stakeholders as required.
- Agreement and confirmation of Duty of Care roles responsibilities with team members prior to all implementation phases.
- Specification of country fieldwork implementation plans, which covered appropriate corporate and contingency planning, standard, emergency, and incident procedures, and physical security measures as required.
- Implementation of pre-deployment briefings, mobilisation support (including HEAT training where necessary) and de-briefings.
- Maintenance of a Duty of Care Tracker on Podio to monitor fieldwork in real-time.

All our policies and procedures in place to provide adequate duty of care to temporary and full-time staff and research participants were shared with the client during inception.

3 Use and influence plan

In this Section, we present the use and influence plan for the BASIC evaluation. The plan outlines the key audience groups and their anticipated uses of the evaluation; the major challenges and enabling factors each group has with regards to using the evaluation products, and the communications products that the evaluation will employ, and the timeline of communication activities. We conclude by summarising how far baseline recommendations have been taken up by FCDO and BASIC suppliers.

3.1 Purpose and objectives

We developed a plan by mapping out key stakeholders, and assessing their learning needs and evidence uptake challenges. Tailoring information products for the diversity of BASIC's primary, secondary, and tertiary stakeholder groups is a critical part of the evaluation's ability to increase evidence uptake and learning about the BASIC programme. This influence and use plan aims to provide a clear and strategic approach to reaching these diverse audience groups with evidence and learning associated with the BASIC evaluation. The strategy specifically seeks to:

1. Identify the key evaluation users, their anticipated uses of the evaluation and the key needs and constraints that each user group has regarding evidence uptake and learning from the evaluation.
2. Outline the major challenges and enabling factors for each user group in this regard.
3. Present a set of communications products tailored to the needs of each user group.
4. Identify the periodicity and timeline for communications product launches, mapped against the evaluation lifecycle.

3.2 Mapping key audiences and uses

The communications strategy has been designed around the key evaluation audience groups, their anticipated uses for the evaluation, and their specific communications needs and constraints:

- **Stakeholder:** category of evaluation user as defined by organisational context and role.
- **Evaluation use:** anticipated use of the evaluation.
- **Needs and constraints:** communication needs and & constraints of the stakeholder group.

The stakeholder categorisations presented in the table below serve as a means to consider the breadth of user groups and their differing communication needs. However, significant variance within each category – particularly in terms of levels of engagement with BASIC – should not be excluded at this stage. Thus, whilst many stakeholders within the academic/think tank grouping will have relatively minimal engagement with BASIC, others may have very high levels of interaction with the programme and its activities. Likewise, FCDO social development advisors and other cadres can be expected to vary considerably in their involvement in BASIC during its implementation cycle. For this reason, the communication strategy will deploy a broad-scope approach, with communication products being designed with stakeholder categories in mind and include all evaluation participants.

Table 3.1: Overview of key target audiences and evaluation uses

Level	Stakeholder	Improved evaluation use	Needs & constraints
Primary	BASIC team members – both FCDO and suppliers	<ul style="list-style-type: none"> • Programme adaptation within and across country contexts • Cross-country learning and evidence gaps 	<ul style="list-style-type: none"> • Regular access to evaluation findings, to support evidence-based programme adaptation during implementation. • Programme-specific lessons, with potential for learning across country contexts.
	FCDO country offices	<ul style="list-style-type: none"> • Programme adaptation within country • Government engagement • Evidence gaps on what works 	<ul style="list-style-type: none"> • Country-specific learning • Limited bandwidth for BASIC communication products
Secondary	Government partners	<ul style="list-style-type: none"> • Evidence on how BASIC can support coordination, advocacy and system-level change within their specific country and crisis contexts 	<ul style="list-style-type: none"> • Country-specific learning • Limited bandwidth for BASIC communication products
	FCDO cadres & relevant departments, inc. policy leads, e.g., humanitarian cash, displacement, resilience, climate etc.	<ul style="list-style-type: none"> • Cross-country learning • Generalisable learning for other social protection programmes, policy and advocacy • Upwards accountability 	<ul style="list-style-type: none"> • Limited bandwidth for BASIC communication products • Lower engagement with BASIC programme
	In-country and global donors, World Bank and UN agencies	<ul style="list-style-type: none"> • Evidence on how BASIC can support coordination, advocacy and system-level change within their specific country and crisis contexts; and more broadly through humanitarian system reform agendas 	<ul style="list-style-type: none"> • Country-specific learning • Limited bandwidth for BASIC communication products
Tertiary	Academia, think tanks, NGOs	<ul style="list-style-type: none"> • Generalisable learning for other social protection, and policy and advocacy • Accountability to countries & populations 	<ul style="list-style-type: none"> • Transparent evidence standards • Learning that reaches beyond BASIC programme context • Low engagement with BASIC programme

Source: Integrity (2021).

3.3 Evidence uptake challenges and enabling factors

In line with the needs and constraints outlined in the table above, the following challenges and enabling factors can be identified regarding evidence uptake for the BASIC programme:

Stakeholder buy-in: One key driving factor behind evidence uptake is anticipated to be the degree of buy-in and engagement of the stakeholder to the BASIC programme. BASIC programme staff, FCDO country offices and partner governments that have been directly involved in BASIC activities are likely to have significantly more interest in its evidence products, than those who have not. For this reason, the communications strategy will cater for a range of levels of interest and involvement in the BASIC programme, including full reports for those stakeholders with the closest interaction with the programme, and shorter summary versions for those with less involvement.

Time and bandwidth for evidence uptake: The available time and bandwidth for evidence uptake around BASIC is likely to vary depending on the stakeholder's degree of involvement with the

programme. Subsequently, stakeholders within related FCDO cadres beyond social development and humanitarian, may have interest in BASIC evidence products, but little time to consume them in full. Brief evidence summaries and accessible formats are therefore likely to best serve these groups.

Evidence scope: Some BASIC stakeholders are likely to require country-specific evidence and learning from the BASIC programme, most notably those involved in BASIC programmes within FCDO country offices or partner governments. Other stakeholders, such as BASIC programme staff and academic researchers, are more likely to make use of evidence with a wider scope than single-country contexts. The communications strategy will seek to package evidence and learning from the evaluation along country-specific or multi-country themes, to best serve the full range of stakeholders.

3.4 Learning products

Our evaluation and learning products suite includes reports, visual media and participatory sessions. Considering the uses and uptake challenges identified above, we identified the following set of learning products to communicate the results of the evaluation.

- **Evaluation Reports:** Full in-depth reports to high EQUALS standards at baseline, midline and endline, presenting robust evidence-based conclusions informing implementable recommendations. Thematic appendices where relevant. Online publication at gov.uk and communities of practice
- **Report Summaries:** Concise summary findings, conclusions and recommendations that can serve as standalone products. Online publication at gov.uk and communities of practice
- **Webinars:** Online sessions to present and discuss learning from the evaluation with the wider social assistance policy audience.
- **External events:** Where feasible and timely, the evaluation team will seek to leverage existing external events as forums for maximizing the evidence uptake from the BASIC evaluation across the wider community, as well as leveraging BASIC TAS, Research and KML activities in this vein.

These products will periodically present the results of our study in written, visual, and participatory formats and appeal to different stakeholders. The characteristics of each product will cater to the range of primary, secondary, and tertiary stakeholders identified in above, and a mapping of learning products to stakeholders is shown in [Figure 3.1: Mapping learning products to key stakeholders](#). The communications strategy will deploy a range of product launch cycles and throughout the evaluation process Evaluation reports and summaries will be published at the milestone points of baseline, midline and endline completion. Webinars will follow these product launches to continue building interest and engagement among the widest community groups. Lastly, the evaluation team will seek to leverage ad-hoc external events on a rolling basis throughout the evaluation cycle.

Figure 3.1: Mapping learning products to key stakeholders

Stakeholder	 Reports	 Summaries	 Webinars	 External events
BASIC team members	✓	✓		
FCDO country offices	✓	✓	✓	
In-country donors, World Bank and UN agencies		✓	✓	✓
Government partners		✓		✓
FCDO cadres & relevant departments		✓	✓	
Academia, thinktanks, NGOs, donors	✓		✓	✓

Source: Integrity (2021).

3.5 Uptake and use of Baseline recommendations

No FCDO management response was required in response to our baseline recommendations, but we expect to confirm arrangements for monitoring the uptake of midline recommendations. This evaluation is formative in nature and BASIC programme adaptations are anticipated in response. The evaluation was delivered during implementation concurrently with major strategic and budgetary changes to BASIC. We expect that the results of this study will be considered by FCDO SPT and BASIC suppliers during implementation. The midline recommendations build on the recommendations provided at baseline. A summary of our understanding of actions taken against these earlier recommendations is summarised in Table 1.1 [Table 3.2](#). As there was no management response to the baseline recommendations, there was no formal accountability for action or reporting of follow-up actions. We therefore aim to confirm arrangements for monitoring the uptake of Midline recommendations with both suppliers and FCDO.

However, midline evidence indicated some uptake of baseline recommendations had been achieved. Despite this, several of the observed changes at midline appear to be in line with the baseline recommendations. However, given the midline coincided with an extended inception period it is hard to judge action on the previous recommendations relating to actions during implementation. Consequently some recommendations remain relevant. Equally important changes in context – such as the reduced BASIC budget – lead to a slightly modified position in midline.

Table 3.2: Uptake of Baseline recommendations and links with midline recommendations

Baseline Recommendation	Follow-up Actions Observed	Link to Midline Recommendations
1. Clarify the future strategic priorities of BASIC TAF and BASIC Research. The priorities should reorient the programme following the conclusion of SPACE and align with to the available programme resources and timeline.		
1.1 The extent to which, and how, BASIC should prioritise the focus on protracted crises contexts. This should go beyond geographical coverage to clarify the key challenges of using social protection approaches in protracted crises contexts and develop a joined-up strategy between BASIC TAF and BASIC Research to address them.	Both STAAR and BASIC research developed targeting plans during inception. With a strong focus on FCAS countries.	Changes in context, including the discontinuation of other FCDO centrally managed programmes, suggest that a degree of flexibility on this point may now be appropriate moving forward. See recommendation 3.2.
1.2 Articulate the objectives and approach to integrating climate change adaptation and resilience within the BASIC programme – with particular attention to protracted crises.	Approach to links with climate change addressed in the Research inception proposal and agreement to appoint STAAR climate thematic lead.	Continuing relevance of BASIC addressing link to climate change adaptation highlighted by the midline. See midline recommendations to 1.2 and 1.3.
1.3 Based on an assessment of its comparative advantages, develop a plan that clarifies the scope, objectives, and beneficiaries of BASIC capacity building activities. It is suggested that the immediate priority is to focus on building skills at the national level for the delivery of technical assistance and research by think tanks, research institutes and individual consultants.	Capacity strengthening strategy referenced but not developed in STAAR inception document. No capacity strengthening strategy in Research inception.	Reduction in BASIC budget and limited comparative effectiveness in the area of capacity strengthening suggest that this may not be a priority moving forward. Recommendation 4.2 continues to encourage the use of local consultants partly with the objective of building domestic understanding capacities.
1.4 Based on an assessment of trends and channels for financing social protection approaches in crises analyse the options for influencing the diversification and sustainability of funding, clarifying the potential contribution of the BASIC programme versus what the SPT and FCDO can do in their complementary but separate roles.	Not addressed as part of the respective inception processes.	Still to be determined whether this may feature as an influencing priority. See recommendation 1.1.
1.5 Consider a no cost (or cost extension) of BASIC to allow adequate time for the conduct and uptake of research and TAF outputs.	Actioned.	A further deferred cost extension maybe necessary as a result of the reduced financing available during the current year. See recommendation 4.3.
2. Clarify the responsibilities and resources for delivering these refreshed strategic priorities.		
2.1 Clarify the division of responsibilities for strategic leadership of BASIC TAF between the SPT, PFP and service provider and provide the necessary resources to deliver on these allocated responsibilities.	The STAAR inception report includes a number of STAAR-led activities which migrate a degree of technical leadership to the supplier and provide for the necessary resources. A PFP has been reappointed.	-
2.2 Clarify the relationship and allocation of responsibilities between BASIC and GSP, including their respective levels of ambition on GESI-related results and the arrangements for coordinating delivery in BASIC countries.	A clear division of responsibilities between BASIC TA and GSP activities has been defined within the STAAR programme.	Recommendation 3.1 argues to maintain flexibility for STAAR BASIC to undertake GESI specific assignments (e.g. through joint BASIC-GSP assignments).
2.3 Invest further in longer-term technical assistance to support donor coordination in deep engagement countries. This country presence should also be used as a key point of articulation between the country and the	limited activities during the inception. Included the continuation of coordination posts in Nigeria and Lebanon. In-country focal points or anticipated under	-

Baseline Recommendation	Follow-up Actions Observed	Link to Midline Recommendations
global programme, and between the TAF and Research workstreams at the local level.	store, starting with Nigeria. This is intended to include a function of coordinating with the research activities in country.	
3. Explore the potential for enhanced partnerships with key stakeholders at the global and country levels to maximise synergies with, and leverage the impact of, BASIC investments, through a range of mechanisms, including formal bilateral agreements, informal coordination, secondments.		
3.1 FCDO should explore multi-donor partnership and potential co-financing of future technical assistance and research functions in order to increase donor coherence through shared ownership.	No progress.	This recommendation continues to be relevant.
3.2 FCDO, BASIC TAF and BASIC Research should explore enhanced partnerships with organisations (for example, UN agencies, the World Bank, and other actors, including CashCap) to collaborate on capacity building, strengthened coordination, learning and advocacy.	This activity was put on hold during the inception period for STAAR. Basic research identified a number of specific partnerships, although many of these were subsequently trims due to budget reductions.	Opportunities to partnership may be reduced given the smaller budget available to BASIC. However, this continues to be a priority and is referenced through recommendations 1.1 and 1.3.
4. Strengthen and enhance BASIC delivery, where appropriate building on lessons from SPACE.		
4.1 Assess the most appropriate approaches and modalities to effectively support non-FCDO beneficiaries (other development partners and national governments) with BASIC services.	No progress. Not clearly addressed within the inception process.	This recommendation continues to be relevant.
4.2 BASIC Suppliers should increase the use of local expertise in the delivery of services.	Limited evidence on progress due to baseline period.	This recommendation continues to be relevant. See recommendation 4.2.
4.3 BASIC TAF should deploy GESI experts following the GESI model.	Limited evidence on progress due to baseline period.	This recommendation continues to be relevant. See recommendation 3.1.
4.4 Build on and enhance SPACE innovations that improved knowledge management mechanisms – including routine dissemination plans for all outputs.	Limited evidence on progress due to baseline period.	This recommendation continues to be relevant. See recommendation 1.2.
4.5 Data relating to delivery and results should be collected, recorded, and reported more systematically and presented more clearly on the uptake of services and funds leveraged for social assistance as a result of BASIC TAF and Research support.	Limited evidence on progress due to baseline period.	This recommendation continues to be relevant. See recommendation 1.4.

4 Data collection tools

This Appendix presents the set of topic guides used to implement semi-structured interviews as part of the global and country-case study KII data collection tasks. Each subsection presents a topic guide. The data collection task and the stakeholder group for whom the guide was used is denoted in each subtitle.

4.1 Global KII - FCDO SPT & Suppliers

Opening preamble to interviews

About the evaluation:

Integrity Global were commissioned by FCDO in October 2020 to conduct an evaluation of the BASIC programme. The implementation period of the evaluation runs to March 2024 with three evaluation points – baseline, midline and endline. We completed the baseline evaluation in late 2021. We are presently gathering the midline data with the midline report due to be submitted to FCDO in November 2022.

The overall objectives of the evaluation are to assess programme effectiveness in achieving outputs and contributions to outcomes and impact and distil lessons on what works in promoting adoption of SP approaches in crises.

The midline evaluation is a process evaluation which will specifically assess relevance, efficiency, effectiveness, emerging impact and coherence. This phase of the evaluation will focus on whether BASIC is set up for success and emerging results. It will explore a number of specific lines of inquiry requested by the FCDO:

- SP approaches to climate change issues
- BASIC's contributions to sustained and diversified funding for SP approaches in crises
- Use of BASIC's outputs to explore FCDO influencing work and strategic partnership development
- BASIC's role in supporting capacity building and understanding of role by suppliers etc.
- Implementation and early contributions of BASIC Research – is implementation proceeding as expected? Have there been any issues?
- Has STAAR got the balance right between strategic and demand led support?
- Interlinkages between Research and STAAR components including coordination between suppliers (DAI and IDS) and with GSP at both global and country levels
- Uptake of baseline recommendations
- Measurement of cost-effectiveness – is this being done by suppliers?

The purpose of this interview: is to gather midline data to distil lessons on BASIC's design and performance to date to promote programme improvement.

Open interviews by:

- i. Requesting informed consent – ask interviewees are they happy to participate in the interview. Explain that their responses will be treated as strictly confidential and while a list of interviewees will be provided in the midline report, the sources of specific findings will not be named.

Main questions are in **bold** below, with additional probing questions in *italics* which time permitting can be posed.

RELEVANCE - EQ1 To what extent do BASIC interventions individually or in combination suit the needs of target groups?

A. How well is BASIC aligned to changing FCDO Strategy and Priorities?³⁶

- What do you think has changed in terms of the relevance of BASIC to FCDO Strategy and Priorities over the last year (*prompt - FCDO recently published (May 2022) its new international development strategy -the strategy speaks about harnessing UK expertise to develop systems and institutions to strengthen resilience but does not seem to go further in explicit support for supporting adoption of SP approaches in crises.*)
- Has the relevance of BASIC to FCDO and other users needs in the SP space changed over the last year? Is BASIC well designed to meet those needs?
- What do you see as the biggest challenges and opportunities in this space?
- How do you view the relevance of BASIC in relation to the climate change and more specifically UK commitments to climate finance? Any changes over the last year?
- Is BASIC appropriately designed to support FCDO influencing work and strategic partnership development in countries?
- Is BASIC's geographical focus aligned with FCDO spend on adoption of social protection approaches in crises going forward? (*prompt - Research deep engagement countries (Yemen, Nigeria, Niger, Lebanon).*)

B. Have changes to the context impacted the relevance of BASIC and its workstreams? How adaptable has the design of BASIC been to these contextual changes?

- How has the demand for BASIC TAS changed over the last year in response to emerging or diminishing crises (*COVID-19 pandemic, Ukraine etc.*)?

C. Is the design of BASIC clear and appropriate?

- How has the thinking of BASIC's Theory of Change evolved in the last year?
- To what extent were lessons from the implementation of STAAR used to inform and shape the approach to BASIC TAS within STAAR?
- Does the design of BASIC (and its constituent components) allow for an appropriate balance between strategic, responsive, and flexible support? (*Prompt – how does the deep engagement approach affect flexibility*)
- Are the delivery modalities in use by BASIC TAS and Research likely to attract new users?
- *Climate is cited as a cross cutting theme of BASIC TAS – what does that mean?*
- How do BASIC's interventions take G&I considerations into account. (*Prompt - clarify what interviewees understand is BASIC's coverage of vulnerable groups. Clarify the split between BASIC and GRP in terms of emphasis on G&I*)
- How does the design of BASIC support capacity building? (*Prompt: how will the different BASIC TAS modalities support capacity building (embedded advisors, locally based advisors, desk-based research, etc. How will Research support capacity building?).*)
- How does the design of BASIC address knowledge management – (*Prompt: how has the KML approach changed over time, linkages between components etc.*)

EFFECTIVENESS: EQ 2 To what extent are BASIC interventions individually and in combination, attaining their objectives and why?

A. What are the key achievements of BASIC over the past year and to date?**BASIC TAS**

- Clarify based on the pipeline tracker for what has been achieved in the last year – which of these are TAS/GSP?
- What do you think have been the key achievements of BASIC TAS over the past year and overall (*prompt: legacy impact of earlier work, impacts on climate, financing, capacity strengthening, influencing*)
- To what extent has BASIC contributed to the development of gender responsive and inclusive social protection policies, systems, and programmes (and programme outputs) in partner countries and globally? (*Prompt: has BASIC increased the uptake and institutional capabilities of FCDO and partners on gender responsive social protection approaches?*)
- What are the factors that promoted (or hindered) effectiveness? (*Prompt - smaller TA versus longer-term deeper engagement, mix of catalytic versus transformative interventions*).
- What types of support have been most effective?

Research

- What is the expected start of the main implementation phase?
- What is the number of projects that the Research Component expects to deliver (*Prompt: The Inception Report states it will not be possible to deliver all 21 projects due to unforeseen circumstances*). Is this number of projects sufficient to achieve goals of this component?
- What factors have influenced/will influence going forward the pace of delivery? (*Prompt: how are risks to delivery being managed*)
- What has been the impact of the outputs delivered thus far (theme papers, webinars, etc.)?

B. What factors have contributed to or hindered results affecting the impact of the TAS on system level change (including gender responsive social protection systems)?

- Are the delivery models sufficiently politically sensitive / politically smart?
- How factors will support/hinder BASIC generating system level change?
- What could be done differently to improve effectiveness?

C. How effective has BASIC and its components been in leveraging funding for SP approaches in crises? How are you expecting BASIC to support the leveraging of funding for SP?**COHERENCE: Are BASIC interventions internally coherent and do they work in harmony with the operations of other donors and actors in the same field?****A. What are the linkages and coordination mechanisms in place between BASIC and its workstreams?**

- Are BASIC's workstreams joined up? How? What are the synergies the two components? What potential benefits do they see from having the two components?
- How many coordination meetings have been held across the components? How useful have these meetings been in practice?
- What are the advantages and disadvantages of having two windows (namely TAS and GSP) housed within STAAR?

