

Open Government Partnership evaluation

Inception Report

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Executive Summary

This document constitutes the inception report for the Open Government Partnership Evaluation. The evaluation is implemented by Oxford Policy Management (OPM) and focuses on the Open Government Partnership (OGP) as a process and platform to promote open governance reform and it will look at the roles of OGP's supporting institutions. The OGP has contracted OPM for this assignment with support from the British Department for International Development (DFID), the Hewlett Foundation and the Open Society Foundations.

The evaluation intends to address core questions around the i) relevance, ii) effectiveness, iii) impact and iv) efficiency of the OGP, with an overarching objective to support OGP learning and strengthen its capacity. This will be done by generating ongoing and participatory learning to assist the OGP to understand the extent to which its theory of change has played out as expected. It will do this by looking at the OGP's activities and outcomes, and the assumptions about the relationship between the two. The expectation is that this will help the OGP to strengthen its strategies for raising the ambition and strengthening the implementation of policy commitments, as well as ensuring more inclusive civil society and citizen engagement in the process.

The evaluation is forward looking and will take a developmental evaluation approach to help the OGP learn from and improve its work. This approach differs from traditional evaluations in its focus on supporting reflection, dialogue, learning and decision-making during the 2-year lifetime of the evaluation, rather than just delivering a point in time judgement with recommendations. The OGP support unit is the main stakeholder for the developmental evaluation. Within the confines set by the core evaluation questions, the evaluation will be oriented towards supporting the OGP to engage with and learn from the findings emerging from exercises to answer these questions.

Within an overall developmental evaluation approach, the evaluation will capture and analyse rich, quantitative and qualitative data on change processes in 7 cases (spread across 5 countries). The evaluation will also facilitate regular reflection and learning spaces with OGP staff. In three of the case study countries, the evaluation team will undertake similar reflection and learning activities with key local stakeholders. In each of these seven cases the evaluation will focus on one of 3 policy areas. In each instance, the evaluation will explore and evidence outcomes and factors that have influenced them. The proposed cases are: Colombia, Kenya, and Elgeyo-Marakwet (open contracting); Nigeria and the Ukraine (beneficial ownership); and the Philippines and South Cotabato (citizen engagement).

In addition, two specific evaluative exercises will be undertaken to address questions of effectiveness: i) evaluative deep 'dives' to rigorously investigate causal factors where a meaningful outcome has been achieved, drawing from impact evaluation designs such as Contribution Tracing; ii) comparative Case Study Analysis to understand the factors that drive, distorts or block change processes in different contexts. The evaluation tentatively proposes to use Qualitative Comparative Analysis for this. A range of regular data collection activities will be undertaken to inform the different analyses described above.

To support the above, the report provides a communications and learning plan. The plan explains how the OPM team will ensure that learning is available, understandable and useful for the evaluation's stakeholders. It also describes how effective communication is ensured i) within the evaluation team, ii) between OPM and the OGP, and iii) with the Evaluation Steering Committee (ESC) and beyond.

Lastly, the report proposes a set of governance arrangements intended to help manage the complexity of the evaluation and ensure accountability and good project delivery. The section identifies the team leader, supported by the rest of the evaluation team, as being responsible for the day to day implementation of the evaluation. The Evaluation Steering Committee functions as the highest decision making body. It is responsible for strategic decision making and general oversight at certain intervals.

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Introduction and overview

The Open Government Partnership (OGP), Department for International Development (DFID), the Hewlett Foundation (Hewlett) and the Open Society Foundations (OSF) have contracted Oxford Policy Management (OPM) to undertake an independent evaluation of the OGP. The evaluation is forward looking and will last 2 years.

The evaluation focuses on the OGP as a process and platform to promote open governance reform and will look at the roles of OGP's supporting institutions. The overarching aim is to learn what factors in various contexts influence the ambition and implementation of open governance reforms through the OGP process, and what types of OGP support are most effective in influencing positive outcomes. This will be achieved through in-depth analysis in a number of countries, focused on specific policy themes.

The evaluation will first and foremost be for the benefit of the OGP and its funders, to inform the OGP's priorities, activities and use of resources. Secondly, it will be relevant for reformers in OGP member and non-member countries, to understand how to use the OGP effectively to advance open government reforms. Thirdly, the evaluation will be relevant to wider organisations, multi-stakeholder initiatives and networks that support open governance reforms.

The inception phase ran from 13 May to 31 July 2019. The main aim of this phase was to agree the evaluation focus and scope, obtain clarity on the budget available for the assignment; agree the high level and detailed evaluation questions, an appropriate evaluation approach, and to define focal countries and policy themes. This was done through consultation with the OGP and Evaluation Steering Committee (ESC) members. It was agreed that the evaluation is being undertaken to improve OGP performance, by supporting learning about what has worked well (and not) and what this means for the OGP going forward. To this end, the evaluation will explore the OGPs' relevance, effectiveness, efficiency and impact in order to inform and strengthen future engagement. Through the exploration of learning questions, a clear preference has been expressed for in-depth analysis in a small number of policy themes and countries; that collectively can also provide contextual and regional variation.

The evaluation involves a large number of stakeholders and securing agreement on focus and priorities across these diverse actors has taken time, and involved consultation, negotiation, and at times, compromise. As a result, the inception phase was extended from mid to end-July, with further revisions in August¹.

Evaluation team

The core team comprises a team leader, project manager, and an evaluation and methods expert. In addition, the team includes an open government partnership expert, an evaluation support function, and a number of country coordinators.

Inception phase overview

The inception phase involved a number of activities. This sub-section provides an overview of key activities and any departures from the TOR agreed in the process.

Key activities during the inception phase included:

- Kick-off and decision making meetings with the Evaluation Steering Committee.
- Participation in the OGP's Annual Summit in Ottawa, Canada.

¹ The contracting process was also delayed: the contract was not in place until 6 July 2019

- Bilateral calls with Hewlett Foundation and DFID to clarify objectives, expectations and scope of the evaluation.
- Interviews with OGP Support Unit (Washington), regional teams and thematic team as well as other senior-level OGP staff to clarify objectives, expectations and scope of the evaluation.
- Development and presentation of different budget options for the evaluation.
- Country and polity thematic sampling.
- Identification of country coordinators (following country sampling).
- Drafting of inception report.

During this process, the evaluation team identified and interviewed a range of stakeholders and experts.

As part of the inception phase, the team also refined and agreed decisions around scope and focus of the evaluation, beyond what was outlined in the assignment's ToR. Key decisions agreed by the ESC concerned:

- Budgetary envelope: expanded with an additional pool of funds to be earmarked during implementation.
- Specification of purpose and scope. See Section 6 for details
- Identification of the country and policy thematic focus of the evaluation. See Sections 4.1 and 7.

OGP theory of change

While the Term of Reference (ToR) specify that the evaluation is not required to revisit or build on the current Theory of Change (ToC), given OGP's ongoing M&E work, it provide a critical foundation for the evaluation and informed key decisions on purpose and scope, and is summarised here.

The OGP supporting unit defines the theory of change (TOC) as follows:

Action Plans are the anchor that keep normative discussions on open government grounded in action. Once political leaders have committed their country to participate in OGP, the Action Planning cycle provides the organizing framework to design, implement, and monitor commitments included in the Action Plan. Each stage in the cycle presents an opportunity and obligation for governments to engage with civil society, private sector, and the wider public to seek their input and feedback. In the short to medium term, OGP wants to see Action Plans become increasingly ambitious and credibly implemented. Four critical elements can ensure this:

- Senior political leaders create an enabling environment and ensure political cover to civil servants to implement reforms.
- Government have genuine, regular dialogue with a broad section of society to determine shared priorities and develop ambitious policy reforms
- Reform-minded civil servants and civil society have access to technical, financial and political expertise to implement reforms
- Independent monitoring efforts inform progressive improvements of Action Plans, and close the accountability loop by publicly documenting the status of OGP implementation.

Action Plans are not a technocratic exercise. Open policymaking is messy, and rarely linear. OGP's model focuses on the power of reformers, individually and collectively, to affect change. That means paying attention not just to the incentives and influence of these reformers but also the wider political context in which they operate. OGP tries to provide the right incentives and support to reformers through the interventions outlined at each stage of the Action Plan cycle. Support is tailored to each country, reflecting an analysis of the TOC assumptions on the wider socio-political and economic context that influence any policy reform process.

