Product from SNV in Asia

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SNV is dedicated to a society in which all people enjoy the freedom to pursue their own sustainable development. We contribute to this by strengthening the capacity of local organisations.
### Abbreviations

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### SNV Terminology

- **Actor Constellation**: Refers to a list of all actors that are potentially involved in or affected by the field of the programme or project.

- **Local Capacity Builder**: Refers to any type of actor that a) provides capacity development services to meso-level actors, and b) is owned and governed within the country or regional context.

- **SNV Client**: Refers to Government/Private Sector/Civil Society actor that we work with.
Introduction

The Social Inclusion (SI) and Accountability Proofing Tool has been designed to help SNV advisors and other development practitioners consider and adequately address SI and accountability issues while planning, executing, monitoring and evaluating a programme or project. The tool has been structured around three key stages of project management: analysis and planning, implementation and monitoring, and evaluation. Therefore, the use of this tool is intended to be part of and add quality to the programme/project management process.

The tool is divided into two parts. The first part provides the users of the tool with some background information on SNV: Governance, SI and Accountability in SNV, and its Managing for Results (MfR) system.

The second part includes the actual tool that contains a set of guiding questions and a number of useful tips for each of the three key stages of a programme/project as mentioned above.
Background

**SNV Netherlands Development Organisation** is a non-profit international development organisation. Starting out in the Netherlands more than 40 years ago, SNV now works in **36 of the poorest countries** in Africa, Asia and Latin America. Our global team of local and international advisors work with local partners to equip communities, businesses and organisations with the tools, knowledge and connections they need to increase income and employment opportunities, and improve access to basic services - empowering them to **break the cycle of poverty** and guide their own development.

By sharing our specialist expertise in **Agriculture, Renewable Energy, and Water, Sanitation and Hygiene**, we contribute to solving some of the leading problems facing the world today - helping to find local solutions to global challenges and sowing the seeds of lasting change.

SNV aims to make a lasting difference in the lives of approximately **40 million people** living in poverty over the period 2011-2015.

**Governance, Social Inclusion and Accountability in SNV**

SNV believes that no one should have to live in poverty and is dedicated to a society in which all people, irrespective of race, class or gender, enjoy the freedom to pursue their own **sustainable development**. SNV’s mission is to catalyse sustainable development processes. We develop local capacities, improve performance and services, strengthen governance systems, help create access for excluded groups and make markets work for the poor.

Thus, **governance** in general and **SI** in particular are central to SNV’s efforts to reduce poverty and improve the quality of life of the poorest people. There is general consensus that governance is about establishing effective relationships, networks and partnerships to negotiate, decide and coordinate the activities of the State, communities, private sector and civil society organisations towards sustaining quality services for all and economic growth that is inclusive.

**Inclusive growth and development** is seen as an essential feature for lasting development success. SNV recognises that sustained poverty reduction requires women and men living in poverty to both contribute to and benefit from growth while having access to quality basic services. Within SI, **gender** is adopted as a crucial element for addressing poverty. Often development agendas do not tally with the specific interests or inherent energy of poor parts of society. Inclusive development actively listens to and engages with both women and men living in poverty -be they producers, workers or consumers- in order to find development solutions that can create change for large numbers of people.

Realising inclusive and sustained development at scale goes beyond simply providing services to women and men living in poverty. It requires shaping an **enabling environment** that addresses the systemic constraints underlying poor performance and inequality. For **improving sector or system performance** a **multi-actor approach** is essential.
Improving the functioning of service providers and supporting them to demonstrate accountability is also part of the challenge to create an enabling environment for development. In SNV, focusing on accountability is considered a strategic entry point for improving sector performance. It is a necessary factor in the success of any business, product or service. Accountability mechanisms force actors to take responsibility, expose those who fail to deliver, keep policy makers and providers alert, and provide users with instruments to demand their rights.

Service providers tend to perform better when they are held to account by their clients.

**Managing for Results**

MfR is SNV’s approach to planning, monitoring and evaluation (PME). It forms the basis of a clearly articulated series of steps to plan and monitor the progress of projects, track the effectiveness of approaches and learn throughout the project cycle.

In practice, MfR means constant analysis, reflection and improvement of SNV’s practice throughout a project’s life cycle, from conception to conclusion. At the planning stage, a project-specific intervention logic is developed through the articulation of a theory of change, the development of a results chain and a comprehensive sets of harmonised and project-specific indicators.

Throughout a project’s lifespan, the online PME format is used by our advisors in all SNV projects to capture data and track progress – from impact to outcomes, outputs and corresponding indicators. SNV’s approach to gender and SI is captured in our PME format in several places. However, the need was felt to develop a tool that would further help SNV advisors consider and address SI and accountability issues in the MfR process.
Social Inclusion and Accountability Proofing Tool

Purpose

The purpose of developing the SI and Accountability Proofing Tool is to help SNV advisors consider and adequately address SI and accountability issues throughout the programme or project’s life cycle.