B. What are the linkages and coordination mechanisms in place between BASIC and other relevant FCDO/development partner programmes in BASIC's deep engagement countries and globally?

- Have there been any important changes to complementary FCDO programmes which effect the role of BASIC?
- Are lessons shared between FCDO complementary programmes? How? How has this impacted on effectiveness of programmes?
- Is BASIC engaging sufficiently with external stakeholders and actors in the humanitarian-SP space?
- What are the factors supporting/hindering greater coherence, coordination and synergies between actors and initiatives in the SP space – globally and within countries?
- Are there any stakeholders that BASIC should engage with more (prompt: climate for example?)

EFFICIENCY: EQ3: Are BASIC interventions, individually and in combination, delivering in a timely and cost-efficient manner?

Efficiency questions will be covered in separate interviews on VfM with Suppliers. Questions here are just two – to get FCDO feedback on VfM considerations and also FCDO and supplier views on governance arrangements.

- Does BASIC represent good VfM? How? Any areas of improvement?
- How have the governance arrangements evolved? Are they fit for purpose? Why/why not?

IMPACT: EQ4 What are the likely positive and negative, intended and unintended consequences of BASIC interventions individually and in combination?

A. What do you expect the likely impact of BASIC and its workstreams on policy, programme and system change?

- Has the TAS workstream thus far impacted on policy, programme change globally (at HQ level of international agencies)? *(Prompt: Who is responsible for tracking the impact / results of earlier STAAR (including SPACE) assignments?)*.
- What are the factors likely to drive /hinder systemic change in the adoption of SP approaches in crises in your opinion?
- What complementary actions outside of BASIC are necessary to create change?

B. Can you think of any possible unintended (positive or negative) consequences of BASIC support, including unintended consequences on women and vulnerable groups?

C. What are the lessons from BASIC on promoting the use of social protection approaches to respond to the needs of crises-affected populations?

- What lessons are there from BASIC on knowledge exchange and learning across the sector
- What lessons are there from BASIC on influencing behaviour change, policies and operations of national governments and other partners?

SUSTAINABILITY: EQ5 To what extent are the benefits and activities associated with BASIC interventions, individually and in combination, likely to continue after funding ceases? (including some questions on sustainability although this is not emphasised at midline)

A. What is the likelihood that the policy, programme and system changes supported by BASIC, at global and country levels, will be sustainable after programme ends?

- Have the foundations for sustainable change been established by BASIC? If not, why not?
- What are the factors likely to hinder/support sustainable outcome in terms of influencing global policy and influencing governments and partners?
- What the emerging lessons from BASIC in relation to sustainability (of capacities and policies)?

Close

- Have the recommendations from BASIC Baseline Evaluation Report been actioned (see end of topic guide for list)? How useful were these recommendations?
- Any closing remarks or suggestions for recommendations for the programme going forward.
- Any suggestions on documentation that would be useful for the evaluation that you could kindly share.
- Would you like to make any suggestions concerning stakeholders we should consult?
- Suppliers – since we need to complete the VFM scorecard, grateful please if we can have a separate 1.5 hour session focused specifically on that.

4.2 Global KII – Other FCDO programme staff

Opening preamble to interviews

About the evaluation:

Integrity Global were commissioned by FCDO in October 2020 to conduct an evaluation of the BASIC programme. The implementation period of the evaluation runs to March 2024 with three evaluation points – baseline, midline and endline. We completed the baseline evaluation in late 2021. We are presently gathering the midline data with the midline report due to be submitted to FCDO in November 2022.

The overall objectives of the evaluation are to assess programme effectiveness in achieving outputs and contributions to outcomes and impact and distil lessons on what works in promoting adoption of SP approaches in crises.

The midline evaluation is a process evaluation which will specifically assess relevance, efficiency, effectiveness, emerging impact and coherence. This phase of the evaluation will focus on whether BASIC is set up for success and emerging results. It will explore a number of specific lines of inquiry requested by the FCDO:

- SP approaches to climate change issues
- BASIC's contributions to sustained and diversified funding for SP approaches in crises
- Use of BASIC's outputs to explore FCDO influencing work and strategic partnership development
- BASIC's role in supporting capacity building and understanding of role by suppliers etc.
- Implementation and early contributions of BASIC Research – is implementation proceeding as expected.. have there been any issues
- Has STAAR's TAS component got the balance right between strategic and demand led support
- Interlinkages between Research and STAAR components including coordination between suppliers (DAI and IDS) and with GSP at both global and country levels
- Uptake of baseline recommendations
- Measurement of cost-effectiveness – is this being done by suppliers?

The purpose of this interview: is to gather midline data to distil lessons on BASIC's design and performance to date to promote programme improvement. In addition, the midline evaluation will explore coherence with other development programmes in the SP space including those delivered by FCDO and other development organisations and partners – this will be the main focus of this interview.

Open interviews by:

- i. [Requesting informed consent](#) – ask interviewees are they happy to participate in the interview. Explain that their responses will be treated as strictly confidential and while a list of interviewees will be provided in the baseline report, the sources of specific findings will not be named.
- ii. [Ask interviewees about their familiarity/engagement with BASIC thus far?](#) Also ask for info on their programme and focus/stage in delivery etc.

Main questions are in **bold** below, with additional probing questions in *italics* which time permitting can be posed.

RELEVANCE: To what extent do BASIC interventions individually or in combination suit the needs of target groups?

A. What are FCDO Strategic priorities in relation to SP and specifically supporting adoption of SP approaches in crises?

- *How have these changed in relation to recent contextual changes (FCDO new International Development Strategy, Covid, FCDO reprioritisation)*
- *Do you think FCDO and internal stakeholders still need the type of support on offer by BASIC? Increasing need? Decreasing need? No change? Where do you see demand coming from?*

B. What do you see as the biggest challenges and opportunities in this space?

C. For programmes like BASIC (including SPACE), how challenging is it to strike an appropriate balance between strategic, responsive, and flexible support

D. Re climate change programmes. How can the design of programmes like BASIC appropriately take climate change considerations into account?

COHERENCE: Are BASIC interventions internally coherent and do they work in harmony with the operations of other donors and actors in the same field?

A. To what extent has your programme and BASIC coordinated activities and developed synergies?

- *What are the linkages and coordination mechanisms in place between BASIC and other relevant FCDO programmes?*
- *Are lessons shared between FCDO complementary programmes? How? How has this impacted on effectiveness of programmes?*
- *Do you think BASIC (or SPACE) duplicates the work of any other FCDO programmes?*
- *Are there significant gaps in the overall coverage of FCDO programmes in this space?*
- *Has their programme directly collaborated with BASIC?*
- *Have instances of coordination included issues/topics directly relevant to making SP gender and age responsive / inclusive and integrated climate change considerations?*
- *What are the factors supporting/hindering greater coherence, coordination and synergies between FCDO actors and initiatives in the SP space – globally and within countries?*

B. Is BASIC engaging sufficiently with other external stakeholders and actors in the humanitarian-SP space in your opinion?

- *How fragmented are actors/initiatives in the humanitarian assistance- SP space?*
- *To what extent does BASIC (including SPACE) duplicate or complement the programmes of other donors or agencies?*
- *Which platforms/means of engagement have been most effective?*
- *Are there any stakeholders that BASIC should engage with more – climate for example?*

EFFECTIVENESS: To what extent are BASIC interventions individually and in combination, attaining their objectives and why?

- A. Have you used any resources / research developed by BASIC or SPACE and if so, how useful were they?**
- *How effective do you think BASIC (including SPACE) has been in disseminating evidence on what works in terms of SP approaches in crisis? (E.g., SPACE has produced > 20 publications including reference documents, operational guidance, policy briefs on SP approaches to Covid-19 – have you accessed and used these resources? If so, were they useful?)*
 - *Have you attended any webinars organised by BASIC Research? How useful were they?*
 - *What more could BASIC do to improve the effectiveness of its knowledge dissemination and sharing of evidence?*
- B. What is their perception of BASIC and SPACE's activities and its results?**
- *What is the comparative advantage of FCDO's contribution?*
- C. Can you say which type of intervention are most likely to make a difference?**
- *Capacity strengthening, coordination, policy and programme development, knowledge management, catalyst to leverage bigger changes, transformative change?*
 - *Smaller demand driven TA versus longer-term deeper engagement?*
 - *Why?*

EFFICIENCY: Are BASIC interventions, individually and in combination, delivering in a timely and cost-efficient manner?

- A. Which stakeholders are particularly important for BASIC to support (FCDO, Governments, other donors, UN agencies and NGOs, academia) in your opinion?**
- B. Do you think central programme delivery (bringing delivery of different requests together under one supplier rather than each user separately commissioning a different supplier for their requests) is efficient?**
- C. Can you share any lessons on improving VfM based on their experience with their own (related) programmes?**

IMPACT: What are the likely positive and negative, intended and unintended consequences of BASIC interventions individually and in combination?

- A. What are the factors likely to drive /hinder systemic change in the adoption of SP approaches in crises in your opinion?**
- *What do you expect is the likely impact of BASIC on greater coherence, coordination and synergies between actors and initiatives in the SP space?*
 - *Are you aware of any successes from BASIC/SPACE delivery thus far?*
 - *What complementary actions outside of BASIC are necessary to create change?*
 - *What do you think are the time horizons to generate systemic change in terms of adoption of SP approaches in crises?*
- B. Can you think of any possible unintended (positive or negative) consequences of the technical assistance/research support provided by BASIC (including on women and vulnerable groups)?**

SUSTAINABILITY: To what extent are the benefits and activities associated with BASIC interventions, individually and in combination, likely to continue after funding ceases?

A. What are the lessons for BASIC based your experience in relation to generating sustainable change?

- *Sustainable capacity building (FCDO, country governments and other development partners).*
- *Sustainable policy and programme influence on governments and partners.*

Close

- Are there any suggestions/lessons you would like to make for BASIC going forward?
- Are there any relevant documents that would be useful for our evaluation that you could kindly share?
- Any other stakeholders that would be useful for us to consult with?

4.3 Global KII – Other donors

Opening preamble to interviews

About the evaluation:

Integrity Global were commissioned by FCDO in October 2020 to conduct an evaluation of the BASIC programme. The implementation period of the evaluation runs to March 2024 with three evaluation points – baseline, midline and endline. We completed the baseline evaluation in late 2021. We are presently gathering the midline data with the midline report due to be submitted to FCDO in November 2022.

The overall objectives of the evaluation are to assess programme effectiveness in achieving outputs and contributions to outcomes and impact and distil lessons on what works in promoting adoption of SP approaches in crises.

The midline evaluation will specifically assess relevance, efficiency, effectiveness, emerging impact and coherence. This phase of the evaluation will focus on whether BASIC is set up for success and emerging results. It will explore a number of specific lines of inquiry requested by the FCDO:

- SP approaches to climate change issues
- BASIC's contributions to sustained and diversified funding for SP approaches in crises
- Use of BASIC's outputs to explore FCDO influencing work and strategic partnership development
- BASIC's role in supporting capacity building and understanding of role by suppliers etc.
- Implementation and early contributions of BASIC Research – is implementation proceeding as expected.. have there been any issues
- Has STAAR's TAS component got the balance right between strategic and demand led support
- Interlinkages between Research and TAS components including coordination between suppliers (DAI and IDS) and with GSP at both global and country levels
- Uptake of baseline recommendations
- Measurement of cost-effectiveness – is this being done by suppliers?

The purpose of this interview: is to gather baseline data to assess the relevance of BASIC in terms of its design given the context and priority needs in the SP space, explore, likely impact and sustainability. In addition, the baseline evaluation will explore coherence with other development programmes in the SP space including those delivered by other development organisations and partners – this will be the main focus of this interview.

Open interviews by:

- i. Requesting informed consent – ask interviewees are they happy to participate in the interview. Explain that their responses will be treated as strictly confidential and while a list of interviewees will be provided in the baseline report, the sources of specific findings will not be named.
- ii. Ask interviewees about their familiarity/engagement with BASIC thus far? (Note: GIZ was involved in funding SPACE) and about their own role in terms of SP

Main questions are in **bold** below, with additional probing questions in *italics* which time permitting can be posed.

RELEVANCE: To what extent do BASIC interventions individually or in combination suit the needs of target groups?

A. What do they see as the biggest challenges / opportunities in supporting adoption of SP approaches in crises?

- *What are the main issues hindering the adoption of SP approaches in crises in partner countries in your opinion?*
- *To what extent are evidence gaps and capability weaknesses the main constraining factors?*
- *What other factors constrain progress?*
- *How have these changed in relation to recent contextual changes (Covid, climate change, other)*

B. What are they/their organisation doing to address these challenges / opportunities?

- *How effective have these interventions been?*
- *What lessons have been learnt on how to work in this space?*
- *What do you plan to do differently in future?*

COHERENCE: Are BASIC interventions internally coherent and do they work in harmony with the operations of other donors and actors in the same field?

BASIC seeks to address the bottlenecks at global and country level that prevent greater use of social protection approaches in crises, through expert advisory services for country support, capacity building, learning, coordination, and high-level policy influencing, and high-quality research that strengthens the evidence on what works in different contexts.

A. To what extent do they collaborate/coordinate with FCDO on this agenda?

- *Are you aware of BASIC STAAR, Research, ? How?*
- *Have you attended any events organised by BASIC?*
- *Has their organisation collaborated with BASIC?*
- *What has been your interaction with the programme thus far?*
- *What are the mechanisms/platforms they use for collaboration?*

B. Is BASIC (including SPACE) filling the most relevant gaps in promoting the use of SP approaches in crises?

- *Do you implement any similar programmes to BASIC?*
- *Is it duplicating the work of any other donors/development actors in your opinion?*

C. How well coordinated are actors/initiatives in the humanitarian-development nexus and SP space?

- *What are the factors supporting/hindering greater coherence, coordination and synergies between actors and initiatives in the SP space – globally and within countries?*
- *Are lessons/research/evidence shared between programmes? How? How has this impacted on effectiveness of programmes?*
- *Is BASIC sufficiently known and engaging sufficiently with external stakeholders and actors in the humanitarian-development space?*
- *Are there any stakeholders that BASIC should engage with more – on climate change for example?*

EFFECTIVENESS: To what extent are BASIC interventions individually and in combination, attaining their objectives and why?

A. What is their perception of BASIC activities and its results?

- *What is the comparative advantage of FCDO's contribution?*
- *Why is BASIC important and useful for other donors and multilateral organisations do you think?*

B. Can you say which type of intervention are most likely to make a difference?

- *Technical Assistance (capacity strengthening, coordination, policy and programme development)*
- *Smaller demand driven TA versus longer-term deeper engagement? Why?*
- *Longer-term Research*

C. Have you used any resources / research developed by BASIC (including SPACE) and if so, how useful were they?

- *How effective do you think BASIC (including SPACE) has been in disseminating evidence on what works in terms of SP approaches in crisis?*
- *Which specific resources have they accessed? (E.g. SPACE has produced > 20 publications including reference documents, operational guidance, policy briefs on SP approaches to Covid-19) If so, were they useful?*
- *What more could BASIC do to improve the effectiveness of its knowledge dissemination and sharing of evidence?*

IMPACT: What are the likely positive and negative, intended, and unintended consequences of BASIC interventions individually and in combination?

A. What are the factors likely to drive /hinder systemic change in the adoption of SP approaches in crises in your opinion?

- *What do you think are the time horizons to generate systemic change in terms of adoption of SP approaches in crises?*
- *What do you expect is the likely impact of BASIC on greater coherence, coordination and synergies between actors and initiatives in the SP space?*
- *Are you aware of any successes from BASIC/SPACE delivery thus far?*

B. Can you think of any possible unintended (positive or negative) consequences of the technical assistance/research support provided by BASIC (including on women and vulnerable groups)?

SUSTAINABILITY: To what extent are the benefits and activities associated with BASIC interventions, individually and in combination, likely to continue after funding ceases?

A. What are the lessons for BASIC based your experience in relation to generating sustainable change?

- *Sustainable capacity building (FCDO, country governments and other development partners)*
- *Sustainable policy and programme influence on governments and partners*

Close

- *Are there any suggestions/lessons you would like to make for BASIC going forward?*

- Are there any relevant documents that would be useful for our evaluation that you could kindly share?
- Any other stakeholders that would be useful for us to consult with?

4.4 Global KII – Academic and research community

Opening preamble to interviews

About the evaluation:

Integrity Global were commissioned by FCDO in October 2020 to conduct an evaluation of the BASIC programme. The implementation period of the evaluation runs to March 2024 with three evaluation points – baseline, midline and endline. We completed the baseline evaluation in late 2021. We are presently gathering the midline data with the midline report due to be submitted to FCDO in November 2022.

The overall objectives of the evaluation are to assess programme effectiveness in achieving outputs and contributions to outcomes and impact and distil lessons on what works in promoting adoption of SP approaches in crises.

The midline evaluation is a process evaluation which will specifically assess relevance, efficiency, effectiveness, emerging impact and coherence. This phase of the evaluation will focus on whether BASIC is set up for success and emerging results. It will explore a number of specific lines of inquiry requested by the FCDO:

- SP approaches to climate change issues
- BASIC's contributions to sustained and diversified funding for SP approaches in crises
- Use of BASIC's outputs to explore FCDO influencing work and strategic partnership development
- BASIC's role in supporting capacity building and understanding of role by suppliers etc.
- Implementation and early contributions of BASIC Research – is implementation proceeding as expected.. have there been any issues
- Has STAAR TAS got the balance right between strategic and demand led support
- Interlinkages between Research and TAS components including coordination between suppliers (DAI and IDS) and with GSP at both global and country levels
- Uptake of baseline recommendations
- Measurement of cost-effectiveness – is this being done by suppliers?

Open interviews by:

- Requesting informed consent – ask interviewees are they happy to participate in the interview. Explain that their responses will be treated as strictly confidential and while a list of interviewees will be provided in the baseline report, the sources of specific findings will not be named.
- Ask interviewees about their familiarity/engagement with BASIC thus far? Ask interviewee about engagement on research on SP approaches in crises

Main questions are in **bold** below, with additional probing questions in *italics* which time permitting can be posed.

RELEVANCE: To what extent do BASIC interventions individually or in combination suit the needs of target groups?

A. What is the focus of your organisation in relation to research and evidence on what works in relation to the use of SP approaches in crises?

B. What do they see as the biggest challenges / opportunities in this space?

- *What are the main issues hindering the adoption of SP approaches in crises in partner countries in your opinion?*
- *To what extent are evidence gaps and capability weaknesses the main constraining factors?*
- *What other factors constrain progress?*
- *How have these changed in relation to recent contextual changes (Covid, climate change, other)*

COHERENCE: Are BASIC interventions internally coherent and do they work in harmony with the operations of other donors and actors in the same field?

A. Has their organisation collaborated with BASIC or SPACE?

- *Are you aware of BASIC? How? What has been your interaction with the programme thus far?*
- *How relevant do you think the BASIC programme is to addressing the challenges of using Social Protection approaches in crisis response?*
- *More specifically how useful do you think programmes like BASIC are in relation to addressing the challenges of climate change?*

B. To what extent do they collaborate/coordinate with FCDO on this agenda?

- *What are the mechanisms/platforms they use for collaboration?*

C. Is BASIC research/capacity building on SP approaches duplicating the work of any other donors/development actors in your opinion?

- *Do you implement any similar programmes to BASIC?*

D. How well-coordinated are actors/initiatives in the humanitarian-development nexus and SP space?

- *What are the factors supporting/hindering greater coherence, coordination and synergies between actors and initiatives in the SP space – globally and within countries?*
- *Are lessons/research/evidence shared between programmes? How? How has this impacted on effectiveness of programmes?*
- *Is BASIC sufficiently known and engaging sufficiently with external stakeholders and actors in the humanitarian-development space?*
- *Are there any stakeholders that BASIC should engage with more?*

EFFECTIVENESS: To what extent are BASIC interventions individually and in combination, attaining their objectives and why?

E. What in your opinion works well in promoting linkages between research and policy making and decision making?

IMPACT: What are the likely positive and negative, intended and unintended consequences of BASIC interventions individually and in combination?

F. What are the factors likely to drive /hinder systemic change in the adoption of SP approaches in crises in your opinion?

- *What do you think are the time horizons to generate systemic change in terms of adoption of SP approaches in crises?*
- *What do you expect is the likely impact of BASIC on greater coherence, coordination and synergies between actors and initiatives in the SP space?*
- *Are you aware of any successes from BASIC/SPACE delivery thus far?*

G. Can you think of any possible unintended (positive or negative) consequences of the technical assistance/research support provided by BASIC (including on women and vulnerable groups)?

SUSTAINABILITY: EQ5 To what extent are the benefits and activities associated with BASIC interventions, individually and in combination, likely to continue after funding ceases?

H. What are the lessons for BASIC based your research/experience in relation to generating sustainable change?

- *Sustainable capacity building (FCDO, country governments and other development partners)*
- *Sustainable policy and programme influence on governments and partners*

Close

- *Are there any suggestions/lessons you would like to make for BASIC going forward?*
- *Are there any relevant documents that would be useful for our evaluation that you could kindly share?*
- *Any other stakeholders that would be useful for us to consult with?*

4.5 Country case studies – BASIC beneficiaries

MODULAR KII TOPIC GUIDE

KII GROUPS 1 AND 2:

- **Direct in-country recipients** of BASIC support, most often FCDO country offices (or, possibly, partner governments)
- **Indirect in-country beneficiaries** of BASIC support e.g. partner governments

Instructions for interviewers:

- Introduce the review*** – Integrity were commissioned by FCDO in October 2020 to conduct an evaluation of the BASIC programme: We are carrying out four longitudinal country case studies across the lifetime of the evaluation. Each country case study was explored at baseline, and is being revisited in each of the two subsequent phases of the evaluation. We are currently collecting data for the midline. Case studies examine the implementation and performance of BASIC and its components (TA including STAAR and SPACE, research, and knowledge management and learning) in combination and independently, in a range of country contexts. They explore BASIC’s relevance, coherence with other programmes, effectiveness, efficiency, impact and sustainability.
- Request informed consent*** – Ask respondents whether they are happy to participate in the interview. Explain that their responses will be treated as strictly confidential and the sources of specific findings will not be named.
- Use the semi-structured interview guide below*** to inform your interview. The priority is to get through all of the main questions (for the respective respondent type) in each interview (this will mean skipping prompts). Essential questions that must not be skipped are in **bold blue print**.