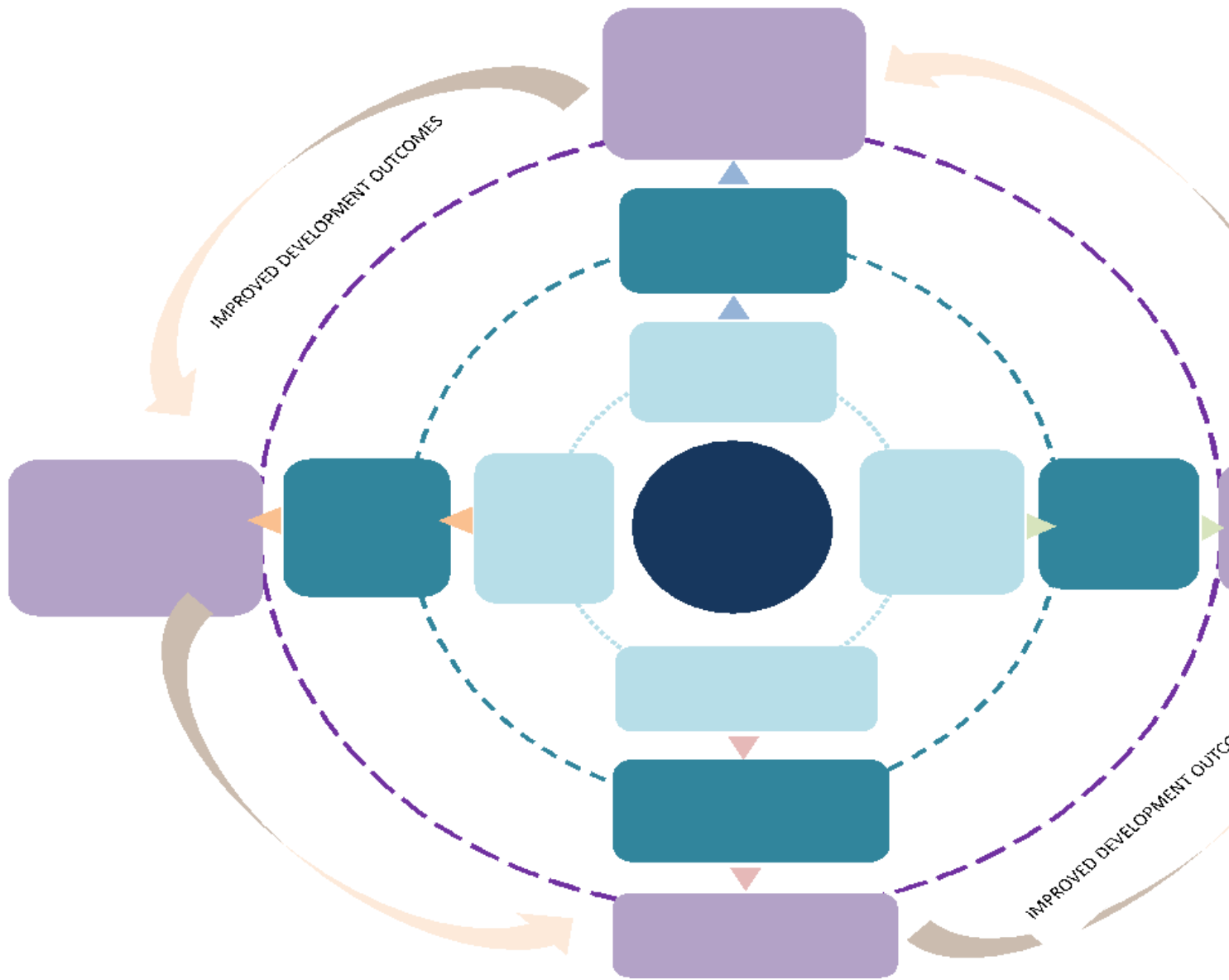
OGP assumes that, if each of actor plays their roles effectively and increasingly build coalitions nationally and internationally to solve tough challenges on open government reforms, we should begin to see a global movement toward more open, participatory, responsive and accountable governance in the medium to long term. Progress on thematic and sectoral issues such as on anticorruption, open contracting and public service delivery should begin to materialize. Over several Action Plan cycles and through combinations of outcomes, we should begin to see to measurable improvements in citizens' lives

ASSUMPTIONS

INTERVENTIONS

<p>▶ A functioning, representative civil society exists Trust and working relationship between actors improved Civic freedoms don't come under attack</p>	<p>▶ Intensive guidance and support on co-creation process Outreach to broader networks of civil society, private sector, media</p>
<p>▶ Reformers find OGP support contextually relevant Financial resources for the NAPs are secure OGP host agency has the institutional mandate to coordinate across line ministries for implementation Institutional checks and balances are largely functional</p>	<p>▶ Facilitate peer exchanges around strategically important themes Financial support for implementation through the MDTF Targeted support to navigate technical and political challenges Strategic thematic partnerships with local and intl orgs</p>
<p>▶ Independent research and monitoring efforts are taken seriously Public sector norms, culture and institutions make reform possible</p>	<p>▶ Timely production and launch of IRM reports to influence NAP Learning and accountability events</p>
<p>▶ OGP provides the right political incentives for action Political transitions don't disrupt the OGP agenda Key geopolitical players honor OGP rules of the game</p>	<p>▶ Global and regional campaigns, events and inclusion of OGP in Strong Steering Committee leadership and observation of rules Peer pressure through OGP Ambassadors, Envoys and Steering</p>

Figure 1 OGP theory of change diagram



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Objectives and evaluation questions

The main objective of the evaluation is to contribute to OGP learning and capacity: The OGP's core institutions (particularly the Support Unit) are the primary stakeholders for the evaluation. Where possible, the evaluation will also seek to strengthen the learning and capacity development objectives of in-country stakeholders.² In particular, the OGP is keen to gain insights that may inform how the OGP's supporting institutions can strengthen their strategies, to achieve greater and more sustainable outcomes in promoting and enhancing open governance. This was originally included as a key objective in the TOR; and has been taken on as an overall framing for the evaluation, informing the decision to take a developmental evaluation approach (see Section 4).

The evaluation will generate relevant findings and support ongoing and participatory learning to inform and strengthen the OGP's contribution to more ambitious policy commitments and their effective implementation, and more inclusive civil society and citizen engagement. In order to do this, the evaluation will **assess the relevance, effectiveness, efficiency and impact of the OGP** platform and strategies on reform processes in different contexts, including an analysis of the factors that drive, distort or block reforms. Where possible, the evaluation will consider the higher-level outcomes of specific policy reforms, such as change in government responsiveness or accountability relationships. As shown in Figure 1, these are defined as 'ultimate outcomes' in the OGP theory of change.

As stipulated by the terms of reference (TOR) (p. 13) the 'sustainability' criterion is not included as it is beyond the scope of this evaluation to measure sustainability of the OGP beyond the 2- and 4-year duration of the evaluation. Instead, the aim is to understand dynamics of reform and learning how to adapt to different political contexts.

The TOR included a draft list of evaluation questions. During the inception phase, OPM consulted extensively with OGP staff, to identify key questions and highlight research themes that would be of most value to them and should receive greater attention.

3.1 Evaluation Questions

In this section, we provide a list of the initial evaluation questions. The list below includes many of the questions outlined in the TOR. Annex A provides a list of additional or more specific learning questions identified by OGP staff and the ESC which serve to further define the areas of enquiry that the evaluation will follow. In line with the developmental evaluation approach (section 3), sub-questions may be dropped, revised or prioritised as the OGP and country stakeholders engage with emerging findings, and define/refine alternative learning questions. The list of sub-questions will also be reduced in the early phase of in-country research and subsequent consultation, to necessarily focus the evaluation. Most of the evaluation questions reflect specific components or assumptions in the OGP TOC.

² Learning and capacity development objectives apply to only some extent to in-country stakeholders.

3.1.1 Relevance

High level question: To what extent does the OGP provide a relevant and enabling platform for civil society and government reformers in their efforts to progress the focal policy reforms and overarching open governance objectives?

Sub-questions:

- a) To what extent do action plans reflect critical public policy priorities?
- b) How does civil society use the OGP process for influence and advocacy around key policy reforms, and to what extent do they perceive the OGP platform as relevant and useful?
- c) Which groups of citizens engage more widely in the design, implementation or monitoring of OGP policy reforms? How is inclusive co-creation promoted through the OGP platform?
- d) To what extent have government reformers found the OGP platform and support useful for learning and improving the design and implementation of open government policy reforms; and do they perceive the OGP platform (including OGP support) as relevant and useful?

3.1.2 Effectiveness

High level question: How effective is the OGP in contributing to the ambition and implementation of Action Plan commitments? What contextual factors influence effectiveness?

Sub-questions:

- a) Does OGP support (technical and political expertise, peer learning, etc.) help reformers build stronger coalitions to implement reforms? What types of support are most effective in influencing positive outcomes?
- b) To what extent has the OGP leveraged civil society and citizen voice to raise the ambition and implementation of NAP commitments? Which incentives are most important?
- c) To what extent has the OGP encouraged reformers to raise commitment ambitions and improved their capacity to design and implement policies resulting from NAP commitments? Which types of support have been most important? Has institutionalised dialogue between government and the public had an effect?
- d) To what extent has the OGP mechanism improved the ambition of high-level political leaders to commit in the focal policy reform areas, and improved their will to support implementation? Which incentives are most important?
- e) To what extent do reformers use and learn from independent monitoring of action plans?
- f) Do OGP processes and OGP's support at the sub-national level differ from those at the national level? What is different and what is the same?
- g) To what extent has the country's engagement with the OGP on an international level contributed to higher ambition and better implementation of NAP commitments?
- h) What other exogenous factors (e.g. election cycles, internet connectivity, financial resources for NAP, institutional checks and balances in host country, public sector norms and culture, host agency's institutional mandate) and endogenous factors (e.g. role of the Support Unit, donor funding, inclusion of the private sector) impact the effectiveness of the OGP mechanism?
- i) How successful has the OGP been in promoting gender equality and inclusion in NAP commitments and their implementation?

