



2025:04

Sida Decentralised Evaluation

Cowater International Sweden AB

Evaluation of Sida's International Training Programmes (ITP) as Instruments for Supporting Effective and Inclusive Institutions

Final Report

Evaluation of Sida's International Training Programmes (ITP) as Instruments for Supporting Effective and Inclusive Institutions

**Final Report
April 2025**

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The views and interpretations expressed in this report are the authors' and do not necessarily reflect those of the Swedish International Development Cooperation Agency, Sida.

Sida Decentralised Evaluation 2025:04

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Date of final report: 2025-02-19

Art. no. Sida62771en

urn:nbn:se:sida-62771en

This publication can be downloaded from: www.sida.se/en/publications

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Abbreviations and Acronyms

ITP	International Training Programmes
CAPDEV	Sida's unit for capacity development
CSO	Civil Society Organisation
EGP	Environmental Governance Programme
EQ	Evaluation Question
ESR	Enhanced Single Registry
ICPB	International Capability Building Programme
ITP	International Training Programme
KAPAME	Strategy for capacity development, partnership and methods that support the 2030 Agenda for sustainable development
KRA	Kenya Revenue Authority
M&E	Monitoring and Evaluation
NGO	Non-Governmental Organisation
OECD/DAC	Organisation for Economic Co-operation and Development's Development Assistance Committee
PDIA	Problem Driven Iterative Adaptation
SUWAS	Sustainable Urban Water and Sanitation
ToC	Theory of Change
ToR	Terms of Reference
UNDP	United Nations Development Programme
WASH	Water, Sanitation and Hygiene

Preface

This evaluation was contracted by Sida's unit for capacity development (CAPDEV) through the Sida Framework Agreement for Evaluation Services, and conducted by Cowater Sweden.

The Evaluation Team consisted of Jonas Lövkrona (Team Leader), Leni Wild, Janet Awimbo and Sofia Kliukina. The Draft Report was quality assured by Ingela Ternström, whose work was independent of the evaluation team. Helka Lamminkoski provided project management support.

The evaluation team wishes to express its appreciation to CAPDEV and representatives of the five ITPs reviewed as part of the evaluation, with a special thanks directed to Ingrun Hattenbach Åslund, who coordinated the evaluation at Sida.

Executive Summary

International Training Programmes (ITPs) have represented one of Sida's specific instruments for capacity development since the 1980s. The objective of the evaluation was to assess the design, methodology, implementation and results of a selection of ITPs with a view to identify what works well and less well, both at the programme and portfolio level, in terms of the efforts to contribute to more effective and inclusive institutions and organisations. As such, the evaluation is expected to inform decisions on adjustments and improvements in Sida's portfolio of ITPs, as well as the general approach to supporting institutional change through the ITPs. The intended users of the evaluation are the staff of Sida's unit for capacity development (CAPDEV) and ITP partners.

The evaluation was utilisation-focused and theory-based. A reconstructed Theory of Change (ToC) guided the data collection and analysis process, paying particular attention to the application of five principles for capacity development, as defined in a CAPDEV briefing paper and presented below:

- Locally driven change processes as the foundation
- Systemic approach to collaboration between actors
- Understanding power relations
- Build broad competencies for change
- Adaptive and long-term approach

Evidence was collected from a wide range of sources, including ITP reports, previous evaluations and other documents, interviews and focus groups with ITP stakeholders, a field visit to Kenya, and an on-line survey. The evaluation was carried out from March 2024 to February 2025.

This executive summary captures the main conclusions of the evaluation, with a focus on the key evaluation questions, and also presents the recommendations (in a condensed format), flowing from these conclusions, and underlying findings.

EQ1: To what extent are programme designs and methodologies appropriate and in accordance with good practice and evidence of what works for contributing to institutional development and capacity development at the organisation level?

All of the five ITPs studied have adhered to the principle of locally driven change. The main topics of the ITPs were generally found to be relevant to the targeted organisations and the participants, who took a leading role in identifying and exploring the problems to be addressed by the change initiatives. Rather than prescribing what should be done,

the ITPs provided contextually adapted support to change initiatives, and encouraged participants to find solutions reflecting ‘best fit’.

Four of the five ITPs can be said to have promoted systemic solutions, and three were explicitly designed to ensure multi-stakeholder engagement. This was also reflected in the efforts made to ensure a balanced and strategic composition of participants and country teams working on change initiatives, although, in practice, this was not always achieved. While some change initiatives were well connected to the wider reform space and system, synergies with other donor support were not explored, and, with some exceptions, limited attention was given to how to navigate power dynamics and incentives. This can to some extent be linked to the varying quality of the theories of change underpinning the ITPs.

All the ITPs used a mix of capacity development methods, which were well received by participants. Four of the ITPs aimed to build both technical competencies and broader change management skills. While informal evaluations and feedback from participants promoted learning and informed adjustments, evidence suggests that the ITPs using Problem-Driven Iterative Adaptation (PDIA) and similar methods that promoted experimentation and adaption were especially well positioned to respond to contextual changes. The quality of hand-over processes also affected the extent of learning taking place between different cohorts and change initiatives. Explicit strategies for transferring participants’ knowledge and skills to other staff within their organisations were generally missing.

With regard to cross-cutting perspectives, all ITPs encouraged gender-balanced participation and included gender focused sessions, and three of the ITPs were explicitly grounded in human rights principles. The poverty perspective was most clearly reflected in the two ITPs that had a particular focus on social services. This was also the case with the environment and climate change perspective, which was closely linked to the main topic of two ITPs. With some notable exceptions, crosscutting perspectives were not systematically mainstreamed in change initiatives.

EQ2: To what extent have the assessed ITPs contributed to, or are likely to contribute to, institutional development and capacity development at the organisation level, given results to date and evidence of what works?

The evaluation shows that, although there was some variation, the five ITPs were largely aligned with the delivery model outlined for the ITP instrument in the reconstructed ToC. However, mainly because of Covid-19, the delivery model changed significantly during the implementation of the ITPs. In general, the lack of face-to-face interaction had negative implications for the quality of knowledge sharing and the ability of the ITPs to build trust and motivation.

Participants commonly feel that they have gained increased technical or thematic knowledge related to the subject matter of the ITPs. A majority also indicate that they have developed their change management skills, which is particularly obvious in the

ITPs using PDIA and similar problem-solving methods. Participants have also developed professional and personal networks, although contacts with participants from other countries have tended to become less regular over time. The role of the ITPs in enhancing the understanding of crosscutting perspectives was relatively limited.

Many change initiatives were reportedly not completed (fully designed) within the time frame of the ITPs, and their status is often not clear. Evidence suggest that the quality and completion rate of change initiatives have been affected by funding and time constraints, pointing to the need for better organisational support and workload management, or, alternatively, less ambitious change initiatives.

The most prominent immediate outcome of the change initiatives was the contribution to forging local partnerships. Not surprisingly, this is especially evident in the three ITPs that focused on engaging participants from a range of organisations, including those inside and outside of government. Some of the change initiatives have been scaled up or in other ways informed the change initiative work of subsequent cohorts of participants from the same country. While most ITPs introduced new knowledge, and some new solutions and ways of working, there is relatively limited evidence that the internal practices of participants' organisations changed significantly as a result.

Evidence of changes at the intermediate outcome level is scarce. The ITPs that managed to facilitate local partnerships demonstrate the best examples of cross-sectoral collaboration supporting institutional change. The contribution to policy change is most clearly seen in the outcomes of the Social Protection ITP, where change initiatives included or encouraged participants to pursue policy advocacy. In some cases, ITP participants were able to raise funds for the implementation of their change initiatives, but mostly from external sources.

The difficulties in identifying outcome-level change can in several cases be traced back to under-developed Monitoring and Evaluation (M&E) systems and the relatively short-time frame of the ITP cohorts when compared with longer term changes envisaged.

EQ3: What factors, features and characteristics can be identified that enable or hinder programmes to contribute to institutional development and capacity development at the organisation level?

The evaluation shows that the adaptation to local realities and focus on participants' own change priorities was a significant enabling factor, supported by the use of PDIA and similar problem-solving methods in some ITPs. The quality of the content and technical knowledge shared was also recognised, and of taking a longer-term approach to change, although the ability to actually realise a longer-term approach was mixed, and reflected in whether the ITP was able to make meaningful links across different ITP cohorts and change initiative activities. Another key factor influencing change in a positive direction was the participants' engagement, commitment and motivation, which was reinforced by the approach to developing change initiatives and to active

learning and application. International mentors, national facilitators and, not the least, authorisers/senior managers in the participants' organisations have equally had important roles in change initiatives and securing conditions for their implementation.

On the other hand, the effectiveness (and sustainability) of the ITPs have been held back by the lack of funding for change initiatives, and despite examples of committed senior managers, buy-in from the organisations' leadership was often weak. Participants own ability to commit significant levels of time and to balance against competing priorities are also cited, and was at times out of step with the scale of ambition of change initiatives. These factors had the effect of limiting the focus of the ITP to enhancing the competence of individual participants, rather than developing explicit strategies for how to embed change with participants' organisations, despite the fact that the reconstructed ToC and individual ITP ToCs aspire to this.

Recommendations

Based on the findings and conclusions drawn, the evaluation identifies a number of recommendations to both ITP partners and Sida, as summarised below (see section 6 for more details). While the recommendations are presented in order of importance/priority, it should be noted that many of them are interlinked, and thereby interdependent and mutually reinforcing.

Recommendations to ITP partners:

1. Ensure a greater focus on organisations rather than individuals in ITP design and delivery, including by anchoring the ITPs in organisational analysis, and engaging with the organisations' leadership early on.
2. Target decision-makers for participation to secure influence on policy and resource allocation, and keep them involved as authorisers or steering committee members.
3. Devote more time and resources to regional experience sharing and recruit (and build the capacity of) regional and country mentors, to promote locally-driven change.
4. Extend the duration of each cohort to 18 months to ensure sufficient time for completion of change initiative work and secure follow-up, including proper hand-over to the next cohort.
5. Consider what more can be done to ensure that change initiatives are completed, e.g. seek commitments from senior managers/authorisers to allow participants sufficient time for change initiatives, cover in-country costs (such as travel) for such work, and/or limit the scope of change initiatives to make them more feasible.
6. Create a structured hand-over process between cohorts to ensure continuity and knowledge transfer and organise training-of-trainers to pass on learning throughout participants' organisations.
7. Invest in creating alumni networks for participants to share progress, challenges, and best practice post-programme, and promote continuous collaboration (and allow some funding for alumni activities).

8. Identify and pursue synergies between change initiatives and other donor-funded activities (including Sida-funded ones) to promote sustainability and scalability.
9. Further develop ITP MEL systems to capture outcome-level results (in terms of participants' capability, organisational development and institutional change), and document lessons learnt and best practices on an ongoing basis.

Recommendations to Sida:

1. Develop a portfolio-level ToC for ITPs and an accompanying set of global indicators to guide ITP design, monitoring, and reporting.
2. Revise ITP guidelines and criteria for assessment of ITP proposals to incentivise ITP partners to implement the recommendations of this evaluation.
3. Consider both technical competence and programme management capacity, including ability to adapt to local contexts, when selecting ITP partners (this could motivate Swedish public agencies to pair up with consultancy companies and similar actors, as required).
4. Give ITP partners sufficient time and guidance for ITP design, especially ToC development, to ensure that change pathways and assumptions are well-researched, realistic and documented.
5. Allow more flexibility in the use of ITP funds, e.g. for covering costs of in-country work on change initiatives and alumni activities.
6. Facilitate strategic engagements between ITP partners (and participants' organisations) and Swedish embassies to further explore synergies with bilateral contributions.
7. Ensure that ITP partners further develop their skills in integrating cross-cutting perspectives in ITP design, planning and implementation.

1 Introduction

International Training Programmes (ITPs) have represented one of Sida's specific instruments for capacity development since the 1980s. The overall objective of the ITPs is to support capacity development and institutional change in Sida partner countries, mainly among government agencies and other public institutions but also including other actors, to achieve sustainable development and poverty reduction.

1.1 BACKGROUND, PURPOSE AND OBJECTIVES

The evaluation was mainly conducted for learning purposes. It was part of an ongoing learning and development process at Sida's unit for capacity development (CAPDEV), and coincided with the end of the Strategy for capacity development, partnership and methods that support the 2030 Agenda for sustainable development (the KAPAME strategy).

More specifically, the evaluation is intended to inform:

- Decisions on adjustments and improvements of CAPDEV's portfolio of capacity development programmes;
- The further development of CAPDEV's general approach to, and principles for, effective support to institutional change;
- The operationalisation of the upcoming strategy, including the development of a Theory of Change (ToC) for capacity development.

The primary intended user of the evaluation was CAPDEV staff, specifically the team managing capacity development programmes (team KUP). Secondary intended users were the ITP partners.

1.2 EVALUATION OBJECTIVE AND SCOPE

As specified in the Terms of Reference (ToR), the objective of the evaluation was to assess the design, methodology, implementation and results of a selection of ITPs with a view to identify what works well and less well, both at the programme and portfolio level, in terms of the efforts to contribute to more effective and inclusive organisations and institutions.

Although the evaluation aimed at drawing conclusions and formulate recommendations that are valid for the entire portfolio of ITPs, the scope of the assessment was mainly limited to five ITPs pre-selected by CAPDEV. The time duration of these programmes varies with the oldest one being initiated in 2016 and the newest in 2020. The evaluation object is further described in section 2 below.

1.3 EVALUATION CRITERIA AND QUESTIONS

The evaluation mainly addressed the OECD DAC evaluation criteria of relevance and effectiveness, and focused on answering the evaluation questions defined against these criteria in the ToR (Table 1).

During the inception phase, the key evaluation questions were further probed and sub-questions formulated along with judgement criteria and indicators (see the Evaluation Matrix in Annex 3). The sub-questions, especially those pertaining to the effectiveness criteria, have been informed by the reconstructed ToC developed together with CAPDEV staff (see section 3.1 and Annex 2 for further details).

Table 1 Evaluation criteria and key questions

Evaluation criteria	Key evaluation questions (from the ToR)
Relevance	EQ1: To what extent are programme designs and methodologies appropriate and in accordance with good practice and evidence of what works for contributing to institutional development and capacity development at the organisation level?
Effectiveness	- EQ2: To what extent have the assessed programmes contributed to, or are likely to contribute to, institutional development and capacity development at the organisation level, given results to date and evidence of what works? - EQ3: What factors, features and characteristics can be identified that enable or hinder programmes to contribute to institutional development and capacity development at the organisation level?
Conclusions and recommendations	EQ4: What conclusions can be drawn across programmes that are relevant to the development and implementation of CAPDEV's capacity development programmes? What can be done by Sida to further improve CAPDEV's capacity development programmes, including the ITP instrument, with a view to better support institutional development, given results to date and evidence of what works?

1.4 EVALUATION TIMELINE

The evaluation was planned and implemented in a phased approach. Starting in March 2024, the inception phase involved an initial desk study and consultations, a Theory of Change (ToC) workshop with Sida, and the development of a refined methodology, documented in an Inception Report. The main data collection phase was initiated in June 2024. It included an in-depth desk review, key informant interviews and an on-line survey of ITP participants. A field visit to Kenya was carried out in September 2024. Preliminary findings and recommendations were presented to Sida in November 2024. The final analysis, validation and reporting phase began in December 2024. A validation workshop with ITP implementing partners was held in early January 2025, and the Draft Evaluation Report was submitted to Sida in early February. Based on Sida's comments, the Final Evaluation Report was completed in mid-February, and presented to Sida at a dissemination seminar.

1.5 STRUCTURE OF THE REPORT

Following the executive summary and this introduction (section 1), the report provides a brief overview of the evaluation object – the ITP instrument (section 2). It then summarises the evaluation methodology, which is described in further detail in the inception report¹. Section 4 is the main part of the report. This section presents the key evaluation findings and the supporting data and analysis by OECD DAC criteria. The report ends with a conclusion (section 5) and separate sets of recommendations to ITP partners and Sida (chapter 6). The annexes include the ToR, the reconstructed ToC, the evaluation matrix, data collection tools, a list of documentation, a description of the focus and scope of the five selected ITPs, and a set of narrative snapshots of selected change initiatives.

¹ Evaluation of Sida's ITPs as Instruments for Supporting Effective and Inclusive Institutions – Inception Report. Cowater Sweden.

2 Evaluation Object

The ITPs contribute to the first (of four) support areas of the KAPAME strategy – “capacity development” – and the specific objective to “strengthen the institutional capacity of actors in partner countries for sustainable development and poverty reduction”.² As elaborated on in the KAPAME strategy, priority is given to fostering effective, transparent, accountable and inclusive institutions that provide conditions for democratic development and the implementation of the 2030 Agenda. Particular emphasis is also placed on applying a “systems approach” to strengthen partnerships between partner country actors.

2.1 THE ITP INSTRUMENT

At the end of 2023, the contribution portfolio under the capacity development support area of the KAPAME strategy included about 50 interventions, a majority of which are categorised as ITPs, with total expenditures amounting to SEK 180 million in that year.³ About half of these programmes came to an end in 2024, and an additional 10 will be completed during 2025.

The geographical scope of the ITPs varies between three and 10 countries, including both low-income countries and middle-income countries. In most cases, the priority countries of Swedish bilateral development cooperation are targeted, including with a view to build synergies with geographical strategies and contributions. The ITPs similarly cover a broad range of sectors and themes addressing different “dimensions” of sustainable development (social, environmental and economic).

A majority of the ITP are implemented by Swedish public agencies, often in partnership with other actors. Some ITPs are implemented by consultancy firms or NGOs. While the programmes mainly engage participants from government agencies and institutions involved in the delivery public services, a few programmes seek to involve civil society, the private sector and academic bodies. As prescribed by Sida’s “General guidelines for the implementation of Sida’s international capacity development programmes” (2022), the ITP partners should devise a recruitment strategy to select participants/participating organisations, which, together with a list of proposed countries (if not pre-selected), should be approved by Sida.

² Strategy for capacity development, partnership and methods that support the 2030 Agenda for sustainable development. Government Offices of Sweden. Ministry for Foreign Affairs.

³ Strategy report for Capacity development, partnerships and supporting methods. Agenda 2030 for sustainable development 2018-2023. Sida.

Although the above-mentioned Sida's guidelines establish some ground rules, each ITP has its own set-up, design, approach and implementation arrangements, and Sida actively encourages IT partners to innovate, adapt and further develop the ITP instrument. Typically, a mix of capacity development methods is used, including both in-person and on-line training seminars, study visits, mentoring, technical assistance, peer-to-peer learning and networking, and support for the participants in developing and implementing change initiatives. These change initiatives may be led by a single participant/organisation or be jointly implemented by two or more participants from the same or several organisations. The average duration of an ITP is five years, often divided into several programme rounds of 12-18 months, each allowing for 25-30 participants.

The modifications made to the ITP instrument over the years have occurred as a result of lessons gained through experience, external circumstances (such as Covid-19), changing Sida priorities and external evaluations. The most recent portfolio-level evaluation was conducted in 2017, and presents a number of noteworthy findings, conclusions and recommendations. Among other things, the evaluation found that the selection of participants, thematic areas and countries could be more strategic and focused, the ITPs had been more effective at capacity development of individuals than capacity development of organisations, and that there was a general lack of follow-up of participants and change initiatives after the end of the ITPs.⁴

2.2 CAPDEV'S PRINCIPLES FOR CAPACITY DEVELOPMENT

One of the key purposes of the evaluation is to inform the further development of CAPDEV's general approach to, and principles for, effective support to institutional development. This approach and complementary principles are captured in a CAPDEV briefing paper, "Capacity development as a method to promote effective and inclusive institutions", attached to the ToR.

As shown by a short literature review conducted during the inception phase, CAPDEV's briefing paper echoes the critique of many standard approaches to capacity development, which often have failed to meaningfully support institutional reform. The critique includes that: a) standard approaches have too often relied on international models of 'best practice' and not on the different political contexts in which they are being applied (i.e. 'best fit')⁵, and b) standard approaches have too often focused on

⁴ Ternström et al (2018) Evaluation of Sida's ITP approach for Capacity Development. Sida Evaluation 2017:1.

⁵ Grindle 2007; Booth and Cammack 2013; Moore and Unsworth 2010.

formal rules and process change, and ignored the underlying functions and behaviours⁶, c) institutional reform efforts have a tendency to pre-specify and pre-plan reform rather than focusing on learning and adaption as part of identifying appropriate solutions.⁷ There is also a growing realisation that institutional reform and capacity building efforts must be locally led, which overlaps with the body of knowledge showing the importance of active learning in any training environment.⁸

As reflected in CAPDEV's briefing paper, the lessons learnt by Sida and its response to the critique is captured by five principles for institutional development:

- Locally driven change processes as the foundation – ensuring contextually adapted support for locally initiated and driven change initiatives;
- Systemic approach to collaboration between actors – adopting systemic approaches to promote coalitions and address complex societal challenges;
- Understanding power relations – ensuring politically aware capacity development that considers power relations and incentives, so reforms are actually implemented and sustained;
- Build broad competencies for change – holistic capacity development that builds capabilities beyond technical expertise;
- Adaptive and long-term approach – with learning placed at the centre, as part of long-term change efforts.

In line with the ToR, the evaluation team has explored how the principles have been applied across diverse ITPs and contexts, and what evidence exists that the application of the principles contributes to greater effectiveness.

2.3 THE SAMPLE OF FIVE ITPS

The evaluation scope is limited to an assessment of five ITPs, which, according to the ToR, have been selected by Sida based on criteria related to relevance and innovation, including thematic priorities, implementation arrangements and programme design.⁹ The five selected ITP are listed below and further described in some detail in Annex 7.

1. Sustainable Urban Water and Sanitation Services (ITP 301), implemented 2016-2022 by NIRAS and Water Aid (hereinafter referred to as the SUWAS ITP);

⁶ As work by Matt Andrews et al highlights, most capacity development support has tended towards forms of 'isomorphic mimicry' where superficial changes are adopted but the underlying behaviours and incentives remain – thus international training has been critiqued for focusing on different organisational models and rules rather than the underlying incentives and how things really operate in practice (Andrews 2013).

⁷ Wild et al 2015; Ramalingam 2013; Faustino and Booth 2014.