PART A: KII ROLE

1. What is your role and [if relevant] team / department?

- What does your role at [organisation] involve?

PART B: COUNTRY CONTEXT

2. How would you characterise the type(s) of crisis faced by [country]?

- What climate-related risks and vulnerabilities exist?

3. How well developed is existing humanitarian response and social protection infrastructure?

- Who are the main actors in this space?
- What are the existing government social safety nets -- nationally and regionally?
- What are the main donor / agency social assistance programmes?
- **How far do they respond to climate-related risks?**

- **What are the main coordination mechanisms?**
- What are the challenges (constraining factors) and opportunities around using social protection approaches to respond to crises in [country]?

PART C: KEY CHANGES OBSERVED

4. Looking back over the two years, what do you think have been the most significant changes in the way SP approaches have been developed or used to respond to crises in [country]?

Prompts – changes could include:

- *Improved human or institutional capability*
- *New or improved country plans, policies, programmes or systems*
- *Increased political commitment to using SP approaches in crises*
- *Better coordination or coherence amongst humanitarian and SP actors*
- *Gender-responsive and inclusive SP systems*
- *More effective and efficient social assistance in crises*
- Over what time period has the change come about?
- What is the magnitude and significance of the change? What difference could the change make to the effectiveness, efficiency and/or inclusivity (relating to gender, age, disability) of social assistance in crisis response?
- Are these changes likely to be sustainable?

5. Why and how have these changes been brought about?

- What are the main drivers of the change?
- How have each of these contributed e.g. directly/indirectly, substantively, as a catalyst, or as part of wider enabling environment?
- Has BASIC contributed to the change? How e.g. directly/indirectly, substantively, as a catalyst, or as part of wider enabling environment?
- Has anything impeded the change?

PART D: BASIC TA

6. What are the country office's / organisation's priorities relating to delivery of social assistance (either through humanitarian or social protection programming / systems)?

7. Has any support been received from BASIC TA (SPACE, TAS or STAAR) in the last year? How did the support from BASIC come about? (i.e. origins of BASIC support)

- How did you first hear about BASIC?
- Why and how did you request support from BASIC?
- What support did you request? What did you hope to achieve through the support?
- How did BASIC respond to the request? What was the process for scoping the work? How would you characterise that process (collaborative, rapid etc.)?

- How many assignments? *If more than one or different phases, explore the response and scoping process for each assignment.*

8. If answer to 7. = yes, what support was provided by BASIC?

- What was the scope of the / each assignment?
- What support was actually provided? Can you talk me through the activities, step-by-step?
- *[If not already covered]* What was the delivery modality? E.g. short-term assignment (how many days?) vs. longer-term embedded advisor?
- Was TA support provided by SPACE or the wider BASIC TA facility?
- **Was consideration of gender and inclusion integrated into the support and deliverables?**
- **Was consideration of climate-related risks and resilience integrated into the support and deliverables?**

9. Did the support meet your expectations?

- What worked well?
- What were the challenges?
- Was the support provided in a timely manner? E.g. Did the timing of delivery enable deliverables to feed into internal processes?

10. How did you use / respond to support provided? FOLLOW THESE LINES OF ENQUIRY A) FOR RECENT ACTIVITIES AND B) FOR EACH OF THE ACTIVITIES ALREADY EXPLORED AT BASELINE.

- How useful were BASIC deliverables / outputs?
- What happened next e.g. if support was to policy / plan / programme / system design, has it been implemented?
- What factors have *supported* use of the outputs?
- What factors have *hindered* use of the outputs?
- What else is needed for the policy / plan / programme / system to be successful?
- Have you done anything differently as a result of the support? E.g. behaviours / practices.
- Will you be requesting further support? Do you envisage that BASIC support will be provided directly to the government in [country] or to other stakeholders (besides FCDO)?
- Can you think of any possible unintended (positive or negative) consequences of the technical assistance/research support provided by BASIC (including for women and vulnerable groups)?

11. [If the country has long-term TA deployment] What difference does this role make?

NOTES:

12. What kind of support would you like to receive from BASIC (TA, research etc.) in the future?

- Do / can you already receive similar support from elsewhere?

PART E: BASIC RESEARCH (and evidence)

13. [Research focus countries only] Are you aware of BASIC Research plans for [country]?

- If so, were you involved in the decision to select [country] as a BASIC Research country?
- Do you think that it made sense to select [country] as a BASIC Research country? Why / why not?
- What are the planned activities of BASIC Research in [country]?
- Have you been involved in defining the scope of activities?
- What do you hope to learn from BASIC Research activities in [country]? How could Research outputs be useful to you?
- Do the Research activities relate to other BASIC support (TA)? How?
- Do they relate to other FCDO programming in [country]? How?
- What other sources of research or research support do you tend to use?

14. [Non-Research focus countries only] Were you involved in the process for selecting Research countries? Did you advocate for [COUNTRY] to be selected?

- Are you aware of any light touch engagement by BASIC Research in [COUNTRY]? If so, what has / will this involve?
- What are the main evidence gaps around using social protection approaches to respond to crises in [country]?
- Is there an unmet need for Research around SP in [COUNTRY]?
- What sources of research or research support do you tend to use?

15. Have you used any resources (e.g. global research products, learning products or events) developed by BASIC?

- Which ones e.g. topics dealt with?
- How useful were they?

16. [Research focus countries only] Are you aware of any mechanism for coordinating the implementation of BASIC Research and STAAR at country level?

- How does this work in practice?
- What is the relationship between technical advisory services and Research products?

PART F: KEY BASIC THEMES

17. Where are the main capacity gaps around SP and crises?

- In which types of institution?
- What sources of support to strengthen capacity do you tend to use?
- Has BASIC support helped strengthen your or others' capacity, directly or indirectly?

18. [FCDO only] Has BASIC support helped you to influence other actors or to build partnerships?

- How would you describe your key advocacy messages, targets and objectives related to the use of SP?
- What are the challenges?
- Has BASIC has helped to define or carry that agenda forward?
- Are products supported by BASIC being deployed in your influencing work?

19. What levels of financing are available for SP approaches in crisis response?

- What is the distribution between humanitarian and SP funding?
- Is climate finance available and being used for SP?
- Are financing patterns changing? How? Or, why not?
- What change in financing would you like to see, and what could make this happen?
- Is BASIC seeking to influence financing patterns? How?

PART G: INTERVIEW CLOSE / SNOWBALLING

- Are there any other types of support that could be provided by FCDO SPT, that would help your country office or organisation make better use of social protection approaches during crises?
- Who else should we speak to? (indirect beneficiaries, other in-country stakeholders)
- Request key documents related to BASIC support, as well as any particularly useful literature relevant to the country context
- Do you have any questions for us?
- Seek permission to follow up by email if we have any further queries.

4.6 Country case studies – BASIC delivery teams

KII MODULAR TOPIC GUIDE

KII GROUP 4: CONSULTANTS AND RESEARCHERS INVOLVED DELIVERING COUNTRY LEVEL SUPPORT

Instructions for interviewers:

- i. *Introduce the review* – Integrity were commissioned by FCDO in October 2020 to conduct an evaluation of the BASIC programme: We are carrying out four longitudinal country case studies across the lifetime of the evaluation. Each country case study was explored at baseline, and is being revisited in each of the two subsequent phases of the evaluation. We are currently collecting data for the midline. Case studies examine the implementation and performance of BASIC and its components (TA including STAAR and SPACE, research, and knowledge management and learning) in combination and independently, in a range of country contexts. They explore BASIC’s relevance, coherence with other programmes, effectiveness, efficiency, impact and sustainability.
- ii. *Request informed consent* – Ask respondents whether they are happy to participate in the interview. Explain that their responses will be treated as strictly confidential and the sources of specific findings will not be named.
- iii. *Use the semi-structured interview guide below* to inform your interview. The priority is to get through all of the main questions (for the respective respondent type) in each interview (this will mean skipping prompts). Essential questions that must not be skipped are in **bold blue print**.

PART A: KII ROLE

1. What is your role in the BASIC programme?

- How long have you been in the role? [For TA] How many / what types of assignments have you been involved in?

PART B: COUNTRY CONTEXT

2. How would you characterise the type(s) of crisis faced by [country]?

- What climate-related risks and vulnerabilities exist?

3. How well developed is existing humanitarian response and social protection infrastructure?

- How far do they respond to climate-related risks?
- What are the main coordination mechanisms?

PART C: KEY CHANGES OBSERVED

4. Looking back over the two years, what do you think have been the most significant changes in the way SP approaches have been developed or used to respond to crises in [country]?

Prompts – changes could include:

- *Improved human or institutional capability*
- *New or improved country plans, policies, programmes or systems*
- *Increased political commitment to using SP approaches in crises*
- *Better coordination or coherence amongst humanitarian and SP actors*
- *Gender-responsive and inclusive SP systems*
- *More effective and efficient social assistance in crises*
- Over what time period has the change come about?
- What is the magnitude and significance of the change? What difference could the change make to the effectiveness, efficiency and/or inclusivity (relating to gender, age, disability) of social assistance in crisis response?
- Are these changes likely to be sustainable?

5. Why and how have these changes been brought about?

- What are the main drivers of the change?
- How have each of these contributed e.g. directly/indirectly, substantively, as a catalyst, or as part of wider enabling environment?
- Has BASIC contributed to the change? How e.g. directly/indirectly, substantively, as a catalyst, or as part of wider enabling environment?
- Has anything impeded the change?

PART D: BASIC TA

6. [If / as sighted] Has any additional support been delivered in the last year? How did the support from BASIC come about? (i.e. origins of BASIC support)

- What support was requested from BASIC?
- Were you involved in the initial scoping of the work? How did BASIC respond to the request? What was the process for scoping the work? How would you characterise that process (collaborative, rapid etc.)?
- How many assignments? *If more than one or different phases, explore the response and scoping process for each assignment.*

7. If answer to 6. = yes, what support was provided by BASIC?

- What was the scope of the / each assignment?
- Who was the direct beneficiary? (E.g. FCDO country office, national government, multilateral agency)

- What support was provided? Can you talk me through the activities, step-by-step?
- *[If not already covered]* What was the delivery modality? E.g. short-term assignment (how many days?) vs. longer-term embedded advisor?
- **Was consideration of gender and inclusion integrated into the support and deliverables?**
- **Was consideration of climate-related risks and resilience integrated into the support and deliverables?**
- What worked well? What were the challenges? *Including any reflections on the pros / cons of delivery modalities used.*
- 8. **[If / as sighted] Do you know how the direct beneficiary used / or responded to the support provided? FOLLOW THESE LINES OF ENQUIRY A) FOR RECENT ACTIVITIES AND B) FOR EACH OF THE ACTIVITIES ALREADY EXPLORED AT BASELINE.**
 - What happened next e.g. if support was to policy / plan / programme / system design, has it been implemented?
 - What factors have *supported* use of the outputs?
 - What factors have *hindered* use of the outputs?
 - What else is needed for the policy / plan / programme / system to be successful?
 - Has the direct beneficiary done anything differently as a result of the support? E.g. behaviours / practices.
 - Have they requested further support? Do they envisage that BASIC support will be provided directly to the government in [country]?
 - Can you think of any possible unintended (positive or negative) consequences of the technical assistance/research support provided by BASIC (including for women and vulnerable groups)?
- 9. **[If the country has long-term TA deployment] What difference does this role make?**

PART E: BASIC RESEARCH (and evidence)

- 10. **[For TA consultants] Have you used any resources (e.g. research products, learning products or events) developed by BASIC Research or SPACE?**
 - Which ones e.g. topics dealt with?
 - How useful were they?
 - *[If sighted]* How do TA and Research feed into each other?
- 11. **[For IDS staff]**
 - Why was [country] selected as a focus country? What did the selection process and criteria involve?
 - What are the planned activities of BASIC Research in [country]? *EXPLORE BASED ON YOUR REVIEW OF THE DOCUMENTATION*
 - Why and how have local partners been selected? What are their roles?

- How is Research supporting processes of localisation? How do you plan to strengthen partner capacity?
- **How does it integrate gender and inclusion-related considerations?**
- **How does it integrate climate-related considerations?**
- **[Also for DAI consultants]** Do the Research activities relate to other BASIC support (TA)? How?
 - How do pieces of analysis produced by STAAR differ from Research activities?
 - Are there mechanisms at country level to coordinate TA and Research?
 - How do TA and Research feed into each other?
- Do they relate to other FCDO programming in [country]? How?
- Have any initial outputs been produced? *EXPLORE BASED ON YOUR REVIEW OF THE DOCUMENTATION*
- Has there been any evidence of uptake of those initial outputs yet?

12. **[For in-country BASIC Research delivery partners]**

- How did your organisation first come to be involved in BASIC Research?
- What did the application / selection process for BASIC Research involve?
- What is your role in the project?
- What other work relating to use of SP approaches in crises is your organisation involved in?
- What are the planned activities of BASIC Research in [country]? *EXPLORE BASED ON YOUR REVIEW OF THE DOCUMENTATION*
- Do you expect to receive capacity strengthening support as part of your involvement in BASIC Research?
- Have any initial outputs been produced by BASIC Research? *EXPLORE BASED ON YOUR REVIEW OF THE DOCUMENTATION*
- Has there been any evidence of uptake of those initial outputs yet?
- Are you familiar with other aspects of the BASIC programme? (E.g. SPACE, STAAR)
- Are you familiar with other relevant FCDO or other donor programming?

PART F: KEY BASIC THEMES

13. **Where are the main capacity gaps around SP and crises?**

- In which types of institution?
- What sources of support to strengthen capacity do you tend to use?
- Has BASIC support helped strengthen capacities, directly or indirectly?

14. **Is BASIC support helping its beneficiaries to influence other actors or to build partnerships?**

- How would you describe your key advocacy messages, targets and objectives related to the use of SP?
- What are the challenges?
- Has BASIC has helped to define or carry that agenda forward?
- Are products supported by BASIC being deployed in your influencing work?

15. What levels of financing are available for SP approaches in crisis response?

- What is the distribution between humanitarian and SP funding?
- Is climate finance available and being used for SP?
- Are financing patterns changing? How? Or, why not?
- What change in financing would you like to see, and what could make this happen?
- Is BASIC seeking to influence financing patterns? How?

PART G: INTERVIEW CLOSE / SNOWBALLING

- Who else should we speak to? (indirect beneficiaries, other in-country stakeholders)
- Request key documents related to BASIC support, as well as any particularly useful literature relevant to the country context
- Do you have any questions for us?
- Seek permission to follow up by email if we have any further queries.

4.7 Country case studies – Other country stakeholders

MODULAR KII TOPIC GUIDE

KII GROUP 3: OTHER IN-COUNTRY STAKEHOLDERS (e.g. multilateral agencies, other donors or governments if not BASIC beneficiaries)

Instructions for interviewers:

- iv. *Introduce the review* – Integrity were commissioned by FCDO in October 2020 to conduct an evaluation of the BASIC programme.
We are carrying out four longitudinal country case studies across the lifetime of the evaluation. Each country case study was explored at baseline, and is being revisited in each of the two subsequent phases of the evaluation. We are currently collecting data for the midline.
Case studies examine the implementation and performance of BASIC and its components (TA including STAAR and SPACE, research, and knowledge management and learning) in combination and independently, in a range of country contexts. They explore BASIC's relevance, coherence with other programmes, effectiveness, efficiency, impact and sustainability.
- v. *Request informed consent* – Ask respondents whether they are happy to participate in the interview. Explain that their responses will be treated as strictly confidential and the sources of specific findings will not be named.
- vi. *Use the semi-structured interview guide below* to inform your interview. The priority is to get through all of the main questions (for the respective respondent type) in each interview (this will mean skipping prompts). Essential questions that must not be skipped are in **bold blue print**.

PART A: KII ROLE

1. What is your role and [if relevant] team / department?

- What does your role at [organisation] involve?

PART B: COUNTRY CONTEXT

2. How would you characterise the type(s) of crisis faced by [country]?

- What climate-related risks and vulnerabilities exist?

3. How well developed is existing humanitarian response and social protection infrastructure?

- How far do they respond to climate-related risks?
- What are the main coordination mechanisms?

PART C: KEY CHANGES OBSERVED

4. Looking back over the two years, what do you think have been the most significant changes in the way SP approaches have been developed or used to respond to crises in [country]?

Prompts – changes could include:

- *Improved human or institutional capability*
- *New or improved country plans, policies, programmes or systems*
- *Increased political commitment to using SP approaches in crises*
- *Better coordination or coherence amongst humanitarian and SP actors*
- *Gender-responsive and inclusive SP systems*
- *More effective and efficient social assistance in crises*
- Over what time period has the change come about?
- What is the magnitude and significance of the change? What difference could the change make to the effectiveness, efficiency and/or inclusivity (relating to gender, age, disability) of social assistance in crisis response?
- Are these changes likely to be sustainable?

5. **Why and how have these changes been brought about?**

- What are the main drivers of the change?
- How have each of these contributed e.g. directly/indirectly, substantively, as a catalyst, or as part of wider enabling environment?
- Has BASIC contributed to the change? How e.g. directly/indirectly, substantively, as a catalyst, or as part of wider enabling environment?
- Has anything impeded the change?

PART D: INTERVIEWEE'S ORGANISATION AND SOCIAL PROTECTION IN CRISES

6. **What is your organisation doing to address these challenges and opportunities?**

- How effective have these interventions been?
- What lessons have been learnt on how to work in this space?
- What do you plan to do differently in future?

PART E: COHERENCE AND COORDINATION

7. **To what extent do you collaborate or coordinate with FCDO on this agenda?**

- Are you aware of BASIC? How?
- Has their organisation collaborated with BASIC?
- What has been your interaction with the programme thus far?
- What are the mechanisms/platforms they use for collaboration (beyond BASIC)?
- Have you used any resources or research developed by BASIC? If so, how useful were they?
- Are other sources of TA and research in SP in crisis response in FCAS available to you?

8. **How coherent / fragmented are actors/initiatives in the humanitarian-development nexus and SP space?**

- What are the factors supporting/hindering greater coherence, coordination and synergies between actors and initiatives in the SP space – globally and within countries?
- Are lessons/research/evidence shared between programmes? How? How has this impacted on effectiveness of programmes?
- Is BASIC sufficiently known and engaging sufficiently with external stakeholders and actors in the humanitarian-development space?
- Are there any stakeholders that BASIC should engage with more – climate for example?

PART F: BASIC RESEARCH (and evidence)

9. [Only if familiar with BASIC] Have you used any resources (e.g. research products, learning products or events) developed by BASIC Research or SPACE?

- Which ones e.g. topics dealt with?
- How useful were they?

PART G: KEY BASIC THEMES

10. Where are the main capacity gaps around SP and crises?

- In which types of institution?
- What sources of support to strengthen capacity do you tend to use?

11. In what kinds of SP fora and on what kinds of SP issues is the FCDO most visible or have the strongest voice on?

- What kinds of advocacy arguments are most likely to convince you or other stakeholders (including government) to make a change to policy or service delivery? E.g. economic, political etc.

12. What levels of financing are available for SP approaches in crisis response?

- What is the distribution between humanitarian and SP funding?
- Is climate finance available and being used for SP?
- Are financing patterns changing? How? Or, why not?
- What change in financing would you like to see, and what could make this happen?
- Is BASIC seeking to influence financing patterns? How?

PART H: INTERVIEW CLOSE / SNOWBALLING

- Who else should we speak to? (indirect beneficiaries, other in-country stakeholders)
- Request key documents related to BASIC support, as well as any particularly useful literature relevant to the country context
- Do you have any questions for us?

Seek permission to follow up by email if we have any further queries.

4.8 FCDO in-country advisor survey

The following document presents the draft questions for the in-house survey completed as part of the midline evaluation of the Better Assistance in Crises (BASIC) programme, which also encompasses activities funded by Social Protection Approaches to COVID-19 Expert advice helpline (SPACE) and the Social Protection Technical Assistance, Advice, and Resources (STAAR) Facility.

Population of interest: The survey population of interest is FCDO Social Protection or Assistance Leads, Social Development Advisers, Humanitarian Advisers, Climate Advisers and Conflict Advisers based in countries that could be targeted by BASIC. The anticipated sampling frame will be in the region of approximately 130 staff members.

Sampling: From this population, we will draw a random stratified sample to attempt to achieve representative coverage by population group and geographic region.

Mode: This survey is intended to be delivered by BASIC evaluation core team members using the online structured interviews via TEAMS.

Approach: The survey has been designed to be simple and time-efficient for respondents to complete.

Interviewers will provide guidance on the intended use of survey responses, and the privacy policy deployed by the evaluation team. Questions are mainly closed with several open questions included. This is expected to decrease interview length and provides the evaluation team with quantifiable data for comparison across contexts and between evaluation phases.