- j) To what extent are OGP processes being institutionalised; and what factors (including high-level political support and the private sector) support this?

3.1.3 Efficiency

Note: The evaluation will support the OGP to engage with questions around which strategies and activities represent a useful and efficient use of time and resources. However, it will not undertake a comprehensive value for money assessment

High level question: Which OGP strategies and priorities represent a useful and efficient use of time and resources?

Sub-questions:

- a) What were the trade-offs and assumptions in deciding OGP strategies and priorities?
- b) How does OGP allocate time and resources to achieve goals?
- c) Are there any efficiency gains associated with working simultaneously at the national and sub-national levels in a country?

3.1.4 Impact

Note: While the higher-level outcomes of policy changes will be explored in the evaluation, they are not a large focus in their own right. The evaluation will capture stories as they appear during the evaluation; but will not evidence causality or rigorously assess the contribution of policy reforms to wider development results.

High level question: What has been the impact of policy changes resulting from National Action Plan commitments?

Sub-questions:

- a) To what extent have the policy changes resulting from action plan commitments led to observable changes in government responsiveness; and/or increasingly empowered relevant parties to hold each other accountable? What factors are most crucial to success or failure?
- b) To what extent is there evidence of improved public engagement with OGP commitments and what factors support this?
- c) To what extent do citizens or small businesses experience observable benefits from policy changes resulting from NAP commitments? *As discussed with the ESC, the evaluation will proactively seek examples of observable citizen benefits but will not rigorously answer this question.*

4 Evaluation Approach

The OGP supporting institutions are interested in better understanding its relevance, effectiveness, efficiency and impact, and testing the assumptions that underpin and inform its support and engagement with policy reform; in order to strengthen the impact of OGP's work.

In particular, the OGP supporting institutions are keen to gain insights from the evaluation to inform decisions going forward: to strengthen their strategies and to achieve greater and more sustainable outcomes in promoting and enhancing open governance. For example, using findings and insights that emerge from the evaluation to help consider "so what" questions such as:

- a) In a context of shrinking civil society space, how can the OGP better engage with civil society inclusively to enhance voice, and improve capacity to design key open government policies?*
- b) How can the OGP more effectively encourage high-level political leaders to engage with the OGP, and improve their capacity to design and implement open government policies?
- c) How can the OGP be more effective in supporting reformers to raise the level of ambition and implementation of NAP commitments?
- d) How can the OGP work more effectively with the private sector to leverage the role of businesses in promoting and implementing open government reform?
- e) Does the OGP need to approach sub-national work differently to that at national level?

The OGP works in very different contexts on a variety of policy issues, with very different cultures and enabling environments, civil society actors, resources, and governance norms. In line with the Paris Declaration on Aid Effectiveness, it promotes the culture that national governments have the key say over their development processes and helps to encourage wider participation of governments, institutions and societies in development policy formulation. The change processes that OGP looks to support play out very differently in these contexts and policy arenas, as a result of a huge variety of exogenous and endogenous factors. This has informed the evaluation design in two important ways. The decision to use developmental evaluation as an over-arching, guiding approach, and the decision to take a case based approach.

Developmental evaluation is a highly flexible approach, well-suited to a portfolio of interventions like OGP's, operating in complex environments, where implementation is likely to change in response to emerging opportunities and constraints. It frames the evaluation as a resource to support improved performance, not only delivering an assessment of what has changed as a result of the programme; but looking to establish why and how things did or did not change, and importantly, what this might mean for OGP going forward.

A developmental evaluation approach fundamentally shifts the relationship between the evaluation and the programme. It differs from traditional evaluations in its focus on supporting reflection, dialogue, learning and decision-making during the lifetime of the evaluation, rather than simply delivering point in time judgements and recommendations. This approach positions the evaluation to not only provide timely insights and evidence, but to accompany and support its uptake and use of findings as they emerge. The focus is on generating findings that will be useful to the OGP, and facilitating rigorous evidence based discussions. In addition, the evaluation process has potential to feed into the dialogue on open government between the governments and the civil society, private sector and the wider public. This is an over-arching approach that draws on the range of different data and analytical methods being used in the evaluation's focus countries, rather than being distinctly separate from them.

To answer the high-level evaluation questions, and strike a balance between breadth and depth, the evaluation will build on a good understanding of the OGP's full breadth of work, but take a case based approach, focusing on five countries and three policy themes, in order to gain a deep and nuanced understanding of these complex change processes. It is expected that these in-depth investigations on particular policy themes in specific countries will allow the evaluation to reach robust conclusions on the evaluation questions. In addition, it is expected that they can later be compared and explored across a wider portfolio of cases (including through triangulation with existing cross-country analysis carried out by the OGP support unit) to reveal insights that are relevant to the OGP as a whole.

The OGP support unit (and particularly the regional teams) is the key stakeholder for the evaluation, and the evaluation will be oriented towards supporting their learning³. However, beyond the OGP, a wider range of stakeholders will benefit from the evaluation (see stakeholder mapping in section 6.1.1). The evaluation will provide the means to verify achievements against intended results, and consider unintended outcomes as they emerge. It will also seek to build strong relationships with key OGP staff, to support their critical enquiry, reflection on findings, learning, and decisions on improvements and adaptation, during the lifetime of the evaluation. To achieve this, the evaluation team will need to work with key OGP staff on a regular basis (as a minimum with quarterly engagement). While the OGP SU is the main stakeholder, this approach also offers the opportunity to build the capacity of OGP in-country stakeholders through their active engagement with the evaluation, as explained below.

The evaluation questions identified during the inception phase will provide a standing agenda for reflection spaces with the OGP, where insights and findings can be shared and the OGP supported to consider what this means for their work in a timely manner. The evaluation team will also be responsive to new and different questions that emerge during the course of the evaluation, though substantive changes in course will have to be presented to and agreed by the ESC.

4.1 Flexibility and additional spending

This inception report does not specify up-front how all the available funds in the evaluation should be spent. This is intentional. Flexibility has a number of benefits. It enables the evaluation team to work with the OGP to identify and respond to questions, opportunities, outcomes and impacts that emerge during the course of the evaluation. The intention is not to distract from the core evaluation questions, but to allow the evaluation the ability to go deeper (or broader) as we learn about which lines of enquiry or types of findings are most useful. Simultaneously, it allows the team to better manage risks and unforeseen events, or to adjust course if the evaluation is not on track to answer the core evaluation questions. For instance, it may be necessary to include an additional country case if one or more of the original cases are not proving useful for learning purposes; or learning from these are quickly saturated. Similarly, it may appear that the current selection of policy themes (including the wider set of cross-cutting themes) proves an insufficient sample for interrogating important aspects of OGP's work and value added.⁴

³ It is important to note here that a focus on learning does not entail a less rigorous evaluation approach with lower thresholds of what constitutes evidence or measurement of impact. For more on how "genuine learning often requires a project or programme to be able to accurately measure or assess its performance in relation to predicted results" see Irene Guijt, 'Accountability and Learning. Exploding the Myth of Incompatibility between Accountability and Learning', in Jan Ubels, Naa-Aku Acquaye-Baddoo and Alan Fowler (eds.) (2010), *Capacity Development In Practice*, London: EarthScan.

⁴ This risk was also flagged by the OSF during the ESC meeting on 30 July 2019.

The remaining funds are reserved for the ‘flexible pool’, to allow the evaluation to respond to emerging insights, questions and/ or opportunities in policy spaces that will emerge as the evaluation progresses. The evaluation team will work with the OGP on a quarterly basis to discuss and decide together new research, evaluative exercises, methods etc. These will go to the ESC for approval. This discussion will be shaped by the ongoing reflection and learning dialogues with the OGP and it will happen during the regular scheduled ESC meetings (see workplan in section 8). This will allow early learning to materialise while simultaneously leaving resources for course correction.

5 Data collection and analytical methods

Within an overall developmental evaluation approach, the evaluation has already identified a number of exercises to respond to the core evaluation questions and support the OGP to engage with findings. The proposed methods reflect the goal for this evaluation to produce transferrable knowledge and offer a way of dealing with important contextual elements such as political will, civil society capacity and shifts in political distributions of power. Methods include:

- **Capturing and analysing rich, primary and secondary quantitative and qualitative data on the change processes** in 5 countries (including two sub-national cases), and in 3 policy areas to explore and evidence the outcomes and influences over these. This will be oriented towards answering the core evaluation questions outlined above, and to explore additional/supplementary learning questions articulated by the OGP in ways that can be immediately useful to the OGP regional staff, as well as for OGP’s wider strategic learning. Through this embedded data collection, develop case studies focused on notable wins, OGP’s engagement with emerging opportunities, and instances where strategies have not been effective, or where progress has been slower than anticipated. [Relevance, Effectiveness, Efficiency]
- **Evaluative deep ‘dives’** to rigorously investigate causal factors where a meaningful outcome has been achieved. Drawing from impact evaluation designs like Contribution Tracing, the evaluation team will investigate how specific outcomes came about. These exercises will seek to confirm the extent to which the outcome materialised; and evidence the significance or value added of OGP’s contribution in light of other contributing factors (i.e. whether there is a causal relationship). These evaluative deep dives are proposed to respond particularly to the effectiveness and impact evaluation questions, but we expect that they will also offer important opportunities for learning and capacity development and may contribute insights on efficiency. [Effectiveness and Impact]

We expect that a number of initiatives are already mature enough to have contributed to outcomes that can be evaluated in this way and will work with OGP stakeholders to define and agree which to select. The selection process could potentially use an outcome harvesting approach to solicit not only outcomes but contribution claims. In deciding which outcomes to evaluate, we will: (a) focus on the prioritised policy themes; (b) consider the scale of the change and the likely importance of OGP’s contribution; and (c) give priority to the possible relevance or usefulness of the findings for OGP.