⁸ Prince 2004; Freeman et al 2014.

⁹ Sida. Terms of Reference for the Evaluation of Sida's International Training Programmes as Instruments for Supporting Effective and Inclusive Institutions. November 2023.

2. Self-regulatory media frameworks for democratic media development (ITP 295), implemented 2017-2023 by NIRAS in collaboration with Fojo Media Institute, International Media Support, and Global Reporting (hereinafter referred to as the Media ITP);
3. Social Protection for Sustainable Development (ITP 322), implemented 2019-2023 by the Economic Policy Research Institute (in South Africa) and the Swedish Public Employment Service (Arbetsförmedlingen) (hereinafter referred to as the Social Protection ITP);
4. Mine Water and Mine Waste Management (ITP 308), implemented from 2017 (still ongoing) by the Geological Survey of Sweden in partnership with the Swedish Environmental Protection Agency and Luleå Technical University (hereinafter referred to as the Mines ITP);
5. International Capability Building Programme (ICBP) to Increase Voluntary Compliance, implemented from 2020 (still ongoing) by the Swedish Tax Authority in cooperation with the Collaborative Africa Budget Reform Initiative (CABRI), in South Africa.

3 Methodology

The evaluation methodology is summarised below. It was elaborated and agreed upon during the inception phase of the evaluation (see the inception report for more details¹⁰). Evaluation tools were tested and revised (as necessary) at the beginning of the main data collection phase.

3.1 OVERALL APPROACH AND METHODOLOGY

The evaluation was utilisation-focused and theory-based. The utilisation focus was ensured through close engagement with Sida during the entire evaluation process. A workshop was held with CAPDEV staff during the inception phase to jointly reflect on and further develop a re-constructed Theory of Change (ToC) drafted by the evaluation team. At the end of the main data collection phase, a debriefing/validation seminar was organised to present and discuss the evaluation team's key observations and preliminary findings and recommendations. This was followed by a workshop with a wide range of ITP partners to jointly reflect on emerging findings and recommendations.

In line with the theory-based approach, the evaluation was designed to answer the question of what worked (by assessing the contribution to change), but also why (or why not) and how it worked (by examining the process that led to those changes), and also what is missing for the ITPs to work. The reconstruction of the ToC during the inception phase marked the first part of the theory-based approach, and guided the development of the evaluation methodology, including the evaluation matrix and the data collection tools. The second part involved collecting evidence to establish whether and/or how the desired changes occurred.

The evidence was collected from a wide range of sources, including ITP reports, previous evaluations and other supporting material, interviews and focus groups with ITP stakeholders, a field visit to Kenya, an on-line survey, and a workshop with ITP partners (see section 3.2). As prescribed by the ToR, five ITPs (pre-selected by Sida) were used as programme case studies, providing in-depth information on ITP design, implementation and results. While the evaluation had a programme-wide scope, 2-3 change initiatives were selected from each of the five ITPs, to better understand how such initiatives worked, and provide illustrative examples that could be used to support findings at the programme level. These change initiatives were selected through

¹⁰ Evaluation of Sida's ITPs as Instruments for Supporting Effective and Inclusive Institutions – Inception Report. Cowater Sweden.

purposeful sampling in consultation with Sida and the ITP partners. Particular consideration was given to information-rich initiatives and achieving a geographical balance as well as a mix of both successful and less successful initiatives. Priority was also given to change initiatives in Kenya, the country visited as part of the evaluation, since this would allow for closer scrutiny and engagement with stakeholders.

In line with the ToR, the assessments of selected change initiatives are captured in narrative snapshots (Annex 8) and referenced throughout the sections of the main report.

3.2 MEANS AND TOOLS FOR DATA COLLECTION

The evidence-base of the evaluation consists of data collected from a wide range of documentation, individual and group interviews with key ITP stakeholders, a field visit to Kenya, an on-line survey, and inputs gathered from an on-line workshop with ITP partners.

As further detailed in the inception report, the desk review included both strategy- and portfolio level documents and programme-level material, such as ITP proposals, annual ITP reports and documents pertaining to the design, implementation and results of the selected change initiatives. The programme-level documents were reviewed in a systematic and uniform manner, with key observations entered into a desk review form (Annex 4). A list of documents is presented in Annex 5.

Key informants were selected based on a stakeholder analysis (presented in the inception report) and in consultation with Sida and ITP partners. Interviews were conducted with Sida staff, ITP partner representatives (including ITP programme managers, mentors and facilitators), ITP participants, and senior managers in participants' organisations. All the interviews were semi-structured, guided by interview guides setting out the main lines of inquiry for different categories of key informants (Annex 4). In total, 81 individuals were interviewed (Table 2).

The online survey targeted the participants of the five ITPs and was built around a limited number of multiple-choice questions, including ranked questions, as well as open-ended questions offering the respondents a chance to provide further details, including recommendations (Annex 4). The survey was administered through Qualtrics and was completed by 468 respondents, equivalent to a response rate of 37 percent.

Table 2 Number of interviewees and survey respondents by sex

Data collection method	Women	Men
Interviews	47	34
Survey	217	251

The final step in the data collection phase was a workshop with ITP partners, including but not limited to the representatives of the five selected ITPs. The workshop involved both group work and plenary discussions and served to validate the wider applicability of the preliminary findings and recommendations of the evaluation. The workshop was attended by around 25 individuals.

3.3 DATA ANALYSIS PROCESS

As indicated above, the evaluation was subject to theory-driven analysis. As described above, the re-constructed ToC was operationalised in an evaluation matrix, and a range of data collection tools/templates were developed. This ensured that data was collected in a systematic manner, and could relatively easily be aggregated across the five ITPs and the selected change initiatives.

The aggregated data was analysed and turned into findings with the help of the indicators defined in the evaluation matrix. All findings were corroborated against at least two data sources and supported by analysis. Risks and risk mitigation actions in relation to sources are further elaborated on in section 2.5. In general, careful consideration was given to ensuring that the information presented in the evaluation report is trustworthy, plausible and unbiased.

The selected change initiatives were subject to process tracing to explore causality, i.e. the sequence of events contributing to the identified outcomes. A set of rubrics (see template for narrative snapshot in Annex 4) was used to systematically analyse and seek to determine i) the significance of change, ii) the level of contribution (the role the change initiative had in each outcome), and iii) strength of evidence (how confident the evaluation team is about the evidence base to make the assessment).

In line with good evaluation practice, conclusions were drawn based on multiple findings pointing in the same direction, typically at the level of the judgement criteria. The recommendations flow directly from the conclusions. As described above, emerging findings and tentative recommendations were tested at the debriefing with Sida and the workshop with ITP partners.

3.4 ETHICS AND PARTICIPATION

The evaluation was conducted in line with the OECD DAC Guidelines on Quality Standards for Development Evaluation. Accordingly, the evaluation team adhered to the principles of impartiality, independence and credibility. The Do No Harm Principle was considered with regard to ensuring informed consent, confidentiality of survey respondents, data storage, and gender-balanced participation in interviews, workshops and surveys.

As elaborated on above, the evaluation had a utilisation focus and promoted the participation of intended users in all steps of the process. Comments and suggestions on the Draft Evaluation Report will be handled in a systematic manner, including through the use of a Comments and Response Matrix. The latter will capture both

general and specific comments, the evaluation team's response to these comments, and the changes, if any, made to the report. In the event that there is disagreement over findings, multiple options will be reported where necessary.

3.5 LIMITATIONS

The most significant methodological limitation is related to the pre-determined focus on five ITPs (in a portfolio of 20 ITPs), combined with the diversity among the ITPs in terms of sector, level, stakeholders and countries, but also in terms of goals, size and scope. This posed some challenges in terms of the ability of the evaluation team to arrive at generalisable conclusions and recommendations pertinent to the ITP instrument as a whole. Similarly, although the evaluation included an in-depth analysis of 11 change initiatives, there is a risk that the lessons learnt coming out from these initiatives are highly context specific.

The evaluation team addressed these limitations and challenges by anchoring the evaluation in the reconstructed ToC, which were informed by the common elements of the ToCs of the five programmes, and the five CAPDEV principles, which are broadly in line with current research. In turn, the reconstructed ToC informed the Evaluation Matrix, including the judgement criteria and indicators. The evidence generated by the change initiatives was compared to and analysed in the light of the desk review and interviews at the overall programme level, as well as the responses to the on-line survey. In addition, careful consideration was given to assess a balanced selection of change initiatives, including both those that were considered (by ITP partners) as successful and less successful. As confirmed in the workshop with ITP partners, there is general agreement that the findings and recommendations were relevant to all the ITPs that were represented at the workshop.

Secondly, given the complex nature of capacity development and institutional change, it was expected that the contribution to outcome-level change would be difficult to establish in some cases. While some of the available data at this level indeed proved to be anecdotal, the evaluation team largely managed to triangulate findings. In addition, as noted above, the evaluation team sought to avoid an over-representation of change initiatives that were easier to assess due to data availability.

Thirdly, and related to some of the points above, the evaluation design was potentially open to positive bias, especially related to the selection of key informants and change initiatives. The evaluation team addressed this risk through the stakeholder analysis conducted during the inception phase, which guided the composition of interviewees for each of the five ITPs, including the change initiatives. The change initiatives were selected through purposeful sampling, securing a balance between initiatives that reportedly had contributed to significant outcome level change and those that had been less successful but nevertheless could provide some important lessons.

4 Findings

This section presents the findings by evaluation criteria and generally follows the structure of the evaluation matrix (Annex 3). The findings are highlighted in bold font in the beginning of a paragraph and then substantiated by evidence, examples and the evaluation team's analysis and assessment.

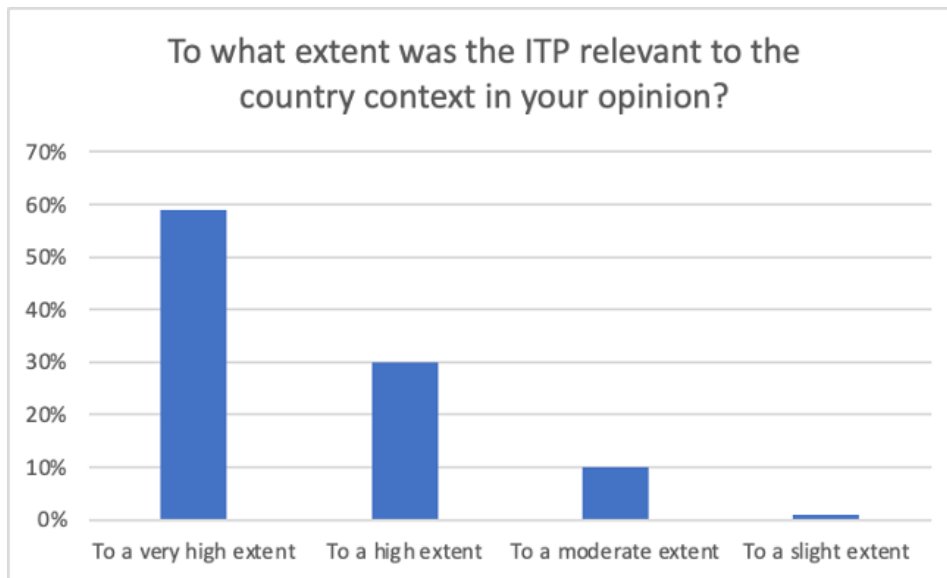
4.1 RELEVANCE

The evaluation used the CAPDEV principles as a starting point for assessing relevance, and the following sections set out findings as to how well the ITPs reviewed could evidence their use of these principles. It is recognised that the ITPs have not been designed based on the principles and that the effectiveness of the ITPs is also likely to be influenced by a range of other internal and external factors, which are further assessed in section 4.2.5.

4.1.1 Locally driven change

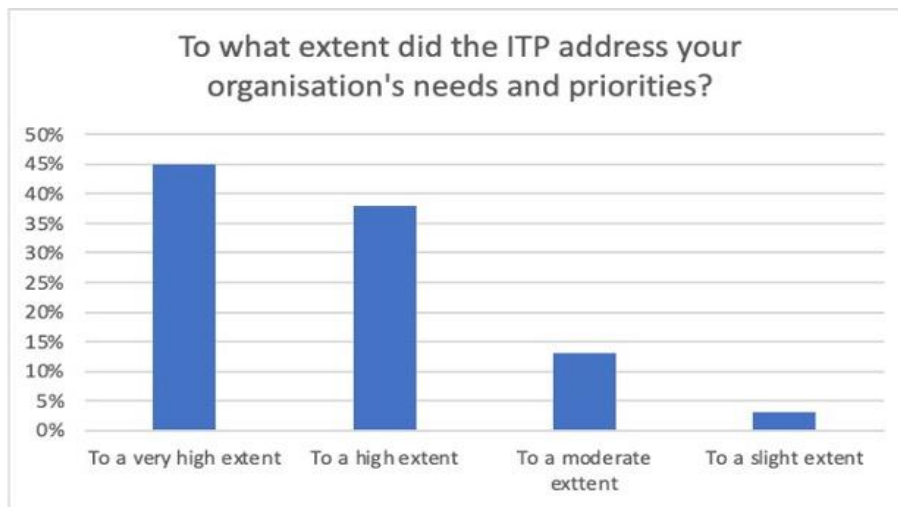
In terms of assessing how well the ITPs supported locally-driven change processes, the evaluation sought to determine whether the ITPs were meeting local needs and demands, and whether there was active participant engagement and collaboration in leading change initiatives.

Interviews and survey data indicate that the five ITPs have all been meeting important local needs and demands. Change initiatives were designed with a strong focus on specific challenges faced by participants' organisations and countries. Interviews with participants, senior managers of the participants' organisations, and ITP partner staff across the five ITPs conveyed that the ITPs reflected core needs and demands within individual countries and were addressing problems that participants identified as important and relevant. This is supported by the survey results, as visualised in Figure 1 and Figure 2 below, where participants were asked to what extent the ITP was relevant to their country context and addressed their organisation's needs and priorities, respectively. In both questions, over 80% of survey respondents rated this as high or very high.

Figure 1 Relevance of ITPs to country context

Source: Evaluation survey

As indicated by interviews, Kenyan participants of the ICBP noted that the change initiative addressed issues that their organisation (Kenya Revenue Authority) had been dealing with for years, and helped them to develop solutions that were more appropriate than the ones pursued before, e.g. moving from enforcement to voluntary compliance. Likewise, participants in the SUWAS ITP were all already working in water and sanitation in the cities where the ITP was being implemented and there was direct connection between their current roles and the issues that the ITP sought to address, as reflected in interviews. Based on the evaluation team's analysis, and through feedback from interviews, the ITP model also seemed to particularly align with the nature of the water and sanitation sectors, where there is wider recognition of the challenges for collective action, and the need for collaboration and networks across different sectors.

Figure 2 Relevance of ITPs to organisations' needs and priorities

Source: Evaluation survey

Within the Media ITP, ITP participants and programme staff interviewed highlighted that while the problems of media repression, polarisation, and challenges to media freedoms were well recognised in the countries in which the ITP was implemented, the ITP's approach of self-regulation (based on Sweden's experience) to respond to these challenges was initially not always well understood. Interviews with ITP participants and programme staff recognised that the concept of self-regulation was often misunderstood and linked to self-censorship. Therefore, in each country, at the start of the ITP, sensitisation sessions were held to explain the approach and how it could help combat government repression. Once this was clarified, ITP participants could recognise the relevance for the problems they faced.

The relevance of the ITPs was enhanced by change initiatives reflecting 'best fit', promoting system-wide solutions and action learning. Given consistent feedback from interviews and survey data on responsiveness to local needed, the five ITPs have all been designed and implemented with a focus on 'best fit' approaches, ensuring that solutions were tailored to specific needs and contexts. Participants interviewed appreciated that the ITPs allowed them to identify their own problems and develop appropriate solutions. This approach fostered active engagement and collaboration among them and supported their active engagement and collaboration in identifying solutions. This is also reflected in the survey data.

In four of the five ITPs, forms of root cause analysis (e.g. the fishbone tool) were used within the change initiatives component, to unpack systemic problems. During the study visits and seminars in Sweden or elsewhere, the problem statements would be revisited and refined. According to programme staff interviews, participants often began the ITP with a firm idea of what to work on, but during the problem identification and root cause analysis, this could change significantly as they were able to take a wider system perspective. Rather than a conventional training programme focused on

imparting new technical knowledge, participants and ITP programme staff commonly emphasised the importance of the change project approach, and the focus on creating networks of people who were identifying problems and potential solutions, and then working to implement change.

In the SUWAS ITP, according to programme documentation, a Change Manual was developed, emphasising the importance of ‘action learning’. The Change Manual refers to previous ITP experience that not enough time is normally set aside for participants to clarify their own understanding of the particular problem that they wish to address, and that a prescriptive format to the change initiatives seems to encourage ‘reporting for the sake of reporting’, rather than fostering an approach of learning from experience and taking leadership. As set out in the manual, and reinforced by interviews, participants were supported to design specific change initiatives with milestones, reflecting small steps and allowing for continuous reflection. Interviews with select participants in particular countries would commonly stress this approach as a key benefit of the ITP, citing the usefulness of the ‘learning by doing’ approach, and of unpacking problems in this way.

4.1.2 Systemic approach to collaboration

In terms of systemic approaches taken, this evaluation looked at evidence of robust analysis of problem areas to be addressed, working in collaboration and how different entry points for change were considered.

In four of the five ITPs, system-orientated methods and approaches were in use. Three of these ITPs had an explicit aim from the very beginning of promoting multi-stakeholder engagement. As elaborated on above, four of the five ITPs used step-by-step approaches that allowed participants to break down problems into root causes, identify entry points, take action, reflect on what has been learned, and adapt and act again. Alongside such approaches, three of the ITPs adopted an overall systemic approach to change, with participants drawn from multiple government agencies as well as civil society, and the private sector (e.g. water companies in the SUWAS ITP).

The systemic approach reflected the underlying problems and issues the ITP sought to address. For example, for the Media ITP, problem analysis highlighted high levels of polarisation, conflict and lack of coordination between and within government, the media and civil society. As such, an explicit design of the ITP was to bring together key stakeholders from across these different groupings, to build greater awareness of shared problems, overcome misperceptions and suspicions and build capacity for collective action. The desk review highlights that the right mix of media, politicians and government representatives was particularly key for this ITP, because of the underlying theory that change was more likely if there were greater interactions between these stakeholders, as set out in the Final Report at the closure of the ITP.

In the Social Protection ITP, an intervention logic and theory of change was developed that explicitly emphasised the systems approach, including the need for strengthening cooperation and partnerships among key stakeholders, contributing to broader societal

changes and strengthening development synergies. The programme encouraged collaboration among government departments by forming inter-ministerial groups, as steering committees for the change initiatives, in some cases also including civil society organisations.

In the case of the SUWAS ITP, the focus for system analysis and problem solving was at the city level. According to interviews with senior programme staff, this more bounded focus was helpful both in terms of the depth of analysis possible but also in being able to work with different elements of the overall system. Common challenges for urban water and sanitation reflected weaknesses in harmonisation and coordination among different stakeholders, and the ITP tried to explicitly address these gaps by bringing different stakeholders together as participants in the same city-level cohort, such as those working on public health, water and sanitation and across different public agencies, public utilities and the private sector.

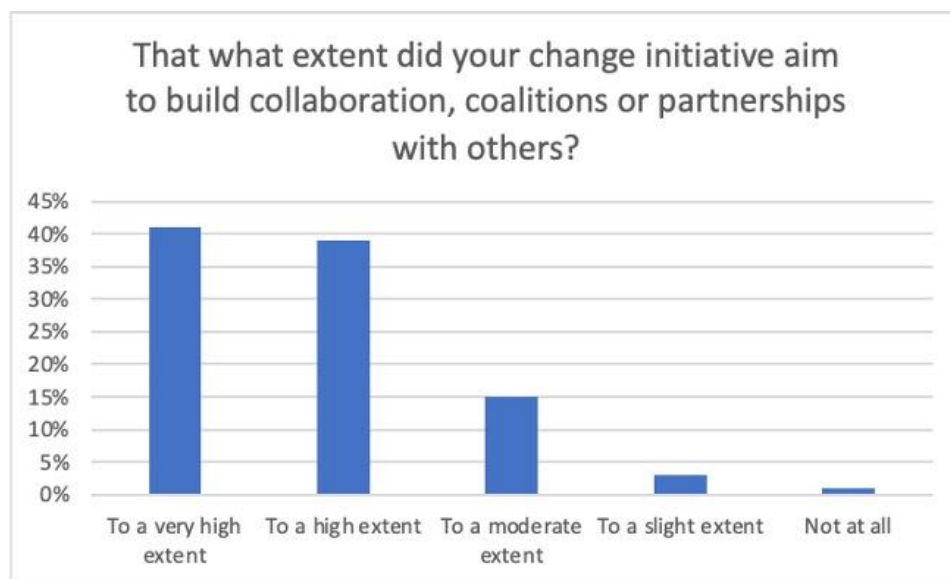
More generally, building networks and collaboration was commonly highlighted by ITP participants and programme staff as a key element in the overall ITP approach. The emphasis on networking and collaboration was perceived by participants in some of the ITPs (e.g. the Media ITP and SUWAS ITP) to set the programmes apart from other conventional training approaches. There was significant emphasis placed on creating spaces for exchange, including between stakeholders who often didn't otherwise communicate with each other, such as between participants from government and civil society. These networks were often reported to have been key for building enthusiasm and momentum, creating a sense of energy and of the potential for wider systemic change than was conventionally possible for an individual training course.

Various examples of change initiatives were provided where networks had been important elements of their success – for example, where new policies were drafted and where these were supported by a broader network pushing for change, they were given more credibility and created more incentives for their uptake. In Armenia, the Media ITP worked to update relevant legislation, and coordinate across multiple change initiatives and different actors to support efforts at raising awareness of self-regulation as an alternative to restrictive state regulation, developing self-regulatory mechanisms for media bodies and ensuring recognition of these issues in legislation.

In the city of Narok, Kenya, the SUWAS ITP participants developed a 'road map' to guide sanitation and address public health issues like open defecation, bringing together interventions by key stakeholders from the public sector, civil society and the private sector.