QUESTIONNAIRE

Introduction (approx. 2m)

[READ ALOUD]: By way of introduction, Integrity Global was commissioned by the FCDO to conduct an evaluation of the Better Assistance in Crises (BASIC) programme. Delivered between 2018 and 2024 by the FCDO Social Protection Team, BASIC services are aimed at supporting countries to strengthen the use of social protection systems in responding to crises. BASIC includes the following initiatives:

- Technical assistance services provided by DAI (Development Alternatives Inc.), through STAAR (Social Protection Technical Assistance, Advice, and Resources Facility) and SPACE (Social Protection Approaches to COVID-19 Expert advice helpline).
- BASIC Research service provided by the IDS (Institute of Development Studies).

The BASIC evaluation aims to:

- Assess whether BASIC has met its objectives.
- Support improvements to BASIC programme.
- Produce evidence on how technical assistance and research improve the use of social protection in crises.

This survey forms part of the midline evaluation and will take up to 20 minutes to complete, based on your responses. It aims to collect any views you may have about BASIC, and any changes that may have occurred to how you engage with social protection approaches. The results of this survey will be used to inform an evaluation report, to be finalised in December 2022. We are still keen to hear your views even if you have not received BASIC support or are not aware of BASIC.

You were suggested as a respondent to this survey by FCDO SPT. All information that you provide in this survey will remain anonymous. You are not required to answer any question, and you may stop the interview at any time.

All data will be reported at an aggregate level and it will not be possible to identify your individual responses. Survey data are stored in compliance with UK Data Protection Act and the General Data Protection Regulation (GDPR). If you have any questions about this study or our policies, I can provide you with the contact details for the focal points of this evaluation study at the end of this call.

#	Logic	Question	Response type
I0	Not asked	Report survey ID	Numeric
I1	ALL	Based on the description I have just provided about BASIC, and the evaluation, are you happy to proceed with this interview?	Single code Yes/No

If answer to A1=No, indicate that it is still useful to collect responses from advisers that have limited awareness of the programme, or from advisers based in countries where BASIC has not provided support.

If answer to A1 still = No, close interview, and update recruitment log.

1: Background & Context (approx. 1m)

[READ ALOUD]: In this section, we will cover your role and the context that you work in.

#	Logic	Question	Response
A1	ALL	Firstly, what is the title of your current role?	Open field
A1.1	ALL	Just to confirm, are you a member of any of the following FCDO adviser cadres?	Multicode ok
		You can select one or multiple options in answer to this question.	
		Social Development	
		Humanitarian	
		Climate	
		Conflict	
		DK	
		NA	
		Other - If other, please specify {open text box}	Open field
A4	ALL	For the purposes of this interview, we would like you to answer all of our questions with one country in mind.	Dropdown
		If you have directly received support from BASIC , please indicate which country this was. If you have received BASIC support while posted in more than one country, please select the country where this support was the most recent or memorable.	
		If you have not received BASIC support , please indicate the country you are currently working in, unless you would find it easier to refer to another country where you hold more relevant expertise and experience.	

***Interviewer note:** Interviewers may need to provide additional clarification to support the interviewee make this choice.*

A5.1	ALL	In AUTOPUNCH A4 , in your view, which types of crises have been significant since 2018, if any?	Treat as open text box, code later
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2: Initial experiences (approx. 2m)

[READ ALOUD]: In this section, we are interested in your familiarity and level of engagement with BASIC.

#	Logic	Question	Response
B1	ALL	<p>Firstly, how aware are you with the BASIC programme and its specific components?</p> <p>Please answer using a 5-point scale where 1 indicates Very unaware, and 5 indicates Very aware. Please also indicate if you don't know or if any of the items in this question are not applicable to you.</p> <p><i>Interviewer note: It may be necessary to clarify what BASIC and its components are, the suppliers that deliver them, and what they are typically referred to. It may be possible that interviewees refer to BASIC using a different name.</i></p> <p>The overall BASIC programme</p> <p>Technical advisory services provided DAI</p> <p>Research conducted by IDS</p> <p>Other components {please specify}</p>	5-point Likert scale
B2	ALL	<p>Thinking about you work in AUTOPUNCH A4, what BASIC services have you accessed if any?</p> <p>You can select one or multiple services in answer to this question.</p> <p><i>Interviewer note: Prompt if necessary: Short term (< 1 month), medium (<6 months), long (>6 months) term TA, in-country/remote, advice clinic, TA/research outputs from global or other country context, no services accessed, other</i></p>	Treat as open field, code later
B2.1	If B2=at least 1 service	<p>Thinking about these services, how did you make use of them in your work, if at all?</p> <p>You can select one or multiple uses in answer to this question.</p>	Treat as open field, code later

Interviewer note: Prompt if necessary: mapping/characterising social protection systems, capacity building individuals/teams/organisations, supporting the development of programmes/policies, supporting management/delivery programmes, accessing new/improved social protection finance, no uses, other

B4	If all B2 items=no services accessed	<p>Do any of the following reasons explain why you have not accessed BASIC services in your work?</p> <p>You can select one or multiple options in answer to this question.</p> <p>I am not aware of BASIC or its services</p> <p>The services it offers are not relevant to my work</p> <p>I use other sources of FCDO social protection research or advisory support</p> <p>I use other sources of non-FCDO social protection research and advisory support</p> <p>Other reasons {please specify}</p>	<p>Multicode ok</p> <p>Open field</p>
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3: Efficiency & Effectiveness (approx. 5 min if received support; 2 if none received)

[READ ALOUD]: In this section, we will ask you for your views on how efficient and effective the support you received from BASIC may have been.

#	Logic	Question	Response type
B3.1	If at least one B2 item=1	<p>Again, thinking about the support provided by BASIC, in your view, which groups made use of this support in AUTOPUNCH A4?</p> <p>You can select one or multiple actors in answer to this question.</p> <p>Interviewer note: Prompt if necessary: FCDO, donor, multilateral/UN agencies, local or national authorities, academic or policy researchers</p> <p>civil society organisations, private sector, other.</p> <p>For each user, confirm if the use was primary (direct client of BASIC) or secondary (indirect use mediated by FCDO or another actor)</p>	Treat as open field, code later

D3.1 If B2=1-7 And regarding the specific technical activities you engaged in, can you indicate the degree to which you agree with the following statements? 5-point Likert scale

Please answer using a 5-point scale where 1 indicates Strongly Disagree, and 5 indicates Strongly Agree. Please also indicate if you don't know or if any of the items in this question are not applicable to you.

I found the BASIC technical assistance my office received to be helpful and relevant to the needs of my office_KP1.1

BASIC technical assistance was delivered in a timely manner_KP1.2

The technical assistance provided met its intended aims_KP2.1

The type of research and evidence that BASIC will provide is not readily available from other sources_KP2.2

The technical assistance sufficiently integrated consideration of issues relating to gender and social inclusion_KP2.3

The assistance provided by BASIC resulted in improved collaboration between FCDO Humanitarian and SDA advisors_KP3.1

The assistance provided by BASIC resulted in the specification of new and/or improved social protection approaches by my team_KP3.2

The assistance provided resulted in new and/or improved social protection approaches being adopted by relevant multilateral agencies and international finance institutions_KP4.1

The assistance provided resulted in new and/or improved social protection approaches being adopted by the government_KP4.2

D5.1 If B2=Research-related Now thinking about the BASIC Research products that you have accessed; can you indicate the degree to which you agree with the following statements? 5-point Likert scale

Please answer using a 5-point scale where 1 indicates Strong Disagree, and 5 indicates Strongly Agree. Please also indicate if you don't know or if any of the items in this question are not applicable to you.

Research products enabled me or my country office to reframe policy debates related to the use of social protection during crises (policy narratives)

Research products enabled me or my country office to engage with other actors more effectively on social protection approaches (actors and networks)

		Research products enabled me or my country office to engage with political structures and power dynamics (politics and interests)	
D7	ALL	Thinking more broadly about social assistance in the country you work in, what are the most significant changes you have observed since 2018 in the use of social protection approaches during crises in this country (whether those systems are already well-established, nascent, or non-existent). Where possible, please indicate what changes, for why, why, and where.	Open text box
		<p><i>Interviewer note: Consider sharing the following prompts with interviewees:</i></p> <ul style="list-style-type: none"> <i>The human and institutional capability and capacity to deliver emergency assistance through SP approaches</i> <i>The political commitment to, and use of, SP approaches in crises</i> <i>The coordination between different actors/initiatives in the use of SP approaches in crises</i> <i>The quality and coverage of relevant SP policies, programmes, or systems</i> <i>The extent to which SP policies, programmes or systems are gender responsive and/or inclusive</i> 	
D9	ALL	Thinking about these changes, rank the top three actors in AUTOPUNCH A4 which made the most significant contributions to these?	Multicode ok
		Use 1,2 and 3 to indicate the first, second, and third most significant contributors respectively.	
		BASIC	
		Other FCDO teams	
		Other donors	
		Multilateral/UN agencies	
		Local or country governments	
		Civil society	
		Academic or policy researchers	
		Private sector	
		Other (please specify)	Open text box
D10	ALL	In AUTOPUNCH A4 , what significant barriers to change in using social protection approaches to respond to crises still exist, if any?	Open text box

4: Access (approx. 2 min)

[READ ALOUD]: This next set of questions seek to understand what type of support you would value receiving from BASIC in the future, and how you typically learn about centralised FCDO support opportunities

B5	ALL	You can select one or multiple options in answer to this question.	Multicode ok
<p>Improving the quality and reach of humanitarian response</p> <p>Improving the linkages between the humanitarian system and social protection approaches</p> <p>Improving the quality of social protection systems in their own right</p> <p>Improving the capacity of FCDO in the use of social protection approaches during crises</p> <p>Improving the capacity of multilateral agencies, donors, and financial institutions in the use of social protection approaches during crises</p> <p>Improving anticipatory action</p> <p>Clarifying the links between the use of social protection approaches and the climate change agenda</p> <p>Making existing social protection provisions more inclusive</p> <p>Sustainable financing of emergency responses through social protection systems</p> <p>Other {please specify}</p>			
			Open text box
B6	ALL	Thinking about how you typically learn about and access centralised FCDO services, which of the following ways do you use to find out about FCDO support available to you.	Multicode ok

You can select one or multiple options in answer to this question.

- Adviser Cadre mailing lists
- Informally through colleagues
- Intranet
- Direct communications with FCDO Social Protection Team
- Direct communications with BASIC suppliers
- Other {please specify}

5: Close (approx. 2m)

[READ ALOUD]: This is the final section of the survey. In this section, we are interested in your views on any further support FCDO could usefully provide you and your country office, and any final views you may want to share about BASIC.

#	Logic	Question	Response type
F1	ALL	Is there anything else you would like to say about the BASIC programme that we have not covered already?	Open text field
<i>Interviewer instruction: Draft response to F1 in the open text field box and make any clarifications to the response during interview.</i>			
F2	ALL	Finally, thinking more broadly about the support FCDO central teams provide to FCDO country offices and their partners around the use of social protection approaches during crises, are there any other types of support, beyond technical assistance and research, that are not sufficiently provided that you think would be beneficial?	Open text field

Thank-you for completing this important survey. Your responses will directly contribute to the development of evaluation findings that will help the FCDO learn from and improve the delivery of the BASIC programme to better suit your needs.

If you have any questions about our evaluation, this survey, or our data security and protection procedures, please contact Nick Moore by email ([email address omitted]) of the BASIC evaluation SRO, India Perry ([email address omitted]).

Thank you again for assisting in this evaluation.

[CLOSE INTERVIEW]

5 List of evaluation participants and reviewed documents

The tables in this Appendix list all evaluation KII participants and documents we reviewed, as part of the evaluation. In total just under 60 percent of participants we completed interviews with were female. In total, we sought to recruit 100 qualitative informants. In total, 123 were interviewed and 148 documents were reviewed as part of the study.

Table 5.1: List of qualitative evaluation participants

Omitted – Requests for this information should be made to FCDO SPT.

Table 5.2: List of documents reviewed

ID	Filename
External_01	SPIAC-B WG linking humanitarian cash assistance with social protection_meeting notes 24 Feb 2022
External_02	SPIAC-B Working Group Minutes
External_03	SPIAC-B working group Workplan 2022-2024
External_04	Working Group TOR - Final version (clean copy) 16th March
External_05	Working Group TOR - Final version (track changes) 16th March
External_06	Copy of SPIAC-B working group Workplan 2022-2024_Updated
External_07	Working Group TOR - Final draft (clean version)
External_09	Productive inclusion measures and adaptive social protection in the Sahel
External_11	World Bank 2022 Humanitarian and Social Protection Linkages with examples from South Asia
External_12	World Bank adaptive social protection 2020
External_14	World Bank Disaster-Risk-Financing-Emerging-Lessons-in-Financing-Adaptive-Social-Protection emerging lessons
External_19	UNICEF system readiness tool 2022
External_21	Introduction and how to use- Toolbox - Linking Humanitarian CVA and Social Protection
External_24	FAO 2021 social protection and climate change
External_34	MAINTAINS-towards-shock-responsive-social-protection-synthesis-report
External_35	UK AID REAP Early action and the climate crisis - could social protection be a game changer
External_36	GSP Annual Review, 2021
External_37	GSP Evaluation Inception Report to EQUALS 04.05.21 clean
J1	ESPJ Programme Completion Review-FCDO
J10	BASIC_Working_Paper_11
J11	BASIC_Working_Paper_12
J12	BASIC_Working_Paper_14
J13	BASIC_Working_Paper_15
J14	BASIC_Working_Paper_16_Summary and Author bios
J15	BASIC_Working_Paper_17
J16	BASIC_Working_Paper_18
J17	BASIC_Working_Paper_2
J18	BASIC_Working_Paper_3
J19	BASIC_Working_Paper_5

J2	Programme Summary_UK Strengthening Societal and Economic Resilience in Jordan V040722
J20	BASIC_Working_Paper_6
J21	BASIC_Working_Paper_7
J22	BASIC_Working_Paper_8
J23	BASIC_Working_Paper_9
J24	BASICR_Concept_notes_annex_March22_clean
J25	BASICResearchQR2_forIntegrity
J26	Economic Empowerment Program for the Poor and Vulnerable - MoL-NAF
J27	Second AF PAD
J3	SPDG Common Messages_July 2021
J4	SSERJ Business Case_Final_V210222
J5	10.BASIC_Livelihoods_ThemeBrief_opendocsv2
J6	3.BASIC_Financing_ThemeBrief_opendocs
J7	5.BASIC_Theme Brief_Inclusion_opendocs
J8	BASIC_Working_Paper_1
J9	BASIC_Working_Paper_10
Learning_1	All BASIC Research theme briefs which include the term 'climate'
Learning_10	B017_PEA CC Pakistan (Final Report) 04-May-2022 Clean
Learning_11	ToR for PEA CC Pakistan. Laura, do you have a copy of this?
Learning_12	Paper - Social Protection and Climate Change_ Scaling up Ambition
Learning_13	Other ToRs for / products of TA assignments. Do you have any of these?
Learning_14	Draft ToRs for Zambia assignment
Learning_15	Synergies between African Risk Capacity and Social Protection in East and Southern Africa
Learning_16	How disaster risk finance can link with social protection: maximising the effectiveness of shock response
Learning_17	What are future financing options for shock responsive social protection? A technical primer
Learning_18	Comparative analysis of the efficiency of different social protection delivery mechanisms in the context of climate resilience (IIED)
Learning_19	Sp.org community of practice on climate, est. 2022 by FCDO https://socialprotection.org/es/connect/communities/social-protection-and-climate-change/documents
Learning_2	All BASIC Research working briefs which include the term 'climate'
Learning_3	BASIC Research inception report
Learning_4	BASIC Research concept notes
Learning_5	BASIC Research theme research proposals
Learning_6	BASIC Research QR2
Learning_7	STAAR Implementation strategy (section 8 and Annex F)
Learning_8	STAAR KML strategy (horizon scanning and influencing agenda)
Learning_9	STAR Period 1 Costed Workplan v3
NGA_001	Revised Draft National Social Protection Policy

NGA_002	NDP-2021-2025_AA_FINAL_PRINTING
NGA_003	National Poverty Reduction with Growth Strategy-Final_23April-2021
NGA_004	Nigeria to Scale-up Delivery of Social Assistance to 10.2 Million Households
NGA_005	Health Insurance Vulnerable Group Fund to cater for 83m Nigerians - P.M. News
NGA_007	HSOT Contractor Scope of Work - Nigeria BASIC 2022 FINAL
NGA_010	20220727_fcdo-wb-partnership
NGA_012	12. IPC_Nigeria_Acute_Malnutrition_2021Sept2022Aug_Snapshot
Research_001	BASIC logframe V9_ForFCDO
Research_003	BASIC Research Quarter 2 Narrative Report (QR2)
Research_003	BASICR_Concept_notes_annex_March22_clean
Research_005	BASICResearchQF4_IRv8
Research_006	Social Protection Technical Assistance, Advice and Resources (STAAR): Period 1 Costed Workplan - Narrative
Research_006	InceptionReport_BASICResearch_clean
Research_010	Product4b(C1)ThemeResearchProposals_Clean
Research_014	Product9DetailedMonitoringAndReportingStrategy_v6_clean
Research_015	BASIC Research - Actions, minutes and upcoming meetings
Research_016	BASIC Research Meeting Minutes - 29th Jan
Research_017	BASICResearch_FCDO_InceptionReportReqsMeetingNotes_140921
Research_018	BASICResearch_FCDO_KPIsLogframeMeeting_160921
Research_019	BASICResearch_FCDO_monthlymeeting_27.09.21_NL
Research_020	BASICResearch_FCDO_monthlymeeting_29.11.21_final
Research_021	BASICResearch_FCDO_PMmeeting_Notes_070921
Research_022	BASICResearch_FCDO_researchquestionsmeeting_20.09.21_NL
Research_023	BASICResearch_FCDO_ThemePaperProcessMeeting_130921
Research_024	FCDO Monthly Meeting 31.03.2022
Research_025	BASICResearch_QR3
Research_027	BASICResearchQR1_forIntegrity
Research_028	BASIC Research: inception report (clean)
Research_028	BASICResearchQR2_forIntegrity
Research_029	06.07.21 BASIC Research Risk Register YR1 Q3
Research_031	2.BASIC_Targeting_ThemeBrief_OpenDocs
Research_032	3.BASIC_Financing_ThemeBrief_opendocs
Research_041	12.BASIC_C+C_ThemeBrief_opendocs
Research_059	BASIC_Working_Paper_18
Research_065	FINAL QR1_Implementation_resubmission
Research_066	BASIC Research QR2_Implementationv2_clean
S1	2.BASIC_Targeting_ThemeBrief_OpenDocs

S10	BASIC_Working_Paper_5
S11	BASIC_Working_Paper_7
S12	BASIC_Working_Paper_8
S13	BASIC_Working_Paper_9
S14	BASIC_Working_Paper_10
S15	BASIC_Working_Paper_12
S16	BASIC_Working_Paper_15
S17	BASIC_Working_Paper_18
S18	BASICR_Concept_notes_annex_March22_clean
S19	BASICResearchQR1_forIntegrity
S2	3.BASIC_Financing_ThemeBrief_opendocs
S20	BASICResearchQR2_forIntegrity
S21	InceptionReport_BASICResearch_clean
S22	Product4b(C1)ThemeResearchProposals_Clean
S23	STAR Implementation Strategy_v3 to FCDO
S24	STAR Period 1 Costed Workplan v3 - Narrative to FCDO
S25	https://devex.shorthandstories.com/building-up-a-social-protection-system-in-somalia-and-somaliland/index.html
S26	https://www.worldbank.org/en/news/press-release/2022/06/22/world-bank-to-support-somalia-s-drought-response-through-cash-transfers-to-500-000-households
S27	DCF support to country-level cash coordination - April 22
S28	FCDO policy implications resilience stocktakes
S29	FCDO support to livelihoods and resilience outcomes Somalia
S3	8.BASIC_Accountability_Theme Brief_OpenDocs
S30	FCDO-MESH-ABL Report WFP Top UP Survey- ABL & Survey Reports
S31	SHARP 2021 Annual Review final
S32	Somalia Cash Strategy_FINAL_CLEAN
S33	Somalia MEB Report_final_Sept2021
S34	Somalia resilience stocktake presentation December 2021
S35	Somalia RP Delivery Plan July 2021
S36	Somalia Stocktake Resilience Assessment September 2021 Final
S37	UK FCDO EFO 1568 -Completion Report for the SNHCP Targeting Evaluation - May 6 2022
S38	BASIC Research QR2_Implementationv2_clean
S4	10.BASIC_Livelihoods_ThemeBrief_opendocsv2
S5	11. BASIC_ThemeBrief_Displacement_OD
S6	12.BASIC_C+C_ThemeBrief_opendocs
S7	BASIC_Working_Paper_1
S8	BASIC_Working_Paper_3
S9	BASIC_Working_Paper_4
STAAR_001	STAAR KML Strategy v3 (1)
STAAR_002	STAAR Operations Manual v3 FCDO comments
STAAR_003	SPACE PMT Feasibility Study Northern Nigeria
STAAR_003	STAR Implementation Strategy_v3 to FCDO

STAAR_004	STAR Monitoring Strategy v3 (1)
STAAR_005	Implementation Strategy Social Protection Technical Assistance, Advice and Resources (STAAR)
STAAR_005	STAR Period 1 Costed Workplan v3 - Narrative to FCDO
STAAR_006	STAAR_Risk Matrix (1)
STAAR_011	STAAR QPR Apr-June 2022 v2 clean

6 Mapping of findings to conclusions and recommendations

The tables below indicate how findings informed our conclusions and subsequent recommendations.