We expect to conduct up to 5 such evaluations within the current budget envelope. This number can be increased with additional funding from the flexible pool of funds. Note that the actual number of cases that the team is able to evaluate will depend on how many good “outcome cases” that arise during the life of the evaluation. We expect to work with OGP stakeholders to

identify the first two in the initial 6-months of the evaluation. These will be presented to the ESC for endorsement.

- **In the final 6-months of the evaluation, we will undertake Comparative Case Study Analysis** in order to understand the factors that drive, distorts or block these processes in different contexts. The evaluation will look across the multiple case studies⁵ documented during the evaluation to explore patterns, consider whether it is possible identify common ingredients for success, and identify insights on how different combinations of factors work together to produce results (or stall progress). The evaluation proposes to use Qualitative Comparative Analysis (QCA) for this, but it is unclear at this stage whether we will have sufficient cases for QCA⁶. If we are unable to use QCA, then we will undertake another form of comparative cases study analysis which allows us to identify patterns and trends and draw out useful insights that may be of broader relevance to the OGP's efforts. [Relevance, Effectiveness, Impact and Efficiency]

To best respond to the changing conditions of the programme, developmental evaluation aims to continuously develop both the approaches and the methods of evaluation, and we expect to identify further methods as the evaluation progresses. Generally, however, the evaluation will largely use typical data collection, research and analytical methods to consult with different stakeholders at all levels for multiple lines of inquiry and triangulation of data, including:

- **Interviews and focus group discussions** (FGDs) with key stakeholders: POCs/ civil servants; political leaders, CSOs, private sector, implementation partners, etc
- **Participant observation** of action plan co-creation, civil society advocacy etc (where possible), and in key community of practice meetings that relate to the focal policy themes, gender, etc.
- **Interviews with wider civil society/ citizens:** inclusion, knowledge of OGP; accessibility of OGP (products, support etc)
- **Media tracking, websites/ social media:** analysis of transparency, public perceptions, and of political economy environment.
- **Bellwether Interviews⁷:** a research method for determining where an issue is positioned in the policy agenda, how influential leaders think about it, how likely they are to act on it etc. Bellwethers are individuals who are seen as influential people in the public and private sectors, who are politically informed and track a broad range of policy relevant issues, and whose opinions about policy issues carry substantial weight and predictive value.

Each of these methods has its own weaknesses and strengths; they are therefore used in tandem in order to build on their strengths and mitigate their weaknesses. A combination of group and individual exercises with a varying degree of physical presence of the evaluator will be used to balance and compensate for the disadvantages of each and to help with triangulation. When selecting interviewees a careful consideration will be given to equity and gender to ensure that variety of primary stakeholders are involved as possible.

⁵ 'Cases' here refer to the outcomes described in the previous paragraph.

⁶ QCA usually requires a minimum of 10 comparable cases

⁷ <http://tools.sparkpolicy.com/wp-content/uploads/2015/02/Overview-of-when-and-how-to-use-Bellwether-Interviews2.pdf>

The tools and methods outlined above have been proposed because they complement rather than duplicate information already captured and analysed by the OGP or by other evaluations (this includes OGP's own monitoring data, third party assessments of OGP activities, including DFID and World Bank monitoring, as well as other donors, government reports and administrative data⁸). The evaluation will build on IRM and Support Unit data and analysis, especially IRM data sets and publications such as the Global (Flagship) Report⁹ and IRM technical papers, as well as data and findings emerging from the upcoming Multi-Donor Trust Fund (MDTF) evaluation. For instance, the OGP IRM's technical papers analyse major trends and changes in OGP action plans, and compares how governments have performed from their first to second action plans. IRM data are primarily derived from two databases: one on OGP process and institutions at the country level, and a second with a focus on individual commitment-level data.¹⁰ Where possible we will analyse disaggregated data to capture any differences between the groups of varying ethnicity, gender, and geographical location. We will also make use of grey literature, including newspaper articles). Such a combination of available data and data sources will represent both internal OGP and external independent sources and views. OPM will liaise regularly with the Support Unit and IRM to ensure synergies and avoid duplication. These coordination activities are reflected in the workplan in section 8.

Our team leader has extensive experience with gender and inclusion mainstreaming and will ensure that our data collection and analysis reflects cross-cutting issues. Our project manager, has expertise analysing power-relations, political economy and anti-corruption so he will ensure that these issues are mainstreamed into data collection efforts. Similarly, Yadaira Orsini, our Colombia lead, will draw on her extensive experience in conflict analysis and sensitivity to ensure that this issue is mainstreamed into all data collection and analysis.

To support timely learning and help to develop capacity in the OGP, the evaluation will:

- Facilitate regular reflection and learning spaces with OGP staff. Such spaces will be used to: (a) share the rich data being collected on the change processes; (b) deepen OGP's understanding of how the platform engages with and supports different actors at different points in the change processes; (c) support OGP stakeholders to reflect on and test choices and underlying assumptions; (d) feedback findings about what OGP strategies and priorities are yielding; and (e) inform decisions.
- In three countries, we will work with key stakeholders in the Multi-Stakeholder Forum (MSF) (civil society and government POC or reformers) to understand their theories of influence. We will support them to engage with emerging findings, reflect on and learn about success factors and challenges, and build their capacity to use learning for strategy adaption.

5.1.1 Linking data collection with evaluation questions

These data collection and analysis methods will enable us to answer the evaluation questions outlined in Section 4. Table 1 (below) provides examples of how different data collection and analytical methods

⁸ This includes national level data such as Extractive Industries Transparency Initiative and Open Contracting Partnership publications, as well as global and regional datasets on governance and openness such as the World Bank's Worldwide Governance Indicators, the Bertelsmann Stiftung's Transformation Index BTI, and Transparency International's Corruption Perceptions Index.

⁹ OGP (2019), *Open Government Partnership Global Report. Democracy Beyond the Ballot Box*, Washington DC: OGP.

¹⁰ OGP (2016), *Beyond the Basics. OGP Action Plans 2012-2015*. Independent Reporting Mechanism, Washington DC: OGP.

will help answer specific questions. The table is not intended to be a comprehensive overview, but rather an illustration of how methods links to evaluation questions.

Table 1 Examples of data collection and analysis for each evaluation question

Question	Data and methods
<p>Relevance: To what extent does the OGP provide a relevant and enabling platform for civil society and government reformers in their efforts to progress focal policy reforms and overarching open governance objectives?</p>	<p>Assess alignment between the focus and content of current NAPs and government national development plans and policies</p> <p>Assess the accessibility of OGP guidance and learning products, the OGP website and IRM monitoring reports (language, format, clarity, accessibility of the platforms on which they are shared, etc.)</p> <p>Data sources: interviews, media tracking, bellwether interviews¹¹ to identify current and emerging public policy priorities, focus groups with Civil Society Organisations (CSOs) and a small sample of citizens.</p>
<p>Efficiency: Which OGP strategies and activities represent a useful and efficient use of time and resources?</p>	<p>Work with OGP to articulate rubrics describing what poor, average and good (OGP) efficiency looks like, and identify evidence sources that can be used to reach judgements.</p> <p>Analysis of the time and resources that OGP devotes to particular activities (such as countries or types of support) in relation to the observable results achieved in these areas.</p> <p>Data sources: OGP data about how it spends its time (e.g. time spent in the Support Unit on different tasks) and resources across different types of support, activities, regions and countries, OGP staff's views on where they see the "biggest bang for the buck", where they experience bottlenecks and areas where activities could be done more efficiently.</p> <p><i>Note: This analysis depends on availability of internal OGP data on where and how resources and time are allocated and spent</i></p>
<p>Effectiveness: How effective is the OGP in contributing to the ambition and implementation of Action Plan commitments? What contextual factors influence effectiveness?</p>	<p>Analysis of the power and political economy factors underpinning reform processes and the extent to which the OGP has influenced these (for instance through leveraging international influence/pressure for reform)</p> <p>Contribution tracing applied to rigorously test claims about how the OGP has contributed to key outcomes found to have materialised, and to determine the significance of the OGP's contribution vis-à-vis contextual factors.</p> <p>Data sources: Interviews with CSOs, government POCs on how OGPs support has contributed to ambition and implementation of NAP; Bellwether interviews exploring the visibility and influence of OGP process and platform; Media tracking and participant observation related to public dialogues and reform processes.</p>

¹¹ <http://tools.sparkpolicy.com/wp-content/uploads/2015/02/Overview-of-when-and-how-to-use-Bellwether-Interviews2.pdf>

<p>Impact: What has been the impact of the policy changes resulting from National Action Plan commitments?</p>	<p>Analysis of trends in public contract awards (including whether a greater number of contracts go to SMEs or companies owned by women or minority groups)</p> <p>Data sources: Interviews with public procurement officers and oversight bodies on whether there has been an increase in competition for public contracts; Bellwether interviews and media tracking to uncover changes in public dialogue and perceptions on focal commitment areas (e.g. whether citizen involvement in government decision making has increased); Triangulation of primary data with trends in secondary data from doing business reports, corruption perceptions index and worldwide governance indicators.</p>
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6 Limitations

There are a number of limitations to be aware of that follow on from the evaluation purpose, and decisions taken on scope and approach.