Figure 3 highlights the perceived importance of collaboration, coalitions and partnerships as part of the ITP, as almost 80% of survey respondents rated this as high or very high.

Figure 3: The focus on collaboration, coalitions and partnerships in change initiatives



Source: Q11. Evaluation survey

The ITPs had the ambition of ensuring balanced and strategic composition of participants, including by attracting decision-makers, but this was not always possible. All of the ITPs considered gender representation, and were aware of the need to increase the number of women participants. In reality, however, women's participation was often proportionally lower than men and reflected wider gendered imbalances in different countries and sectors (see section 4.1.6). Those ITPs that sought to support multi-stakeholder coalitions often gave consideration to the balance of different organisations and the right mix of stakeholder groups based on the problems and context in each country. In some ITPs, there was also consideration of the appropriate levels of seniority, although in practice this varied from country to country and cohort to cohort, and also reflected ITP participant availability.

There are examples of how participants were strategically selected particularly to support cross sector collaborations and synergies. For example, in the Media ITP, an example was cited for Tanzania, where the combination of journalists and high-ranking officials from the Citizens Information Bureau and Information Services worked together and that the journalists were better able to push for change because of this collaboration. In practice, however, it was reportedly hard to find good quality participants over time as the pool of candidates was small and therefore became exhausted after multiple rounds of an ITP (also reflecting the relatively small size of the media sectors/media stakeholders in some countries).

In the ICBP and Social Protection ITP, the participant nomination criteria reflected the preference for having participants with a mandate to support change, in line with the change initiatives, and, accordingly there was a preference for senior-level managers. The Mines ITP first accepted individual applications but then shifted to an approach whereby only nominations from key government partners were accepted, to ensure the right level of participants.

There is evidence of change initiatives being well connected to the wider reform space and system, although synergies with other donor support were rarely explored. The evaluation team's review of select change initiatives and feedback from interviews with participants and programme staff highlight that the change initiatives were developed to support existing work, allowing participants to build on what already exists and apply the skills they gain directly to their line of work. One of the ITPs (Social Protection) has clearly capitalised on emerging opportunities, building on government agendas and priorities (see section 4.2). The Media ITP was also able to capitalise, in some countries, on existing broader reform efforts for media regulation including broader efforts at EU accession in some parts of Eastern Europe, which increased incentives to align media regulation and legislation with EU standards (see the narrative snapshot on the Armenia change initiative in Annex 8 as an example).

Synergies with other development interventions, including Sida's bilateral programmes, have only been explored by ITP partners to a very limited extent. The majority of the ITP participants and programme staff interviewed identified this as a weakness, as they did not feel there was sufficient interest or engagement from other parts of Sida or the embassies, with some exceptions.

In the Mines ITP, potential collaboration opportunities were identified with the Environmental Governance Programme (EGP), a partnership between the Swedish Environmental Protection Agency and UNDP, and discussions were held to explore the possibility of the EGP providing financing to change initiatives and sustained technical support to alumni. However, this never materialised. It is noted, however, that one of the Kenya change initiatives fed into the EGP, which supported the development of a national guideline with inputs from the ITP change initiative. There is also some evidence that the change initiatives of the Social Protection ITP worked in sync with other social protection programmes, including those supported by UN agencies.

The ITP Theories of Change varied in depth and quality and generally did not reflect a robust analysis of what triggers institutional change. Based on the review of relevant programme documents across the five ITPs, in two cases, the theories of change (ToCs) developed were very rudimentary and did not reflect a robust analysis specifically targeting the triggers or effects of institutional change. In two other cases, the ToCs were more sophisticated. The latter set out different levels of potential outcomes, and give some indications of likely causal pathways to achieve these. However, they still include very ambitious outcome or impact statements, and do not set out in detail key assumptions about how the outputs and activities envisaged would ultimately lead to these wider impacts at the institutional level.

4.1.3 Understanding power relations

Three of the ITPs used forms of power analysis to ground the approach, and this was most prominent in the Media ITP. National facilitators had a key role in helping participants when they encountered resistance or push back. Power analysis was used in three ITP to some extent, as part of understanding the root causes of problems, and in identifying potential change initiatives and entry points. In some

ITPs, it was also used as part of identifying which participants, or institutions and organisations, should be engaged in the ITPs.

In the case of the Media ITP, annual ITP reports reviewed power dynamics, and the ToC and risk management process focused on these dynamics too. In several countries in which the ITP was implemented, there were significant risks of repression and violence against journalists and media organisations. This meant the selection of participants, including from government or parts of the state which may be carrying out that repression, needed very careful risk management that took account of power relations. National facilitators in both the Media ITP and SUWAS ITPs, when interviewed, often felt that a key part of their role was understanding and navigating power relations, including in the identification and selection of participants.

The Media ITP and SUWAS ITP also used national facilitators, who reportedly often worked informally on these issues, particularly to help participants when they encountered resistance or push back, as discussed during interviews with select national facilitators. However, this was not consistently reflected in the design, for example, of change initiatives themselves or in the overall ToCs of these programmes.

While the ITPs aimed to achieve behavioural change among participants, there was less focus on power dynamics, incentives and influence within their own organisations. The evaluation team could not identify clear strategies for how the ITPs aimed to achieve behavioural change, or the transfer of new ways of working and approaches within organisations. The main pathway envisaged seemed to be that change initiatives would themselves establish new ways of working, or that participants would transfer their new knowledge more widely within their organisations, but these initiatives were often necessarily limited and time-bound, rather than translating into wider uptake of new ways of working or new approaches based on uptake of new knowledge. Related to this, the desk review and interviews did not highlight much evidence of comprehensive assessments of the wider power relations within participants' organisations, in order to understand what resistance to change might be encountered, or how this might be addressed.

4.1.4 Broad competencies for change

Four of the ITPs aimed to build both technical competencies and broader change management skills. As elaborated on earlier, apart from the aim of imparting technical knowledge and insights pertaining to the thematic focus of the ITP (e.g. on social protection, media self-regulation, voluntary tax compliance, etc), four of the ITPs trained and coached participants on methodological aspects of problem solving, e.g. using the Problem Driven Iterative Approach (PDIA). As earlier noted, two of the ITPs developed Change Manuals during programme delivery, to provide more consistent guidance to participants for how to develop and deliver change projects. The Change Manual developed for the Media ITP specifically states that the Media ITP seeks to support both technical and functional skills – with functional skills defined as strategic planning, advocacy, campaigning, negotiation, change management. In the SUWAS ITP, there was strong focus placed on increasing scope for coordination and

collaboration alongside imparting particular technical knowledge of urban water and sanitation.

The ITPs used similar approaches and methods, including a wide mix of capacity development methods, which were well received by participants. As designed, the ITP approaches and methods were relatively similar in nature. All the ITP were set up to include a “Swedish phase”, one or more regional workshops, and country-level work assisted by mentors. In the Mines ITP the “Swedish phase” came first and constituted the core element of the programme, at least initially. In the other ITPs, more emphasis was placed on building strong country teams and regional networks, and, therefore, started with activities at this level. The SUWAS ITP additionally had a strong focus on cities. The capacity development methods used by the ITPs typically included knowledge sharing and training, field visits and peer exchanges, and mentoring and coaching support.

According to participants, across all ITPs, ITP content was carefully curated to be relevant to their need and interests, and the accompanying mentoring support and process of change initiatives provided mechanisms through which new knowledge could be applied and made relevant to participants own individual priorities.

Explicit strategies for transferring knowledge and skills within participants’ organisations were largely missing. The ITP typically only allowed for a limited number of participants from each of the targeted organisations. For example, in the SUWAS and Media ITPs, usually only to two participants would represent each targeted organisation. Senior managers of the National Environment Management Authority in Kenya remarked that 14 of their staff members had participated in the Mines ITP over the years, out of a total of 450 staff members. Similarly, interviewees from the Kenya Revenue Authority (KRA) noted that only a fraction of KRA’s around 10,000 employees have had the opportunity to participate in the ICBP. Explicit strategies for transferring knowledge and skills from individual participants to their wider organisations were generally absent across the ITPs.

4.1.5 Adaptive and long-term approach

The ITPs continuously adapted based on informal evaluations and feedback from participants. The quality of hand-over processes affected the extent of learning taking place between different cohorts and change initiatives. Interviews indicate that feedback from ITP seminars and other activities was incorporated into planning for future ITP cohorts, including with examples of adjustments made in training contents. This was reinforced by survey results, which show that approximately 70% of respondents felt that they had the opportunity to provide feedback and influence the scope of activities during implementation.

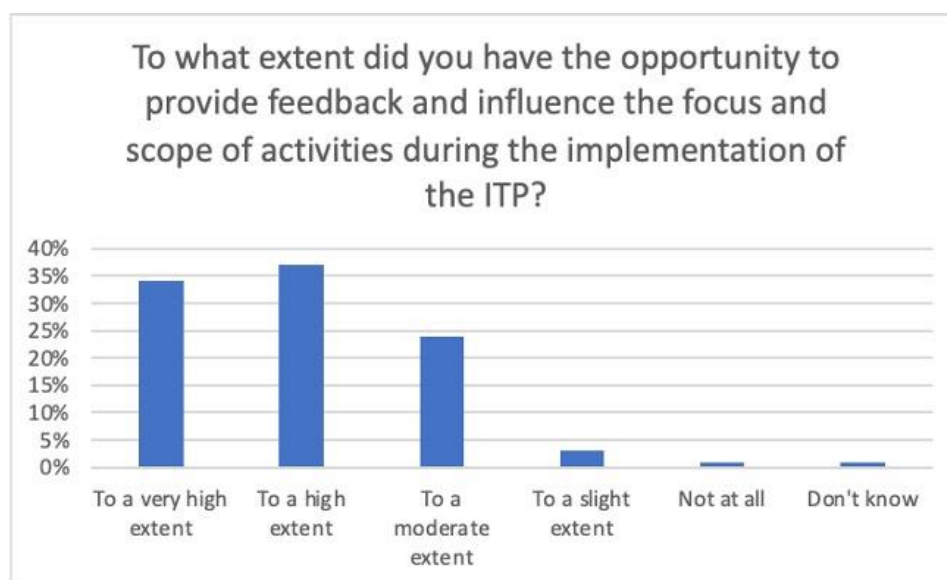
In the SUWAS ITP, there was an explicit focus on linking previous cohorts with new cohorts in each country. A final seminar or feedback event was held in each country, which presented the problem analysis and change projects from the previous cohort. New cohorts would participate, as well as the beneficiary organisations and other

organisations involved in the sector. According to interviews with ITP participants and programme staff, this provided useful opportunities to disseminate learnings and reflections on the underlying problems that the ITPs sought to address. In other ITPs (such as the Media ITP and Mines ITP) this also happened in some countries, but not necessarily as a general principle. In the Social Protection ITP, the same change initiative was implemented across all cohorts, allowing for significant coordination and learning across different phases of the ITP.

The PDIA and adaptive learning approaches used by four ITPs inherently promotes experimentation and adaptation, which also made them better prepared to respond to contextual changes. As shown by Figure 4, a large majority of survey respondents felt that they had the opportunity to provide feedback and influence the focus and scope of the ITPs.

The desk reviews and interviews with ITP programme staff suggest that at least two of the ITPs (the SUWAS ITP and Media ITP) placed strong emphasis on ongoing learning. For example, national facilitators and programme management staff would conduct regular sessions to reflect on progress and identify any issues or challenges, at both the national and at regional levels. They also supported learning across cohorts, through support to develop alumni networks, and support to share learnings from previous cohorts with new cohorts in each country. This is also confirmed by the wider survey responses too.

Figure 4 Participants influence on ITP activities



Source: Evaluation survey

During the pandemic, the ITPs shifted towards remote and in-country support and over time, developed new materials and modes of support to reinforce remote learning and networking. Inevitably, Covid-19 impacted on quality in some areas and interviews highlight challenges in sustaining the motivations of participants when face-to-face meetings and international travel were not possible. At the same time, the underlying model of being adaptive and responsive reinforced the ability of the ITPs themselves

to pivot and experiment in the face of this external shock. In the case of the Social Protection ITP, the programme adapted not only its modes of delivery but also its content, to reflect on social protection gaps caused by the pandemic too. In the Media ITP, new content and modules were developed which allowed for better remote delivery through video recordings and more.

Interviews with ITP programme staff from the Media ITP also highlight how they had to adapt to other emerging developments. The growing prominence of social media and the related challenges of the spread of disinformation and misinformation was highlighted, as it did not form part of the original tender requirements. During the implementation of the programme, such issues were seen in particular regions, such as in Eastern Europe where ITPs delivered in Ukraine, Moldova, Armenia and more had to adapt to challenges of misinformation/disinformation and media attacks from Russia, and this was incorporated into the focus of the ITP course content and change initiatives accordingly.

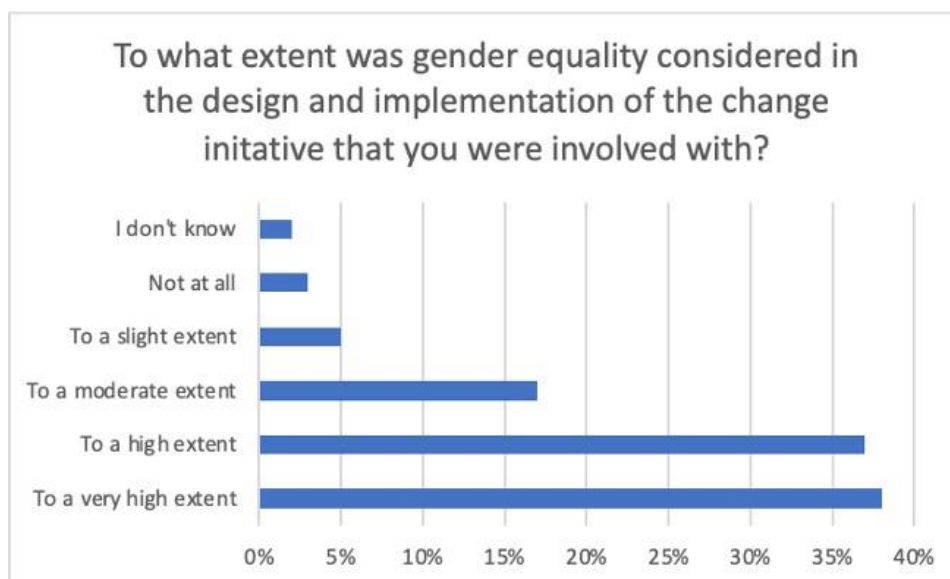
4.1.6 Integration of cross-cutting perspectives

In line with the ToR, the evaluation addressed how cross-cutting perspectives had been considered in the design of the ITPs, including the change initiatives, with a focus on gender equality, the rights perspective, the poverty perspective, the environment and climate change perspective, and the conflict perspective.

As shown in Figure 5, 75% of survey respondents answered that gender equality had been considered to a very high or high extent in the design and implementation of the change initiatives that they had been involved with. Similarly, 76% answered that the human rights perspective had been considered to a very high or high extent. Around half of the respondents answered that the environment and climate change perspective (53%), poverty perspective (52%) and the conflict perspective (49%) had been considered to the same extent.

All ITPs encouraged gender-balanced participation and included gender-focused sessions. While change initiatives often were gender neutral, there are several examples of gender-sensitive initiatives, including a few where gender and women's rights was the primary focus. A majority of the comments and additional details provided by survey respondents regarding the gender equality perspectives referred to gender balanced teams of ITP participants working on change initiatives. The responses and interviews suggest that gender balanced cohorts and change initiatives teams were achieved in most cases. Some exceptions are noted, e.g. in the Mines ITP, where men have constituted a majority of participants across cohorts, reflecting the reality within the mining industry. A couple of survey respondents highlighted that the change initiatives teams that they were part of were mostly or uniquely composed of men.

Figure 5 Integration of the gender perspective



Source: Evaluation survey

As indicated by programme proposals, the extent of gender analysis conducted during the design of the ITPs varied from one ITP to the other. The commitment to gender equality is often confirmed in annual reports, but details on how gender equality will be – and have been – integrated tend to be missing. However, all of the five ITPs have included dedicated gender sessions/trainings, e.g. tax and gender, gender in the mining sector, gender in WASH, etc. As part of the Media ITP, a specific gender module was developed and the Change Manual that was prepared to guide change initiatives was revised to include a dedicated chapter on gender.

Survey respondents and observations suggest that many change initiatives did not explicitly focus on gender. The Uganda change initiative under the Social Protection ITP is an example of a change initiative that did have an explicit focus on gender equality and women's rights, as one of the components aimed to support vulnerable, adolescent girls to stay in school and avoid early pregnancies. Gender-sensitive approaches were also integrated into other change initiatives under the Social Protection ITP, including the one in Kenya, as evidenced through the in-depth study of the Kenya change initiative (see Annex 8).

The Media ITP change initiatives have, according to interviews, considered gender equality in the problem diagnosis, e.g. looking at the poor representation of women in media organisations, women's lack of voices in news stories, and the negative portrayal of women in the news. Some change initiatives have consequently included efforts to promote female journalists' career development, the work and safety of female journalists, reporting on gender-based violence, etc. In the SUWAS ITP, women were often the main beneficiaries of the change initiatives, and this has, for instance, been considered in the design of public sanitation facilities in local communities. Nevertheless, interviews suggest that challenges remain in terms of incorporating practical gender mainstreaming measures in change initiatives across the ITPs.

Three of the five ITP were explicitly grounded in human rights principles with the Social Protection ITP having the most ambitious approach to addressing the rights perspective, including through change initiatives. The rights perspective has to a varying degree been analysed in programme proposals. Efforts are made to link the rights perspective to the key topic of the ITP, with references made to human rights principles, equity, and, frequently, gender equality. For instance, the Media ITP is rooted in the role of the media as a defender of freedom of expression and human rights, and strives to promote transparency and accountability. The focus of the SUWAS ITP on access to safe water and sanitation also has a strong human rights connotation, and, as elaborated on below, many change initiatives seem to have focused on improving such access for the most vulnerable.

The Social Protection ITP appears to have had the most ambitious approach to integrating the rights perspective, as “rights-based approaches to improve gender equality” was one of five intended outcomes of the programme.¹¹ The mid-term evaluation of the programme¹² found that both the regional and the Swedish phases covered human rights and gender dimensions of social protection, and strongly encouraged participants to include them into their country change initiatives.

The poverty perspective was most clearly integrated in the two ITPs that had a particular focus on marginalised groups, their protection and access to services. As with the other perspectives, the poverty perspective is analysed to a varying extent in ITP programme proposals. In the ICBP programme proposal, linkages are made between a well-functioning tax administration and increases in tax revenues, and the ability to fund essential public services, which are crucial for improving living standards and reducing poverty. Similarly, the programme proposal of the Mines ITP highlights the exposed situation of poor communities in or near mining sites that often rely on incomes from the mining industry, and several of the change initiatives had a focus on artisanal and small-scale miners, who are often found in low-income communities.

In practice, the ITPs that addressed and integrated the poverty perspective most clearly were the SUWAS ITP and the Social Protection ITP. Interviews indicate that many change initiatives under the SUWAS ITP focused on equity/inclusion, e.g. by extending the reach of water services to low income/poor communities, using fee structures that ensure the affordability of services among low-income individuals and families, encouraging complementary activities such as community saving groups, etc. The main purpose of the Social Protection ITP was to strengthen the capacity of partner governments to build more effective social protection systems that tackle poverty,

¹¹ International training programme on social protection 2019-2023. Programme proposal. Swedish Public Employment Service.

¹² Southern Hemisphere (SH) Mid-Term Evaluation of Advanced International Training Programme on Social Protection for Sustainable Development. Draft report. 19 October 2022.

vulnerability, inequality and exclusion, while strengthening delivery of inclusive social development and equitable economic growth. In specific countries such as Kenya and Uganda, vulnerable populations constituted the primary beneficiaries of the change initiatives.

While two of the ITPs were designed with a focus on the environment and climate change, the Social Protection ITP provides a good example of how this perspective can be integrated also in other areas. The environment and the climate change perspective is directly addressed by the Mines ITP and the SUWAS ITP. In the programme proposal of the Mines ITP, the environmental impact of mining is analysed at length, and one of the desired outcomes of the programme is to increase understanding among all stakeholders of the importance of environmental compliance and how poor environmental performance effects local communities. Accordingly, the change initiatives were geared towards promoting sustainable mining practices and integrate climate resilience into mine waste management. In the SUWAS ITP, change initiatives were designed to promote waste management and sanitation practices to prevent pollution and protect local water sources.

During the implementation of the programme, concepts for developing green social protection strategies were introduced in the Social Protection ITP. Programme teams were encouraged to include aspects of sustainability and the environment in the change initiatives, particularly to address climate change shocks on social protection. Changes were made to the Kenya change initiative, which was tweaked to target households affected by climate change. In the other ITPs, the environment and climate change perspective was mostly limited to a commitment to ensure responsible travel.

Contrary to what the survey responses indicate, there is very limited evidence showing that the conflict perspective was considered in the design and implementation of ITPs and change initiatives. In general, programme proposals and interviews suggest that the conflict perspective was not analysed to any greater extent, and there is very limited evidence showing that it was genuinely addressed.

The survey responses indicate that change initiatives under the SUWAS ITP in some cases recognised that access to sanitation facilities can be a source of tension within communities, often reflecting broader social conflicts related to resource distribution and power dynamics, and to address this issue, change initiatives engaged diverse community stakeholders in open dialogue and collaboration. In the Media ITP, some consideration was taken to threats to media freedoms and risks of more authoritarian and repressive regimes. In Eastern Europe, and specifically for the Ukrainian participants, there was explicit focus on the impacts of war, with the Media ITP changing its focus towards strengthening media ethics and responsible journalism in the context of war.

4.2 EFFECTIVENESS

The effectiveness criterion is essentially about to what extent objectives are being fulfilled. In this evaluation, the assessment of effectiveness has been guided by the reconstructed ToC (Annex 2) that was developed based on the initial desk review, and finalised together with Sida during the inception phase. The reconstructed ToC has four levels of change and shows linkages as well as explicit assumptions, which are partly based on the five principles for institutional development discussed in section 2.2.

This section seeks to establish if the ITPs were implemented as designed/intended, what evidence exist of change having occurred at the different levels of the ToC, and the factors contributing to such change.