Table 6.1: Mapping of Midline conclusions to recommendations

Conclusion / Recommendation	1. Increase the contribution of BASIC to influencing other actors to adopt social protection approaches in crises, alongside continued support to FCDO programme and policy development.	2. Explore opportunities to build synergies between the BASIC workstreams.	3. Adapt the scope and approach of BASIC to reflect evolving demand and the changing context.	4. Ensure that BASIC continues to deliver good VFM.
Conclusion 1: There is strengthening evidence that BASIC has the potential to contribute to more effective, efficient, and inclusive social assistance, most concretely through supporting the development of FCDO programmes.				
Conclusion 2: BASIC can plausibly make a meaningful contribution to change without necessarily acting simultaneously across all the pathways identified within the ToC.				
Conclusion 3: Changes in the policies and priorities of UK Aid and the evolving resource availability highlight the need for BASIC to evolve and strengthen its support to coordination and influencing functions.				
Conclusion 4: BASIC has had success in influencing in specific areas – such as the integration of GESI perspectives – and may have a comparative advantage in other niche areas, including the integration of climate change with social protection responses to crisis.				
Conclusion 5: Several attempts to develop workstream synergies were made, but synergies were not fully explored during the midline period. Options are increasingly being considered by suppliers as the programme moves forward into implementation, but would benefit from a clearer framework outlining strategic opportunities.				
Conclusion 6: The VFM proposition and programme efficiency have been compromised by the extended inception periods and funding uncertainties.				

N.B. Blue shaded cells indicate that a conclusion underpins a recommendation area. A grey cell indicates the conclusion does not underpin a recommendation area.

Table 6.2: Mapping of Midline findings to conclusions

Sub-EQ	Finding	Conclusion 1: There is strengthening evidence that BASIC has the potential to contribute to more effective, efficient, and inclusive social assistance, most concretely through supporting the development of FCDO programmes.	Conclusion 2: BASIC can plausibly make a meaningful contribution to change without necessarily acting simultaneously across all the pathways identified within the ToC.	Conclusion 3: Changes in the policies and priorities of UK Aid and the evolving resource availability highlight the need for BASIC to evolve and strengthen its support to coordination and influencing functions.	Conclusion 4: BASIC has had notable success in influencing in specific areas – such as the integration of GESI perspectives – and may have a comparative advantage in other niche areas including the integration of climate change with social protection responses to crisis.	Conclusion 5: Synergies between STAAR and Research were not explored by suppliers during the inception period and significant opportunities remain as the programme moves forward into implementation.	Conclusion 6: The VfM proposition and programme efficiency have been compromised by the extended inception period and funding uncertainties.
1.1	Finding 1: The UK Government policy priorities are shifting with implications for the continuing relevance of BASIC.						
1.1	Finding 2: The FCDO prioritisation of improving humanitarian response now provides the principal entry point for BASIC, rather than building social protection systems.						
1.1	Finding 3: There is strong demand from FCDO for linking climate change and social protection, which BASIC is adapting to.						
1.2	Finding 4: BASIC technical assistance remains well adapted to servicing the needs of FCDO country posts, but awareness of the facility is uneven.						
1.2	Finding 5: There is an aspiration to diversify the users serviced by STAAR, but progress in adapting the delivery model during the midline has been limited.						
1.2	Finding 6: BASIC research is in principle a public good, but early indications are that the agenda is more clearly aligned with the interests of donors and UN agencies.						
1.3	Finding 7: While the BASIC TA remains predominantly demand led, there is an increased investment in the strategic leadership provided by STAAR, including the introduction of a number of STAAR-led assignments.						

Sub-EQ	Finding	Conclusion 1: There is strengthening evidence that BASIC has the potential to contribute to more effective, efficient, and inclusive social assistance, most concretely through supporting the development of FCDO programmes.	Conclusion 2: BASIC can plausibly make a meaningful contribution to change without necessarily acting simultaneously across all the pathways identified within the ToC.	Conclusion 3: Changes in the policies and priorities of UK Aid and the evolving resource availability highlight the need for BASIC to evolve and strengthen its support to coordination and influencing functions.	Conclusion 4: BASIC has had notable success in influencing in specific areas – such as the integration of GESI perspectives – and may have a comparative advantage in other niche areas including the integration of climate change with social protection responses to crisis.	Conclusion 5: Synergies between STAAR and Research were not explored by suppliers during the inception period and significant opportunities remain as the programme moves forward into implementation.	Conclusion 6: The VfM proposition and programme efficiency have been compromised by the extended inception period and funding uncertainties.
1.4	Finding 8: Early indications suggest that GESI will continue to be mainstreamed under STAAR, but few targeted GESI assignments will be carried out under the BASIC window.						
1.4	Finding 9: Research's dedicated inclusion theme remained strong in inception plans throughout uncertainty caused by the budget reductions.						
1.5	Finding 10: BASIC has remained highly relevant to the emerging crises witnessed in the midline period.						
1.5	Finding 11: A significant contextual change during the midline period has been the FCDO budget revisions. The consequent changes in spending may affect BASIC through three main pathways: uncertainty over the BASIC budget; changes in demand for BASIC services by FCDO posts; and a reduced ability of the FCDO to use BASIC outputs to influence other actors.						
2.1	Finding 12: Stakeholders perceived an added value in housing the two workstreams within BASIC, but synergies between STAAR and Research were only partially developed at the time of the midline.						
2.1	Finding 13: Mechanisms are being established to strengthen coordination between STAAR and Research during implementation.						

Sub-EQ	Finding	Conclusion 1: There is strengthening evidence that BASIC has the potential to contribute to more effective, efficient, and inclusive social assistance, most concretely through supporting the development of FCDO programmes.	Conclusion 2: BASIC can plausibly make a meaningful contribution to change without necessarily acting simultaneously across all the pathways identified within the ToC.	Conclusion 3: Changes in the policies and priorities of UK Aid and the evolving resource availability highlight the need for BASIC to evolve and strengthen its support to coordination and influencing functions.	Conclusion 4: BASIC has had notable success in influencing in specific areas – such as the integration of GESI perspectives – and may have a comparative advantage in other niche areas including the integration of climate change with social protection responses to crisis.	Conclusion 5: Synergies between STAAR and Research were not explored by suppliers during the inception period and significant opportunities remain as the programme moves forward into implementation.	Conclusion 6: The VfM proposition and programme efficiency have been compromised by the extended inception period and funding uncertainties.
2.2	Finding 14: Coordination with other centrally managed FCDO programmes prevented overlaps and helped identify synergies.						
2.2	Finding 15: Partnerships with other external actors, in areas such as the provision of technical assistance, knowledge management and research to support social protection approaches in crises, were still nascent.						
3.1	Finding 16: Only a few TA assignments have been delivered since baseline; however, STAAR is now building its pipeline rapidly. Assignments delivered over the past year have focused on providing advice to inform FCDO programming and building relationships amongst donors and multilaterals through coordination.						
3.1	Finding 17: STAAR inception and early implementation has not been resourced to build on SPACE's momentum on generating knowledge and learning, nor has it developed a clear strategy for capacity building. During inception, the focus of Research has remained primarily on planning, with fieldwork to enable generation of research outputs only recently getting underway.						
3.2	Finding 18: Additional, though limited, midline data suggests that factors affecting the achievement of outputs remain similar to those identified at baseline.						

Sub-EQ	Finding	Conclusion 1: There is strengthening evidence that BASIC has the potential to contribute to more effective, efficient, and inclusive social assistance, most concretely through supporting the development of FCDO programmes.	Conclusion 2: BASIC can plausibly make a meaningful contribution to change without necessarily acting simultaneously across all the pathways identified within the ToC.	Conclusion 3: Changes in the policies and priorities of UK Aid and the evolving resource availability highlight the need for BASIC to evolve and strengthen its support to coordination and influencing functions.	Conclusion 4: BASIC has had notable success in influencing in specific areas – such as the integration of GESI perspectives – and may have a comparative advantage in other niche areas including the integration of climate change with social protection responses to crisis.	Conclusion 5: Synergies between STAAR and Research were not explored by suppliers during the inception period and significant opportunities remain as the programme moves forward into implementation.	Conclusion 6: The VfM proposition and programme efficiency have been compromised by the extended inception period and funding uncertainties.
3.2	Finding 19: Across the programme, two major factors have hindered generation of outputs over the past year and resulted in unmet demand: the lengthy inception phases for both STAAR and Research and, from May 2022, uncertainties associated with the BASIC budget.						
3.3	Finding 20: BASIC has contributed to the use of new or improved social protection approaches by FCDO and some other agencies, but have had so far little impact on national Governments. There is limited evidence that BASIC TAS and SPACE advice have so far contributed to changes to wider SP policies and programmes.						
3.3	Finding 21: Technical Assistance has continued to contribute to coordination improvements, but it is not yet clear whether improved coordination is improving the coherence of and synergies between humanitarian and SP initiatives. Likewise, country posts have continued to use Technical Assistance outputs for influencing purposes, but it is too early to assess whether these efforts will contribute to increased political commitment.						
3.3	Finding 22: Evidence of improved institutional capacities tends to be limited to FCDO staff, with the potential for capacity improvements in other donors/agencies or partner governments as yet unrealised.						

Sub-EQ	Finding	Conclusion 1: There is strengthening evidence that BASIC has the potential to contribute to more effective, efficient, and inclusive social assistance, most concretely through supporting the development of FCDO programmes.	Conclusion 2: BASIC can plausibly make a meaningful contribution to change without necessarily acting simultaneously across all the pathways identified within the ToC.	Conclusion 3: Changes in the policies and priorities of UK Aid and the evolving resource availability highlight the need for BASIC to evolve and strengthen its support to coordination and influencing functions.	Conclusion 4: BASIC has had notable success in influencing in specific areas – such as the integration of GESI perspectives – and may have a comparative advantage in other niche areas including the integration of climate change with social protection responses to crisis.	Conclusion 5: Synergies between STAAR and Research were not explored by suppliers during the inception period and significant opportunities remain as the programme moves forward into implementation.	Conclusion 6: The VfM proposition and programme efficiency have been compromised by the extended inception period and funding uncertainties.
3.4	Finding 23: Most of the key changes BASIC TAS and SPACE have contributed to in-country include elements of improved equity in SP delivery. However, there is likely to be a lower level of ambition for GESI-related outcomes looking forward.						
3.5	Finding 24: The midline evaluation has identified several additional factors which are enabling and/or constraining BASIC's contribution to outcome level change.						
3.6	Finding 25: Given the continued lack of substantial linkages and coordination between TA and Research (see EQ 2.1), and nascent status of Research, synergies between BASIC components are limited.						
4.1	Finding 26: There is some early evidence that TA can plausibly contribute to more effective, efficient, and inclusive social assistance. However, there is little evidence that BASIC is bringing about diversified and more sustainable funding for SP approaches in crises.						
4.2	Finding 27: Key changes identified in country case studies, to which BASIC has contributed, provide evidence of a trajectory towards sub-impact level change as articulated by BASIC's ToC.						

Sub-EQ	Finding	Conclusion 1: There is strengthening evidence that BASIC has the potential to contribute to more effective, efficient, and inclusive social assistance, most concretely through supporting the development of FCDO programmes.	Conclusion 2: BASIC can plausibly make a meaningful contribution to change without necessarily acting simultaneously across all the pathways identified within the ToC.	Conclusion 3: Changes in the policies and priorities of UK Aid and the evolving resource availability highlight the need for BASIC to evolve and strengthen its support to coordination and influencing functions.	Conclusion 4: BASIC has had notable success in influencing in specific areas – such as the integration of GESI perspectives – and may have a comparative advantage in other niche areas including the integration of climate change with social protection responses to crisis.	Conclusion 5: Synergies between STAAR and Research were not explored by suppliers during the inception period and significant opportunities remain as the programme moves forward into implementation.	Conclusion 6: The VfM proposition and programme efficiency have been compromised by the extended inception period and funding uncertainties.
4.3	Finding 28: The plausibility of different impact pathways at global level may shift, with STAAR unlikely to produce the same volume of global public goods as SPACE, and Research outputs targeting a global audience. Nevertheless, SPACE has influenced several multilateral organisations' global SP strategies.						
5.1	Finding 29: Economy – Overall, the economy of BASIC's two workstreams differed somewhat. Research's inception phase costs could compromise VFM, especially if BASIC were to experience budget cuts. STAAR's delivery model proved more robust to ensuring economy.						
5.1	Finding 30: Efficiency – Delays in finalisation and approval of key inception phase deliverables resulted in protracted inception phases for both workstreams, which along with funding uncertainty had a negative impact on the efficient transition to and pace of implementation.						
5.1	Finding 31: Efficiency - Delivery delays in the early years may necessitate scaled delivery in subsequent years a programme extension.						

Sub-EQ	Finding	Conclusion 1: There is strengthening evidence that BASIC has the potential to contribute to more effective, efficient, and inclusive social assistance, most concretely through supporting the development of FCDO programmes.	Conclusion 2: BASIC can plausibly make a meaningful contribution to change without necessarily acting simultaneously across all the pathways identified within the ToC.	Conclusion 3: Changes in the policies and priorities of UK Aid and the evolving resource availability highlight the need for BASIC to evolve and strengthen its support to coordination and influencing functions.	Conclusion 4: BASIC has had notable success in influencing in specific areas – such as the integration of GESI perspectives – and may have a comparative advantage in other niche areas including the integration of climate change with social protection responses to crisis.	Conclusion 5: Synergies between STAAR and Research were not explored by suppliers during the inception period and significant opportunities remain as the programme moves forward into implementation.	Conclusion 6: The VfM proposition and programme efficiency have been compromised by the extended inception period and funding uncertainties.
5.1	Finding 32: Effectiveness – Early evidence demonstrates that BASIC TAS and SPACE can contribute to driving outcome level change, including improved equity in SP delivery. Insufficient data prevented an assessment of cost-effectiveness.						
5.2	Finding 33: Management of VfM has become more challenging in a period of funding uncertainty.						
5.3	Finding 34: Protracted inception phases and funding uncertainty impacted the timely response of BASIC to user needs amid a slower delivery pace. Nonetheless both components did succeed in some output delivery during this uncertain period.						
5.3	Finding 35: Both components have KPIs linked to timely and good quality of delivery.						
6.1	Finding 36: Midline evidence suggests earlier BASIC TAS has catalysed programme and systems change at the country-level, although delivery delays compromised our midline assessment of sustainability.						
6.2	Finding 37: Securing long term social protection funding commitments is the main challenge faced by national governments and donors in achieving systemic change.						
6.2	Finding 38: Other opportunities and challenges that may affect the sustainability of BASIC that related to its design and delivery.						

7 Mappings EQuALS criteria to report content

This section presents a mapping of EQuALS criteria to report body and Appendix sections to indicate where evidence that we have met each criteria can be found.

Table 7.1: Mapping baseline reporting to EQUALS criteria

#	Criteria	Report section	Appendix section
1. STRUCTURE AND CLARITY			
1.1	The product is accessible to the intended audience (e.g., free of jargon, written in plain English, logical use of chapters, appropriate use of tables, graphs and diagrams).	All	NA
1.2	It is clear who has carried out the evaluation. The roles and responsibilities of evaluation management team are clearly defined.	1	A2.3.1
1.3	An executive summary is included, and it can stand alone as an accurate summary of the main product.	Executive Summary	NA
1.4	The annexes contain – at the least – the original TORs, the evaluation framework, the use and influence plan, a bibliography and a list of consultees. Annexes increase the usefulness of the product.	NA	A9; A2.2; A3; A6; Endnotes
1.5	The product is of publishable quality.	All	All
2. CONTEXT, PURPOSE, SCOPE, AND OBJECTIVES			
2.1	The product provides or references/links to a relevant and sufficient description of the intervention to be evaluated. At the least, this should include detail on the intervention's anticipated impact, outcomes and outputs, target groups, timescale, geographical coverage, and the extent to which the intervention aimed to address issues of equity, poverty and exclusion.	2	A1
2.2	The product describes the intervention logic and/or theory of change.	2	A1
2.3	The product provides a relevant and sufficient description of the local, national and/or international development context within which the intervention was operating. There is an assessment of the policy context for the intervention and this includes reference to poverty reduction strategies, gender equality, environmental protection, and human rights.	2	A1
2.4	The purpose and objectives of the evaluation are clearly articulated. Accountability and learning have been considered and it is clear to the reader why the evaluation has been undertaken and how the findings of the evaluation will be utilised.	1	NA
2.5	The product describes the target audience(s) for the evaluation findings and clearly identifies the key stakeholders for the evaluation.	1	NA
2.6	The product explains the timing of the evaluation and clearly acknowledges how the timing of evaluation outputs relate to strengthening the utility of the evaluation	1	NA
2.7	The product clearly outlines what aspects of the intervention were and were not covered by the evaluation.	1	NA
3. METHODOLOGY			
3.1	The evaluation design is clearly stated (e.g. the type of qualitative or quantitative designs such as RCT, case-based etc), and choice of evaluation criteria are justified.	3	A2.2.2
3.2	The evaluation framework is clearly articulated indicating the evaluation criteria, evaluation questions, data sources and methods.	-	A2.2.3
3.3	The evaluation methods are described and justified, and limitations discussed alongside strategies undertaken to mitigate risks.	3	A2.2.3; A2.2.9
3.4	Primary and secondary data sources are clearly distinguished, reliable/valid and sampling strategies are explained and justified including sample sizes. The approaches to data disaggregation and triangulation are explained.	3	A2.2.3; A2.2.5
3.5	Where applicable access to data sources is provided.	-	A2.2.3
3.6	Any departures from the TOR, inception phase and / or original evaluation design are adequately explained.	-	A9.2
3.7	The product discusses any inherent imbalances or biases that interviews, and other data collection may have created, and how these were overcome.	3	A2.2.5; A2.2.6

#	Criteria	Report section	Appendix section
3.8	Instruments were tested and validated (e.g. pre-testing of questionnaires).	3	A2.2.6
3.9	The participation of stakeholders in the evaluation (design, implementation, feedback, dissemination, and use) is clearly explained. Where stakeholders were not able to participate, secondary data sources were identified and referred to.	-	A2.2.7
3.10	The evaluation process provided affected stakeholders with access to evaluation-related information in forms that were accessible to those stakeholders and respected people and honoured confidentiality. All quotes/ data are anonymised (names removed etc).	-	A2.2.7
3.11	To what extent has the evaluation been implemented in accordance with Paris Declaration principles? Have issues of country ownership and management been addressed? To what extent has the evaluation used country systems? How far has the evaluation harmonised approaches with other donors? Has the evaluation contributed to building evaluation capacity within partner countries?	-	A2.2.8
4. ETHICS AND SAFEGUARDING			
4.1	The methodology and inclusion of participants respected concerns around human rights, gender, age, ethnicity, disability, caste, religion, geographic location, ability, socio-economic status and hard to reach groups. If not, the reasons are provided, and they are justifiable.	-	A2.2.10
4.2	The report describes how the approach adhered to international best practice and standards of ethical conduct in evaluation in sufficient detail, and draws on relevant aspects of DFID's Ethical Guidance for Research, Evaluation and Monitoring Activities; the report demonstrates ethical considerations throughout the process, referencing gender and/or power dynamic considerations, privacy and confidentiality of evaluation participants etc.	-	A2.2.10
4.3	The principle of "Do no harm" is cited and the report explains how this was upheld throughout all activities.	-	A2.2.10
4.4	Where vulnerable community members participated, or highly sensitive geographic or thematic areas were covered, the report explains how formal approval from an Ethical or Institutional Review Board were obtained.	NA - Research not undertaken with sensitive groups.	
4.5	Stakeholders affected by the intervention are properly considered in terms of their data protection and access to their own personal data. The practical arrangements and safeguarding considerations around collecting information from vulnerable individuals or groups were adequately considered and not expected to affect the data quality and the welfare, security, and well-being of these groups.	3	A2.2.10
4.6	If there was a reward or compensation structure for participants, or risk of participant burden, there is a discussion and explanation of the effects on results (and biases to results).	NA	A2.2.10
4.7	The report explains how stakeholders affected by the intervention were and/or will be provided with appropriate access to evaluation-related information in forms that respect confidentiality (beneficiary feedback).	-	A2.3.3
4.8	The report documents the approaches taken in relation to quality assurance, managing data integrity and responsible data practices including privacy, confidentiality and consent.	3	A2.3.5
4.9	All data collection instruments (and those of secondary data) are clearly shown to not have any ethical problems associated with them, or where there are questions, they are adequately addressed.	NA	A2.2.3; A2.2.10
4.1	If any digital tools are developed that influenced the delivery of activities or were used for data collection, the report explains how the implementation reflected the Principles for Digital Development (see DFID Digital Strategy 2018 to 2020: doing development in a digital world), and explains the application of ethical considerations in design and deployment.	NA	A2.3.7
4.11	The anticipated risks and challenges, and mitigation strategies, both contextual and methodological, are discussed as well as any unanticipated issues.	3	A2.2.9; A2.3.6
5. ANALYSIS, FINDINGS & CONCLUSIONS			
5.1	Information is presented, analysed, and interpreted systematically and logically, and against the evaluation questions and criteria	4, 5	B
5.2	The evaluation is transparent about the sources and quality of information, and references or sources are provided. Evidence is clearly and sufficiently triangulated.	4, 5	A2.2.3; A2.2.5; A7; A9

#	Criteria	Report section	Appendix section
5.3	Evidence can be traced through the analysis and into findings, conclusions, and recommendations. There is sufficient cross-referencing.	4, 5	A7
5.4	The analysis includes an appropriate reflection of the views of different stakeholders (reflecting diverse interests). They are disaggregated to show impact and outcomes on the different stakeholder groups.	4, 5	
5.5	Where appropriate the analysis and findings address the cross-cutting issues of gender, poverty, human rights, HIV/AIDS, environment, anti-corruption, capacity building, and power relations.	4, 5	
5.6	The relevance of the context (e.g. developmental, policy, institutional) is considered.	4, 5	B
5.7	Findings are useful and they are presented in ways that are accessible to different users.	4, 5	A7
5.8	Issues of attribution are considered.	4, 5	2.2.2
5.9	Unintended and unexpected findings are identified, and discussed	4, 5	
5.10	Conclusions provide reasoned judgement based on the evidence presented in the analysis and findings.	5	A7
6. RECOMMENDATIONS			
6.1	Recommendations are relevant to the evaluation and targeted at the intended users.	5	A7
6.2	They are prioritised and clearly presented, enabling individuals or departments to follow up on each specific recommendation.	5	A7
6.3	They are actionable and realistic for intended actors to take forward.	5	A7
7. LESSONS			
7.1	Lessons are presented separately with a clear logical distinction between findings, recommendations and lessons learned. OCED DAC defines Lessons as “Generalizations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact.”	5	
7.2	Lessons are valid (i.e. they have not been generalised from single point findings).	5	
7.3	Lessons reflect the interests of different stakeholders, including different sexes.	5	
7.4	Lessons contribute to general knowledge and they are useful.	5	
7.5	The mechanism by which lessons will be shared with key stakeholders (across DFID and beyond DFID) is clearly documented	5	A3
8. MANAGEMENT			
8.1	Stakeholders and end-users have been given opportunities to comment on the draft findings, recommendations and lessons. The evaluation report reflects those comments and acknowledges disagreements.	3	2.11
8.2	Differences of opinion (within the evaluation team, or amongst stakeholders consulted) are fully acknowledged in the report.	4, 5	
8.3	There is a use & influence plan within the report. It identifies how dissemination of evaluation results could lead to improved utility.	-	A3
8.4	The report indicates whether the evaluation team was able to work freely and without interference.	-	A2.3.4
8.5	Any conflicts of interest are openly discussed.	-	A2.3.4
8.6	Information sources and their contributions were independent of other parties with an interest in the evaluation.	-	A2.3.4
8.7	There is a commitment within the report to understand how the evaluation outputs have been used and monitor the impact of the evaluation findings.	5	A3

8 BASIC Programme evaluation Terms of Reference

This Appendix presents the original Terms of References for the evaluation and a summary of the agreed deviations from this document and the Inception Report.