Purpose. It is agreed that the primary purpose of the evaluation is to support OGP learning. The two objectives of accountability and learning are complementary. Yet it is important to note that the ESC members were clear that their interest in learning about OGP effectiveness was to inform future planning and innovation and to strengthen overall performance. The purpose of the evaluation is to not only to reach judgements about what has worked and not worked, but to understand why and under what conditions; and (importantly) to engage with what this means for the OGP going forward. The evaluation will adhere to the high methodological standards of traditional evaluation, but puts a greater emphasis on providing timely and useful results and invests more in supporting stakeholders to engage with the implications of findings. This means that the evaluation will continually negotiate trade-offs between levels of certainty or confidence and the timeliness, relevance and utility of findings.

Scope. The scope of the evaluation was determined by the expressed priorities of the ESC and OGP staff. The primary content areas were described in the TOR and fleshed out through subsequent interviews (see Section 6 for details). Time and resource constraints mean that certain learning questions and research themes have been prioritised over others, and it is important that the ESC/ OGP understand the implications. Specifically:

- **Breadth versus depth:** The evaluation seeks to gain a deep and nuanced understanding of complex change processes. It will focus largely on three key policy themes in five OGP member countries (see Section 7). While it is expected that these in-depth investigations will generate insights and reveal patterns which are more broadly relevant - the evaluation is not looking to reach judgements on the effectiveness and relevance of OGP as a whole. This was confirmed at the ESC meeting on 21 August 2019 where “ESC consensus [was] reached that [the] evaluation will not produce outcome-level findings that are generalizable (externally valid) to other settings.”
- **Impact:** while the evaluation may consider the higher-level outcomes (as defined in the OGP TOC) of Action Plan processes or specific policy reforms, such as change in government responsiveness or accountability relationships, it will not assess the impact of policy commitments on citizens. Nevertheless, impact stories and other relevant insights and pieces of

evidence that emerge through the course of the evaluation about impacts will be documented and shared.

- **Effectiveness:** The evaluation will support the OGP to engage with questions around which strategies and activities represent a useful and efficient use of time and resources. However, it will not undertake a comprehensive value for money assessment.
- **The evaluation is forward looking.** While it will include some limited retrospective analysis, to understand the backdrop to current reform processes and emerging results, it will not rigorously examine earlier processes.

Finally, there are a few key challenges (rather than limitations) associated with developmental evaluation which we think are important to note. First, the evaluation team will invest in building trust and a long-term relationship with the OGP and other key evaluation stakeholders. This relationship is important in order for the evaluators to support reflection and use of the evaluation findings, to make decisions about the OGP's path going forward.¹² However, a close, long-term relationship between external evaluators and the programme is sometimes seen to undermine the principle of 'independence,' and bring into question the 'objectiveness' of the evaluation results. The evaluators will need to actively balance being both close to the OGP and independent. The evaluation team is skilled at playing the role of a "critical friend" (listening, synthesising, asking difficult questions in a non-judgmental way, and helping to challenge assumptions, in a supportive and constructive way) while drawing upon best practice in evaluation and research. A clear and strict division of responsibilities will be maintained throughout the evaluation process to ensure independence of the evaluation (see section 9).

Second, developmental evaluation requires a greater time commitment from key stakeholders than more traditional evaluation approaches. The evaluation is not something that they simply need to feed with information, rather it becomes a part of OGP decision-making and planning. The evaluation is far more consultative, and key stakeholders and the evaluation team need to decide together what's needed at what point in time. A lot of time is spent doing sense-making - not just in the production of data and deliverables, but in discussions between stakeholders and evaluators to explore what these mean for planning and next steps.

Finally, while the core questions ensure some continuity of focus over the course of the evaluation, there is also a commitment to retaining flexibility to ensure that the evaluation is able to pivot to respond to emerging insights, questions and opportunities as they emerge over the course of the evaluation. For example, we may find that some of the sub-questions identified are no longer relevant or useful in the ways that we expected them to be; or that the work on policy commitments in specific countries does not materialise in the ways we expected.

¹² Rey, Tremblay, and Brousselle, *Managing Tensions Between Evaluation and Research: Illustrative Cases of Developmental Evaluation in the Context of Research*, American Journal of Evaluation, 2013.

7 Country/policy theme case sampling

The evaluation is designed to develop an in-depth understanding of the process and politics of setting and implementing commitments in a small number of OGP countries. As a starting point, it will focus on three core policy themes in five country contexts, to enable comparative analysis. The sample is based on the following prioritised criteria, which were selected in collaboration with OGP staff, and respond to the donors' priorities and to the TOR. Footnotes explain the rationale for including criteria where ESC members have raised questions. The criteria are oriented toward identifying cases that have some commonalities and yet also reflect the diversity of the OGP's portfolio and support. During the inception phase, OPM presented various options with associated trade-offs to the OGP and, subsequently, the ESC, for their consideration. The agreed sample is presented in Table 1.

Note that this sample of countries and policy themes may be adjusted and/or expanded depending on the learning that materialises during implementation of the evaluation. For instance, the evaluation team's tracking of beneficial ownership and wider cross-cutting themes (see section 5.1.3) in Nigeria may reveal cases well suited for rigorous contribution tracing in other commitment areas. Section 3.1 describes how additional funds may be deployed to these types of scope expansions.

7.1.1 Primary criteria

- **Policy commitments**¹³: beneficial ownership, open contracting, citizen engagement.¹⁴
 - Some commitments that include gender/ inclusion as a cross-cutting theme.
 - Some commitments that include citizen engagement as a cross-cutting theme.
- **DFID priority countries**: at least two DFID priority countries
- **Intensity of OGP support**:
 - Variation in the intensity of OGP support to the country¹⁵
 - Some countries that will receive MDTF support
- **Variation in the maturity of the focal commitment**¹⁶: number of Action Plans in which the member has made commitments on the focal policy theme.
- **Regional diversity**, including at least one European and one Latin American country. Eastern European countries with an ambition to join the European Union (EU) are an interesting

¹³ At the ESC call on 13 June 2019 OPM presented a tentative list of priority policy themes. Beneficial ownership and open contracting were identified as top priorities (based on consultations with the OGP and donors) with no objections made by ESC members. During this meeting OPM received the general steer that 2-3 themes would be appropriate.

¹⁴ Additional policy themes were explored (access to justice; gender) but not pursued, as beneficial ownership and open contracting were prioritised in the ToR and by OGP staff. Citizen engagement commitments were perceived to provide a useful contrast.

¹⁵ Table 1 shows the 'support levels' for 2019. The support plan is revised annually. Yet a higher level of support is often continued for several years. OGP staff felt that the sampled countries would likely receive the same level of support in 2020.

¹⁶ This selection criterion has been deemed important for a number of reasons. Firstly, including nascent commitments allows for a better analysis of commitment setting as opposed to only commitment implementation. Both commitment setting and implementation will be covered in this evaluation. Secondly, variation in maturity of commitments allows for a more diverse sample of cases. Thirdly, testing 'emerging impact' stories (as opposed to only looking at mature commitment areas where impact is deemed very likely to have materialised) can enable a) more reliable development of a causal pathway and b) course correction if issues arise during the process. That being said, it is likely that outcomes and impact may not materialise during the life of the evaluation in nascent commitment areas.

dynamic in the OGP portfolio. Latin American civil society contexts also provide a useful contrast to Africa.

7.1.2 Secondary criteria

- **Sub-nationals** ('Locals'): To enable analysis of national-local dynamics, include couplets of "national and sub-national" (rather than a sub-national without the national member). Understanding the dynamics between national and local members would be useful for the OGP, particularly given the current work to revise the OGP Locals strategy.¹⁷
- **Variation in the ambition of the focal commitment.** Note: we have used the most recent Independent Reporting Mechanism (IRM) assessment of ambition (often relating to the last commitment on the focal policy theme), supplemented by the informal assessment of OGP regional staff.
- **Variation in the scope/ quality of public participation in Action Plan development:** using the most recent available IRM assessment.
- **Variation in governance contexts:** e.g. large emerging democracies; some countries with a recent or likely political transition; former communist countries; etc.