4.2.1 Programme strategy delivery

The key activities at the bottom of the ToC capture the common elements of ITP delivery model, starting with the analysis of local context and the identification of change agents, moving on to conceptualising and implementing competence development measures, and then supporting participants' change initiatives through coaching by mentors and facilitators.

Although there was some variation, the five ITPs were generally aligned with the delivery model outlined in the reconstructed ToC. As elaborated on in section 4.1.2, the five ITPs were based on ToCs of varying depth and quality in terms of identifying potential pathways to achieve institutional change. Nevertheless, as also noted earlier, the ITP approaches and methods were relatively similar in nature. All the ITP were set up to include a “Swedish phase”, one or more regional workshops, and country-level work on change initiatives assisted by mentors.

For the SUWAS ITP, the overall impact goal was to contribute to the improvement of planning and implementation of urban water and sanitation in the participating countries so that a more sustainable service is achieved, where especially poor people's rights, needs and demands are taken into account. To achieve this, participants applied the tools and knowledge they gained to initiate change projects, improve collaboration with key stakeholders, and secure management buy-in. In turn, this was envisaged to lead to organisational and institutional change such as i) increased implementation of SUWAS techniques or approaches ii) increased implementation of integrated approaches, and iii) increased commitments and efforts to improve systems for urban water and sanitation including making them more inclusive.

The Media ITP showed a higher level of variation from the reconstructed ToC. The overall envisaged pathways to change did reflect the ToC, and was focused on two key dimensions – i) building trust through collaboration and networks and ii) change initiatives which are driven by participant interactions (peer support) and insights from study visits, webinars and readings. However, this ITP went further than others in recognising that institutional change will be gradual and iterative, with overall aim of strengthening media freedoms, ethical practices and combatting media repression.

The five ITPs were not fully implemented as laid out in the programme proposals, mainly because of the challenges posed by Covid-19. While the ITPs adapted to changing circumstances, the lack of face-to-face interaction had implications for quality. Starting in 2020 and extending to 2022 the Covid-19 pandemic caused significant disruptions to the implementation of the ITPs, including both the Swedish phases and the regional workshops, as well as mentorship visits. While many activities were postponed, new, on-line approaches were developed to deliver the ITPs on-line from 2021. In the Mines ITP only the first cohort (2019) completed the programme according to the original set-up. From the fourth group/cohort in 2021, the ITP was carried out as online training programmes with field visits added to the final regional workshop. In the Social Protection ITP an In-country Activities Fund was established to enable country team to meet at a common location, and, as was the case also with the SUWAS ITP, more focus was placed on building stronger country teams.

Interviews and reports commonly indicate that the inability to meet in-person had negative effects on the quality of knowledge sharing/training and limited the ability of ITP partners to build trust and motivation, including through engagement with senior managers of participants' organisations. This reflects the importance of the face-to-face interactions, at both national and international levels, given the focus on creating networks, partnerships and galvanising participants to develop and pursue change initiatives. It is clear that there are significant limitations to trying to build these processes remotely, and while interviews indicate that hybrid models seem to have worked for participants, ensuring regular personal interactions remains an important element for these programmes. At the same time, the re-allocation of resources to regional and country-level work appears to have had positive implications, including better conditions for exchange and collaboration. In addition, the increasing use of on-line meeting platforms enabled more frequent communication with country teams.

Contextual changes in targeted countries also affected ITP activities, and sometimes led to their discontinuation. The wider political and security contexts in individual countries also created some similar constraints – in some countries, ITPs had to stop given the outbreak of conflict and in others, it was clearly hard to gain traction for example where government repression or lack of support for the issues identified intensified. A prominent example is the civil war in Sudan, which led to Sida disallowing cooperation with state agencies. Consequently, the change programme supported by the Social Protection ITP was revamped with a new focus on civil society actors and development partner organisations. In the Mines ITP the cooperation with Ethiopia was similarly discontinued due to the civil war in 2021. Myanmar and Ukraine are to other countries from which ITPs either had to withdraw or significantly change their approach.

4.2.2 Short-term results (outputs)

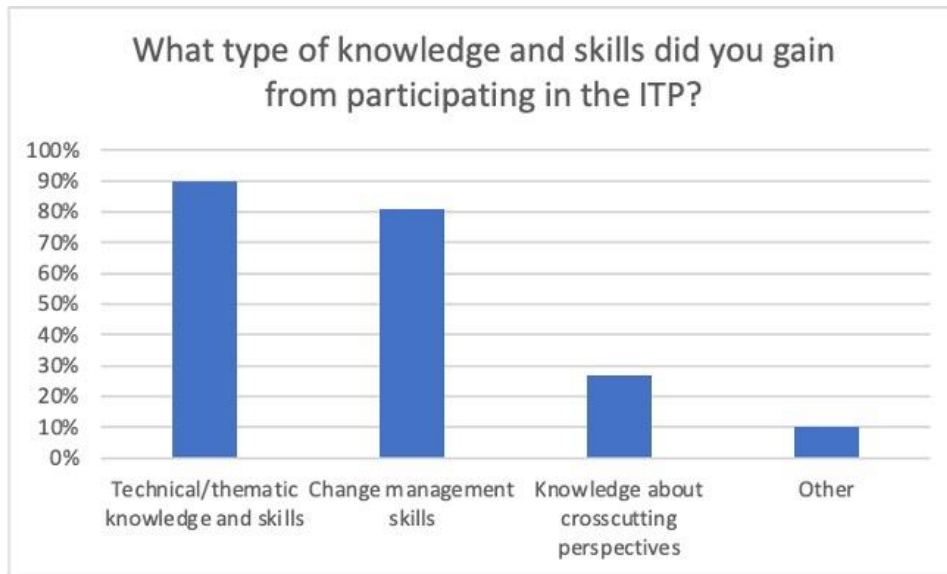
The reconstructed ToC identifies three main outputs expected to be generated by the ITPs in the short-term:

- Knowledge and skills on specific priority themes/areas and change management capacity;
- Professional networks and cooperation, within a country and regionally or internationally;
- A set of locally- led change initiatives developed, started and delivered.

ITP participants generally feel that they have gained increased technical or thematic knowledge as well as developed their change management skills. The latter is particularly obvious in the ITPs where the PDIA or a similar problem-solving method has been used. Nine out of 10 survey respondents answered that they had gained technical/thematic knowledge and skills through their participation in the ITPs. Almost the same share, eight out of 10, answered that they had gained change management skills. Other knowledge and skills stressed by many survey respondents (in the comment boxes of the survey) include: leadership and presentation skills, mediation and advocacy skills, team work and collaboration skills, and project management and M&E skills. Many of the comments also refer to the insights gained from the experience of other countries.

The survey results were largely confirmed in interviews with ITP participants. For instance, ICBP participants from Kenya and Zambia indicated that they had obtained a better understanding of the “nine pillars of voluntary tax compliance”, and developed new skills in problem-solving through the application of the PDIA method in change initiatives. Kenyan and Ugandan participants of the Social Protection ITP similarly indicated that they gained new insights, including from other countries, into social protection frameworks/instruments and key issues, as well as improved skills in developing related, evidence-based programmes, resulting from dedicated training on results-based management and change management processes, and application of the related concepts in the change initiatives. Participants of the SUWAS ITP, which also offered practical problem analysis and stakeholder analysis tools, highlighted their improved skills in project design and planning. Interviews indicate that participants of the Media ITP and the Mines ITP mostly felt that they had gain deeper understanding on thematic/technical issues.

Figure 6 Knowledge and skills gained from the ITPs



Source: Evaluation survey

Survey responses indicate that a relatively small share of ITP participants enhanced their understanding of crosscutting perspectives, although interviews suggest that new insights, especially on gender equality, were gained through seminars and work on change initiatives. About one fourth of the survey respondents answered that they had gained knowledge about crosscutting perspectives. The question about crosscutting perspectives specifically referred to gender equality, human rights, the environment and poverty. While there were no explicit comments in the survey that could be linked to the response to this question, several interviewees mentioned that they had gained some new insights particularly through the sessions on gender that had been organised by some ITPs. Participants of the Social Protection ITP also remarked that they had gained more knowledge of the environment and climate change perspective, and addressing this perspective in change initiatives (e.g. by targeting adolescents and households affected by climate change). In general, however, participants found challenging to identify practical ways of integrating cross-cutting perspectives in the change initiatives.

ITP participants generally maintain contact with other participants from the same country. In many cases, participants also continue to communicate with participants from other countries in the same region, but typically in a less regular and increasingly infrequent manner. As visualised by figure 7, 83% of the ITP participants who completed the survey answered that they have regular contact with other participants from their own country, and 54% answered that they had regular contacts with participants from the same region. A minority (38%) answered that they had contacts with participants from other regions. Details provided in comments boxes indicate that contact with participants from the same country or region were maintained after the ITP, including with the help of WhatsApp groups. At the same time, the comments suggest that the contacts are not always that regular, and that WhatsApp groups have become less active over time.

Interviews with ITP participants tend to echo the survey results. A majority of the participants of the SUWAS ITP and Media ITP stated that they interact with other participants from the same country, although at varying intervals, and several of them noted that their contacts with participants from other countries had abated. Participants of the SUWAS ITP from Nakuru in Kenya indicated that the ITP have “energised” more cooperation in the WASH sector while the participants from Nepal have formed an alumni network that occasionally get together. In the case of the Social Protection ITP, regular contacts are maintained by many of the Kenyan participants, and a regional meeting organised by the ITP in 2024 helped to re-connecting participants from earlier cohorts. In Uganda, the participants of the same ITP have established a community of practice.

Figure 7 Contact with other ITP participants



Source: Evaluation survey

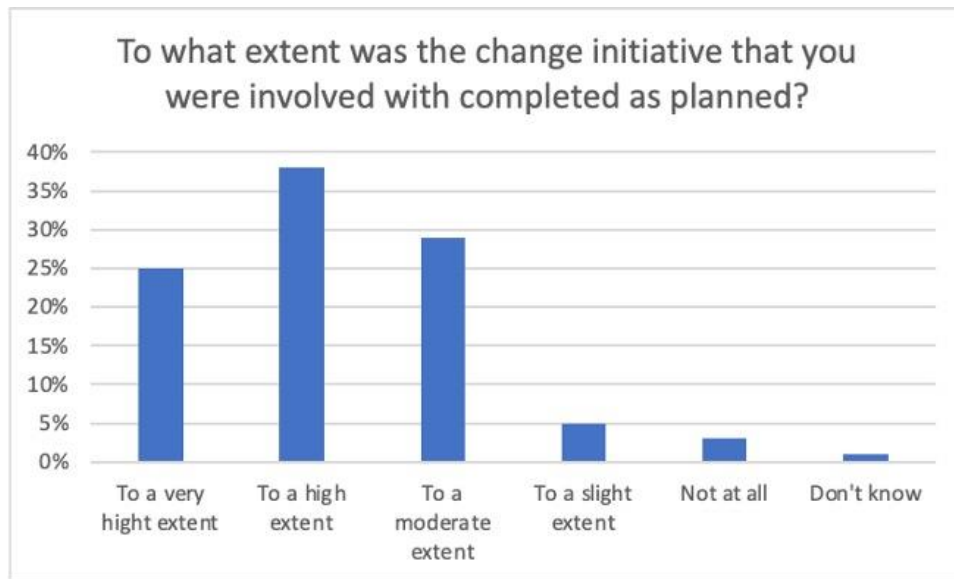
The survey suggests that one-third of the change initiatives were not fully designed or completed, partly due to lack of funding and time constraints. In some ITPs, the scope of the change initiatives was not clearly defined, which makes it difficult to ascertain their status and the progress made. A majority of survey respondents (63%) answered that the change initiatives that they were involved with were completed as planned to a very high or high extent. At the same time, 29% answered that the initiatives were only completed to a moderate extent, and 8% that the initiatives were only completed to a slight extent, or not at all. Among the reasons for non-completion the lack of funding and time constraints are among the most commonly mentioned by survey respondents. Judging by the respondents’ comments, in many cases the time constraints were linked to the Covid-19 pandemic. Some survey respondents answered that the change initiatives had been completed after the end of the ITP, while many others answered that they were still ongoing.

Survey responses indicate that in some ITPs, the change initiatives did not represent a distinct set of planned activities, or were not set up to deliver a clear product/output. This makes it difficult to answer the question whether the initiatives have been completed as planned. Several respondents commented on the lack of implementation of the change initiative, or limited progress being made towards the overall objective of the initiative, which would not necessarily be part of the change initiative as such. The complex and long-term nature of the change initiatives supported by the Social Protection ITP are particularly challenging to assess in this regard.

Among the five ITPs, the Mines ITP stands out as the ITP with the most clearly delimited change initiatives. In Kenya, this included initiatives such as the guidelines for the licensing and inspection of mine waste storage facilities, a training manual for artisanal mining committees, a mine safety toolkit, and an environmental framework for mine site closure. Similar types of outputs were envisaged, and according to ITP reports, completed in other countries. In the ICBP, the end-product of change initiatives was often a report with recommendations on changes to be implemented by ITP participants' organisations, although, in some cases the ITP participants have also started implementing aspects of the change initiatives during the 12-month period of the training.

In the SUWAS ITP and the Media ITP, short summary reports of change initiatives are provided in annual and end of programme reporting. These point to a range of initiatives that include the development of new guidance and policies, support for drafting of new legislation, and support for specific change processes linked to raising awareness or address particular needs (e.g. of women or marginalised groups in the case of the SUWAS ITP). These appear to reflect the end of year/end of cohort summaries; therefore, these overviews would vary in terms of how much they described completed change initiatives or areas of ongoing reform.

Figure 8 Status of change initiatives



Source: Evaluation survey

4.2.3 Immediate outcomes

As reflected in the reconstructed ToC, the anticipation is that the ITP will contribute to three immediate outcomes:

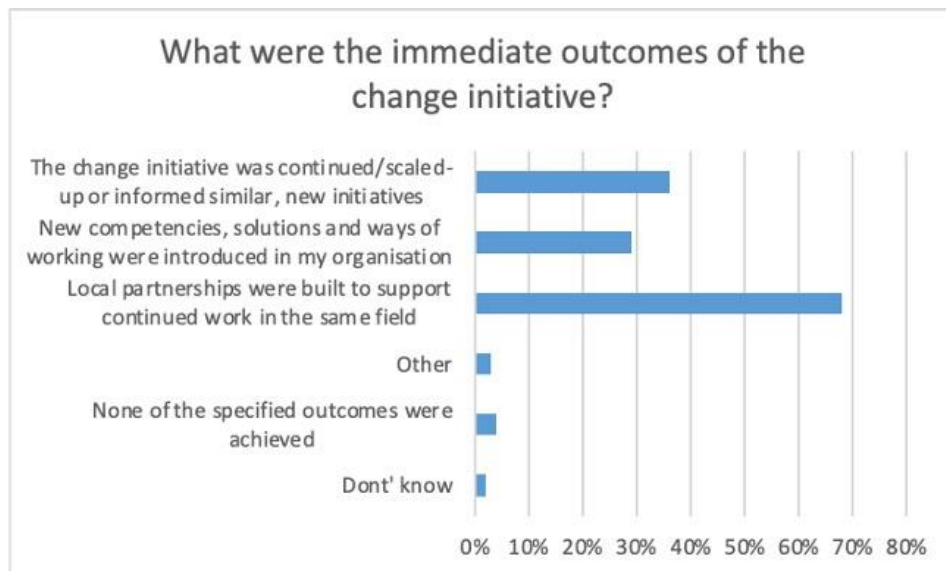
- New competencies, solutions and ways of working are introduced among organisations;
- Local partnerships are created to continue the process of change;
- Change initiatives are scaled up or informed similar initiatives.

The survey of ITP participants shows that about two-thirds (68%) of the respondents perceive that the change initiatives contributed to local partnerships being built to support continued work in the same field (Figure 9). The other two response alternatives – “the change project/initiative was continued/scaled-up or informed similar new initiatives” and “new competencies, solutions and ways of working were introduced in my organisation” – were selected by 36% and 29%, respectively, of the survey respondents.

Judging by the details and examples provided by survey respondents, some of the answers appear to refer to change initiatives that were still ongoing. Hence, the answers do not necessarily mean that, for instance, local partnerships were/are maintained following the completion of the change initiatives. For the same reason, the answers indicating that change initiatives were continued/scaled up or informed similar, new initiatives, should also be treated with some caution, since this would include change initiatives that were continued from one cohort to the next, or informed subsequent change initiatives supported by the ITPs. Similarly, even though respondents indicate that new solutions and ways of working were introduced by the ITPs, this does not necessarily mean that these practices were adopted or replaced existing ways of working within their organisations.

The strengthening of local partnerships was a prominent outcome, especially in the three ITPs that focused on building multi-stakeholder coalitions. In general, the survey results, including the above interpretation of the survey respondents' additional comments, are supported by the desk review and interviews. As elaborated on in section 4.1.2, three ITPs have had a particular focus on building multi-stakeholder coalitions. In the Social Protection ITP, this is reflected in the diversified composition of participants, the joint work of participants on long-term change programmes, and the establishment of steering committees with members from various ministries and civil society organisations (often former ITP participants). As confirmed in interviews with ITP participants, the diversified steering committees have ensured more long-term cross-sectoral and cross-ministerial collaboration. In Kenya and Uganda, this has in turn enabled synergies between government programmes and facilitated policy advocacy and resource mobilisation.

Figure 9 Immediate outcomes of change initiatives



Source: Evaluation survey

The Media ITP similarly has placed strong emphasis on collaboration between different stakeholder groups e.g. journalists, regulatory bodies, media companies, politicians etc. In most of the participants' countries, shared platforms have been established where these different stakeholders can interact and learn from each other (and understand each other's perspectives better) around issues like self-regulation. This is supported by the ITP's own surveys, which indicate that participants primarily saw the ITP as a dialogue platform for diverse stakeholders including media industry, civil society/academia and state actors. In the SUWAS ITP, which had a focus at the city level, participants from different organisations, water utilities, government departments, CSOs, etc., have been encouraged to develop a shared city vision, to which all individual changes projects have contributed and partnerships and collaboration are a particular goal in their overall results framework. At the same time, reports suggest that the extent to which change initiatives have been joined up or linked varies across countries.

In other ITPs, the building of local partnerships is less obvious as an outcome. In Kenya, the ICBP was only able to mobilise participants from the Kenya Revenue Authority (in other countries there were also participants from ministries of finance). This implied that no cross-agency collaboration on change initiatives have taken place in Kenya. The Mines ITP mainly targeted public institutions/government agencies and while participants sometimes collaborated on the same change initiative, this was not always the case.

Change initiatives were continued/scaled-up to a varying degree, mainly depending on the extent to which linkages were built with other change initiatives. The implementation of many change initiatives is pending. The immediate outcome of “the change project/initiative was continued/scaled-up or informed similar new initiatives” seems to have been realised to a relatively high extent in four of the five ITPs studied, as indicated by the desk review and interviews. In line with the survey responses, these ITPs tend to be the ones that have encouraged cohorts to select and develop change initiatives that built on the initiatives of previous cohorts, or where all cohorts worked on the same change programme. However, as also indicated by the survey, there is, so far, relatively limited evidence showing that change initiatives were continued/scaled up beyond the scope, or end of, the ITPs, or informed wider change processes.

An illustrative example of a change initiative being continued/scaled-up is the guidelines for “Mine Water and Tailings Management for Small and Medium Scale Mines in Tanzania”, which were drafted by some of the 2018 cohort of the Mines ITP. These guidelines were further developed by the participants of subsequent cohorts, including by adding images, preparing flyers in Swahili, and developing a related training programme.

Another example is the Kenya change programme developed under the Social Protection ITP. This change programme aimed at improving family resilience by offering additional support to households with adolescents. The first cohort of participants developed an initial concept note for this programme, which was then unpacked by subsequent cohorts, e.g. by designing an M&E framework, developing implementation plans for its different components, adjusting the programme to respond to the effects of Covid-19 and climate change on vulnerable populations, identifying partnership opportunities and undertaking fundraising activities.

In the Media ITP in Armenia, a joint change project/approach was also agreed across the whole cohort, and build across multiple years. This involved coordination across multiple initiatives support efforts at raising awareness of self-regulation as an alternative to restrictive state regulation, developing self-regulatory mechanisms for media bodies and ensuring recognition of these issues in legislation. ITP participant interviews highlighted the usefulness of the focus on change as a process – starting with raising public awareness of issues to moving to developing codes of conducts and voluntary mechanisms for self-regulation, which over time led to pressures for more to join/sign up, as reputational pressures increased. For example, during the ITP period,

membership of the Media Ethics Observatory and signatories to its code of conduct more than doubled.

In the ICBP, country teams worked on a joint change initiative but these change initiatives were usually not directly linked to the change initiatives of previous cohorts. Nevertheless, there are examples, such as in Kenya, where the change initiatives did not merely end with recommendations for further action but where aspects of the recommended solution were actually implemented by the participants. For instance, as part of the change project work of the 2023 country team, the KRA introduced a tax amnesty to reduce the debt portfolio, as one of the measures foreseen to addressing the problem of taxpayers having very large debts. As a result, additional tax revenues equivalent to about SEK 25 billion have reportedly been mobilized.

Yet, as already indicated above, the actual implementation of the change initiatives designed by ITP participants is often pending, and it is uncertain if any follow-up will take place. In the ICPB, this is, for instance, the case with the change initiative of the 2023 Zambia country team. The country team, consisting of participants from the Zambia Revenue Authority and the Ministry of Finance, worked to analyse the debt situation of state-owned enterprises not paying tax debts, resulting in a number of recommendations that, according to interviews, have not yet been acted on. In the Mines ITP, financial constraints appear to have put a halt on rolling out of the training programme developed for the guidelines on mine water and tailings management in Tanzania, which raises questions about the extent to which the guidelines are actually used. Further details on the above change initiatives are provided in the narrative snapshots presented in Annex 8.