Target Users

Although initially developed to help SNV advisors, the tool can be used by any development practitioner who is involved in the planning, execution, monitoring and evaluation (M&E) of programmes or projects and is committed to effectively mainstream SI and accountability in her/his work. Users can be people working in development organisations, governments, private companies, non-governmental and civil society organisations.

For effective mainstreaming, it is essential that SI and accountability issues are identified and addressed right from the start. Therefore, a lot of emphasis has been put in this tool on the integration of SI and accountability at the project initiation and planning stage. If SI and accountability are addressed right from the start of a programme or project, mainstreaming during implementation, M&E will follow naturally. This is why the primary target users of this tool are people who are involved in the formulation of programmes and projects.

How to Use the Tool?

The tool can be used on an on-going basis during programme or project design, implementation, M&E. It can also be used for a more formal assessment at the end of a programme or project (e.g. for SNV, it can be part of the external evaluation of the programme/project) that is carried out for learning purposes and to inform the development of a new programme or project.

The tool has been structured around the three major SNV’s PME quality standards, i.e. ‘Analyse and Plan’ (analysis and planning stage), ‘Act and Monitor’ (implementation and monitoring stage), and ‘Assess and Evaluate’ (evaluation stage). Therefore, the use of this tool should not be seen as an additional task and should form part of the regular programme/project management process as it will help to add quality to the process.

For each of these key stages (analysis and planning, implementation and monitoring, evaluation) of a programme or project, the tool offers a set of guiding questions and a number of useful tips. Reflecting on and being able to answer the key questions is a must for programme/project managers to ensure effective mainstreaming of SI and accountability. Additional questions have also been formulated for those who are particularly interested and committed to address SI and accountability issues in programmes/projects.

The objective of the guiding questions is to help the users analyse, reflect on and address SI and accountability issues.

The objective of the tips is to provide important information to the users for their consideration when mainstreaming SI and accountability.
Definitions of Social Inclusion and Accountability

For the purpose of the tool, SI and accountability have been defined as follows:

**SI** is about all members and segments of society enjoying equal rights and benefits in the political, economic and social spheres without discrimination based on sex, age, geographical area, ethnicity, place of origin, educational background, economic status, caste, religion, disability, health status, etc.

**Accountability** is the obligation of the government, an organisation/institution/firm or an individual to inform about decisions, actions (or inaction) and results that affect the lives of women and men of different segments of society, justify those decisions, actions (or inaction) and results, and be held responsible in the case of misconduct or poor performance.

Social Inclusion and Accountability Proofing Tool

**ANALYSE AND PLAN**

*Guiding Questions for SI during Context Analysis*

**Key questions:**

- Which groups of people\(^1\) do not get equal rights and/or do not enjoy equal benefits as compared to others in your programme/project area of intervention?
- What are the key challenges these groups face in terms of access to resources, access to services, voicing concerns, contributing and influencing to decision-making, and access to information?
- What are in general the reasons for these challenges?

**Additional questions:**

- What are strengths\(^2\) that can be built on for addressing the identified challenges?
- What weaknesses\(^3\) and what sensitivities (cultural, religious, social) amongst stakeholders need to be taken into account?

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1. For example: women/men, girls/boys, old women/men, women/men living in poverty, women/men living with HIV/AIDS, women/men living with disability, etc.
2. For example: strong motivation for change, ability to voice concerns, strong community cooperation, existing laws and policies, ratification of UN/regional conventions, awareness of rights and legal framework, internal/external support, existing skills and capacities of stakeholders (including implementing partner/client/groups of people identified above) to address the key challenges, etc.
3. For example: lacking/limited skills to plan meetings at the right time and location, unclear/absent/discriminatory laws and policies, absence of willingness, lacking/limited internal/external support, lacking/limited capacities of stakeholders (including implementing partner/client/groups of people identified above) to address the key challenges, etc.
**Tips for SI during Context Analysis**

- Refer to existing documents that provide relevant disaggregated data and information on the above mentioned issues.
  - If such information is not readily available, collect disaggregated data or make collection of such data part of the intervention.

**Guiding Questions for Accountability during Context Analysis**

**Key questions:**

- Looking at the actor constellation, select the main actors and fill in the following table for each of them.

**Name of the actor/service provider:**

| What are the key responsibilities of this actor as per its mandate? | Are these key responsibilities clear to everyone? |
| To whom does this actor provide services? **List of service users** | To whom else should this actor provide services? |
| Who does this actor inform about its (in) actions, decisions and results? | |
| How does this actor inform? | |
| Who does this actor justify to about its (in) actions, decisions and results? | |

- What are the strengths and weaknesses of this actor in relation to:
  - Providing timely and reliable information: to all those who have the right to be informed, and through adequate channels.
  - Soliciting for and responding to feedback.
  - Justifying what it does, does not do, its decisions and results.