Given the large number of criteria, the sample takes a 'best fit' approach: cases that meet the various criteria overall; and also ensures some diversity under each policy theme. The sample is based on systematic mapping of cases against the criteria, informed by both IRM data and extensive consultations with OGP staff. OPM provided various options for consideration and set-out the trade-offs: e.g. the inclusion of more countries (or a longer time-frame), with less depth in each country.

¹⁷ At the ESC inception phase call on 13 June 2019 most ESC members expressed a clear preference for including sub-national cases as part of the sample

Table 2 Sample: country and policy theme cases

Country (year joined)	Region	Transition	DFID Priority	NAP cycle	Quality of co-creation in last NAP	OGP support level	MDTF support	Policy theme (focal)	Policy maturity (#NAPs)	F an
Beneficial ownership										
Nigeria, 2016	Africa	2019 new ministers	X	2020-22	No data	Highest (special)	Implementa tion grant	BOT with extractives focus	Nascent (1)	Not a
Ukraine, 2011	Europe	2020 parliament		2018-20	Involve (open)	Moderate/low		BO validation and global register	Advanced (3)	Ambi 2016
Open contracting										
Kenya, 2011	Africa		X	2018-20	Consult (closed)	High	Co-Creation	OC data standards – gender/inclusion	Nascent (2)	Ambi 2016
Elgeyo Marakwet (Kenya local), 2016	Africa		X	2018-20	Collaborate (closed)	Moderate/low	Co-Creation	Procurement transparency, citizen contract monitoring	Nascent (2)	Mode 2017
Colombia ¹⁸ , 2011	Americas			2020-22	Consult (open)	High	Co-Creation	Improving availability of data on public procurement and citizen access to this information	Advanced (3) ¹⁹	Mode (2015)
Citizen engagement										
Philippines 2011	Asia	Challenge post-transition		2020-22	Consult (open)	High		Citizen validation of audit implementation.	Advanced (3)	Mode 2016
South Cotabato (Philippines local), 2018	Asia			2018-20	No data	Moderate/low		Citizen infrastructure monitoring	Nascent (1)	Not a

¹⁸ Colombia’s current open contracting commitment is implemented by the local government of Quindio. It may therefore in some respects be categorised as sub-national.

¹⁹ This refers to open contracting commitments at the national level. As noted, the current open contracting commitment in Colombia is at the sub-national level and could therefore also to some extent be categorised as nascent.

Table 3 Initial focal policy commitments

	Focal policy theme
Nigeria	Beneficial ownership: Establish an economy-wide beneficial ownership register with public access. Legislation was passed in late 2018 but an implementation plan has not yet been developed. Nigeria is an Extractive Industries Transparency Initiative (EITI) member, with commitments to develop an extractives-focused Beneficial Ownership (BO) register - a starting point for an economy-wide BO register. The main task for the next 2-years is to strengthen commitment and navigate the politics of establishing a public access register.
Ukraine	Beneficial ownership: Set up and implement a verification system for the BO register, and to align formats with the global register. Ukraine is one of only 3 countries to have BO register in place. Passed initial legislation in 2014. Driven in part by public outcry about corruption during and after the revolution. But currently low private sector compliance in regard to disclosing BO information. Ambition to join the EU. EU members required to establish a BO register by 2020.
Kenya	Open contracting: Implement open contracting (OC) data standards and ensure that 30% of public procurement opportunities are granted to youth, women and persons with disabilities with mechanisms for this to be actively monitored by citizens. Kenya committed to implement an Open Contracting Data Standard (OCDS) in the 2016-18 NAP. While legislation was passed in 2018, limited progress was made on implementation. Main challenges were financial and capacity constraints. The IRM recommended that Kenya define clear steps, goals and finances for each commitment. Integration of gender/inclusion in the commitment reflects a 2015 Act providing for <i>access to government procurement opportunities</i> for disadvantaged groups.
Elgeyo Marakwet, Kenya	Open contracting: Promote transparent and accountable public procurement; and facilitate public oversight on contract decisions and management (including the provision for access to opportunities for disadvantaged groups). This builds on the 2017 commitment which sought to improve disadvantaged group’s access to procurement opportunities and to strengthen public oversight of contracts management. The county now aims to facilitate enhanced public oversight over government procurement by: (a) expanding spaces for citizens, CSOs and contractors to feedback on procurement decisions; (b) simplifying and publishing tender documents; and (c) civic education on procurement processes and regulations.
Colombia	Open contracting: Articulation of a network of actors that participate in the monitoring, dissemination and feedback on contracting processes. Colombia is seen as a successful case of open contracting work, as earlier commitments have been ambitious and implemented. The open contracting commitment in the current Action Plan has an explicit citizen engagement focus and is led by the local government of Quindio. As such, it constitutes a slightly different case than previous open contracting work in the country. It also provides a useful example of integrating a local government commitment into the national action plan. This case has been selected due to strong support from the OGP and ESC.
Philippines	Citizen engagement: Expand and institutionalise participatory citizen audit (CPA). This builds on previous OGP commitments (by the Commission on Audit, COA) which successfully facilitated CSO engagement in the monitoring of audit performance/compliance. But the National Action Plan report notes poor implementation of audit recommendations. The COA now intends to expand the coverage of the CPA to: (a) validation of the implementation of audit recommendations; and (b) citizen dialogues to obtain inputs to the COA’s strategic planning.
South Cotabato,	Citizen engagement: Make infrastructure monitoring available and accessible to the public and enable citizen oversight. Infrastructure projects suffer delayed implementation, poor completion (5%) and quality. Provincial project monitoring committees (PPMC) already exist (government and CSOs) and conduct quarterly monitoring of infrastructure projects. But these reports are not

Philippines	timely or available to the public. The province aims to publish the reports on its website, with an opportunity for citizens to feedback and post photos on the status and quality of infrastructure projects. The province also aims to strengthen the composition of the PPMC.
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Variation in Action Plan cycles: Four of the seven cases in the sample are mid-way through their current action plan cycle (2018-20); while three will develop a new action plan in late 2019 (2020-21). While the TOR defined the evaluation of a two-year action plan cycle, OGP/OPM have agreed that variation in action plan cycles has some benefits.

- Many of the commitments commenced (in their first iteration) in a previous action plan. The evaluation will therefore (anyway) need to retrospectively analyse the trajectory and historical influences. There will be limits to the rigour of this analysis, and assessing the OGP's contribution, as stakeholder recollection and evidence will have dwindled over time.
- The evaluation contract ends in June 2021, and thus the research will not cover the entire implementation phase for commitments set at the end of 2019. The inclusion of some action plans that are mid-way through implementation allows for analysis of completion and dialogue over a potentially more ambitious commitment in the next plan. It also allows for more detailed analysis of outcomes and impacts.

7.1.3 Cross cutting themes

Although this evaluation starts out with a specific focus on three distinct categories of policy commitments, these deep dives provide entry-points for understanding wider open government dynamics and the OGP's role in these. For example, through analysis of the focal policy themes and co-creation processes, we will explore potential changes in perceptions of accountability relationships, citizen engagement and government responsiveness. Where relevant, this will include analysis of negative changes which may result from resistance within the non-linear, negotiated and complex process of opening government.

Civil society and citizen engagement and influence is a core evaluation theme which cuts across all cases. We will analyse the role of multi-stakeholder forums in co-creation and implementation. We will also analyse the extent of wider civil society and citizens access to and engagement in the process; and, where relevant, their use of information and new mechanisms to push for accountability. By comparing these cases, the evaluation will draw insights to answer the OGP's learning questions.

Analysis of gender and inclusion will be central to all research on civil society and citizen engagement. Some of the focal policy commitments also incorporate gender and inclusion. In broader terms, we will also explore whether and how the Ottawa Summit and new *Gender Community of Practice* are influencing dialogue on gender and inclusion among OGP stakeholders at country level. OPM will engage with the OGP gender lead to explore learning questions; and keep abreast of the discussions in the gender community of practice (which includes the Kenyan government and some organisations that work on open contracting, such as Hivos).

8 Communications and learning

This section describes how the OPM evaluation team will manage learning and communications during the evaluation. This plan should be seen as a living document, which will be updated periodically. Our proposed learning and communications plan is based on the understanding that research uptake happens when stakeholders have access to evidenced and clear lessons, and have the space to use it. The inception phase included extensive consultation with key stakeholders on the purpose, scope and focus of this evaluation. We will continue this (as needed) during the implementation phase.

8.1.1 Communications stakeholder mapping

The evaluation requires communications among various stakeholder groups:

1. **Evaluation team:** the core evaluation team, country coordinators and thematic experts.
2. **OGP:** the is a complex organisation with a variety of teams and information needs, with staff based around the world. This includes the central team in Washington, thematic experts, regional teams and IRM staff.
3. **ESC:** alongside an OGP representative, the ESC is composed of donors and organisations with a clear interest in the evaluation as well as independent evaluation experts.
4. **Local stakeholders:** CSOs, government institutions and actors (especially the Points of Contact) and other actors engaged in OGP processes in particular countries.
5. **Wider community:** this group includes relevant communities of practice (such as the Open Contracting Partnership), thematic experts and other governance, transparency and accountability initiatives.