While most ITPs introduced new solutions and ways of working, the evidence of changes in the internal practices of participants' organisations is relatively limited. The third immediate outcome – “new competencies, solutions and ways of working” – is closely linked to the two other immediate outcomes. As indicated by the reconstructed ToC, the anticipation is that the ITP will build knowledge and skills that together will make ITP participants more competent in performing their work, including by exposing them to new solutions and ways of working. While some of the participants interviewed indicated that, following the ITP, they are able to do some tasks (e.g. leading and coordination projects, mediating and advocating for change) more successfully or efficiently, concrete examples were often not provided. Some other participants felt that, in line with the survey results, the main immediate outcome of their participation in the ITP, including their engagement in the change initiatives, was the local partnerships being built, rather than individual competencies.

It is noted that three of the ITPs (the Media ITP, SUWAS ITP, and the Mines ITP) included change initiatives that resulted in the development of new methods and tools (e.g. in the form of guidelines, manuals, checklists, etc.) that, if implemented, presumably would lead to changes in how individuals and organisations conduct their work. However, as indicated above, there is, generally, limited evidence of effective implementation of change initiative deliverables and recommendations.

In the Media ITP, interviews indicate that code of conduct and other relevant guidance on media ethics developed by ITP participants helped to strengthen internal practices of media organisations in several countries. According to a survey presented in the Media ITPs' Final Report at the close of the project, more than 80% of respondents answered that the ITP contributed to concrete changes in their organisations. In Kenya, ITP participants developed editorial guidelines that were shared with media houses, but it is not clear to what extent these guidelines are actually used and what improvements they have contributed to.

Based on case studies developed by ITP programme staff, the final report of the SUWAS ITP indicates that close to 80% of all change initiatives contributed to organisational change in support of the ITP objectives, although organisational change is defined broadly, including participants' use of acquired knowledge. A number of examples were cited of new guidelines and policies in place, for instance for neglected areas like sanitation (e.g. developing public toilet guidance in Nepal), and of greater coordination of different stakeholders and organisations around shared problems such as public health and sanitation. It was harder to track whether and how this had led to improved outcomes for service delivery and citizens, not least because this would require longer term tracking beyond the end of the ITP itself.

Interviews indicate that, in the ICBP, the PDIA method was well-received by participants. In Kenya, the participants commonly credit this approach for having helped them to achieve greater clarity about the root causes of debt validation and identify appropriate solutions based on the local context. At the same time, the Kenya Revenue Authority is facing technical, institutional and financial constraints to implement the recommendations of change initiatives, and the use of the PDIA method has not been expanded beyond the work on the change initiatives (The Swedish Tax Agency has informed the evaluation team that South African Revenue Service has decided to expand the use of PDIA in the organisation). Although three of the other ITPs also introduced different problem-solving approaches, these approaches were seldom referred to by the interviewed participants, at least not explicitly, suggesting that they made a smaller footprint than PDIA in the ICBP.

Difficulties in identifying outcome-level change can in several cases be traced back to under-developed M&E systems. ITP partner consortia that involved consultancy companies tended to have better systems than others. As earlier mentioned, the M&E systems of ITP partners have in several cases not allowed for tracking and documenting results at the outcome level (output monitoring is also an issue). In the ICBP a deliberate decision was taken to limit monitoring to outputs since more long-term results were perceived to be outside the sphere of the programme's influence. With consultancy support, the Mines ITP aimed to strengthen M&E during implementation, and new tools were developed for this purpose, although reports and key informants acknowledge that there are continued opportunities for improvement, especially to monitor the use of change initiatives deliverables. The Social Protection ITP similarly took steps to improve M&E during implementation, including by commissioning an outcome harvesting study.

ITPs which were implemented by consortia that involved consultancy companies or similar organisations with technical expertise in programme management had relatively better-developed monitoring and evaluation approaches. The Media ITP provides a good example of a more sophisticated approach to M&E, combining monitoring reports from national facilitators, surveys and final reports from participants in each cohort, reflection exercises by thematic mentors, programme directors and programme managers, and the production of case studies from different countries and stories of change on individual change projects.

4.2.4 Intermediate outcomes

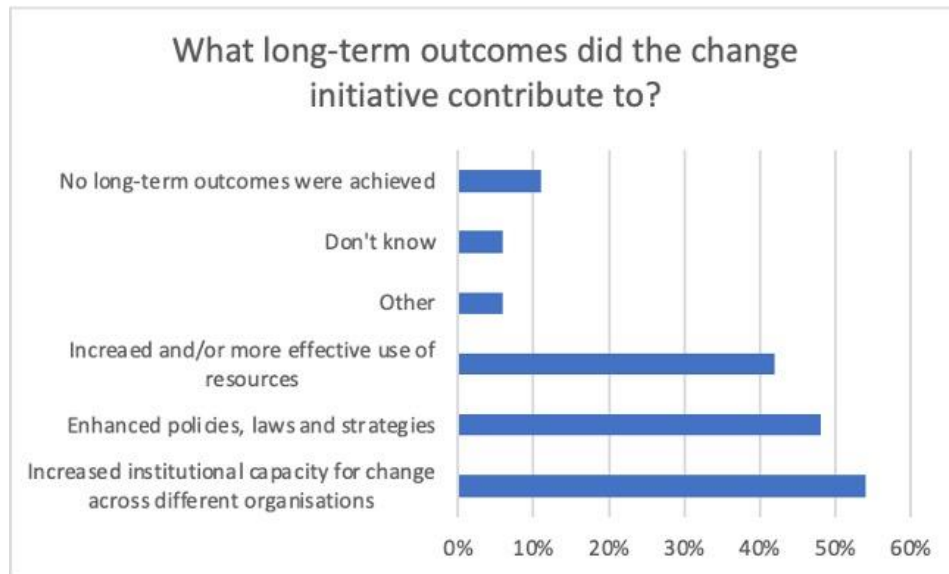
The reconstructed ToC identifies three intermediate outcomes of a more long-term character:

- Increased organisational capacity for change among different actors;
- Enhanced laws, policies and strategies that support improved delivery/performance;
- Increased and/or more effective use of resources that support improved delivery/performance.

Interviews and the desk review suggest that in many cases the change initiatives have been too limited in scope and time to influence outcomes at this level, but other factors have also played a role (see section 4.2.5). As repeated in several sections of this report, it is noteworthy that some ITP partners have not monitored or documented what has happened as a result of the change initiatives, or tried to trace what implications the ITP might have had for participants' performance and career.

As with the outputs and immediate outcomes, the survey posed questions to participants about the long-term contribution of the change initiatives. Figure 11 presents the survey responses. It shows that around half of the respondents have observed or perceived that the change initiative that they had been involved with had contributed to "increased institutional capacity for change across different organisations" (54% ticked this option) and/or "enhanced policies, laws and strategies" (48%). A slightly lower share (42%) answered that the change initiative had contributed to "increased and/or more effective use of resources". Eleven percent answered that change initiative had not contributed to any of the three ToC outcomes, while 6% answered that it had contributed to "other" outcomes. The share answering that they did not know if the ITP had contributed to any long-term outcomes was also 6%.

Figure 10 Long-term outcomes



Source: Evaluation survey

The comments and details provided by survey respondents indicate that one of the main reasons why they answered that the change initiative had not contributed to any of the three ToC outcomes, or answered that they did not know about any long-term outcomes, is that the change initiatives that they were engaged with were still ongoing at the time of the survey. Other comments suggest that the reasons could also be found in the lack of commitment to change initiatives by key stakeholders, lack of funds for the implementation of change initiatives, and political unrest affecting the viability of change initiatives.

The ITPs focusing on building local partnerships are, not surprisingly, also the ones that can demonstrate the best examples of cross-sectoral collaboration supporting institutional change. Perhaps not surprisingly, the desk review and interviews indicate that the ITPs that have contributed, or are likely to contribute to the outcome of “increased institutional capacity for change across different organisations” are the ones that have placed a strong emphasis on collaboration between different stakeholder groups. This primarily includes the Media ITP, SUWAS ITP and the Social Protection ITP.

As indicated by the desk review and interviews, the Media ITP has contributed to the strengthening of key actors in the efforts to establish, support and protect institutions within a self-regulatory media framework. Among the change initiatives studied by the evaluation team, the initiative to establish community-based media-citizens councils in the Philippines stands out in terms of its contribution to institutional change. These media-citizens councils are intended to counteract the trend of diminishing press freedom and low public trust in the Philippine media. With an initial goal of establishing three new councils, there are now nine publicly listed online, and interviews reported a total of 14 new councils had been established. These councils

have brought together journalists and media representatives with local communities, in order to address problems of harassment of journalists and improve the accountability of the media to local communities (see Annex 8).

In line with the key (intended) outcomes of the programme, there is evidence to suggest that the Social Protection ITP has contributed to inter-ministerial collaboration that have promoted institutional change. The desk review and interviews suggest that the collaboration has ensured enhanced coordination and coherence in social protection initiatives, and, to some extent, contributed to a shift towards greater priority being accorded to social protection in government policy and plans. In Kenya, the ITP change programme influenced the establishment of the Enhanced Single Registry (ESR) within the State Department of Social Protection. The ESR is a database on vulnerable households in Kenya, providing information on social protection programmes, and checks against one benefit receiving multiple benefits across programmes (see Annex 8).

The SUWAS ITP also provided examples of increased institutional capacity, although this was more localised given the focus on secondary cities and tended to reflect change within individual companies or public agencies. For instance, in Kenya, one of the change initiatives developed by a participant from Naivasha Water and Sanitation Company (a public company owned by the County Government of Nakuru) aimed to reduce non-revenue water and wastage within Estates in Nakuru where the residents were not paying and resisting the idea of paying for water. The project involved sensitization/mobilisation of the residents and installation of the infrastructure (pipes, tanks, meters). Working across two years (2019-2020), the company was able to reduce non-revenue water and wastage, as reported in the final ‘footprint’ report, from 31% to 25%.

Among the five ITPs studied, the contribution to policy change is most clearly evidenced in the Social Protection ITP, where change initiatives included or encouraged participants to pursue policy advocacy. The intermediate outcome of enhanced policies, laws and strategies overlaps with the outcome of increased institutional capacity for change across different organisations, and this is also reflected in the survey, interviews and the desk review. The evaluation has focused on identifying actual changes in specific policies, laws and strategies that have been influenced, to a significant degree, by ITP participants and change initiatives. This could include both new policies, laws and strategies being adopted as well as positive changes made to existing ones.

In the reports on the Social Protection ITP, evidence is presented of increased priority given to social protection in national policy frameworks. In several countries (Kenya, Zimbabwe, Ethiopia) country teams have pursued policy advocacy and other collaborative efforts resulting in the integration of their change programmes into national policies and programmes. As confirmed in interviews, the Kenya change programme, which aims to promote family-centric social protection policies, has been included in the Medium-Term Plan under the Kenya Vision 2030, which is seen as an

important step towards institutionalising the change programme. The programme has also contributed to the enactment of a Social Protection Policy in one county.

The key outcomes of the Media ITP reportedly include contributions to new media laws and Codes of Ethics for journalists in some countries (as documented in the ITP's Final Report, in individual change initiatives and in interviews with programme staff); however, in general, examples of legislation were often still in draft form.

Although many change initiatives have faced financial constraints, there are examples across ITPs of participants having managed to mobilise funding for implementation, but primarily from external sources. As indicated by the survey and interviews, a common shortcoming reported by ITP partners and participants alike is the lack of financial resources to implement change initiatives. There are no provisions in the ITP budgets for implementation, and in many cases the participants' organisations have not been able (or willing) to allocate own resources for this purpose. Interviews indicate that external donors have been approached in several cases, with mixed results.

In the Social Protection ITP, resource mobilisation was an integral component of the change programmes across countries. In Uganda, IT participants, in collaboration with other actors, secured funding from the Government of Belgium to expand the coverage of the Girls Empowering Girls programme, enabling an additional 1500 urban girls to receive support from the programme (see narrative snapshot in Annex 8). Interviews and reports also indicate that the Zambia country team was able to mobilise funds for the expansion of social protection coverage to over half the country's districts. While the Kenya country team managed to obtain a funding commitment from a donor, the money never materialised. At the same time, the inclusion of the programme in the Medium-Term Plan under the Kenya Vision 2030 give some hopes of future funding. Interviews indicate that the Kenyan government is going to propose that the change programme will be taken up by the Kenya Social and Economic Inclusions Project, funded by the World Bank.

In the Media ITP, participants from the Philippines managed to obtain financial support from the Dutch government to help set up several community-based media councils, and the Philippine Press Institute, which continue to advocate for the establishment of more councils, has raised additional funds from Denmark. The ICBP can in the change initiative described above be credited for bringing in additional tax income.

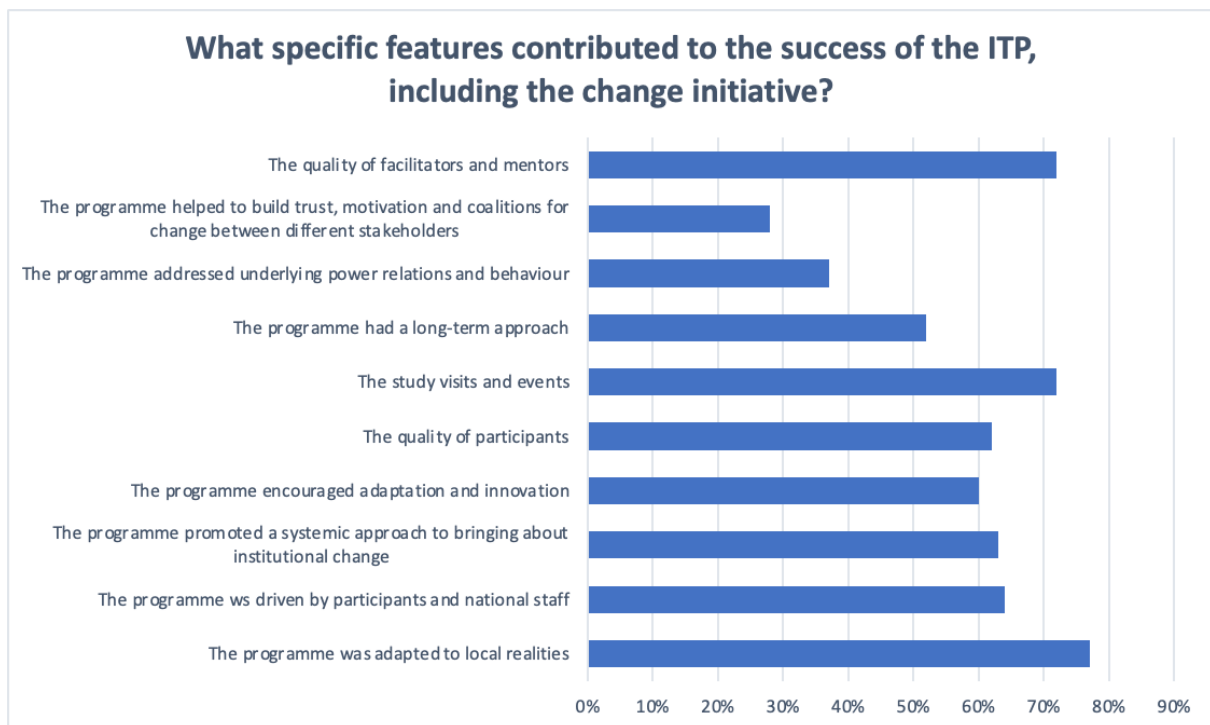
4.2.5 Factors influencing programme effectiveness (and sustainability)

This section provides a summary of common key factors that have promoted programme effectiveness and enabled the contribution to outcomes across ITPs. Some of these factors are also critical for the sustainability of outcomes beyond the ITPs.

Key internal factors

The adaptation to local realities and focus on participants' own change priorities was a significant success factor. This was accentuated by the use of PDIA and similar problem-solving methods in some ITPs. The data collected on ITPs' contribution to immediate and intermediate outcomes suggest that the ITP's ability to adapt to local realities and focus on participants' own change priorities has been critical for the programmes' effectiveness. As shown by Figure 11, when asked about what specific features contributed to the success of the ITPs, including the change initiatives, 77% of the respondents selected the option of "the programme was adapted to local realities", while 64% selected "the programme was driven by participants and national staff". The additional comments and details provided by survey respondents further emphasised their appreciation of the familiarity of ITP mentors and facilitators with country contexts, and that the change initiatives were home-grown and based on the premise that local problems require local solutions.

Figure 11 ITP success factors



Source: Evaluation survey

Interviewees across the five ITPs commonly conveyed the same message as the survey. Several ITP participants emphasised the importance of local ownership, and, in that connection, the need for building an effective rapport with authorisers/leadership of participants' organisations. Several interviewees also referred to the use of the PDIA and similar problem-solving methods that have been used by four of the ITPs, noting that they do not prescribe solutions. The focus on creating local networks, building professional relationships and partnerships, also underscored this. In creating local

networks, participants were reportedly able to gain wider perspectives on the issues and problems faced, but could also access peer support and gain greater credibility and support for the change initiatives they were pursuing.

More long-term outcomes and better prospects for sustainability have been achieved by ITPs that have promoted a systemic approach and multi-stakeholder collaboration. A majority of survey respondents (63%) answered that the ITPs have promoted a systemic approach to bring about institutional change. At the same time, only 28% answered that the ITP has helped to build trust, motivation and coalitions for change between different stakeholders. The additional details provided by survey respondents suggest a varied understanding of what a systemic approach entails.

As earlier elaborated on, the systemic approach that to a varying degree has been pursued by the ITPs included the use of PDIA (or similar methods), a focus on building multi-stakeholder coalitions, and the ability to capitalise on existing change processes and emerging opportunities. The focus on building multi-stakeholder coalitions has proven to be a key element of the ITP's contribution to increased institutional capacity for change across different organisations, and the extent to which they have been able to influence policies, laws and strategies (see section 4.2.4 and 4.2.5). Aligning change initiatives with government policy making processes have also been important in this regard.

With regard to creating local networks, interviews indicate that participants were able to gain wider perspectives on the issues and problems faced, but could also access peer support and gain greater credibility and support for the change initiatives they were pursuing. In two of the ITPs previous participants acted as mentors to new participants in ITPs, and in the Social Protection ITP, steering committees were established which included representatives from different cohorts.

The conditions for long-term change have varied. Linkages between change initiatives and the duration of the programme rounds have been two important factors in this regard. A slight majority (52%) of the survey respondents answered that a long-term approach contributed to the success of the ITPs, including the change initiative that they were involved with, while 17% answered that the lack of a long-term approach negatively affected the results and impact of the change initiative.

The importance of a long-term approach is also reflected in the evidence and examples presented in section 4.2.4 and 4.2.5, showing that ITPs and change initiatives that enabled a long-term approach to solving identified problems were more successful than others in terms of their contribution to higher-level outcomes (e.g. institutional change). Specifically, this was the case with the Social Protection ITP, where participants from the same country worked on the same change initiative across cohorts, and in some countries where a similar approach was adopted by the Media ITP. In the Media ITP, Mines ITP and the SUWAS ITP, several change initiatives were linked or built on each other, which also favoured a long-term approach. In the ITPs where the programme

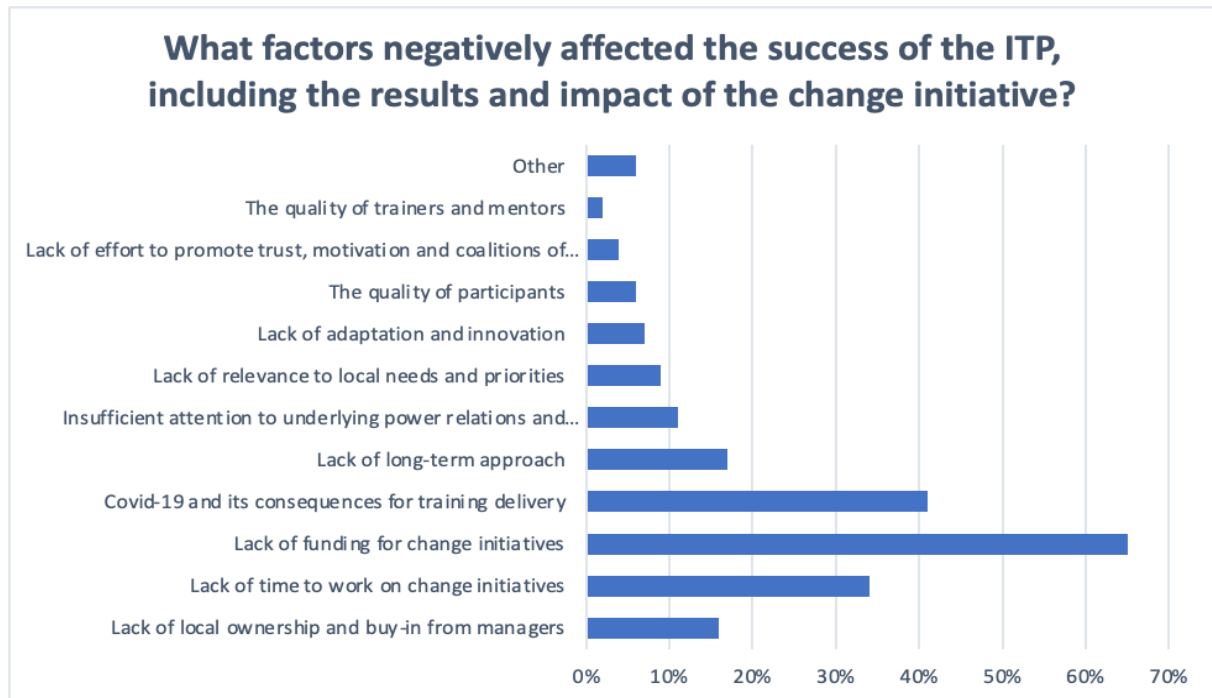
rounds were limited to 12 months, participants often remarked that the duration was not enough to create conditions for long-term change.

Survey responses and interviews indicate that participants' engagement, commitment and motivation has been a key success factor, which underlines the importance of strategic selection of participants. The survey results show that 62% of the respondents experienced or perceived that the “quality of participants” was an important factor contributing to the success of the ITPs. A mere 6% answered that the quality of participants negatively affected the success of the ITPs. This is largely echoed in interviews and in the ITP reports where this issue is brought up. For instance, in the mid-term evaluation of the ITP on social protection¹³, the recruitment strategy is singled out as a critical enabler, noting that participants come with adequate knowledge, commitment and passion for strengthening social protection in their countries.