- What are the strengths and weaknesses of these users** in relation to:
  - Asking for timely and reliable information and justification.
  - Providing feedback.
  - Building a collective voice.
Additional questions:

- What are the constraints in the relationships that hinder the actors in fulfilling their roles and responsibilities effectively and efficiently?
- What are other positive and negative factors that can be taken into account?

Guiding Questions for SI and Accountability during Planning

Key questions:

- What will be done in this programme/project to specifically address the key challenges identified above in terms of SI?
- How will we build on the identified strengths and address the identified weaknesses of the main actors and service users?

Additional questions:

- When analysing the risks, what are the risks that may affect participation and equal access to benefits from the programme/project for the groups of people identified above? What are the risks that may affect accountability?
  - How can these risks be addressed?
- What will be the role of actors other than the client and Local Capacity Builders in the implementation and M&E of the programme/project?

Tips for SI and Accountability during Planning

- Include in your intervention logic or theory of change and results chain (results and indicators) what the programme/project will do to address the SI and accountability issues and the risks identified above.
- Make sure results and indicators are disaggregated by sex and other criteria wherever relevant (e.g. age, geographical area, ethnicity, place of origin, educational background, economic status, caste, religion, disability, health status, etc.).

Overall Tips for SI and Accountability during Context Analysis and Planning

- Make sure the context analysis and planning process is a participatory dialogue.
  - Include all stakeholders in the analysis and planning process, including the ones with specific knowledge and expertise on SI and accountability issues.
  - Ensure the stakeholders can effectively participate in the formulation of the programme/project by: 1) providing them with relevant and verifiable information, and

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4 For example: systems in place such as legal or administrative frameworks available to hold actors responsible, actors that can play a positive role, agents of change/leaders.
2) supporting them in order to bring them to an adequate level of understanding about SI and accountability issues\(^5\).

- Include a governance/SI or gender specialist in the team responsible for context analysis and planning.
- Use and build on existing national policy and strategic framework, (local) knowledge and expertise available on SI and accountability issues in your particular context and carefully align the process so as to strengthen national capacities on SI and accountability as well as bring in universal perspectives to complement them.
- Ensure adequate resources are allocated for addressing SI and accountability issues in the design of the programme/project.
- When doing the baseline:
  - If you need to do sampling, ensure you design a sampling that is representative of different groups of people (women and men, women and men living in poverty, etc.) among the targeted group(s).
  - For data collection during baseline, M&E, you can refer to the G4E [Governance for Empowerment] guidelines for collection of data tool.
- When developing the M&E plan:
  - Ensure you have representatives of the groups of people identified above as well as stakeholders with a specific knowledge and expertise on SI and accountability issues included among those who will do the M&E.
  - Ensure you plan to monitor progress on SI and accountability aspects and identify unintended effects the programme/project may have in terms of SI and accountability and provide justification.

**ACT AND MONITOR**

*Guiding Questions for SI and Accountability during Implementation and Monitoring*

**Key questions:**

- How are specific responsibilities for addressing SI and accountability issues shared in the programme/project implementation?

- When monitoring progress of the programme/project, especially monitor:
  - The patterns the disaggregated data show.
  - The progress made towards the desired results that are specific to SI and accountability (the impact story structure helps advisors to reflect).
  - What are the reasons for failure or slow progress in achieving the milestones or targets?

**Additional question:**

- What are the unintended effects of the programme/project in terms of SI and accountability?

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\(^5\) For example, by equipping them with background information, sharing legal and other universal issues related to accountability, etc.
**ASSESS AND EVALUATE**

**Guiding Questions for SI and Accountability during Evaluation**

**Key questions:**

- When evaluating the programme/project, especially assess:
  - The patterns the disaggregated data show.
  - Achievement of the desired results that are specific to SI and accountability.
  - What are the reasons for success and failure in achieving the targets?

**Additional questions:**

- What are the unintended effects of the programme/project in terms of SI and accountability?
- What are the lessons learned in terms of SI and accountability?

**Tips for SI and Accountability during Evaluation**

- Based on the results of monitoring, make realistic adjustments to the programme/project in terms of SI and accountability.
- Brief consultants who are hired during implementation or for monitoring purposes (e.g. who will conduct the mid-term review) on SI and accountability issues and include the responsibility to review and address such issues in their terms of reference.
- During implementation and monitoring, ensure there are representatives of the groups of people identified above who are part of the process.
- For internal and external evaluations, ensure someone/an organisation with knowledge and expertise on SI and accountability issues is part of the team.
- Inform and support stakeholders involved in the evaluation process in order to bring them to an adequate level of understanding about SI and accountability issues.
- Ensure respondents are representative of different groups of people (women and men, women and men living in poverty, etc.) involved in or affected by the programme/project.
- Depending on the methods used in the evaluation, have separate groups of respondents if needed (e.g. women only focus group discussions).
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