8.1.2 Learning

Our learning activities will follow a three-step approach:

1. **Capture and categorise:** The evaluators will capture key lessons and insights in a learning log, on a monthly basis, on a number of dimensions. Initially, key dimensions are:
 - i) Methods-related learning (e.g. those associated with data collection among local CSOs, or the application of contribution tracing).
 - ii) Management and risks related learning (e.g. lessons about how to best manage the evaluation and its risks).
 - iii) Substance (e.g. lessons about what works when it comes to transparency and/or beneficial ownership work).
 - iv) Context factors that influence the dynamics and momentum of OGP work
 - v) Stakeholders (such as insights about the preferences and incentives facing different core stakeholders in the evaluation).
2. **Tailoring and presentation:** To enable learning, information must be accessible and useful. Our team will produce insights and develop visual, user-friendly communications products, tailored to specific audiences.
3. **Dissemination:** Stakeholders positioned to benefit from lessons and insights captured in this evaluation cannot be assumed to proactively identify this information. We will therefore actively

disseminate the audience-tailored learning to the key stakeholders on a quarterly basis (in quarterly and annual meetings with OGP and ESC).

8.1.3 Communication

Communication involves collaboration, engagement and the sharing of information between stakeholders. This evaluation involves a wide range of stakeholders and achievement of its learning objectives hinges on effective communication among them. Based on the stakeholder mapping above, we have identified three focus areas for our communication efforts.

Evaluation team communication and knowledge management:

This evaluation requires effective collaboration and knowledge sharing within a geographically-dispersed evaluation team. To ensure alignment and the consolidation of learning across countries and thematic areas, we will use the following knowledge management procedures.

- Regular meetings (remote and in-person) between the geographically-dispersed evaluation team. This will commence with an initial workshop with all country coordinators to ensure a common understanding of the evaluation objectives and data collection tools, and to commence initial relationship building and learning across country-based researchers.
- To support communication, we have established a knowledge management platform using OPM's existing Sharepoint (intranet) system. This system allows for easy storage, access to, sharing and co-creation of data and documents across the team.

Communication with the OGP:

- Regular communication with OGP's Washington, regional and thematic teams. This includes quarterly in-person visits (Washington and London) and more frequent remote conversations
- Short summaries, using data visualisations and infographics where relevant, to strengthen ensure that insights and reports are useful and accessible for the OGP team.

Communication with the ESC:

- Quarterly reporting to the ESC, alongside intermediate presentation of learning. The ESC provides a useful forum for inputs and the sharing of learning, as well as for decision making. This helps ensure that the evaluation stays on track and produces useful knowledge.
- Annual in-person meeting with the ESC (if needed). This forum will allow for in-depth stocktake, discussion and reflection among the OGP and ESC.

Communication with the wider community of stakeholders:

- We will work with the OGP SU to ensure that learning is shared with communities of practice and wider organisations with an interest in open governance.

8.1.4 Deliverables and outputs

The evaluation deliverables are primarily for the OGP and ESC members, although insights will be shared with the wider community interested stakeholders. The main deliverables are: quarterly reports, an annual report and a final evaluation report. We will propose a template for the annual reports six-months into the evaluation (as we develop understanding of OGP information needs and preferences). An appropriate format for the final evaluation report will be decided during the second year of implementation.

In addition to the milestone deliverables set out in OPM's contract with the OGP, we propose to produce a number of other learning products. The focus and format of these products will be shaped by the preferences and needs of the OGP; but are likely to include country and thematic briefs.

9 Governance arrangements

This evaluation is complex. It is focused on uncovering complex change processes, identifying the OGP's contribution to these and drawing lessons across contextually different countries. The evaluation is also guided by input from and seeks to address the needs of a broad group of stakeholders (a mix of donors and beneficiaries). Moreover, the fact that the OGP is both the party being evaluated and fulfilling a support function to the evaluation could create a risk to the independence of the evaluation. The evaluation team is aware of this complexity and in this section we propose a set of governance arrangements with a strict division of responsibilities to help manage it while ensuring clear accountability to the evaluation's beneficiaries and donors.

9.1.1 Roles and responsibilities

Day-to-day implementation:

The OPM team will oversee the day to day implementation of the evaluation. This will be led by Emma Jones (Team Leader), with support from the wider evaluation team: Søren Haldrup (project manager), Claire Hutchings (evaluation expert), country coordinators, and evaluation support roles (Gunjan Jhunjunwala). With the increased budgetary and analytical scope of the evaluation (compared to the original ToR and technical proposal) two additional team members have been added to the team to help oversee evaluation activities in Colombia, Kenya and Nigeria.

Oversight:

The ESC is the highest decision making body in this evaluation. The ESC provides general oversight and makes strategic decisions about the evaluation's direction and focus. This includes decisions on whether to spend additional funds allocated to the flexible pool of funding. These decisions are to be made based on a proposal submitted to the ESC by the OPM team. The ESC also approves milestones and authorises the associated milestone payments. The ESC is composed of: the OGP, DFID, Hewlett Foundation, Open Society Foundations, two independent evaluation experts and the Transparency and Accountability Initiative (TAI). OPM's Project Manager is the evaluation team's point of contact for the ESC.

As specified in this assignment's ToR, the ESC should always strive to reach decisions unanimously. However, in case of disagreements, the following steps should be followed:

- Step 1: Pursuing unanimous decision. Series of discussions amongst managing and advisory steering committee members, having quality of the evaluation as described in the ToR as starting point. The independent experts should lead on these discussions. Any managing party of the ESC that is outnumbered by other parties should attempt to compromise where possible.
- Step 2: Should one managing party not be able to agree on a course of action, that party should detail their bottom line, and attempt to reach a compromise between all managing members.
- Step 3 (optional): If useful, the ESC can request an entity independent of all ESC members to mediate the disagreement, to see if striking a compromise is possible.

Step 4: Vote. Each managing member gets one vote (donor organisations get one each, experts get one each). Should the vote be a tie, DFID (as the driver of this evaluation) gets the decisive vote. Voting is a final resort and should be avoided where possible.

As an additional oversight measure OPM has designated a Programme Director (PD), Ben French. The PD provides strategic oversight on OPM's side and is an additional quality assurance measure. The PD also provides a venue for the OGP/ESC to escalate issues beyond the core evaluation team.

9.1.2 Reporting and invoicing

The evaluation is composed of ten deliverables as outlined in the table below.

Table 4: Milestone schedule

Milestone	Due Date
Inception Completion: submission of a detailed approach and methodology; workplan, deliverables, timetable, and budget; learning and communications plan; and a service level agreement	No later than 31 July 2019
Submission of the Jul – Sept 2019 Quarterly Report	30 September 2019
Submission of the Oct – Dec 2019 Quarterly Report	31 December 2019
Submission of the Jan – Mar 2020 Quarterly Report	31 March 2020
Submission of the Annual Report and Apr – Jun 2020 Quarterly Report	30 June 2020
Submission of the Jul – Sept 2020 Quarterly Report	30 September 2020
Submission of the Oct – Dec 2020 Quarterly Report	31 December 2020
Submission of the Jan – Mar 2021 Quarterly Report	31 March 2021
Submission of the final Annual Report	2 years after contract signature

There will be seven quarterly progress reports which will be submitted to the Evaluation Steering Committee. They will be brief and relatively informal but should at a minimum include a discussion of: i) progress towards the work plan, ii) latest findings, iii) communications and learning, iv) financial and management reporting, v) risks and challenges and vi) priorities for the next quarter. These reports will be submitted ahead of the quarterly meetings and be discussed during these meetings with the ESC and relevant stakeholders.

In addition to the quarterly reports there will be two annual reports explaining in greater detail: i) preliminary findings, ii) challenges to implementation of evaluation approach, methodology and analysis, and iii) plans for the second year of the evaluation. The year 1 and final reports will focus on the same themes but also make conclusions on the entire evaluation by synthesising all the key issues/messages. The report will include a summary of the previous two years of activities and findings. Specifically, it will include:

- i) a narrative overview of the reflection and learning undertaken within the OGP as part of the evaluation;
- ii) policy thematic and country case studies;
- iii) rigorous contribution tracing studies on a number of specific outcomes materialised during the course of the evaluation;
- iv) a rigorous comparative study across cases covered in the evaluation.

DFID, Hewlett and the Open Society Foundations will have unlimited access to these reports produced by the evaluator which will acknowledge DFID, Hewlett Foundation, and the Open Society Foundations support clearly and explicitly.

9.1.3 Communication with OGP and ESC

Regular communication with OGP:

- The OPM project manager will maintain regular communication with the OGP contact point for the evaluation. The OPM project manager will meet with the OGP in Washington on a quarterly basis to discuss progress and management.
- The evaluation team will engage regularly with central, thematic and regional OGP teams as part of learning and reflection activities.