Managers of three ITPs also highlighted the need for having the right mix of participants, noting continued efforts to attract senior managers, which could help to ensure that priority is given to change initiatives and that the financial aspects of the initiatives are considered. In the ITPs that placed particularly strong emphasis on collaboration between different stakeholder groups, managers and participants alike also emphasised the need for strategic recruitment of participants. At the same time, programme managers across the ITPs noted challenges in terms of varying levels of engagement of participants, and the pressures participants faced when already in full time employment (see below).

International mentors/coaches have helped to advance change initiative work. National facilitators and authorisers, when assigned, have also had very important roles. While not reflected in the survey, the key role of mentors/coaches to support, encourage and push the participants to advance the change initiatives was highlighted in interviews across the ITPs, and participants commonly praise the ITPs for the high quality and commitment of the mentors/coaches. Several interviewees also underlined the increasingly important role of national facilitators, who were appointed in three of the five ITPs, and helped to ensure that the change initiatives were properly anchored in the local context, relevant stakeholders were considered and engaged, and that the work moved forward in-between coaching sessions. Interviews suggest that the concept of national facilitators have been deliberated by the partners in the two other ITPs.

¹³ Southern Hemisphere (2022): Mid-term Evaluation of Advanced International Training Programme on Social Protection for Sustainable Development. Draft report. 19 October 2022.

Figure 12 Factors negatively affecting the success of ITPs

Source: Evaluation survey¹⁴

In the ICBP, the participants' organisations were requested to assign "authorisers", who own the problem, is committed to solving it, and has the power to influence others. In Kenya, the authoriser of the change initiatives is credited for his role in ensuring that some of the key recommendations put forward by the participants were implemented. The country steering committees in the Social Protection ITP are similarly considered to be crucial for the success of the change programmes.

The quality of the technical knowledge shared was also recognised, both in terms of the Swedish study visits (the Swedish and regional phases of the ITPs) and through in-country events and online sessions (ranked second highest in factors that contributed to the success of the ITP, according to our survey). Interviews with participants across the ITPs generally reflected that ITP content was well adapted to their needs and interests, and the accompanying mentoring support and process of change initiatives provided mechanisms through which new knowledge could be applied and made relevant to participants own individual priorities. In one ITP (the Mines ITP), there was feedback that the Sweden study visit was less relevant to the specific issues faced by participants.

¹⁴ Two answer options are truncated in the figure. They should read "Lack of effort to promote trust, motivation and coalitions of change between different stakeholders" and "Insufficient attention to underlying power relations and behaviour".

Key external factors

As elaborated on in section 4.2.1, all of the ITPs were significantly affected by Covid-19 and the restrictions that followed from the global spread of the pandemic. In the survey, 41% of the respondents answered that Covid-19 and its consequences for training delivery negatively affected the success of the ITP, including the results and impact of the change initiatives (see Figure 12). As indicated by interviews, for some ITPs, contextual developments, including political instability and civil war, have also influenced the ability to work with some countries and the success of change initiatives. This section identifies some other external factors that commonly have negatively affected the success of the ITPs and the change initiatives, but to a greater extent fall within the sphere of control of the ITP partners and the participants' organisations.

Lack of funding for change initiatives work and follow-up has been a significant obstacle to success, and for ensuring sustainability. It is noteworthy that the ITPs do not include budgets for change initiatives and that no requirements are placed on participants' organisations to allocate corresponding resources. The survey results indicate that the lack of funding for change initiatives has been a significant, disabling factor. As visualised in the figure above, 65% of the respondents answered that lack of funding negatively affected the success of the ITPs, including the results and impact of the change initiatives.

In interviews, participants and managers of several ITPs expressed their concern about not having funds to cover in-country costs, e.g. to be able to convene meetings with participants and other change initiative stakeholders, or for local travel. An even more significant issue, as highlighted both in interviews and ITP reports, has been the lack of funding to implement the solutions and recommendations put forward by change initiatives, and to operationalise deliverables such as guidelines, checklists and training materials.

Most of the change initiatives studied by the evaluation team are dependent on participants' being able to mobilise external funds. In the case of the Social Protection ITP, resource mobilisation has been a dedicated theme and part of the country change initiatives, but this has not been a guarantee for funding. Participants of three different ITPs suggested that small grants could be provided as part of the ITPs to support the implementation of change initiatives.

Participants' competing priorities have affected the quality and completion rate of change initiatives in some cases, highlighting the need for better workload management and organisational support. Lack of time to work on change initiatives was identified by 34% of survey respondents as a factor negatively affecting the success of the ITP, including the results and impact of the change initiatives. In interviews and reports there were also repeated references to participants struggling to balance their regular work with their participation in the ITP and work on the change initiatives. For instance, consecutive ICBP reports underline that the country teams progress in problem-solving was highly dependent on the amount of time individual team members

have to spend on the change initiatives, noting that several teams had difficulties in balancing their ordinary work with the participation in the programme. Interviews with participants suggest that the work on change initiatives take place after regular working hours. Conflicting working schedules among team members have also led to difficulties in coordination regular meetings.

This highlights the need for better workload management and organisational support for participants, as well as greater engagement with their managers and senior leadership to ensure sufficient priority is placed on ITP participation. Alternatively, the role and scope of change initiatives need to be reviewed if the ITPs are run in parallel to full-time work.

Buy-in from leadership has sometimes been missing, and there has been limited focus on using the change initiatives as entry points for wider organisational and institutional change. A relatively small share (16%) of survey respondents answered that lack of local ownership and buy-in from managers has been a factor that have negatively affected the ITPs and the change initiatives. At the same time, as noted above, interviews reveal commonly cited challenges of participants' competing priorities, with consequences for the time spent on change initiatives and on engaging with the course materials and network. This links to a wider factor identified throughout, in that there did not seem to be clear evidence of the buy-in from the organisations' leadership.

In general, the ITPs still focused primarily on the individual participants, rather than on engagement with the wider organisations or institutions they were from. This meant that authorisers/senior managers from these organisations were rarely or only sporadically engaged, and there was no evidence of clear strategies for how to cascade learning within these organisations and how to ensure wider uptake of new ways of working. Outside of end of programme events, there was little evidence of authorisers being engaged with change initiatives, apart from the Social Protection ITP which established steering committees that included senior managers. In general, ITPs appear to have remained largely as an approach based on individuals and their change projects, rather than using these as entry points to support wider institutional change.

5 Conclusions

The evaluation set out to explore the relevance of ITP design and methods, including their alignment with good practice and evidence of what works for contributing to institutional change, as captured in CAPDEV's five principles for capacity development. With the help of a reconstructed ToC, the evaluation then analysed and assessed the effectiveness of the ITPs, paying particular attention to how the application of these principles and other factors have influenced change. In this section, building on the findings elaborated on earlier, answers are provided to the key evaluation questions related to relevance and effectiveness,

EQ1: To what extent are programme designs and methodologies appropriate and in accordance with good practice and evidence of what works for contributing to institutional development and capacity development at the organisation level?

As shown by the evaluation, all of the five ITPs studied have adhered to the principle of locally driven change. The main topics of the ITPs were found to be relevant to the targeted organisations and the participants, who took a leading role in identifying and exploring the problems to be addressed by the change initiatives. Rather than prescribing what should be done, the ITPs provided contextually adapted support to change initiatives, and encouraged participants to find solutions reflecting 'best fit'.

Four of the five ITPs can be said to have promoted systemic solutions, and three were explicitly designed to ensure multi-stakeholder engagement. This was also reflected in the efforts made to ensure a balanced and strategic composition of participants and country teams working on change initiatives, although, in practice, this was not always achieved. While some change initiatives were well connected to the wider reform space and system, synergies with other donor support were not explored, and, with some exceptions, limited attention was given to how to navigate power dynamics and incentives. This can to some extent be linked to the varying quality of the theories of change underpinning the ITPs.

All the ITPs used a mix of capacity development methods, which were well received by participants. Four of the ITPs aimed to build both technical competencies and broader change management skills. While informal evaluations and feedback from participants promoted learning and informed adjustments, evidence suggest that the ITPs using PDIA and similar approaches that promoted experimentation and adaption were especially well positioned to respond to contextual changes. The quality of hand-over processes also affected the extent of learning taking place between different cohorts and change initiatives. A general weakness was the lack of explicit strategies for transferring the participants' knowledge and skills to other staff within their organisations.

With regard to cross-cutting perspectives, all ITPs encouraged gender-balanced participation and included gender focused sessions, and three of the ITPs were explicitly grounded in human rights principles. The poverty perspective was most clearly reflected in the two ITPs that had a particular focus on social services. This was also the case with the environment and climate change perspective, which was closely linked to the main topic of two ITPs. With some notable exceptions, crosscutting perspectives have not been systematically mainstreamed in change initiatives.

EQ2: To what extent have the assessed ITPs contributed to, or are likely to contribute to, institutional development and capacity development at the organisation level, given results to date and evidence of what works?

The evaluation shows that, although there was some variation, the five ITPs were largely aligned with the delivery model outlined for the ITP instrument in the reconstructed ToC. However, mainly because of Covid-19, the delivery model changed significantly during the implementation of the ITPs. In general, the lack of face-to-face interaction had negative implications for the quality of knowledge sharing and the ability of the ITPs to build trust and motivation.

ITP participants commonly feel that they have gained increased technical or thematic knowledge related to the subject matter of the ITPs. A majority also indicate that they have developed their change management skills, which is particularly obvious in the ITPs using PDIA and similar problem-solving methods. Participants have also developed professional and personal networks, although contacts with participants from other countries have tended to become less regular over time. The role of the ITPs in enhancing the understanding of crosscutting perspectives was relatively limited.

Many change initiatives were reportedly not completed (fully designed) within the time frame of the ITPs, and their status is often not clear. Evidence suggest that the quality and completion rate of change initiatives have been affected by funding and time constraints, pointing to the need for better organisational support and workload management, or, alternatively, less ambitious change initiatives.

The most prominent immediate outcome was the contribution of the change initiatives to forging local partnerships. Not surprisingly, this is especially evident in the three ITPs that focused on engaging participants from a range of participating organisations, including those inside and outside of government. Some of the change initiatives have been scaled up or in other ways informed the change initiative work of subsequent cohorts of participants from the same country. While most ITPs introduced new knowledge, and some new solutions and ways of working, there is limited evidence that the internal practices of participants' organisations changed significantly as a result.

Evidence of changes at the intermediate outcome level is scarce. The ITPs that managed to facilitate local partnerships demonstrate the best examples of cross-sectoral collaboration supporting institutional change. The contribution to policy change is most

clearly seen in the outcomes of the Social Protection ITP, where change initiatives included or encouraged participants to pursue policy advocacy. In some cases, ITP participants were able to raise funds for the implementation of their change initiatives, but mostly from external sources.

The difficulties in identifying outcome-level change can in several cases be traced back to under-developed M&E systems and the relatively short-time frame of the ITP cohorts when compared with longer term changes envisaged.

EQ3: What factors, features and characteristics can be identified that enable or hinder programmes to contribute to institutional development and capacity development at the organisation level?

In summary, the evaluation shows that the adaptation to local realities and focus on participants' own change priorities was a significant enabling factor, supported by the use of PDIA and similar problem-solving methods in some ITPs. The quality of the content and technical knowledge shared was also recognised, and of taking a longer-term approach to change, although the ability to actually realise a longer-term approach was mixed, and reflected in whether the ITP was able to make meaningful links across different ITP cohorts and change initiative activities. Another key factor influencing change in a positive direction was the participants' engagement, commitment and motivation, which was reinforced by the approach to developing change initiatives and to active learning and application. International mentors, national facilitators and, not the least, authorisers/senior managers of the targeted organisations have equally had important roles in change initiatives and securing conditions for their implementation.

On the other hand, the effectiveness (and sustainability) of the ITPs have generally been held back by the lack of funding for change initiatives, and despite examples of committed senior managers, buy-in from the organisations' leadership seems to have been weak in many cases. Participants own ability to commit significant levels of time and to balance against competing priorities as also cited, and was at times out of step with the scale of ambition of change projects. These factors had the effect of limiting the focus of the ITP to increasing the capacity of individual participants, rather than developing explicit strategies for how to embed change with participating organisations, despite the fact that the reconstructed ToC and individual ITP ToCs aspire to this.

6 Recommendations

The recommendations flow directly from the evaluation findings and conclusions. The recommendations have been presented and ‘tested’ at the debriefing with Sida and the subsequent workshop with ITP partners, and then fine-tuned during the final analysis and report drafting process. While the recommendations are presented in order of importance/priority, it should be noted that many of them are linked to each other, and thereby interdependent and mutually reinforcing.

6.1 RECOMMENDATIONS TO ITP PARTNERS

1. **Ensure a greater focus on organisations rather than individuals in ITP design and delivery, including by anchoring the ITPs in organisational analysis, and engaging with the organisations’ leadership early on.** The evaluation indicates that the contribution of ITPs to capacity development and institutional change is held back by the lack of buy-in from the leadership of the participants’ organisations. In general, there are no clear strategies for how to cascade learning ensure wider uptake of new ways of working. Addressing this weakness requires closer engagement with the organisations’ leadership throughout the ITPs, and a better understanding of how change initiatives can help to trigger change within the organisations, as well as at the institutional level.
2. **Target decision-makers for participation to secure influence on policy and resource allocation, and keep them involved as authorisers or steering committee members.** The evaluation shows that senior managers of the targeted organisations have had important roles in change initiatives and securing conditions for their implementation. Reversely, as also noted above, senior managers have often not been sufficiently involved or committed. Evidence suggests that there is a strong case for attracting more senior managers as participants in the ITPs, while ensuring a balanced mix of participants overall. Engaging senior managers as change initiative “authorisers” or steering committee members has also proven to be key for the success of these initiatives.
3. **Devote more time and resources to regional experience sharing and recruit (and build the capacity of) regional and country mentors, to promote locally-driven change.** The evaluation results highlight the value of regional experience sharing, including the ability of ITP participants to build networks and collaboration with peers in countries and contexts sharing similar characteristics (noting that the Swedish example was not always relevant). Regional mentors and national facilitators, where used, have also had important roles to ensure that the change initiatives were properly anchored in the local context, relevant stakeholders were considered and engaged, and that the work on change initiatives moved forward.

4. **Extend the duration of each cohort to 18 months to ensure sufficient time for completion of change initiative work and secure follow-up, including proper hand-over to the next cohort.** The evaluation shows that the conditions for long-term change have varied between the ITPs, partly due to the extent of linkages being built between change initiatives and the duration of the ITP programme rounds. In the ITPs where the programme rounds were limited to 12 months, participants often remarked that the duration was not enough to fully design the change initiatives and create conditions for their implementation and follow-up, including hand-over to the next cohort of participants, when relevant.
5. **Consider what more can be done to ensure that change initiatives are completed, e.g. seek commitments from senior managers/authorisers to allow participants sufficient time for change initiatives, cover in-country costs (such as travel) for such work, and/or limit the scope of change initiatives to make them more feasible.** The evaluation indicates that there are several factors influencing the design and success of participants' change initiatives. In some cases, participants' competing priorities have affected the quality and completion rate of change initiatives, underlining the need for better work load management and organisational support. Lack of funding for change initiative work and follow-up has also been a significant obstacle to success and sustainability, and in some cases the scope of change initiatives seems to have been too broad or not well defined.
6. **Create a structured hand-over process between cohorts to ensure continuity and knowledge transfer and organise training-of-trainers to pass on learning throughout the targeted organisation.** The evaluation indicates that a structured hand-over process between participants' cohorts has sometimes been missing or delayed, with consequences for change initiative work, especially in cases where change initiatives build on each other or in other ways are linked. In addition, as noted above, new competencies and learning are generally not passed on by participants, which limits the ability to ensure wider uptake of new ways of working.
7. **Invest in creating alumni networks for participants to share progress, challenges, and best practice post-programme, and promote continuous collaboration (and allow some funding for alumni activities).** The evaluation shows that ITP participants generally maintain contact with other participants from the same country, and, to a lesser degree, with participants from other countries. However, these contacts tend to become less regular over time. The best prospects for sustained contact and collaboration are found in the ITPs that have invested in the creation of alumni networks, although no funding for alumni-related activities have been allocated.
8. **Identify and pursue synergies between change initiatives and other donor-funded activities (including Sida-funded ones) to promote sustainability and scalability.** While there is evidence of change initiatives being well connected to the wider reform space and system, synergies with other donor support have not been explored to any greater extent. This limits the ability of the ITPs to ensure

that change initiatives are sustained and scaled-up through other donor funding and projects.

9. **Further develop ITP MEL systems to capture outcome-level results (in terms of participants' capability, organisational development and institutional change), and document lessons learnt and best practices on an ongoing basis.** The evaluation shows that ITP ToCs varied in depth and quality, and generally did not reflect a robust analysis of what triggers institutional change. Similarly, in some cases, ITP M&E systems were under-developed, which has made it difficult for ITP partners to identify and document outcome-level change and lessons learnt.

6.2 RECOMMENDATIONS TO SIDA

1. **Develop a portfolio-level ToC for ITPs and an accompanying set of global indicators to guide ITP design, monitoring, and reporting.** Sida does not have a ToC dedicated to the ITP instrument, and thereby lacks an efficient means of steering the ITP portfolio towards desired capacity development outcomes and institutional change. The portfolio-level ToC should reflect the findings and conclusions of this evaluation, including the assessment of factors influencing programme effectiveness and sustainability. For each of the key outcomes in the ToC, global indicators could be defined. If these indicators are reported on by ITP implementing partners, Sida would be able to monitor, and learn from, the progress made towards the desired outcomes of the ITP instrument on an ongoing basis.
2. **Revise ITP guidelines and criteria for assessment of ITP proposals to incentivise ITP partners to implement the recommendations of this evaluation.** Sida should ensure that conditions are created for allowing ITP partners to effectively implement the recommendations above. To this end, Sida should review and revise, as necessary, the existing guidelines and criteria for assessment of ITP proposals, and alert the ITP partners on any changes made.
3. **Consider both technical competence and programme management capacity, including ability to adapt to local contexts, when selecting ITP partners (this could motivate Swedish public agencies to pair up with consultancy companies and similar actors, as required).** The evaluation indicates that the ITPs implemented by consortia of partners, presenting a mix of technical expertise on relevant subject matters, programme management capacity, including MEL systems, and/or regional/country-level knowledge, are relatively well-positioned to affect capacity development and institutional change.
4. **Give ITP partners sufficient time and guidance for ITP design, especially ToC development, to ensure that change pathways and assumptions are well-researched, realistic and documented.** As noted above, the five ITPs had ToCs of varying depth and quality, and generally did not reflect a robust analysis of what triggers institutional change. Sida should ensure that prospective ITP partners have ample time to develop programme-level/nested ToCs, including by conducting proper context analysis and consultation with stakeholders. Apart from the guidance provided from the portfolio-level ToC, Sida could also encourage ITP partners to seek expert advice on ToC development, when required.

5. **Allow more flexibility in the use of ITP funds, e.g. for covering costs of in-country work on change initiatives and alumni activities.** The ITPs do not include budgets for change initiatives and there are no requirements on participants' organisations to allocate corresponding resources. The lack of funds to cover in-country costs, e.g. to be able to convene meetings with participants and other change initiative stakeholders is identified as a particular drawback. As part of creating good conditions for ITP partners to implement the recommendations of this evaluation, Sida should consider to relax the requirements on the use of ITP funds for this purpose.
6. **Facilitate strategic engagements between ITP partners (and participants' organisations) and Swedish embassies to further explore synergies with bilateral contributions.** As noted above, synergies with other donor support, including Sida's bilateral programmes in partner countries, have rarely been explored by the ITP partners. This was also identified as a weakness by ITP stakeholders, some of which felt that there was not sufficient interest or engagement from other parts of Sida or the embassies.
7. **Ensure that ITP partners further develop their skills in integrating cross-cutting perspectives in ITP design, planning and implementation.** The evaluation shows that the extent to which the ITPs addressed and integrated crosscutting perspectives, including gender equality, the rights perspective, the poverty perspective, environment and climate change, and conflict, varied considerably. Relatedly, there is limited evidence that the cross-cutting perspectives had been considered in change initiative work. Sida could provide more guidance to ITP partners on the crosscutting perspectives, and encourage ITP partner staff to participate in relevant trainings.

7 Wider Lessons for Capacity Development

The data collection for this evaluation reflects the evidence available on a selection of ITPs. In assessing the relevance criterion, the evaluation team drew on a broader set of principles and research for ‘what works’ in capacity development, which are also largely captured by CAPDEV’s briefing paper, “Capacity development as a method to promote effective and inclusive institutions”. This section briefly discusses some of the broader lessons from the evaluation for Sida’s future support to capacity development.

The evaluation supports a number of core principles of capacity development that align with the evidence base of what works. In particular, evidence was obtained in support of locally driven change, which is increasingly recognised as a cornerstone of effective capacity development. The ITPs, and the change initiatives they promoted, were designed with a strong focus on the specific challenges faced by participants and their organisations. The methods of the ITP allowed participants to identify their own problems and develop solutions that were tailored to their specific circumstances, reinforcing ‘best fit’ approaches rather than generic best practices. This was particularly the case where methods like PDIA or adaptive learning were mainstreamed across ITP delivery. Locally-led change has been found to be much more likely to ensure that any reforms ‘stick’ and are sustainable, because they are grounded in local realities rather than trying to import reforms which are unrealistic to those contexts.

There was equally evidence of building core competencies for change – another important principle that supports more holistic capacity development by building competencies beyond technical expertise. Rather than a conventional training programme focused on imparting new technical knowledge, the evaluation found that the ITPs’ focus on building networks and establishing change initiatives meant it built skills in change management and relationship management, which are important for ensuring sustainable change.

Moreover, the evaluation reveals the use of systemic approaches to collaboration between actors, particularly for those ITPs which explicitly sought to build multi-stakeholder coordination and networks. Across the ITPs, the approach taken allowed participants to identify root causes of problems and potential solutions, often involving greater coordination between actors in order to address complex societal challenges. This was particularly seen in technical areas like social protection or water and sanitation, which require multiple different stakeholders to come together to address gaps in provision.