8.1 Original Terms of Reference

A. Introduction

These Terms of Reference are for an evaluation of the Better Assistance in Crises (BASIC) programme managed by the DFID Social Protection Team (SPT) in the Inclusive Societies Department (ISD).³⁷ The programme of £20.5m started on 30 October 2018 and will end in March 2024. It aims to help poor and vulnerable people cope better with crises and meet their basic needs through more effective social assistance in contexts of recurrent shocks, protracted conflict and forced displacement. The evaluation will assess the performance of BASIC in:

- Influencing national governments' and development partners' policies, programmes, systems and evidence on the use of social protection approaches in crises
- Strengthening human and institutional capacities to use social protection approaches in crises
- Delivering quality programme services to governments, partners, and HMG/DFID teams

The evaluation will also generate learning for DFID, governments and partners that provide services such as technical assistance, research and capacity strengthening on what works to influence policy, programme, and systems-level change. The primary recipients of this evaluation are the DFID Social Protection Team and suppliers. Secondary and Tertiary users are specified in Section C. The evaluation should commence in late May/ early June 2020 and evaluate BASIC implementation until March 2024.

B. Purpose and objectives of the evaluation

Purpose of the evaluation

In line with the definition of a performance evaluation, the purpose of this evaluation is to independently assess the effectiveness of the BASIC Programme in achieving desired outputs and contributing towards the desired outcomes and impact. The evaluation will provide a deeper understanding of the quality of the implementation to enable adaptive programming and to inform future programmes design. It will:

- Provide near real-time evidence to improve BASIC programme processes, ways of working, knowledge exchange and learning, but it is not expected that outcome or impact data would be available early enough in the evaluation to inform significant adaptations to the programme approach during implementation.
- Provide evidence and learning to DFID / HMG, governments and partners on how technical assistance and research can contribute to a greater use of social protection approaches in crises.
- Inform the design of future centrally managed programmes (next phase of business planning, e.g., BASIC 2.0) and deepen global evidence and learning on programme modalities that work to effect changes in policy, programmes, and systems.

An independent performance evaluation is necessary in addition to the regular monitoring of process and outputs delivery by the programme as there are clear evidence gaps in how technical assistance and research (and the way they are combined) can influence behaviour and choices of policy makers and practitioners. Understanding the relevance, quality and value of technical assistance remains weak, and more in-depth study through this evaluation is needed to draw out the impacts of this type of assistance and the combined impacts of technical assistance with research.

Objectives of the evaluation

The primary objective of the evaluation is learning, with accountability being a second objective. The objectives of this evaluation are to:

- Assess whether, why and how BASIC programme is achieving its stated outputs and outcomes, and progress towards impact; if intended outputs and outcomes were realistic and appropriate, and if there were any unintended outputs and outcomes,
- Identify what is working (and not) and why in promoting a greater use of social protection approaches in crises and policy change and enhanced capacities through technical assistance, research, influencing and capacity strengthening; generate evidence and learning on the effectiveness of the programme (and how it can be improved),
- Provide evaluative evidence that can strengthen the approach to monitoring within and across programme workstreams, with a particular focus on strengthening the programme logframe, and providing practical support to strengthen monitoring of BASIC TAS and BASIC Research.
- Generate learning and evidence on what works from the combination of technical assistance, research, influencing and capacity strengthening in promoting policy, programme and systems-level change in crises, assessing the effectiveness of delivery modalities used in the programme and their combination,
- Learn from the above and make recommendations on what form a future service delivery programme should look like, in particular the next phase of business planning for BASIC 2.0.

C. Recipient, use and influence plan, and stakeholder engagement

The primary recipients of this evaluation are the DFID Social Protection Team and BASIC suppliers (TAS and Research). The secondary end users are DFID internal stakeholders such as:

- DFID Country Offices and teams implementing social protection and humanitarian assistance programmes in crises,
- Governments and partners implementing social protection and humanitarian assistance programmes in countries,
- Inclusive Societies Department (ISD) and other DFID departments / teams implementing centrally managed programmes delivering technical assistance and research. Learning from the evaluation will contribute to improved programming across ISD (including development of BASIC 2.0) and DFID.
- DFID Internal stakeholder groups: internal BASIC reference group, the shock- responsive services group and affiliated groups as listed below

The tertiary end users of the evaluation are external technical assistance and research programmes, governments, donors, agencies, think tanks, and consultancy firms involved in social protection and social assistance in crises. As part of the design phase, the most important external end users will need to be identified with an initial list below (see Tables 1 and 2). The findings of the evaluation will need to be disseminated to different groups to share the learning on what works and what does not to influence and shift policy and programmes for greater use of social protection approaches in crises. This applies to both the global and country level influencing carried out through BASIC. Given the variety of end users of the evaluation, all reports should be written in plain English for policy-making audiences who do not have a background in research and evaluation.

Table 1: Indicative evaluation use, influence and uptake plan

End user	Influence objective	Communication channel	Influence enabler
Primary			
DFID's Social Protection Team	Influence future policy and programming on use of social protection approaches in crises.	Co-design and approval of evaluation framework	Confidence in evaluation methodology and quality
	Influence approach to engaging/influencing country offices and international partners on social protection in crises policy, programmes, systems and capacity.	Regular communication on progress and findings of evaluation	Confidence in wider relationships of evaluation team with BASIC suppliers
		Succinct findings papers, briefings, presentations and other comms tools on key evaluation and policy questions	

End user	Influence objective	Communication channel	Influence enabler
TAS supplier	Demonstrate what works and why across different technical assistance modalities, their combinations and articulation with research	Consult during design of evaluation framework and methodology Robust analysis and presentation of findings	Confidence in evaluation method and quality
Research Supplier	Demonstrate what works and why in research and evidence uptake	Consult during design of evaluation framework and methodology Robust analysis and presentation of findings Close link of evaluation with BASIC research	Confidence in Relationship of evaluation team with supplier's research team
Secondary			
DFID Country Offices/teams, government and partners	Influence design and implementation of Humanitarian and SP policies, programmes and systems including TA to increase the use of social protection approaches in crises	Effective dissemination of findings on what works	Timely and appropriate communications
DFID TA Facility and research programmes (other than BASIC) / Teams and internal stakeholder groups	Demonstrate what works to make policy and programming shift Influence design and delivery of TA and research programmes	Effective dissemination of findings	Timely and appropriate communications
Tertiary			
External TA and research programmes	Demonstrate what works to make policy and programming shift Influence design and delivery of TA and research programmes	Effective dissemination of findings	Timely and appropriate communications

In addition to the evaluation recipients there are a wide range of evaluation stakeholders who will be engaged and consulted at various points of the evaluation process, both in data collection and dissemination of findings. See Table 2.

Table 2: Indicative evaluation stakeholders

Essential target groups	Relevance to evaluation
Internal	
DFID staff working on social protection and on humanitarian assistance in HQ and in country	Direct and indirect BASIC programme recipients (i.e., those involved in the BASIC programme directly and those that are reached through more indirect means – knowledge exchange and learning events)
Essential target groups	Relevance to evaluation

Essential target groups	Relevance to evaluation
Internal groups and communities of practice: <ul style="list-style-type: none"> Internal reference group for BASIC Shock responsive services group Protracted Crisis Community of Practice Group on Helpdesks and TA facilities Social protection community of practice 	Direct and indirect BASIC programme recipients (i.e. those involved in the BASIC programme directly and those that are reached through more indirect means – knowledge exchange and learning events)
External	
Government policy makers and implementers (national and local level) working on (shock- responsive) social protection policies and programmes, and on humanitarian assistance / DRM	Intended programme recipients, potentially direct through BASIC TA and/or research, recognising some will be more directly involved in programme activities.
Donors and partners in country (WB, UN agencies, NGOs and Civil society, Red Cross/ Red Crescent Movement)	Potentially direct programme recipients depending on the nature of BASIC TA support. Indirect recipients through synergies and coherence of BASIC TA, research and knowledge exchange and learning.
Other development partners globally (in SP and humanitarian linkages), including (not exhaustive): <ul style="list-style-type: none"> External reference group for BASIC ECHO TA Facilities and any other relevant TA facilities (if new emerge) CaLP CashCap World Bank UN agencies Red Cross/ Red Crescent Movement NGOs working in the nexus ODI, OPM, IDS, Climate Centre and other relevant Think Tanks and organisations Grand Bargain workstreams and groups (e.g., GB sub-group on linking humanitarian cash and social protection) Like-minded donors (e.g., from the common donor approach to cash) 	Level of awareness and support for linking humanitarian assistance and social protection.

D. Scope

The evaluation will focus on systems change resulting from the BASIC programme workstreams, influencing and activities. This might also need to consider proximate and intermediate indicators of social protection and humanitarian assistance systems, programmes, policies and approaches in crises that will be observable over the life of the BASIC programme. It will not seek to identify changes in the lives of recipients of social protection approaches in crises. The evaluation will look at each of the BASIC workstreams independently and then the synergies achieved (or not) across workstreams. The evaluation will generate its own evidence on the effects of programme workstreams but will also need to link to any reviews or evaluations planned by BASIC programme suppliers.

The BASIC research workstream might include evaluation of social protection / assistance programme impacts on people's needs, wellbeing and resilience. This might include a focus on the impact of research and / or technical assistance on policy and programmes and the ways in which research and / or technical assistance have influenced change. Whilst the two teams will need to establish a good working relationship, the scope should remain separate, with this evaluation focusing on research as one of the BASIC ways of working. The DFID SPT will be evaluating its Gender Responsive Social Protection (GRSP) programme at the same time as the BASIC evaluation. Whilst these programmes are separate, they have similarities in delivery mechanisms, particularly the provision of technical assistance to improve social protection policy and programming. The evaluations will be conducted separately but should establish a good working relationship to support broader learning on technical assistance.

E. Methodology

The Theory of Change for BASIC (in Annex 1) forms the basis for this evaluation which will be a theory-based evaluation. Evaluation findings will in turn inform and help refine the theory of change and logframe. Mixed

methods will be used, generating primary data and drawing on secondary monitoring and evaluation data, to test pathways of change and respond to the evaluation questions.

The supplier will develop approaches and methodologies to explore the effectiveness of TAS (including capacity strengthening and knowledge management and learning), of Research and of the synergies between them. These could be one of the following theory-based methods or a combination. It is expected that the methods will be different for TAS and research and potential across actors:

- Process mapping or tracing,
- Contribution analysis, or
- Outcome mapping.

The supplier will develop an appropriate evaluation approach, design and methodology to answer the evaluation questions in ways that will provide credible, timely, insightful and substantive evidence to meet the needs of the main audiences. Indicative evaluation questions are listed below, suppliers will refine these questions and the supplier will agree a final set of evaluation questions with DFID, in consultation with BASIC suppliers. We expect the supplier to explain why their approach, design and methodology is suitable and appropriate to the context and the objectives of the programme, how it will test the theory of change, and robustly measure achievement of programme results. We do not expect that the evaluation will require the collection of primary data from beneficiaries of social protection or social assistance programmes in crises. However, suppliers may want to make the case and set out the rationale for such data collection. This would need to be agreed with DFID.

The evaluation methodology will be finalised during the inception phase and approved by DFID before moving into implementation. However, bidders are expected to provide enough detail both on how they will address the scope set out for the inception phase and their proposed approach to evaluation implementation. The supplier should include an evaluation matrix which shows how each of the evaluation questions will be addressed, including key data sources and methods. Suppliers should consider whether to use comparison or control groups.

The evaluation will look across the breadth of programme interventions and then complement this with deep dives or case studies into specific interventions and activities to better understand change processes. This should be done at the national level – e.g., national policies and stakeholders – and the global level – e.g. influence on social protection and humanitarian assistance networks and global policies. The evaluation will need to distinguish between spheres of programme influence from those directly involved in BASIC activities to those indirectly or more distantly affected. It is too early to determine which countries are suitable for deep dives or case studies given BASIC TAS has started less than a year ago and BASIC research hasn't started yet. Some countries that may be covered by BASIC (TAS and/or research) are listed in Annex 1. Four deep engagement countries will be selected once the BASIC research supplier is in place: such countries will receive a combined package of BASIC TAS and BASIC research.

We expect the evaluation to conduct analysis in at least some of the four BASIC deep engagement countries as well as a representative sample of the countries where BASIC is providing either TAS or research alone. We are also interested in evidence of BASIC influencing non-BASIC countries. We expect the evaluation team to have capacity to follow up on anecdotal examples of impact (or explore potential impact) in two non-BASIC countries. This will be a much lighter-touch process than the analysis to take place in BASIC countries. The supplier should develop an approach to country selection for baseline studies, and criteria for country deep dives, and during the inception phase, DFID and BASIC suppliers will work with the evaluation supplier to refine country selection. The final list of countries will be signed off by DFID and the evaluation supplier will be expected to confirm acceptance for Duty of care.

If circumstances change significantly in any of the countries selected for deep dives / case studies during the evaluation implementation, DFID and the Supplier will review the situation, and decide whether the evaluation should be conducted in alternative country/ies. DFID retains the right to approve/reject alternative countries. Changes of costs due to change of country/ies cannot exceed the total value of the Evaluation programme. Changes in countries and associated costs and budgets will require DFID's approval. Suppliers will recognise – from programme documentation and DFID policy statements – the importance attached to gender, disability

and social inclusion. This must be reflected throughout the conduct of the evaluation and addressed sufficiently in the evaluation methodology, findings and lessons.

F. Data collection and analysis.

The supplier will receive access to all available project monitoring data and evaluation data that is collected by BASIC suppliers. They will also be responsible during inception phase for working with the BASIC suppliers to ensure robust monitoring – indicators and methodologies – are put in place (or refined) that are both functional to monitoring progress and evaluating the programme. Following the revision of supplier monitoring frameworks we expect the evaluation supplier to draw heavily on the robust and thorough approach to project level monitoring conducted by supplier. A minimal list of methods for information gathering follows but we expect additional and/or innovative methods to be explored in the inception phase:

- review of documents (e.g. internal BASIC TAS and research monitoring documents, outputs; policy and programme documents from partners and governments at national and global levels)
- in-house surveys to DFID staff in Whitehall and country offices, and other key partners who have benefitted from BASIC services or requested services (both TAS and research);
- interviews and surveys with actors who have benefitted directly or indirectly from BASIC TAS and BASIC research;
- in-depth discussions with the suppliers, SPT and a variety of stakeholders, including staff working on other TA facilities, to develop an informed comparative view of these frameworks in relation to BASIC.

We will require the supplier to engage with and collect primary data from a broad range of stakeholders, representing different interests, experience and backgrounds. The supplier will develop a robust approach to sampling within their methodology. Suppliers are expected to propose their approach to primary data collection and ensure there is sufficient budget, fieldwork and time allocated. Where in-country work is required we expect the evaluation to work with local evaluators in the most efficient and cost-effective way. The supplier will develop a clear approach to in-country work, including how they will obtain national ethical approval and will manage logistics including policies and practices on duty of care and safeguarding.

G. Draft evaluation questions

The evaluation will be split in two phases with the inception phase refining the evaluation questions to be addressed in the implementation phase. The scope of the evaluation is split in questions:

- on the performance of BASIC for accountability reasons, and
- on learning for future programming.

Questions are structured following Development Assistance Committee (DAC) Evaluation criteria. The questions below are extensive, although not exhaustive and it is recognised that there is overlap between questions. The supplier may propose modifications to reduce or merge questions with a clear justification. Where appropriate, questions should include the dimensions of gender, disability and social inclusion and how BASIC support impacts on these dimensions. The supplier will refine and finalise the evaluation questions in Annex 2 during the inception phase, and they will be formally signed-off by DFID before starting the inception phase.

H. Data sources

The full list of data sources will need to be completed during the inception phase but currently consists of the following:

- BASIC Business case
- BASIC TAS logframe
- BASIC Annual Reviews (first completed in October 2019)
- BASIC TAS call-down reports and deliverables
- BASIC TAS Knowledge Management strategy and outputs (starting in December 2019)
- Feedback forms on TAS from commissioning teams
- BASIC TAS KPIs and monitoring
- BASIC Research ToRs, reports and deliverables
- BASIC research KPIs and monitoring data

- Reports and deliverables from other related programmes
- Social assistance in crises programme monitoring and evaluation datasets (depending on country selection)
- Partners and governments policy and programme documents (at global and country levels)
- Primary data to be collected from key stakeholders benefiting directly or indirectly from BASIC TAS and BASIC research (DFID / HMG, partners, governments, donors etc...) – See Table 2. We do not anticipate that the evaluation will involve collection data from social assistance programme beneficiaries. However, if the supplier feels primary data collection from programme beneficiaries is necessary then they should set out a strong rationale and this will need to be agreed with DFID.

Examples of external data sources to be read during the inception phase are:

- European Commission (2019). Social Protection Across the Humanitarian-Development Nexus: A Game Changer in Supporting People through Crises. Summary reference document. Guidance Package on Social protection across the humanitarian-development Nexus (SPaN). https://socialprotection.org/system/files/Guidance%20Package%20SPaN_Summary%20Reference%20Document.pdf
- Guidance notes: Working with cash-based safety nets in humanitarian contexts: <http://www.cashlearning.org/downloads/calp-humanitarian-practitioners-guidance-notes-en-web-.pdf>
- UNHCR paper on alignment in refugee settings: <https://reliefweb.int/sites/reliefweb.int/files/resources/5cc011417.pdf>
- OPM Shock-responsive social protection study
 - Toolkit: <https://www.opml.co.uk/files/Publications/a0408-shock-responsive-social-protection-systems/srsp-toolkit.pdf?noredirect=1>
 - Policy Briefs: <https://www.opml.co.uk/publications/shock-responsive-social-protection-systems-policy-brief-series>

I. Evaluation outputs

All outputs are expected to be high quality and accessible. Reports should include a well-designed and succinct Executive Summaries of 2-3 pages and innovative approaches to communicate findings (infographics, blogs...) should be proposed. In line with DFID's evaluation policy, all evaluation reports will be published together with a management response setting out how DFID will respond to the recommendations.

The outputs listed below for the implementation phase are indicative. We expect the supplier to provide a list of outputs for the implementation in their proposal building on the ones suggested below, including a workplan covering both the inception and implementation phases. This list will constitute the minimum outputs expected for the implementation phase: with suppliers improving or adding to these outputs but not reducing their number or scope. A more detailed view of the outputs for the implementation phase will be agreed with and signed-off by DFID during the inception period.

As the programme evolves, expected outputs for the Implementation Phase can be reviewed at Annual Reviews and at the BASIC programme midline. DFID retains the rights to review and approve any changes to expected outputs for the Implementation Phase. The midline and endline will be reviewed by DFID's Evaluation Quality Assurance and Learning Service (EQUALS). All outputs will be reviewed and subject to approval by the DFID SPT, with selected outputs being reviewed by BASIC reference groups and BASIC suppliers (see governance arrangements). The Supplier will grant DFID an irrevocable right to publish and re-use the outputs from the evaluation.