Communication with ESC:

- OPM will engage with the ESC (through dial-in meetings) to provide updates and seek guidance and decisions at critical points. Initially we propose quarterly meetings, yet additional meetings may be arranged according to needs.
- Communications intended only for approval of quarterly milestones may happen via email.
- OPM proposes an annual learning and reflection meeting with the ESC in Washington (subject to ESC members being able to cover costs associated with their own travel).
- TAI will convene and moderate ESC meetings, including preparing an agenda in collaboration with the OPM team.

Quality assurance

In order to ensure that all evaluation outputs meet the highest standards required by DFID, the consortium will apply a relevant quality assurance (QA) process across the evaluation lifecycle.

Ultimate responsibility for overall QA processes will lie with the Team Leader, while the project manager will handle day-to-day management of QA processes and ensure that these processes are implemented as intended. Roles and responsibilities for QA will be clearly articulated and are summarised below:

Level 1: the first level of QA is provided in-house by the Team Leader, who is responsible for checking the quality and promptness of all outputs and ensuring that the evaluation responds to all aspects of DFID's EQUALS criteria, and complies with broader international evaluation standards, including accepted codes of conduct around ethics and gender considerations.

Level 2: A wider group of evaluation and thematic experts will be responsible for checking quality and consistency in approach and standards across evaluations. Their role will include: (i) a review of quarterly and annual reports, including the choice of evaluation methodologies in terms of rigour and relevance; (ii) commenting on the appropriateness of data interpretation, and on the success or failure to substantiate judgements; and (iii) an independent view and statement on the annual evaluation reports in terms of their quality, credibility, appropriateness and accessibility.

Level 3: Having been through the internal in-house QA and been revised accordingly, our final evaluation report will be sent for DFID's EQUALS review.

These levels of QA will ensure that evaluation deliverables will be subject to quality assurance and will therefore meet DFID's quality requirements.

Ethical considerations

11.1.1 Adherence to DFID Ethical Principles

Oxford Policy Management (OPM) regularly carries out research studies that collect primary data from human subjects. As a value-driven organisation, OPM is always respectful to the rights of the participants of its research projects, and have a policy to ensure complete adherence to research ethics.

In 2013, the Management Team of OPM approved the establishment of an independent Ethical Review Committee (ERC) within OPM. The overall aim of the committee is to ensure that all OPM research activities are carried out in highest ethical standard.

The studies/surveys that are funded and involve primary data collection from human participant go through the ERC approval process. To ensure ethical quality assurance throughout the evaluation, the team will share all fieldwork protocols and data collection instruments with ESC.

The evaluation will be conducted in accordance with DFID's Ethics Principles for Research and Evaluation.

1. Researchers and evaluators are responsible for identifying the need for and securing any necessary ethics approval for the study they are undertaking

The team will apply for ethical clearance to the relevant national ethics committees in the sampled countries to obtain ethical clearance if such bodies exist.

2. Research and evaluation must be relevant and high quality with clear developmental and practical value

The establishment of appropriate governance and stakeholder engagement processes should help to ensure the relevance of the evaluation to stakeholder needs. Quality will be assured through OPM's review system, and through review by EQUALS of evaluation products.

3. Researchers and evaluators should avoid harm to participants in studies, including those conducting them

To the extent that particular data collection processes create risks of harm, particularly for the potentially vulnerable, a clear statement of how the evaluation will do no harm will be provided, and reviewed through any national ethical review processes, if any exists.

4. Participation in research and evaluation should be voluntary and free from external pressure

The team will make clear to participants that, should they wish to, they will be free to opt out of the discussion or interview at any point. It will be important to emphasise traditional ethical considerations of confidentiality, power relations and informed consent. Consent should be an ongoing process, and (as far as applicable) anonymity should be adhered to. In addition, no gifts or other rewards will be presented to respondents so as not to influence consent

Statements of informed consent from those providing information for the evaluation will be obtained where this is judged to be required.

5. Researchers and evaluators should ensure confidentiality of information, privacy and anonymity of study participants

Confidentiality and anonymity guarantees will be made to those providing information for the evaluation. Interested stakeholders will have access to evaluation-related information in forms that respect confidentiality.

6. Researchers and evaluators should operate in accordance with international human rights conventions and covenants to which the UK is a signatory, regardless of local country standards

This is a provision of the evaluation contract.

7. DFID-funded research and evaluation should respect cultural sensitivities

The team (particularly team members who will be conducting fieldwork) consists of experienced international and national researchers with a strong awareness of cultural sensitivities in research and evaluation. Any risks related to cultural sensitivities in data collection will be identified and addressed through the quality assurance process and ethical review process if available.

8. DFID is committed to publication and communication of all evaluations and research studies

The TOR do not detail any communication and dissemination plan and therefore it is assumed that DFID will take responsibility for this.

9. Research and evaluation should usually be independent of those implementing an intervention or programme under study

OPM as an organisation has had no direct involvement in the design or implementation of the OGP. OPM will also not bid for or undertake any work contracted under this programme. To the extent that any potential conflict of interest is judged to be generated for a team member as a result, this will be identified, disclosed and appropriate mitigation measures taken.

10. All DFID funded research/evaluation should have particular emphasis on ensuring participation from women and socially excluded groups.

Analysis of underrepresented groups especially women engage in the OGP action plan process will be a focus of the evaluation. Especially a country case of Kenya will involve an analysis of trends in public contract awards to explore whether a greater number of contracts go to SMEs or companies owned by women or minority groups.

Implementation workplan

Independent Evaluation of the Open Government Partnership - Implementation Workplan																	
Activities													Year				
	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	
Management																	
Financial and project reviews (OPM Internal)																	
OGP/ESC calls (quarterly)																	
OGP/ESC annual DC meeting (stocktake, reflection and learning)																	
Quarterly Progress Reports																	
Overarching - across countries																	
Kick-off calls with OGP regional teams (led by each country lead)																	
Develop data collection tools (tools and procedures for in-country work)																	
Training session for country coordinators in Nairobi																	
Document review and interviews with thematic experts																	
Research calls to OGP regional and teams																	
Data management and coding																	
COP meetings & keeping track of dialogue online (timing TBC)																	
OGP Summit																	
Media tracking - data coding and analysis																	
Update learning log and disseminate insights to target audiences																	
Country cases (for each country)																	
Tailoring of data collection tools																	
Document review																	
Data collection (incl. stakeholder interviews and particip obvs)																	
Retrospective analysis of country cases																	
Country data analysis/report (3 per yr)																	
Stakeholder workshops in-country (timing may vary between countries)																	
Learning/evaluation questions monitoring (developmental only)																	
Media tracking (monthly)																	
Evaluation																	
QCA (or other comparative method)																	
QCA additional data collection																	
Contribution tracing analysis																	
First annual report																	
Final evaluation report																	

Legend	
	Activity in Progress
	Activity Conclusion
	Output/Deliverable

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Annex A

Additional learning questions

This annex provides an overview of additional learning questions articulated by the OGP and donor staff during the inception phase.

A.1.1 Learning and capacity development

- How have the OGP TOC and assumptions worked out in practice? What have been the trade-offs and sequencing? (Hewlett)
- OGP focal themes are ‘pushed priorities’, which goes against the notion that Action Plans and the OGP are driven by the members and issues relevant to them. Does OGP emphasis on specific policy themes achieve results?
- Is OGP’s engagement of civil society sufficient and inclusive enough?
- Has the recent merging of OGP civil society and gov’t support been useful/ effective?
- How can OGP better ensure the influence of citizens (versus engaging with CSOs)?
- Does more citizen involvement lead to better policies? Does the inclusion of a wider set of citizens lead to more inclusive policy commitments; or is the inclusivity of the commitment best tackled through technical support?
- How do political transitions affect OGP’s agenda? How can OGP better manage political transitions and learn from different contexts?
- Are OGP international and regional events effective in promoting commitment and reforms?
- Is OGP high level engagement an efficient use of time and resources? Are steering committee visits to priority countries an effective use of resources?
- What is OGP trying to do, when, and where are we hypothesising this? Are there tensions in the methods and approaches? Can OPM work with OGP to develop a road map for what OGP intends to achieve in this NAP cycle? (Hewlett)
- Are multi-stakeholder forums effective for leveraging political capital, or a window dressing, or creating a bureaucratic space? Are they more useful for some policy themes than others? Are the MSF requirements enabling or disabling for inclusion?

A.1.2 Effectiveness

- What is the effect of the law /context for civil society; and how does OGP enable or not enable civic space within that context?
- How does the political context affect both progress and the time taken for policy reforms? What is the added-value of a multi-stakeholder initiative?
- If a country inserts an ongoing reform into the NAP, what is the value added of doing so? Does the NAP make a difference, why and how?
- Is the 18-month implementation period enabling, or too short to see implementation? Does this affect ambition?
- OGP aims to work across many stakeholders in country, to draw on different leverage, including parliamentarians so it endures political transitions. Is this happening in practice?
- What is the effect/ value-added of fostering connections and partnerships (between CS and government) in a country and internationally?
- OGP SU leverages support from wider partners to maximize impacts. What are the outcomes and added-value of this brokering role?

- Are some types of policy implemented better than others? Or types of countries/ regions/ institutional affiliations that shape whether OGP is successful?