For example, common challenges for urban water and sanitation reflected weaknesses in harmonisation and coordination among different stakeholders, and the SUWAS ITP tried to explicitly address these gaps by bringing different stakeholders together as participants in the same city-level cohort, such as those working on public health, water and sanitation and across different public agencies, public utilities and the private sector. In the Social Protection ITP, reforms required coordination across different stakeholders and parts of government, given the broad mandate of social protection initiatives. In the media field, coordination and building relationships between stakeholders which did not otherwise exist was part of an explicit strategy to address polarisation and misinformation, including to break down suspicions and misperceptions between government and media actors.

One aspect which is increasingly documented in wider research and evidence for capacity development but overlooked to date in the ITPs is the potential of coalitions as groups of organisations and individuals that work together to pursue common goals. While the ITPs tend to focus more generally on network building, as a vehicle for sharing knowledge and information, coalitions involve members who share goals and are committed to joint action. In some of the change initiatives studied, ITP networks did involve action in the interests of shared goals, and in these cases, they operated more like coalitions. However, there was less explicit focus on the key support needed for coalition building, such as careful attention to shifting stakeholder preferences, strategies, goals, and allegiances and long-term support to build and sustain the coalition. There is growing evidence of what works for coalition building which could be incorporated further into Sida capacity development support and ITPs specifically.¹⁵

There was more mixed evidence of adaptive and long-term approaches to capacity development across the ITPs. The use of PDIA and adaptive learning in some ITPs supported regular use of feedback to make ongoing programme adjustments and improvements, and all the ITPs regularly reflected on ITP feedback and adjusted course materials and design accordingly. Most of the ITPs also sought to be long term, either in terms of the objectives of the change initiatives developed (which often went beyond the term of the ITP course), and in efforts to link across ITP cohorts or change initiatives in particular countries. In reality, however, ITPs overall were constrained in their relatively short timeframes and the lack of subsequent follow up with participants and change initiatives, which is addressed by the recommendations of the evaluation.

¹⁵ See The Asia Foundation (2023) On the right tack - Reflections on coalition-building initiatives across Asia

https://asiafoundation.org/wp-content/uploads/2024/08/Governance_On-the-Right-Tack_Reflections-on-Coalition-Building-Initiatives-across-The-Asia-Foundation.pdf

The ITPs were particularly mixed in terms of demonstrating their understanding of power relations, and demonstrating politically aware capacity development that considers power relations and incentives, so reforms are actually implemented and sustained. Those ITPs that performed best in this respect often had strong national facilitators, or were forced to address power relations because of the nature of the issues they were addressing (e.g. media repression in the case of the Media ITP). However, overall, there was less explicit focus on power dynamics, incentives and influence within participants' own organisations.

Consequently, the evaluation team could not identify clear strategies for how the ITPs aimed to achieve behavioural change, or the transfer of new ways of working and approaches within organisations, which took account of power relations, incentives and motivations of key power-holders. Ultimately, this meant that the ITP approach was still anchored to individuals, rather than to efforts to build capacity and reform across organisations. The recommendations of the evaluation point to ways in which ITPs could incentivise greater focus on organisations rather than individuals, and this has to be grounded in a politically aware approach. This could also be made more explicit within Sida's approach to capacity development more broadly.

Finally, it is striking that Theories of Change (ToCs) in general were often weak or under-developed, and did not clearly set out pathways for moving from outputs to longer term outcomes, or ways of testing assumptions to see if these pathways were accurate. The lack of a ToC for Sida's approach to ITPs, and to capacity building more generally, may compound these problems, as there are still persistent ambiguities in the interpretations and understandings of ToCs and how to use them. It may be useful for Sida to develop and disseminate a ToC in this area, drawing on the inputs developed for this evaluation, to provide greater guidance for partners and clearly signal expectations for how to approach this type of support.

Annex 1 - Terms of Reference

Terms of Reference for the Evaluation of Sida's International Training Programmes as Instruments for Supporting Effective and Inclusive Institutions

Date: November 24, 2023

1. General information

1.1 Introduction

The Strategy for capacity development, partnership and methods that support the 2030 Agenda 2018- 2022, extended to include 2023, (KAPAME) has four support areas; 1) Capacity development, 2) Collaboration and partnership, 3) Innovative methods and forms of working for development cooperation and 4) A broad Swedish resource base (Annex A). The evaluation will focus on support area one, capacity development, and a selection of capacity development programmes included in the portfolio.

Throughout the implementation of the KAPAME strategy there has been a strong focus on capacity development as a method for supporting institutional development. Sida's capacity development programmes have gradually evolved, based on learning from evaluations, experiences from both participants and implementing partners, to better align with that focus. A number of evaluations have been carried out within the strategy area.

The portfolio has evolved to include new capacity development programmes applying different methodologies to better facilitate results at the level of organisations and institutions. In dialogue with implementing partners Sida has stressed the importance of local partnerships, to ensure local contextual knowledge as well as innovation and an adaptive approach throughout the implementation period. In addition, the Capacity Development Unit has established a common understanding of key concepts relating to capacity development, organisational development, institutions and institutional development. A brief has been developed outlining principles that should be taken into consideration when utilising capacity development to achieve institutional change (Annex B).

This evaluation aims to help CAPDEV and its partners working with capacity development assess and learn from what works well and less well when using capacity development as a method to support effective and inclusive institutions and increased capacity among key state and non-state organisations. With the current strategy coming to an end, the evaluation will inform the continued development of CAPDEV's capacity development programmes, as well as its general approach to capacity

development as a method for supporting effective and inclusive institutions in partner countries.

1.2 Evaluation object: Intervention to be evaluated

The overall objective of CAPDEV's portfolio of capacity development programmes is to support increased institutional capacity among actors in partner countries for sustainable development and poverty reduction, in line with Support Area 1 of the *Strategy for capacity development, partnership and methods that support the 2030 Agenda 2018-2022, extended to include 2023*. In support of the strategy objective, contributions are focused on fostering increased capacity at key state and non-state organisations as well as effective, transparent, inclusive and accountable institutions at all levels. Support to effective, transparent and democratic public administrations under the rule of law is prioritised. Programmes generally strive to apply a systems approach to strengthen links between actors and stakeholder groups, and to enable sustainable change at organisation, institutional and systems levels.

The portfolio is composed of different types of capacity development programmes, the majority of which falls within the category of ITPs (description below). As capacity development programmes, funding is restricted to capacity development activities. Funding is not provided for the implementation of change initiatives/projects formulated or initiated as part of the programmes. In line with the global scope of the strategy, programmes include a minimum of two low and/or middle income countries. In most, but not all, cases, countries are Sida partner countries with Swedish bilateral development cooperation. Synergies with bilateral strategies and priorities are actively sought and developed.

The evaluation object is a selection of capacity development programmes following the International Training Programmes (ITP) concept.

International Training Programmes (ITPs)

The ITP concept constitutes a specific albeit highly flexible instrument for capacity development. Since its inception in the 1980s, the ITP model has evolved gradually into the advanced capacity development programmes of today. ITPs apply a range of capacity development methods, such as online and offline trainings, mentor support, technical assistance, peer-to-peer learning and networking, to enable organisations to develop capacity and drive their own change initiatives relevant to the overall objectives of the programme.

The general objective is to support institutional development and increased capacity at core state and non-state organisations in partner countries to contribute to sustainable development and poverty reduction. The programmes target public entities such as ministries and public authorities, as well as other actors including civil society organisations, private sector actors and academia, with a view to strengthen connections between stakeholder groups and enable change at systems level. The ITP

instrument is applied to a range of sectors and themes addressing all dimensions of sustainable development.

The formal requirements of all ITPs are set out in the “General Guidelines for the Implementation of Sida’s International Training Programs”¹⁶. The guidelines provide a frame that allows for great flexibility in terms of set-up, design, approach and implementation arrangements of individual ITPs. Specific intervention logics, theories of change and results frameworks are defined at individual programme level. As a consequence, the portfolio of current and past ITPs represent a highly diverse set of capacity development programmes. Moreover, as provided by the guidelines, Sida actively encourages implementers to innovate, adapt and further develop the ITP format before and during implementation.

Common features of ITP programmes include the following:

- The average duration of an ITP is 5 years, typically consisting of several programme rounds of 12-18 months each providing place for 25 to 30 key persons to participate and work with their organisations’ change initiatives.
- The majority of ITPs are implemented by Swedish public agencies (including universities), often in partnership with other actors. Others are implemented by consultancy firms or Swedish and foreign NGOs.
- Participants (staff from target organisations) are recruited to the programs by the implementer using a recruitment strategy that take into account programme objectives and priorities as well as other factors both on individual level (competence, transparency) and national level (ongoing processes, priorities and cooperation).
- Participants are required to lead or work with a change or reform process/initiative relevant to the overall objective of the programme. The set-up and functions of change initiatives differ significantly between programmes. Change initiatives can be driven by a single participant/organisation, be joint between several organisations, or joint country initiatives. Change initiatives can span one or several programme rounds.
- ITPs are often, but not always, structured around ‘phases’. Common phases include: inception phase, regional/country phase, intermediary phase, and a phase involving training in Sweden.
- Additionally the ITPs can include thematic modules involving both ITP participants and other stakeholders to deepen understanding or accelerate processes.
- Participants receive capacity development support throughout the programme period, for example through mentor support, technical assistance, trainings, web-courses, networking opportunities and study visits.

¹⁶ Sida (2022) General guidelines for the implementation of Sida’s international capacity development programmes. Unit for Capacity Development. February 2022

- ITPs target between 3 - 10 countries (LICs and MICs) in one or several regions, and can include both Sida partner countries as well as other countries

As mentioned above, the ITP instrument has been subject to continuous change and development in terms of purpose, objectives, design and other features through the years. In part, this has been a result of continuous assessments of the relevance and results of implemented ITPs, external factors such as the covid pandemic, as well as evaluations of the ITP instrument. It also reflects changing strategy priorities and strategy support areas at Sida. Some of the changes to the ITP instrument implemented during the previous Strategy period were noted and assessed in the evaluation of the ITP approach conducted in 2017/8¹⁷. Since then, under the current strategy (2018-2023) with the explicit focus on supporting “institutional capacity”, Sida has continued to gear the ITP instrument towards enabling results at organizational, institutional and systems levels. The extended implementation period of most ITPs means the shift has been a gradual one. New designs, methods and implementation arrangements have been introduced progressively as new programmes are developed and implemented. The current ITP portfolio hence includes programmes with a variety of features and innovations introduced with a view to enable higher order results at organizational, institutional and systems level.

2. The assignment

2.1 Evaluation purpose: Intended users

The primary intended users of the evaluation is Sida’s Unit for Capacity Development, specifically the team managing capacity development programmes (team KUP). Other stakeholders are the implementing partners.

2.2 Evaluation purpose: Intended use

The purpose or intended use of the evaluation is to help Sida and its partners working with capacity development assess and learn from what works well and less well when using capacity development as a method to support effective and inclusive institutions and increased capacity among key state and non-state organisations.

The evaluation will be used to inform decisions on adjustments and improvements regarding the continued development of CAPDEVs portfolio of capacity development programmes.

The evaluation will also be used to inform the further development of CAPDEVs general approach to, and principles for, effective support to institutional development.

¹⁷ Ternström et al (2018) Evaluation of Sida’s ITP approach for Capacity Development. Sida Evaluation 2017:1.

In addition, the findings will be used to inform the operationalisation of the upcoming strategy, including the development of a theory of change and result management arrangements related to capacity development.

2.3 Evaluation purpose: timing

The current strategy is coming to an end and strategic work has been initiated by CAPDEV to assess and further develop its working methods and portfolio management. It is time to learn from what works and to what extent methods, insights and principles for institutional development are reflected in the capacity development programme portfolio.

Sida is about to establish a new portfolio in line with the upcoming/expected strategy and the findings from the evaluation may guide Sida/CAPDEV in the development of an updated theory of change regarding capacity development aimed at contributing to effective and inclusive institutions for poverty reduction.

The evaluation is part of an ongoing learning and development process at CAPDEV.

2.4 Evaluation scope

The evaluation scope is limited to a critical review/assessment of the design, methodology, implementation and results of a selection of CAPDEV's capacity development programmes, with a view to produce insights at programme and portfolio level regarding what works well and less well when using capacity development as a method to support effective and inclusive institutions and increased capacity among key state and non-state organisations.

The selected programmes are provided in Table 1. The programmes have been selected based on criteria related to relevance and innovation, including thematic priorities, implementation arrangements and programme design. Table 2 sets out brief rationales for the selection of each programme.

Table 1

Title	Period	Agreement partner(s)	Countries	Previous evaluation
ITP Sustainable Urban Water and Sanitation Integrated Processes	2015-2023	NIRAS Sweden AB	Kenya, Tanzania, Uganda, Zambia, Rwanda, Bangladesh, Myanmar, Nepal, Laos, Cambodia	-

ITP 295 Self-regulatory Media Frameworks for Democratic Media Development	2018-2024	NIRAS Sweden AB	Zambia, Tanzania, Kenya, Uganda, Zimbabwe, Bangladesh, Cambodia, Laos, Myanmar, Vietnam, The Philippines, Colombia, El Salvador, Guatemala, Honduras, Armenia, Moldova, Ukraine, Lebanon, Morocco, Tunisia, Palestina	-
ITP 322 Social Protection	2019-2024	Economic Policy Research Institute, Swedish Public Employment Service	Ethiopia, Kenya, Tanzania, Uganda, Zambia, Cambodia, Mozambique, Zimbabwe, Rwanda, Bangladesh, Sudan	Mid-term evaluation (2022)
ITP 308 Mine Water and Mine Waste Management	2017-2025	Geological Survey of Sweden	Liberia, Ethiopia, Kenya, Tanzania, Zambia	-
International Capability Building Programme to Increase Voluntary Compliance, and Expert Support to TIWB	2020-2024	Swedish Tax Authority	Zambia, South Africa, Kenya, Nigeria	-

Table 2

Programme	Rationale for selection
ITP 301 Sustainable Urban Water and Sanitation – Integrated Processes	Implemented in cooperation with INGO; long-term support to geographically specific locations (cities); adaptive approach
ITP 295 Self-regulatory Media Frameworks for Democratic Media Development	Prioritised thematic focus on media freedom and democratic development; wide range of participating countries; international implementation consortium

ITP 322 Social Protection	Joint implementation by Swedish public agency and NGO; innovative design of change initiatives with joint country change initiatives and hand-over between programme rounds
ITP 308 Mine Water and Mine Waste Management	Prioritised thematic focus on environment; implementation by Swedish public agency in cooperation with other Swedish public agencies
International Capability Building Programme to Increase Voluntary Compliance, and Expert Support to TIWB	Implemented by Swedish public agency in cooperation with NGO; applies Problem Driven Iterative Adaptation (PDIA) approach

The evaluator is expected to critically assess the selected capacity development programmes in order to analyze the extent to which programmes have contributed to, or are likely to contribute to, institutional development and capacity development at the organisational level. The evaluator is expected to assess results achieved to date as well as aspects such as programme design, approach, and implementation arrangements to determine what works well and, importantly, what works less well.

As a general rule, the programmes shall be assessed in their entirety, i.e including all programme components and countries in which they are or have been implemented. However, the scope and depth of the assessment may be adjusted in relation to individual programmes and countries. Older programmes may for instance be subject to a more comprehensive or selective assessment than more recently initiated programmes. For programmes with a wide geographical scope, not all regions and countries may have to be subject to the same depth of assessment. The final scope of the assessment in relation to each programme will be agreed upon by Sida and the evaluator during the inception phase.

To conduct the assessment, the evaluator should assess written documentation as well as engage with implementing partners and other relevant actors, including a sample of participating organisations, in relation to all the selected programmes. The collection of views and experiences from representatives of participating organisations and other key stakeholders in partner countries (primarily virtually, in-person in specific cases) should form an essential part of the evaluation process. Field visits and on-site engagement with key actors, including participating organisations, are foreseen in one country where most or all of the selected programmes are implemented (see Table 1). The partner country selected for this in-depth assessment will be discussed and agreed between Sida and the evaluator as part of the inception phase.

The main data sources and collection methods include:

- Assessment of written documentation related to the selected programmes, supplied by Sida and/or implementing organizations (see list of documents in Annex C), including the following document types:
 - Programme documents: Proposals, ToC, tenders, Sida appraisal documents, concept notes etc.
 - Narrative reporting including annual narrative reports, additional activity reports and related material from 2019 until present.
 - Sida conclusions of performance from 2019 until present.
 - Evaluations
- Engagement/interviews with all agreement and implementing partners.
- Engagement/interviews with a sample of participating organisations for each selected programme. Sample size and selection criteria to be discussed and agreed upon during the inception phase.
- On-site / field visits in one country where most of all the programmes have been implemented.

The evaluator should also take into consideration and actively engage with broader evidence and literature on what works in relation to relevant fields such as capacity development, organizational development, building state capability, governance and institutional development.

As part of the assignment, the evaluator is expected to propose an analytical framework to help assess the extent to which programmes are ‘fit for purpose’ in terms of strengthening organisational capabilities and contributing to effective and inclusive institutions, as well as what can be done to improve CAPDEVs capacity development programming in line with those objectives. CAPDEV, as part of its ongoing work to improve its approach in support of those objectives, has identified a number of key principles and considerations for effective support to institutional development through capacity development programmes, based on available evidence on what works. The principles are outlined in CAPDEV’s brief on *Capacity development in support of effective and inclusive institutions* (Annex B), and include (1) contextually adapted and locally led change initiatives, (2) systems approach (3) politically informed programming and considerations of power, (4) support beyond technical skills and competences, and (5) adaptive and long-term support. The principles and considerations set out in the brief may be used as a resource to inform the elaboration of the analytical framework and relevant parts of the analysis, where deemed useful and appropriate by Sida and the evaluator. Note that the principles are not exhaustive. There are likely to be additional factors influencing the impact and results achievement of the programmes. Hence, while the principles can be used as resource to inform the analysis, other factors may have to be considered as well. The analytical framework should be elaborated in the tender and will be further discussed, developed and agreed upon by Sida and the evaluator during the inception phase.

Each programme has its own specific theory of change, typically formulated in the programme and appraisal documents. A broad portfolio level theory of change was formulated as part of the operationalization of the *Strategy for capacity development, partnership and methods that support the 2030 Agenda* and is provided in Annex A.

Insights from the assessment of the selected programmes should be aggregated into an analysis with observations, conclusions and recommendations at portfolio level, in line with the purpose and intended use of the evaluation. The portfolio level analysis should consider, for instance, common patterns, key factors (enabling and/or hindering), gaps, strengths, weaknesses and opportunities across programmes and in relation to the ITP instrument. Both the programme and portfolio level analysis should be critical, highlighting positive as well as negative aspects, what works and what doesn't.

The final report should include a number of short stories (narrative snapshots) collected from the assessed programmes, to illustrate how, why and in what way programmes have or have not contributed to results.

If needed, the scope of the evaluation may be further elaborated by the evaluator in the inception report.

2.5 Evaluation questions

The evaluation questions are:

- To what extent have the assessed programmes contributed to, or are likely to contribute to, institutional development and capacity development at the organisation level, given results to date and evidence of what works?
- To what extent are programme designs and methodologies appropriate and in accordance with good practice and evidence of what works for contributing to institutional development and capacity development at the organisation level?
- What factors, features and characteristics can be identified that enable or hinder programmes to contribute to institutional development and capacity development at the organisation level?
- What conclusions can be drawn across programmes that are relevant to the development and implementation of CAPDEV's capacity development programmes?
- What can be done by Sida to further improve CAPDEVs capacity development programmes, including the ITP instrument, with a view to better support institutional development, given results to date and evidence of what works?

Questions are expected to be further developed in the tender by the tenderer and further refined during the inception phase of the evaluation.¹⁸ Please note that in line with Sida's utilization-focused approach, the final evaluation questions should always serve the overall purpose of the evaluation (the intended use and users).

2.5 Evaluation design and methods

Sida's approach to evaluation is *utilisation-focused* which means the evaluators must facilitate the entire evaluation process with careful consideration of how all aspects of the evaluation will affect the use of the evaluation. Therefore, the evaluation must be planned and conducted in ways to enhance the utilisation of both the findings and of the process itself, to inform decisions and improve performance. The evaluator's task is not to make decisions independently of the intended users, but rather to facilitate decision making amongst those who will use the findings of the evaluation. This approach entails close interaction between the evaluators and relevant stakeholders/users in the evaluation assignment. The interaction must last throughout the entire evaluation process, from planning to implementation, to reporting and dissemination. An important component of this participatory approach is to enable joint knowledge creation between evaluators and the users of the evaluation.

Please note that in line with Sida's utilization-focused approach, the evaluation process should be adapted to major context changes if needed, to ensure that the evaluation always continues to serve the overall purpose/intended use.

The evaluation is to be designed, conducted and reported to meet the needs of the intended users and tenderers shall elaborate in the tender how this will be ensured during the evaluation process.

It is expected that the evaluator in the tender describes and justifies an appropriate evaluation design and methods for data collection and analysis, which are later expected to be fully developed in detail and presented in the inception report. The inception report should therefore include an assessment of the evaluability of the evaluation questions and any resulting adjustments that need to be made to the evaluation design that was proposed in the tender.

The evaluator should suggest an evaluation design that can provide credible answers (evidence) to the evaluation questions using scientific methodologies, to ensure reliable conclusions and a high degree of transparency. Limitations to the chosen evaluation design and methods shall be made explicit by the evaluator and the consequences of these limitations discussed in the tender. The evaluator shall to the extent possible, present mitigation measures to address them. A clear distinction should

¹⁸ For further detail on the inception report see Time schedule and Deliverables section below.

be made between the overall evaluation design and specific methods. Assumptions underpinning the choice of evaluation design and methods should be outlined (e.g. availability of existing data), to reflect possible reasons that the design may need to be altered during the inception phase.

The methodological considerations to include in the tender are:

- How the intended users are to participate in and contribute to the process
- How the evaluation process will be adapted to the context
- How to facilitate process use, i.e. how to create space for reflection, discussion and learning
- How evaluation questions will be operationalised, i.e. how they will be interpreted and assessed
- How data will be collected and processed for each evaluation question, including sampling methods, interview techniques and cleaning protocol, as required by the chosen evaluation design
- How source criticism will be conducted, including how potential risks will be identified and handled, such as possible biases of respondents, recall problems, and instances when the respondents cannot be considered primary sources
- How data will be analysed, including how causality will be inferred (if relevant)
- How conclusions will be generalised beyond the observations and data generated during the evaluation (if relevant), such as relevant sampling methodologies
- How the Do No Harm principle will be ensured throughout the evaluation.