Inception Phase (6 months):

- *Revised logframe and report with recommendations:* on a detailed monitoring framework for the programme and for each partner, working with each partner to strengthen their existing monitoring framework including indicators, methodologies and systems required for tracking progress
- *Methodology developed for the impact indicators in the logframe*
- *Detailed evaluation methodology for the programme:* including assessing the evaluability of the BASIC programme and finalising the evaluation questions
- *Final evaluation work plan, budget and milestone payment schedule:* for the implementation phase, identifying proxies for harder to measure indicators and questions – spanning the entire programme, looking both at the individual workstreams and how well they work together

- *Communications/Use and Influence Plan:* The evaluator should include a communications/use and influence plan in their inception report. This should focus on identifying key audiences and their current levels of interest as well as plans for engagement and how learning and good practices on the effectiveness of TA, its combination with research and its measurement can be best communicated. This should include how to bring BASIC suppliers together to share learning, and how to engage other DFID teams (SP and non-SP).
- *Inception Report and Stakeholder Mapping:* An inception report should itemise all the elements of the evaluation as specified in the Terms of Reference. It should detail the methodology that will be used for the evaluation. To inform details of the evaluation design, some stakeholder mapping will be necessary.

Implementation Phase (up to 41 months)

- *Baseline Report:* setting out the initial available data across outcome and output indicators and the baseline situation for the specific evaluation case studies that will be conducted (e.g. country case studies, TA study, ways of working assessments or others as detailed in the supplier's methodology).
- *Midline Report:* providing a review of progress to date and making recommendations for programme adaptations and wider lessons for DFID and BASIC suppliers. We would expect a substantial, thorough midline report to be completed near the middle of the programme.
- *End line Report:* the final report will be delivered at the end of the BASIC programme with the focus on capturing the longer-term outcomes of efforts to strengthen the use of social protection approaches in crises and providing recommendations on how DFID, governments, partners and the wider social protection and humanitarian sectors can take this agenda forward. We would like the final report to be delivered after the end of the BASIC programme, with the focus on capturing the longer-term outcomes, while reviewing other findings with the benefit of further perspectives and evidence which may be captured.
- *A learning series including short, action-orientated briefing papers, and events* (webinars, roundtables, seminars, training modules, a set of presentations to DFID) on a range of themes including: measurement and evaluation of the effectiveness of TA and its combination with research, lessons in what works to promote an increased use of social protection approaches in crises, influencing governments and national partners etc. (from mid to end of programme). The inception report should propose the themes and timeline for the learning series, with some room for adaptation over the course of implementation. This element of the evaluation will provide more timely assessment of programme performance, including any recommendations for changes in ways of working. Suppliers should outline their initial proposal on the learning series – numbers and times.

Reporting

- *Brief monthly (inception) and Quarterly (implementation) progress reports.* The Supplier will be expected to provide quarterly progress reports to which specific outputs will be tied. Reports will take the form of a presentation to the DFID SPT.
- *Annual reports:* DFID conducts Annual Reviews of all programmes to assess progress against the logframe, ensure that the programme is on track, and consider if any adjustments should be made. The Supplier will be expected to produce Annual Reports using DFID's standard format to feed into BASIC Annual reviews (due 30 October each year). Annual progress reports will provide detail on progress against agreed evaluation activities, outputs, indicators and milestones, and highlight learning to date and recommendations for adaptation, including (as appropriate) suggested changes to the theory of change based on emerging evidence (deadline end September each year).
- *A final progress report to feed into DFID's BASIC Programme Completion Report (PCR):* The Supplier will be expected to produce a final report using DFID's PCR format.
- *Financial reporting:* The evaluation team will be expected to report on VFM measures, and this will be assessed during DFID Annual Reviews and quarterly reviews. The Supplier will also be required to provide regular, highly accurate financial forecasts and reports (preliminary budgets prior to DFID's financial year, monthly reports for financial forecasting; quarterly financial reports, annual audited financial statements). DFID will closely monitor forecasts and spending against budgets, including through a review of spending in quarter three each year. Annual Reviews of the programme will include financial scrutiny.

J. Timeline

This evaluation should commence in financial year 2020/2021, in May / early June 2020, and evaluate BASIC implementation throughout the life of BASIC until the end of March 2024. The inception phase will last six months

from contract signature. The implementation phase will start immediately following the approval of the inception phase report and will last for up to 41 months concluding at the end of the project in March 2024. There is potential to extend this contract for up to 2 years, subject to programme need, available budget, supplier performance and appropriate approval.

K. Budget and payments

The contract value (excluding VAT) will be up to £700,000 including all costs (incl. in-country): management costs, professional fees, travel, duty of care, local taxes and other expenses. There is potential to extend this contract by up to £350,000 (excluding VAT), subject to programme need, available budget, supplier performance and appropriate approvals. Annex 1 outlines current countries of BASIC activities, however the final geographical footprint of the programme is not known. Bidders should propose an approach for country selection and include costs related to in-country evaluation activities. At a minimum this should include 4 country visits, but bidders should propose a flexible approach to this element of the evaluation. Expenses incurred by the supplier will be paid as actual costs incurred.

The contract will be performance-based for both inception and implementation phases, and all outputs will be approved by the DFID SPT. Suppliers should propose a payment schedule, identifying at which milestone each output (from the list in paragraph 46) will be paid. For the implementation phase DFID reserves the right to withhold up to 15% of output payments if Key Performance Indicators (KPIs) are not met. The supplier will propose an output-based price for each of the Inception Phase deliverables (see paragraph 46) in line with the KPIs at table 3 below. The output-based price should cover fees only (with expenses for both the inception and implementation phases reimbursed as actual costs incurred). For inception, if the criteria are not met, payment for outputs not delivered will be withheld until satisfactory delivery of outputs.

The table below presents the KPIs proposed by DFID that will be further refined with the Supplier during the inception phase and approved by DFID. These will be reviewed as part of the supplier's annual performance review and linked to milestone payments. Final milestones will be updated and agreed during the inception phase in line with the workplan and report submissions.

Table 3: Key performance indicators

KPI 1 Management, Delivery and Financial	<p>Milestones/deliverables provided on time to the satisfaction of the client (delivered within 5 days of planned date, approved by SPT after a maximum of two rounds of comments)</p> <p>Accurate and timely submission of expenditure forecast and invoices (within 2 days of planned date and within 5% variance of that quarter)</p> <p>Up to date delivery chain map and risk register (updated within the last quarter, verified at annual review and/or by DFID SPT spot check)</p>
KPI 2 Customer and Partner relationship	<p>Active engagement with DFID (monthly/quarterly meetings as agreed)</p> <p>Active engagement with BASIC suppliers (monthly/quarterly meetings as agreed and annual presentation to the KML leads)</p> <p>Active engagement with key stakeholders identified in the evaluation communication and uptake plan (specific indicator to be determined at the end of the inception phase once a final communication and uptake plan is approved)</p>

L. Roles and Responsibilities

The evaluation team will report to DFID's SPT. The primary point of contact for the evaluation team is the Senior Responsible Officer of BASIC. The SPT programme manager will be the contact for programme and contract management issues. Governance arrangements will be developed by DFID during the inception phase, but DFID SPT will be ultimately responsible for milestone and outputs approvals and enabling participation of country offices. The BASIC internal and external reference groups will be involved as per the to be determined governance arrangements.

The Supplier will provide regular updates to DFID on the progress of the evaluation; brief monthly updates are likely to be appropriate during intensive periods with quarterly or six-monthly updates at other times. These updates should be in the form of a meeting, with minutes provided by the supplier. Suppliers should expect to deliver three formal presentations at DFID, one for each phase of the evaluation (baseline, midline, endline; noting this is in addition to tele-conferences, as necessary, and other plans for communications). These meetings will be hosted in London but may involve teleconferencing or video conferencing with DFID country offices. The supplier may use video conferencing for some participation but should budget for core members to attend a minimum of one meeting per phase.

M. Input, qualification and expertise of supplier

This work will be carried out by a team of experts, who have solid expertise in conducting evaluations of this nature, and strong sector skills (in particular humanitarian cash and social protection). The team of experts will include the following skills and expertise. Evaluation methodology and themes:

- A team and team leader with strong track records in delivering robust evaluations in the field of social protection and humanitarian assistance
- The team should have expertise of successfully designing and undertaking monitoring and evaluation in developing and fragile and conflict affected countries, including regional and multi-country programmes, and evaluations across multiple partners
- The team should contain members with expertise in evaluating:
 - Social protection programmes and systems that can or seek to respond to shock and / or build people's resilience to shocks
 - Humanitarian assistance and linkages with development / social protection
 - Technical assistance services;
 - Research;
 - Capacity building;
 - Policy and practice influencing;
 - Knowledge management and learning.
- The team should contain members with expertise in conducting evaluations using different approaches and methods, including:
 - Theory based evaluation
 - Synthesis and interpretation of quantitative data sets
 - Qualitative and quantitative primary data collection and analysis
 - Disaggregated data collection and analysis to generate insights into what is effective, why and how in different contexts for different groups
- The team should contain expertise in delivering flexible and responsive evaluations and demonstrate ability to critically reflect upon and respond to emerging findings and the changes to the external environment.

Leadership and partnerships:

- Knowledge and expertise of working with DFID, developing country governments, development and humanitarian partners, other donors and civil society
- The team and any consortia should reflect substantive and meaningful partnerships with consultancies and/or research institutes and evaluators based in the global south to ensure they are strategically engaged within this scope of work.
- The proposals must clearly outline the roles and responsibilities, including governance and reporting structures between partners.
- Demonstrated ability to provide intellectual leadership, strategic advice and challenge to successfully drive forward complex programmes of work, with expertise in working with a range of partners to use critical reflection and evidence to improve programme delivery.

Communications:

- Constructively engaging and working with a wide range of stakeholders with different interests and levels of expertise
- Expertise in developing and delivering timely communication, dissemination and promotion of learning with a wide range of stakeholders (donors, developing country government, UN, civil society) through appropriate channels and tailored products (workshops, web-based activities, accessible and engaging reports, practical guidance etc.), and achieving meaningful uptake and use of evidence;

- Demonstrated ability to analyse a wide range of varied and complex evaluation data and information from a variety of sources and distil this into strategic programming and policy advice for management teams
- Demonstrated understanding of how organizations learn and drive change processes and use of evaluation strategies for assessing organizational change;
- Demonstrate plain English writing skills.

It is expected the supplier will have the skills required to produce work that will meet the standards of the Government Statistical Service (GSS) <https://gss.civilservice.gov.uk/>, the Government Social Research Service (GSR) <http://www.civilservice.gov.uk/networks/gsr> as well as DAC <http://www.oecd.org/development/evaluation/qualitystandards.pdf> and DFID's standards https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/204119/DFID-Evaluation-Policy-2013.pdf.

N. Constraints and dependencies

We expect that there will be a number of risks and challenges in delivering this work. We have listed a few of the more significant challenges below. Therefore, suppliers should set out how they will identify, mitigate against, manage, and report additional constraints, dependencies or risks during the implementation of the evaluation. A full risk assessment should be conducted by the supplier during inception phase. Ongoing risk management will be needed during the evaluation, with any high or severe risks flagged to DFID immediately.

- Discontinuity in the programme services delivery: BASIC TAS is currently being delivered by EACDS Lot B but will be re-tendered after the first year of implementation. BASIC Research procurement is under way but not completed yet. Bidders will have to deal with the resulting challenge of developing a baseline and comparable mid-line and end-line.
- Discontinuity in the evaluation team, given the duration of the evaluation.
- Risk of changing policy environments and staff resources in DFID with potentially scaled-back ambitions and / or different priorities.
- Difficulties in accessing policy-makers, programme staff and other relevant stakeholders to collect data necessary to assess outcomes and impacts.
- High Duty of Care risk in accessing certain countries where BASIC delivers services. See section on Duty of Care.
- The evaluation will accompany programme implementation to generate baseline, mid-line and end-line data on programme contributions to outcomes and also to identify lessons. Ideally, the programme would learn, adapt and course correct during implementation. However, the feasibility of this will depend on the implementation cycles for each programme workstream, and the time lag for activities to be implemented and to start to lead to desired changes. The supplier will need to propose an approach that recognises this gap in implementation of BASIC activities and intended outcomes and impacts and design an evaluation framework that can generate lessons within this context.
- Identifying case studies or countries in which to conduct deep dives will depend on (a) having a critical mass of BASIC TAS projects and research and (b) the timely implementation of these, such that case study countries or projects can be identified and followed. As such, the evaluation may need to consider a phased approach to conducting baselines.
- The evaluation will be reliant to some extent on the quality of supplier's monitoring data (TAS and research suppliers). Indicators on quality of TA are largely based on self-reporting or client reporting, and can be subjective and/or qualitative indicators. The supplier will need to work with suppliers to ensure these are the right indicators and are measured as robustly as possible and to identify ways to triangulate measures and/or conduct deep dive assessments into a smaller number of cases to trace results independently.
- The evaluation supplier will need to work collaboratively across BASIC programme suppliers, strengthening and influencing their approach to M&E and also work in close collaboration with any independent evaluations or reviews planned by suppliers (especially within the research workstream). The bid should outline how the evaluation will engage and coordinate with BASIC suppliers, including supporting their capacity and approach to M&E.
- The programme aims and outcomes – contributing to humanitarian and / or social protection systems change in country and creating a step change in practice across the sector – are high ambition. However, it is important to recognise the scale and scope of TA interventions. These will often be small scale TA projects that look at a specific part of the social protection system or a specific constraint to

the use of social protection approaches in crises. Therefore, when assessing impacts the evaluation needs to be realistic and proportionate, being mindful of what the individual TA projects are trying to achieve and their effectiveness in doing that, as well as how and when these smaller scale changes add up to higher order systems change.

- DFID SPT will procure a new TA Facility in 2020 to provide knowledge and technical advisory services to DFID teams (and through them governments and other country stakeholders) for the full life of the programme. Delays in procuring and starting the new TA facility may slow down the number and scope of TA projects for DFID, affecting what the evaluation can look at.

O. Conflict of Interest

There is a Conflict of Interest between this contract and any contract related to the delivery of other BASIC services (BASIC technical assistance services and BASIC research). Any supplier, expert and sub-contractor involved in the delivery of BASIC services (in the past, currently or in the future) is excluded from bidding for this contract. The selected supplier for BASIC evaluation will be excluded from any tendering and contracting for future BASIC services (technical assistance and research). The supplier should immediately declare any arising issues around Conflict of Interest as they proceed through the work and ensure that appropriate mechanisms are put in place to manage this conflict. Bidding organisations should use the Register of Interests to indicate any potential conflict of interest with this request, including related current work, planned related future work, or related work completed recently.

P. Confidentiality

All evaluation personnel are under an obligation not to disclose to any third parties any confidential and commercial information obtained either directly from DFID or by virtue of their engagement in relation to this contract. Confidential information may be in any form and shall include all information that, due to its character, nature or method of transmittal, a reasonable person would treat as confidential.

Q. Ethics

Suppliers will have an ethics policy/code (consistent with but expanding upon DFID's Ethics principles for evaluation and research) and apply ethical clearance protocols, where appropriate. This will explicit how suppliers and sub-contractors will obtain national and organisation ethical approval. Suppliers should set out how they propose to ensure the confidential treatment of project documentation and data collected throughout the evaluation.

R. Branding

The evaluation outputs will use UK Aid Branding and BASIC reporting template.

S. Safeguarding

DFID's aim across all its programming is to avoid doing harm by ensuring that their interventions do not sustain unequal power relations, reinforce social exclusion and predatory institutions, exacerbate conflict, contribute to human rights risks, and/or create or exacerbate resource scarcity, climate change and/or environmental damage, and/or increasing communities' vulnerabilities to shocks and trends. DFID seek to ensure their interventions do not displace/undermine local capacity or impose long- term financial burdens on partner governments, therefore, require partners to lead and robustly consider environmental and social safeguards through its own processes and to live up to the high standards in safeguarding and protection which DFID requires.

The Supplier will produce a robust risk analysis ahead of implementation, including setting out mitigating safeguarding measures. A clear reporting and whistle blowing procedure to ensure reporting of any cases of misconduct to DFID should be put in place.

T. Duty of Care

Overall, we have assessed DoC as high risk because of the contexts in which the programme and

evaluation case studies might be conducted and the proximity to unpredictable and risky events such as floods or disease outbreaks. See Annex 3 for an example of risk rating.

U. Background to BASIC Programme

Extreme poverty and fragility are closely interlinked: 59% of extremely poor people live in countries affected by fragility, environmental vulnerability or both, and where humanitarian needs are greatest. But the humanitarian system is ill-suited to respond: while crises are most often protracted or recurrent (86% of aid goes to protracted crises lasting three years or more), financing and delivery models are mainly short-term and reactive. Social protection approaches can help address these weaknesses; and help deliver the UK Humanitarian Reform Policy and World Humanitarian Summit commitments, including to more than double the use of cash in crises by 2025. But social protection approaches are underutilised in crises due to limited evidence, knowledge and capacity to guide programme design and delivery, and political economy challenges to reform.

Social protection here is defined as a broad range of public, and sometimes private, instruments to tackle the challenges of poverty, vulnerability and social exclusion. Social protection programmes and systems exhibit a wide range of objectives from directly reducing income poverty and other deprivations (such as lack of access to health, education, hygiene, nutrition, protection, shelter, etc.) to promoting human development, access to jobs and basic social services, addressing economic and social vulnerabilities and contributing to pro-poor economic growth. Social benefits under different social protection schemes can be transferred in cash or in-kind and can be contributory or non-contributory depending on where they are financed through a social insurance system by beneficiaries or directly by governments.

An IDS Working Paper from 2018 on the scope for integration between social protection and humanitarian response concluded: 'Whether or not more integration will provide more efficient and effective responses to crises depends on the type of shocks and the crisis context, as well as the capacity and coverage of the social protection programme to deliver to additional case loads. Based on a review of the existing evidence, the paper concludes that important gaps need to be filled with regard to the technicalities of linking short- and longer-term interventions in humanitarian contexts, particularly in relation to mobile populations and refugees, and understanding better the political economy factors that facilitate bridging the humanitarian-development divide.'¹ Some donors and agencies have since then issued guidance^{2 3} on how to align humanitarian cash to national social safety nets and how to programme social protection across the humanitarian-development nexus. However, the gaps in evidence and in how to link the technical functions remain. The incentives and disincentives for actors to change policy and align and/or integrate are still not well understood. And not enough testing has been done of different methods of applying social protection approaches in crises to allow cross-country learning and scale-up.

Better Assistance in Crises (BASIC) has therefore been set-up to help fill these gaps in evidence and practice. It is a Centrally Managed Programme (CMP) funded by the DFID Social Protection Team (SPT) that aims to help poor and vulnerable people cope better with crises and meet their basic needs through more effective social assistance in contexts of recurrent shocks, protracted conflict and forced displacement.

With a budget of £20.5m for five years, BASIC aims to tackle bottlenecks at global and country level that prevent greater use of social protection approaches in crises, through three inter-related workstreams:

- *Technical Assistance Services (TAS) (£9.625m)*: for country support, capacity building, learning, coordination and high-level policy influencing across multiple countries and at global level, and
- *Research (£10m)* that strengthens both global and country-specific evidence on using social protection approaches to respond to crises, in different contexts.
- *Monitoring and Evaluation (£0.875m)* to measure the impact of the programme activities through an independent evaluation.

Further information on the programme, including the Theory of Change are detailed in Annex 1. A logframe has been developed for the first year of the BASIC TAS workstream, see Annex 1.

V. General Data Protection Regulations (GDPR)

Please refer to the details of the GDPR relationship status and personal data (where applicable) for this project as detailed in Annex 4 and the standard clause 33 in section 2 of the contract.

W. Annexes

Annex 1: Summary of BASIC Programme

Annex 2: Draft evaluation questions

Annex 3: Duty of Care risk rating

Annex 4: GDPR

Annex 5: Additional documents – attached separately:

- BASIC Research ToRs
- BASIC info sheet external – September 2019
- Grand Bargain workshop report – Linking humanitarian cash and social protection 2019
- Nigeria reports

Annex 1: Summary of BASIC Programme

The BASIC Business Case can be found on devtracker <https://devtracker.dfid.gov.uk/projects/GB-GOV-1-300467>. The current log frame can be found here: http://iati.dfid.gov.uk/iati_documents/50245633.xlsx

BASIC Theory of Change: The overall BASIC programme intended impact is: “Vulnerable people are better able to cope with crises and meet their basic needs through:

- More efficient social assistance in crises (earlier, more timely, less fragmented, lower cost);
- Social assistance in crises more effective in addressing household needs;
- Diversified, comprehensive and more sustainable funding for social protection approaches in crises (domestic, development, private).”

The BASIC programme's expected outcomes in the Theory of Change are:

- Improved human and institutional capability and capacity;
- New or strengthened country plans, policies, programmes and systems designed and implemented;
- Increased political commitment to and use of social protection approaches in crises;
- Greater coherence, coordination and synergies between actors and initiatives across the nexus between humanitarian aid and social protection;
- Evidence used by governments, donors and agencies to inform policies and practice.

BASIC TAS: BASIC Technical Assistance Services (TAS) aim to deliver high quality support to UK Government, governments and partners across a wide range of development and humanitarian challenges such as programme design, risk and contingency financing, understanding changing systems and strategic integration of humanitarian action and development. BASIC TAS respond to:

- DFID Country Office (CO) requests for expertise and support to using social protection approaches in crisis. While DFID will always be the commissioning party for contractual purposes, BASIC responds to demand from governments and partners in country.
- Centrally commissioned ToRs on cross-cutting issues. While DFID SPT will be the commissioning party in such case, BASIC can respond to demand from international actors provided themes are in line with BASIC and DFID priorities.
- In the future BASIC will consider responding directly to demand from partners and governments at country and global levels.

Funds of £9.625 million have been approved for five years for BASIC TAS from financial year 2018/19 to 2023/24. BASIC TAS are currently delivered through an existing DFID framework agreement: the Expert Advisory Call Down Service (EACDS) Lot B, through a consortium of 60 partners managed by DAI Europe Ltd. Support is currently provided through individual EACDS call down contracts for each piece of TAS. Delivery of TAS started in March 2019.

The BASIC TAS provide services in the following areas:

- High quality technical assistance to the design and delivery of country plans, policies, programmes and systems

- Capacity building provided for the design and delivery of country plans, policies, programmes and systems
- Creating greater awareness, knowledge, learning and political commitment across countries and agencies on using social protection approaches in crises

EACDS Lot B provides services to TA contracts for BASIC. These services include a team that provides operational support to the delivery and quality assurance of call down contracts, and contracts suppliers for the delivery of the TA. Given that the EACDS framework will close before the end of the BASIC Programme, a new delivery mechanism for BASIC TAS will be selected in the course of the programme. BASIC TAS also uses the Humanitarian and Stabilisation Operations Team database (HSOT, managed by Palladium) as a delivery route.

While BASIC TAS is demand based, we are developing an approach to develop a coherent TAS portfolio by prioritising demand and supporting the development of long- term plans that deliver on the programme's expected results. BASIC's focus on recurring shocks, protracted conflicts and forced displacement, and its demand-led nature, resulted in the following first batch of countries for technical assistance since March 2019: Yemen, Nigeria, Mozambique and Lebanon (twice).

Medium-term TA plans are currently being developed for Lebanon, Yemen and Nigeria, and short-term TA for Afghanistan, and the DRC. A centrally commissioned study on the role of Management Information Systems (MIS) in crises started in 2019 with Yemen and South Sudan as case studies. Countries with high potential for transformational impact are prioritised. Transformational potential is currently defined as:

- a country office developing a new multi-year Business Case,
- an opening or government shift in policy towards greater use of social protection or
- significant influencing opportunities with other donors and global actors.

Yemen and Nigeria are likely to be the first countries prioritised for the provision of longer-term TA. Prioritisation might change over the course of the programme to adapt to evolutions in needs, contexts and opportunities.

Based on the transformational potential as well as country office interest and capacity, BASIC will also select up to four 'deep engagement' countries and provide them with sustained advisory, research, learning, and policy influencing over longer time periods as required. The four deep engagement countries will be selected and signed off by DFID, during the BASIC Research Inception Phase. An initial mapping exercise has identified the following potential countries for BASIC Research and to potentially become deep engagement countries: Somalia, Yemen, South Sudan, Iraq, Nigeria, DRC, Jordan, Lebanon, Mali, Niger.

So far, BASIC has de-prioritised country contexts where the MAINTAINS (Maintaining Essential Services After Natural Disasters) programme operates. These are: Pakistan, Bangladesh, Sierra Leone, Ethiopia, Uganda and Kenya. MAINTAINS is a DFID research programme that will develop an improved evidence base on how education, health, social protection, nutrition, and water and sanitation services can adapt and expand in response to shocks such as floods, droughts, cyclones and disease outbreaks. However, BASIC and MAINTAINS teams have agreed to continuously coordinate: if BASIC services are needed, those will be designed and delivered complementarily to MAINTAINS.

BASIC Research: The BASIC research workstream is currently being procured (contract award expected in March 2020) for a total of up to £10m for four years (from contract signature around March 2020 until March 2024).

The overall objective of BASIC Research is to deliver and maximise uptake of new policy and operationally-relevant evidence on: how and when to use social protection approaches in different crises contexts, to deliver more effective and efficient social assistance so that vulnerable people, in particular women, children and people with disabilities, cope better with crises and meet their basic needs. The research is aimed at influencing policy and informing operational design. Research uptake will mean more evidence based – and therefore more effective – policy positions and development initiatives by DFID, governments, other donors, and agencies in a range of DFID priority and other countries. BASIC Research will procure the services of research experts to manage and deliver three research workstreams:

- Workstream 1 will focus on global questions; it shall use country-level evidence generated through workstream 2 where relevant and could include learning and evidence generated through practice supported by BASIC TAS and other DFID and non-DFID funded programmes. We expect an ambitious and rigorous approach to research, requiring collection and analysis of new data and rigorous use of secondary data.
- Workstream 2 will focus on country level research responding to policy and operational needs in up to four BASIC deep engagement countries. Research methods will include quantitative, qualitative and mixed methods, including experimental or quasi-experimental research methods where feasible.
- Workstream 3 will focus on research uptake, through the development and implementation of a research uptake strategy, which will include dissemination of robust research outputs, and learning events through which to share and discuss emerging lessons and research findings. The uptake strategy will be part of the Evidence, Learning and Policy Strategy for BASIC Programme.

Coordination with other programmes

BASIC will complement and coordinate with other existing and planned DFID centrally managed social protection programmes and other research investments especially on protracted conflict contexts. DFID's Humanitarian Innovation and Evidence Programme (HIEP) supported shock responsive social protection research has played a catalytic role, but it did not address protracted conflict and forced displacement contexts. DFID funded joint World Bank/UNHCR research on Forced Displacement, has a small social protection window, but will not provide technical assistance. The MAINTAINS programme is focussing its research on shock-responsive service delivery but will not cover conflict related contexts. The Centre for Disaster Protection is supporting countries to strengthen their disaster planning and get finances in place before disaster strikes. And the Gender Responsive Social Protection Programme is a centrally managed social protection programme, managed by the DFID Social Protection team, with limited focus on crises contexts. Synergies and shared learning between these programmes are a priority. An internal and an external reference group are being set up for this purpose.

Gender and disability are key considerations for BASIC. Providing better assistance in crises can potentially help improve outcomes for women, girls, disabled people and other marginalised groups, but further research is required. Research from more stable contexts, suggests that social assistance can provide major benefits across protection, health, nutrition, education and empowerment objectives. There is a need to research this from more crises contexts and to build sensitivity to these objectives into the design of any programme or policy. BASIC is working closely with the Gender-Responsive Social Protection Programme to share and apply learning, to ensure a strong gender lens to the activities and approaches of this programme. BASIC's aim to increase the use of social protection approaches in crises is strongly in line with the Paris Declaration of 2005, in particular the principles of ownership, alignment, results and harmonisation.

Annex 2: Draft evaluation questions

Effectiveness Performance

- When and how do BASIC technical advice and capacity building services lead to policy, programme and systems change? What is effective, and why? What doesn't work and what are the blockages? Of the different types of TA provided what was more effective and cost-effective and why?
- When and how do BASIC research products lead to policy, programme and systems changes? What is effective and why? What does not work and what are the blockages?
- How can TA be delivered in a politically sensitive and appropriate way?
- Is the overall TAS portfolio strategic and effective? Why and how could this be improved?
- If and how is SPT staff contributing to programme effectiveness?
- Does the combination of TAS and research in those countries where both workstreams operate generate synergies and influence and change policy and practice effectively? Which combinations work and why?
- Has each BASIC workstream and has BASIC achieved its intended outputs and outcomes?

Learning

- Given BASIC is primarily operating in crises contexts, how does TA need to be different from stable contexts to be effective?
- What different portfolio approach would need to be taken to improve overall programme effectiveness?
- What other services could be offered in addition to TA and research (e.g. funding of pilots, funding of cash transfers) to improve effectiveness?
- What are good indicators of and methodologies for measuring the effectiveness of TA? This should include appropriate consideration of rubric-based approaches. What lessons are there on the monitoring and evaluation of the effectiveness of TA?
- How should TA, research and knowledge exchange and learning be leveraged to have maximum influence on policies, programmes and systems at (a) the national level and (b) global level?

Relevance Performance

- Timeliness and relevance: Does the TA model through each delivery route provide high quality TA in time and in line with demand? Is demand being met and if not why not?
- Is research responding to demand and priority needs? Is research addressing priority operational needs?
- Are TA and research responding to priority issues at national level and at global level?

Learning

- What would need to happen to meet demand? Identify what kind of TA and capacity strengthening is most useful to (a) DFID advisors / team (b) client governments (c) partners and why? and how this should be made available to them.
- Briefly review how the overall operating context within DFID for knowledge and evidence services has evolved (e.g. more centrally managed programmes) and what that changing context means for how these types of services are framed in the future.
- Are both BASIC workstreams working coherently to deliver joined up policy relevant advice, support and learning for DFID, national governments and partners at national and global levels? What can be done to improve this?

Efficiency Performance

- Assess the overall operations of BASIC TAS including the number of contracts, the range of work, the selection of different suppliers and experts, the services provided by the lead supplier in terms of value for money.
- Assess the overall operation of BASIC Research including the number of research projects, the range of work, the selection of the supplier and different research providers in terms of value for money.
- Have the intended outputs been achieved? Are the outputs proportionate to cost?

Learning

- Make recommendations for potential efficiency improvements for future technical assistance models.
- Could economies of scale be achieved by delivering several TA facilities (e.g. delivering several DFID Social protection TA programmes together) through one supplier?

Sustainability Performance

- Influencing global policy: Broader policy and programmatic change globally among wider networks of humanitarian and development partners – what did change? What was effective and why and what didn't work? Where have the greatest shifts taken place?
- Influencing governments (including donors) and partners– have programme workstreams led to any change in policy, programmes and systems that are likely
- / have potential to be sustained beyond the funding of the project (recognising limitations in timing or evaluation)? Have the programme workstreams led to any change in the human and institutional capabilities of DFID, governments and / or partners? what works and what doesn't – looking across research, influencing and TA/systems strengthening work? What are the major factors that influenced the achievement (or not) of sustainability in different contexts?

Learning

- The contribution of the capacity building output in developing DFID's own capacity should be explored further to inform any future call-down mechanism of this type.

Impact Performance

- What have been the impacts of TAS on policy and programme design and implementation in (a) BASIC TAS and deep engagement countries; and (b) globally?
- What have been the impacts of the research on policy and programme design and implementation in (a) BASIC research and deep engagement countries; and (b) globally, including measuring the effectiveness of research uptake?
- How effective has the combination of TAS and research together been with influencing and providing thought leadership in promoting policy and programme change in crises? This will be measured in the deep engagement countries and globally.
- What has been the impact as per indicators in the logframe(s).

Learning

- If and how can we evaluate if social protection approaches in crises lead to better outcomes for affected households than humanitarian approaches?
- How can research and TAS influence the behaviours, policies and operations of national governments, individually and in combination? What can partners / external actors do to enhance this influence? What are the limitations on the influence of external actors, and on the effects that the provision of TAS can have?
- What works to strengthen knowledge exchange and learning across the sector and to drive a step change in global practice? What should future phases of DFID support to social protection approaches in crises policy and practice focus on?

Concluding

- Make recommendations for a technical assistance and research model including other and additional services and capabilities for BASIC and DFID in the future, based on the findings of the formative questions of this evaluation.

Annex 3: Duty of Care risk rating – Examples

BASIC operates in a variety of countries as illustrated in Annex 1. The below indicates an example of high duty of care risk country for which BASIC can deliver services.

DFID Overall Project/Intervention / Summary Risk Assessment matrix

Location: **Mogadishu/South Central Somalia**

Date of assessment: **11 Dec 19**

Theme	DFID Risk score	DFID Risk score	DFID Risk score	DFID Risk score	DFID Risk score	DFID Risk score
	Mogadishu Airport	Mogadishu	Kismayo Airport	Kismaayo	Dollow	Other Parts of South Central Somalia
OVERALL RATING	4	4	4	4	4	4
FCO travel advice	4	4	4	4	4	4
Host nation travel advice	Not available	Not available	Not available	Not available	Not available	Not available
Transportation	3	4	4	4	4	5
Security	3	4	3	4	3	4
Civil unrest	2	4	2	4	4	4
Violence/crime	3	4	2	4	4	4
Terrorism	3	5	3	4	4	4
War	2	2	2	2	2	2
Hurricane	1	1	1	1	1	1
Earthquake	1	1	1	1	1	1
Flood	1	1	1	1	1	1
Medical Services	2	4	3	4	5	5
Nature of Project/ Intervention						

1 Very Low risk	2 Low risk	3 Med risk	4 High risk	5 Very High risk
			SIGNIFICANTLY GREATER THAN NORMAL RISK	

DFID Overall Project/Intervention Summary Risk Assessment matrix

Location: **PUNTLAND**

Date of assessment: **11 Dec 19**

Theme	DFID Risk score	DFID Risk Score	DFID Risk score	DFID Risk score
	Garowe	Bossaso	Galkayo	Other Parts of Puntland
OVERALL RATING	4	4	4	5
FCO travel advice	4	4	4	4
Host nation travel advice	Not available	Not available	Not available	Not available
Transportation	5	4	5	5
Security	4	4	5	4
Civil unrest	3	4	3	4
Violence/crime	3	3	5	4
Terrorism	4	4	5	5
War	2	3	3	3
Hurricane	2	2	1	1
Earthquake	1	1	1	1
Flood	2	2	1	1
Medical Services	4	5	5	5
Nature of Project/ Intervention				

1 Very Low risk	2 Low risk	3 Med risk	4 High risk	5 Very High risk
			SIGNIFICANTLY GREATER THAN NORMAL RISK	

DFID Overall Project/Intervention Summary Risk Assessment matrix

Location: **SOMALILAND**

Date of assessment: **02 January 20**

Theme	DFID Risk score	DFID Risk score	DFID Risk score
	Hargeisa, Berbera	Borama, Burao	Other Parts of Somaliland
OVERALL RATING	4	5	5
FCO travel advice	4	5	5
Host nation travel advice	Not available	Not available	Not available
Transportation	4	4	4
Security	4	4	4
Civil unrest	3	4	4
Violence/crime	3	4	4
Terrorism	4	4	4
War	2	2	3
Hurricane	1	1	1
Earthquake	1	1	1
Flood	1	1	3
Medical Services	4	5	5
Nature of Project/ Intervention			

1 Very Low risk	2 Low risk	3 Med risk	4 High risk	5 Very High risk
			SIGNIFICANTLY GREATER THAN NORMAL RISK	

Annex 4: GDPR

Schedule of Processing, Personal Data and Data Subjects. This schedule must be completed by the Parties in collaboration with each-other before the processing of Personal Data under the Contract. The completed schedule must be agreed formally as part of the contract with DFID and any changes to the content of this schedule must be agreed formally with DFID under a Contract Variation.

Description	Details
Identity of the Controller and Processor for each Category of Data Subject	<p>The Parties acknowledge that for the purposes of the Data Protection Legislation, the following status will apply to personal data under this contract:</p> <ul style="list-style-type: none"> ▪ The Parties acknowledge that Clause 33.2 Protection of Personal Data and 33.4 (Section 2 of the contract) shall not apply for the purposes of the Data Protection Legislation as the Parties are independent Controllers in accordance with Clause 33.3 in respect of the following Personal Data: ▪ In respect of Personal Data necessary for the administration and/or fulfilment of this contract⁴. ▪ For the avoidance of doubt the Supplier shall provide anonymised data sets for the purposes of reporting on this project and so DFID shall not be a Processor in respect of data gathered from citizens as part of the research activities as it does not constitute Personal Data.

8.2 Departures from the Terms of Reference and the Baseline methodology

The design of the evaluation of BASIC was based on the ToR for the evaluation. We have modified the approach set in the ToR based on the results of our inception and baseline phases in the following ways:

Evaluation questions: The evaluation questions specified the ToR were refined to ensure they responded to the needs of the target audiences, were clearly specified, and appropriately aligned to the evaluation criteria. This process resulted in some themes being added to the list of evaluation questions, including more coverage on GESI issues, the ToC, contextual factors, coverage of internal and external coherence and the management, as well as measurement of VfM. An overview of changes to these questions can be found in Section 2. We did not make any changes to these questions between the baseline and midline phases.

Country case study sampling: The evaluation ToR proposed the assessment of four BASIC deep engagement countries, as well as a representative sample of countries where BASIC is providing either TAS or research alone. However, with the recent initiation of the research workstream's inception phase, there was not clear understanding of the extent to which the research workstream would focus on engagements outside the deep engagement countries except the possibility of coverage in terms of the global research themes. Rather than representative sampling, the evaluation team discussed and agreed with the FCDO SPT that the approach to sampling for country selection for in-depth investigation by the evaluation team would be purposive, with the stratification of BASIC supported countries according to whether they are defined as deep engagement countries (and as such benefitting from both research and TAS workstreams), by type of intervention and their context. In addition, rather than examine the evidence of BASIC's influence in non-BASIC countries (as suggested in the evaluation ToR), the evaluation team in agreement with the FCDO SPT reframed the focus of the lighter touch case studies to examine results generated in the countries not classified as deep engagement countries, which benefit from BASIC TAS or research (global) support. We did not change the sampling strategy between baseline and midline.

Counterfactual: The evaluation team recognises the challenge of data collection in non-BASIC countries (in that it is difficult to engage stakeholders do not support by the programme in the evaluation process) and in addition note the extensive geographical coverage of BASIC (supporting circa 30 countries), as well as the specificity of the context in each country posing challenges for

selection of appropriate comparators. As such, a more viable approach to the capture of what would have happened in the absence of BASIC is proposed; namely soliciting the views of stakeholders during KII on what would have happened in the absence of BASIC support.

The following departures from the Inception Report were made and agreed with FCDO when delivering the baseline phase:

- **Revision of the indicators used to carry out secondary data analysis.** Some indicators and sources suffered from considerable data gaps and quality issues. The revised set of indicators used are presented in Appendix B.
- **Decrease back to the original number of globally focused Key Informant Interviews.** In response to feedback around how the evaluation will assess the global effects of the programme, we increased the sample size of KII interviews from 30 to 40 during the baseline. This was done at the expense of removing the infographic and animation from the use and influence plan. During the midline, we reversed this decision and reallocated resource back to the production of learning products.
- **Changes to the in-house survey questionnaire:** Several edits were made to reduce survey response times during main-stage implementation. These changes were agreed with FCDO and are documented in Section 5 and discussed in Section 2. Between the baseline and midline we changed the survey mode from online self-report to structured remote F2F. This change may have affected the comparability of survey results between phases. WE pose several mitigations to this which we outline in Section 2.
- **Niger country case study was dropped in favour of Somalia.** Due to wider FCDO country engagement considerations on behalf of the programme team, we were requested to exclude Niger from our sampling frame and Somalia was selected instead. No change was made to this decision between the baseline and midline phases.

9 Endnotes

- 1 FCDO (2018). BASIC Business Case.
- 2 Ibid.
- 3 Ibid.
- 4 Ibid.
- 5 Ibid.
- 6 Results from inception phase consultation.
- 7 Ibid
- 8 Devereux et al. (2020a). Covid-19 and social protection needs: who are the most vulnerable? Available at: Covid-19 and social protection needs: who are the most vulnerable? | Institute of Development Studies (ids.ac.uk). Date accessed: 22/03/21.
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- 10 Meaney-Davis (2020). The financial and economic impacts of COVID-19 on people with disabilities in low- and middle-income countries. Disability Inclusion Helpdesk Report No: 42.
- 11 Devereux et al. (2020b). Covid-19 and social protection responses: time for a global safety net? Available at: Covid-19 and social protection responses: time for a global safety net? | Institute of Development Studies (ids.ac.uk). Date accessed: 22/03/2021.
- 12 SPACE ToRs.
- 13 FCDO (2018). BASIC Business Case.
- 14 Stern, E., Stame, N., Mayne, J., Forss, K., Davies, R. and Befani, B. (2012). Broadening the range of designs and methods for impact evaluations.
- 15 Although we also propose the option of thematic cases for learning case studies, where the case unit is a particular theme or region.
- 16 See ODI, A guide to monitoring and evaluating policy influence", Harry Jones, February 2011.
- 17 Mayne, J. (2008) Contribution Analysis: An approach to exploring cause and effect, ILAC methodological brief.
- 18 We assume that 10 KIs and 10 interviews per evaluation case and 2 per learning case will be indirect only, which indicates 54 indirect stakeholders engaged in primary research.
- 19 Molyneux, M. (2019). Adolescence: policy opportunities and challenges. UNICEF-Innocenti.
- 20 Palermo, T. and Gavrilovic, M. (2019). Enhancing adolescents' capabilities through adolescent- and gender-responsive social protection. Florence: UNICEF Innocenti. Chopra, C. (2019) Taking care into account: leveraging India's MGNREGA for women's empowerment. Development and Change, 50(6).
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- 23 Results from inception phase consultation.
- 24 DFID (2020). DFID's Approach to Value for Money – Guidance for external partners, DFID, June 2020
- 25 Seawright, J. and Gerring, J. (2008). Case selection techniques in case study research: A menu of qualitative and quantitative options. Political research quarterly, 61(2), pp.294-308.
- 26 Climate Watch (2021). Country overviews – climate risk index score. Available at: <https://www.climatewatchdata.org/>. Date accessed: 22/03/2021.
- 27 For example, see the tools promoted by Cochrane Methods here: <https://methods.cochrane.org/risk-bias-2>. Date accessed: 29/09/22.
- 28 Noble, H. and Heale, R. (2019). Triangulation in research, with examples. BMJ Open.
- 29 Adapting the approach put forward in Aston (2020). Contribution Rubrics - A simple way to assess influence.
- 30 While other dimensions of RoB exist, we selected the three most relevant aspects to code given time and resources constraints faced by the evaluation team.
- 31 OECD (2005). The Paris Declaration on Aid Effectiveness: Five Principles for Smart Aid.
- 32 Stephen Gill (2011). Kirkpatrick's Four Levels of Training Evaluation: A Critique, May 2011
- 33 i.e., a residual risk score of less than 15.
- 34 As stated in the FCDO Digital Strategy 2018 to 2020.
- 35 As set out in the UK Data Protection Act 1998.
- 36 Seven priorities of FCDO are: climate and biodiversity, global health security, girls' education, humanitarian preparedness and response, science and technology, open societies and conflict resolution and economic development and trade.
- 37 ITT Volume 2 - TERMS OF REFERENCE (dated 9 March 2020) Better Assistance in Crises (BASIC) Evaluation