In cases where sensitive or confidential issues are to be addressed in the evaluation, evaluators should ensure an evaluation design and process including the use of tools, that do not put informants and stakeholders at risk in any step of the evaluation process. A *gender-responsive* evaluation design, methods, tools and data analysis techniques should be used throughout the evaluation¹⁹.

2.6 Organisation of evaluation management

This evaluation is commissioned by Sidas Unit for capacity Development. The primary intended user is Sida's Unit for Capacity Development. Hence the commissioner will evaluate tenders, approve the inception report and the final report of the evaluation. The start-up meeting and the debriefing/validation workshop will be held with the commissioner only.

¹⁹ See for example the checklist for assessing gender-responsiveness of evaluations on page 36 in "Good practices in gender-responsive evaluations", Independent Evaluation Service (IES) of the Independent Evaluation and Audit Services of UN Women (IEAS), [good-practices-in-gender-responsive-evaluations-en.pdf](#) ([unwomen.org](#)) and page 33 in OECD (2021), "Applying evaluation criteria thoughtfully", OECD Publishing

2.7 Evaluation quality

All Sida's evaluations shall conform to OECD/DAC (2010) Quality Standards for Development Evaluation. The evaluators shall use the Sida OECD/DAC (2014) Glossary of Key Terms in Evaluation and the OECD/DAC (2021) Applying Evaluation Criteria Thoughtfully. The evaluators shall specify how quality assurance will be handled by them during the evaluation process. One aim of the quality assurance should be to ensure that the evaluation meets the quality expectations that are outlined in these Terms of Reference. Evaluators should be prepared to share the evaluation data and analysis in a GDPR compliant manner, with Sida upon request.

2.8 Time schedule and deliverables

A time and work plan should be presented in the tender and further detailed in the inception report. The time and work plan must allow flexibility in implementation. The evaluation shall be carried out December 2023 – August 2024. The timing of any field visits, surveys and interviews should be settled by the evaluator in dialogue with the main stakeholders during the inception phase.

The table below lists key deliverables for the evaluation process. Alternative deadlines for deliverables may be suggested by the consultant and negotiated during the inception phase.

Deliverables	Participants	Deadlines (tentative)
1. Inception Start-up meeting/s (hybrid, Sida HQ and virtual)	Sida's Unit for Capacity Development, evaluator	December 2023
2. Draft inception report The draft inception report will be based on the agreed structure for the report at the start-up meeting.	Evaluator	Mid February 2024
3. Comments from intended users to evaluators on draft inception report	Sida's Unit for Capacity Development	End February 2024

4. Inception meeting (virtual) Review updated draft inception report after comments, ev limitations to be identified	Evaluator, Sida's Unit for Capacity Development	Early March 2024
5. Final Inception Report Revisions to the Inception Report based on the Inception meeting; agreed analytical framework	Evaluator	Mid March 2024
6. Data collection & analysis e.g desk study, in country and remote data collection, analysis in relation to the analytical framework	Evaluator	Mid March until end May 2024
7. Debriefing/validation workshop(s)/ meeting(s)	Evaluator, Sida's Unit for Capacity Development, possibly other relevant stakeholders	End May 2024
8. Draft evaluation report	Evaluators	Mid June 2024
9. Comments from intended users to evaluators on draft evaluation report (incl. virtual meeting)	Sida's Unit for Capacity Development	End June 2024
10. Review updated draft evaluation report (incl virtual meeting)	Evaluators, Sida's Unit for Capacity Development	Mid August 2024
11. Final evaluation report	Evaluators	End August 2024
12. Seminar (Sida HQ and virtual), presentation of findings	Evaluators Primary users Possibly other relevant stakeholders	September 2024

The inception report will form the basis for the continued evaluation process and shall be approved by Sida before the evaluation proceeds with the implementation. The inception report should be written in English.

The intervention logic or theory of change of the intervention will as a general rule need to be further elaborated by the evaluator in the inception report. Please note that the evaluation report should at a minimum include a description of the rationale for – and the objectives of – the evaluated interventions. This should include how the evaluated interventions have – or are expected to – support “end users”. Any major underlying factors/assumptions that affect the success of the intervention should also be described.

The inception report should also cover evaluability issues and interpretations of evaluation questions – and present the evaluation design based on this, while explaining any adjustments that need to be made to the evaluation design that was proposed in the tender. Methods for data collection and analysis, including an **evaluation matrix** should be included. A clear distinction between the evaluation design and methods for data collection and analysis shall be made. All limitations to the evaluation design and methods shall be made explicit, in addition to any remaining underlying assumptions. The consequences of these limitations and assumptions for the evaluation outputs should be discussed.

The inception report should also describe how a utilization-focused and gender-responsive approach will be ensured during the evaluation. The inception report should therefore include a **stakeholder analysis**, where stakeholders with a direct interest in the evaluation are identified (e.g. intended users, commissioners, implementers), as well as stakeholders with an indirect interest (e.g. those who should be influenced by the evaluation or are consulted - experts, right holders, beneficiaries etc). The different stakeholders' interest or value in the evaluation process as well as their participation/role in it should be described. Furthermore, the report should include a discussion about who has an interest in the success or failure of the intervention being evaluated and an analysis of how this might affect the evaluation, including how findings might affect the future of the intervention. The inception report should therefore include a clear **process description** of stakeholder participation. During the inception phase, the evaluator and the users will have had agreed on who will be responsible for keeping the various stakeholders informed about the evaluation and how to ensure their participation.

A specific time and work plan, including number of hours/working days for each team member, for the remainder of the evaluation should be presented. The time plan shall allow space for reflection and learning between the intended users of the evaluation.

During the data collection and analysis phase, the evaluators will implement the data collection and analysis plan developed during the inception phase. As mentioned above, an important component of Sida's utilisation focused approach is to enable joint knowledge creation between the evaluators and the users of the evaluation. The

evaluators therefore need to plan for and conduct **participatory workshops** with different key stakeholders in a relevant manner to the particular evaluation.

The final report should be no more than 50 pages excluding annexes. It shall be written in English. The report should be written in a plain, clear and unambiguous language. It should be easily understood by the primary users of the evaluation, as defined in these ToR, and the form of the report should be appropriate given the purpose(s) of the evaluation. It should have a clear structure and follow the format and instructions outlined in Sida's report template for decentralised evaluations (see Annex D). To assure these goals the report should be professionally proof read.

The executive summary of the final report should be maximum 5 pages. In the executive summary the most important information (e.g. key findings, conclusions and recommendations) should be presented as early as possible in the text. The executive summary should **easily** be understood by all intended audience(s), including both primary and secondary users. Hence, in terms of the accessibility of the language, the requirements are higher for the executive summary than for the rest of the report.

The final report shall describe the purpose of the evaluation, specifically who is supposed to use the evaluation and for what. It should also describe how the utilization-focused approach has been implemented during the evaluation. This includes how intended users have participated in – and contributed to – the evaluation process, and how evaluation design and methods for data collection have created space for reflection, discussion and learning between the intended users. Furthermore, the gender-responsive approach shall be described and reflected in the findings, conclusions and recommendations along with other identified and relevant cross-cutting issues as outlined in these ToR.

The evaluation questions addressed in the report shall be clearly stated and answered in the executive summary and in the conclusions. The report should include reliable, clear definitions of any classifications that are used when answering the evaluation questions, meaning that there is a clear description of under what conditions the object will be classified as belonging to a specific category (e.g. what it means to be “coherent”, “relevant” etc in the evaluation context). The operationalisations should be valid, i.e. they should make sense in terms of what they are aiming to measure and it should be clear how they were applied to reach the resulting conclusions.

Evaluation findings shall flow logically from the data, showing a clear line of evidence to support the conclusions. Conclusions should be substantiated by findings and analysis, meaning each conclusion should be presented in a way that clarifies what evidence it is based on and how trustworthy that evidence is. This is particularly important in any instances of causal inference. Similarly, where findings are generalised beyond the evaluation object it should be made clear what the generalisation is based on and how trustworthy it is.

Findings, conclusions, recommendations and lessons learned should be presented separately and with a clear distinction between them. Recommendations should flow logically from conclusions and be specific and directed to relevant intended users. It should be clear which recommendations are most important / priority to address.

The report shall clearly describe the evaluation design in detail. This description can be added as an annex to the report with a short summary in the main narrative of the report. It should include:

- How the intended users participated in and contributed to the process.
- How the evaluation was adapted to the context.
- How process use was facilitated, i.e. how space for reflection, discussion and learning was created.
- How evaluation questions were operationalised, i.e. how they were interpreted and measured.
- How data was collected and processed for each evaluation question, including sampling methods, interview techniques and cleaning protocol, as required by the chosen evaluation design.
- How source criticism was conducted, including how potential risks were identified and handled, such as possible biases of respondents, recall problems, and instances when the respondents could not be considered to be primary sources.
- How data was analysed, including how causality was inferred (if relevant).
- How conclusions were generalised beyond the observations and data generated during the evaluation (if relevant), such as relevant sampling methodologies.
- How the Do No Harm principle was ensured throughout the evaluation.

Limitations to the evaluation design and methods and the consequences of these limitations for each finding and conclusion shall be described.

The final report annexes shall always include the ToR, the stakeholder analysis²⁰ and the Evaluation Matrix. The Inception report does *not* have to be included in its entirety in the final report annexes. However, major diversions from the assignment as outlined in these ToR, should be described in an “ex-post” evaluation design annex. Here the evaluators can copy or summarise relevant parts from the inception report and explain further adjustments that needed to be made to the overall evaluation design or specific methods during the data collection and analysis phase.

The final report annexes can also include evaluation management issues e.g. who was consulted when and key meetings that were held. Lists of key informants/interviewees shall only include personally identifiable data if this is deemed safe and relevant (i.e.

²⁰ The stakeholder analysis can be excluded if there is a good reason to do so, e.g. where it includes sensitive information. If so, this should be discussed and agreed with Sida before delivery of the final report

when it is contributing to the credibility of the evaluation) based on a case based assessment by the evaluator and the commissioning unit/embassy. The inclusion of personally identifiable data in the report must always be supported by written or otherwise recorded consent.

The evaluator shall, upon approval by Sida/Embassy of the final report, and using Sida's template for decentralised evaluations (see Annex D) and submit it to Nordic Morning (in pdf-format) for publication and release in the Sida publication database. The order is placed by sending the approved report to Nordic Morning (sida@atta45.se), with a copy to the responsible Sida Programme Officer as well as Sida's Evaluation Unit (evaluation@sida.se). Write "Sida decentralised evaluations" in the email subject field. The following information must always be included in the order to Nordic Morning:

1. The name of the consulting company.
2. The full evaluation title.
3. The invoice reference "ZZ980601".
4. Type of allocation: "sakanslag".
5. Type of order: "digital publicering/publikationsdatabas".

2.9 Evaluation team qualification

Sida's framework agreement for evaluation services stipulates that a 'core team member' (i.e. a senior consultant with high level of evaluation competence) shall lead the evaluation team. The following mandatory qualifications are already specified for each consultant level in the framework agreement: Academic background, evaluation skills, number of years of working experience and English language skills.

In addition to the qualifications already stated in the framework agreement for evaluation services, the evaluation team shall include the following competencies:

- Relevant experience related to organizational development, building state capability, governance and institutional development for example through evaluation, research or work experience or equivalent.
- Relevant knowledge about institutional development and experience of evaluating institutional development. (refer to reference work)
- Knowledge of evaluating the effects of capacity development on organisational level in low and middle income countries. (refer to reference work).
- Very good knowledge in evaluation methods, in particular methods of causal inference for example process tracing or/and theory based approaches.(refer to reference work).
- Working experience in the relevant countries.
- Of source criticism (refer to reference work).
- Experience in writing scientific literature reviews on the relevant subject
- Excellent interviewing skills

- Excellent writing and communication skills. Ability to document clearly and succinctly for internal and external audience.

Qualifications can be documented by the CV unless indicated “by reference work”

A CV for each team member shall be included in the call-off response. It should contain a full description of relevant qualifications and professional work experience. Reference publications (which can be either evaluations, research publication or something equivalent) written by any of team members. You can attach a maximum of 5 reference publications in total.

It is important that the competencies of the individual team members are complementary. It is highly recommended that local evaluation consultants are included in the team where possible. This can bring many advantages, including in-depth contextual knowledge that is invaluable to the evaluation. However, all evaluators on the team must be independent from the evaluation object and evaluated activities, and have no stake in the outcome of the evaluation.

Please note that in the tender, the tenderers must propose a team leader that takes part in the evaluation by at least 30% of the total evaluation team time including core team members, specialists and all support functions, but excluding time for the quality assurance expert.

2.10 Financial and human resources

The maximum budget amount available for the evaluation is 1,2 MSEK

Invoicing and payment shall be managed according to the following: Invoicing and payment shall be managed according to the following The Consultant may invoice a maximum of 40 % of the total amount after approval by Sida of the Inception Report and a maximum of 60 % after approval by Sida of the Final Report and when the assignment is completed.

The contact person at Sida is Katarina Westman, Capdev, PARTNER The contact person should be consulted if any problems arise during the evaluation process.

Relevant Sida documentation will be provided by Katarina Westman, Capdev, PARTNER

Contact details to intended users (cooperation partners, Swedish Embassies, other donors etc.) will be provided by Katarina Westman, Capdev, Partner

The evaluator will be required to arrange any logistics for example interviews, preparing visits, bookings etc. including any necessary security arrangements.

3. Annexes

Annex A: The Strategy for capacity development, partnership and methods that support the 2030 Agenda 2018-2022

Annex B: Capacity development in support of effective and inclusive institutions (Sidas paper on institutional development in Swedish only)

Annex C: List of key documentation (reports, conclusion of performance etc) related to the five interventions (digital folder will be shared)

Annex D: Sida's template för decentralised evaluations

Annex 2 – Reconstructed Theory of Change

In line with the theory-based evaluation approach, the evaluation was based on a reconstructed Theory of Change (ToC), which was developed together with Sida during the inception phase. As presented below, the reconstructed ToC informed the evaluation methodology, including the focus of the data collection and analysis process.

The reconstructed ToC has four levels of change and shows linkages as well as explicit assumptions, which are partly based on the five principles for capacity development discussed in section 2.2. The key activities at the bottom of the diagram reflect common elements of the ITP delivery model.

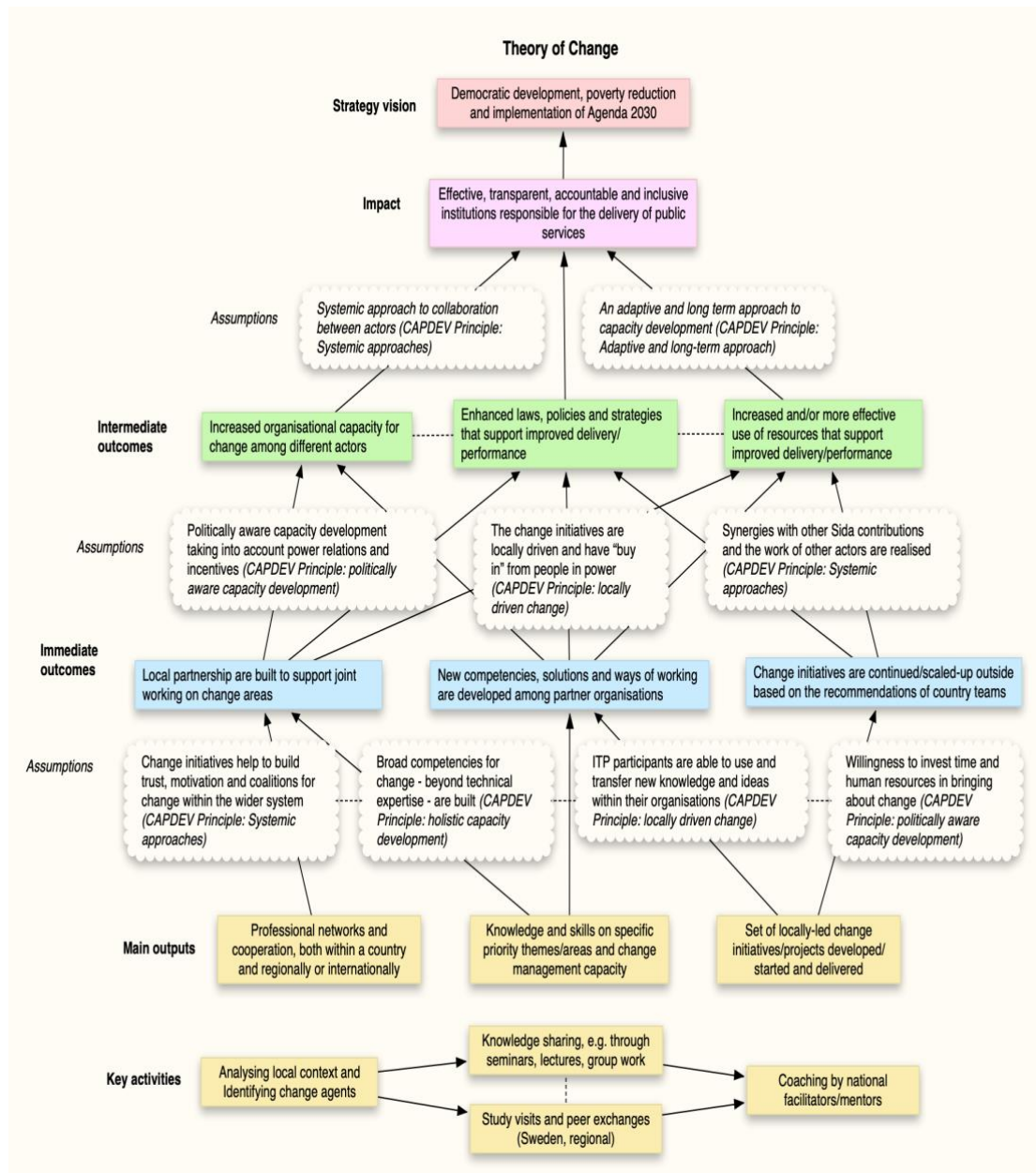
The strategy vision and impact defined in the ToC are based on the goals and priorities of the KAPAME strategy. The anticipation is that that ITPs will help to create conditions for the realisation of the strategic vision and impact by contributing to three *intermediate outcomes* (green boxes). Specifically, the intermediate outcomes convey that institutional development is contingent on increased organisational capacity for change among key actors, changes in laws, policies and strategies (and their implementation), and, relatedly, increased and/or more effective use of resources (financial, human and material). The underlying key assumption is that the approach to capacity development is systemic, adaptive and long-term.

Moving down the change pathway, the *immediate outcomes* (blue boxes) are changes that need to happen for the realisation of the intermediate outcomes, i.e. that new competencies, solutions and ways of working are developed, that change initiatives are continued/scaled-up, and, that local partnerships are created to support this process. The assumptions behind the linkages between the immediate and intermediate outcomes are that power relations and incentives are effectively taken into account, that change initiatives are locally driven and have “buy in” from people in powers, and that synergies with other Sida contributions and the work of other actors are realised.

The immediate outcomes are expected to flow directly from the *main outputs* of the ITPs, commonly defined as knowledge and skills on specific themes and change management capacity, locally-led change initiatives, and professional networks and cooperation between ITP participants. The linkages between these outputs and the immediate outcomes are based on the assumptions that participants use and transfer new knowledge and ideas within their organisations and the willingness of the organisational leadership to invest time and human resources in bringing about change. There are also assumptions of a holistic approach being taken, to build a range of change management skills beyond just technical expertise, as well as the ability to

adopt system approaches that build trust and connections between different stakeholders.

Finally, the key activities at the bottom of the ToC captures the common elements of ITP design and strategy, starting with the analysis of local context and the identification of change agents, moving on to conceptualising and implementing competence development measures (various forms of knowledge sharing, study visits and peer exchanges), and then supporting change projects through coaching by mentors and national facilitators.



Annex 3 - Evaluation Matrix

Judgement criteria	Sub-questions	Indicators	Data collection methods	Data sources
Relevance: To what extent are programme designs and methodologies appropriate and in accordance with good practice and evidence of what works for contributing to institutional development and capacity development at the organisational level? (EQ2)				
The ITPs have been designed and implemented in ways that ensure: • Locally-driven change • Systemic approach • Politically aware capacity development • Holistic capacity development	Locally driven change: • Are the ITPs meeting an important need and demand? Have beneficiary organisations been involved in the identification and design of the ITPs? • Have the ITPs been designed and implemented in a way that reflect ‘best fit’ rather than ‘best practice’ approaches to institutional change? Have the ITPs been adapted to local contexts? • Have the participants themselves been active in their own learning? Do participants feel they were listened to, in terms of most appropriate support?	• Extent to which beneficiary organisation representatives perceive that the ITP address their organisations’ needs and priorities • Evidence of a participatory approach to programme identification and design • Evidence of a comprehensive context analysis informing programme design and adjustments • Share of participants who perceive that the programmes were responsive to their learning needs • Evidence of locally driven change in specific settings/change initiatives (framing indicator)	Key informant interviews: • Senior beneficiary organisation representatives • ITP programme managers and mentors Desk review On-line survey of ITP participants	• Interview notes • Programme proposals • Programme annual narrative reports • Survey report • Selected change project documentation

ANNEX 3 – EVALUATION MATRIX

Judgement criteria	Sub-questions	Indicators	Data collection methods	Data sources
Adaptive and long-term capacity development	Systemic approach: - Was a robust analysis of what triggers or effects institutional change done as part of ITP design? Does the analysis reflect system approaches? - Were leverage points considered (existing change processes, emerging opportunities, other actors support)? Were potential linkages with other Sida contributions identified? - Are the ITPs designed to support and facilitate collaboration, coalitions and partnerships and, if so, in what ways?	- Evidence of a comprehensive Theory of Change analysis/process - Evidence of potential linkages with other initiatives, including Sida contributions, being identified and explored - Participants represent a balanced mix of key stakeholders (government, civil society, private sector, etc) - Illustrative (descriptive) examples of how considerations relating to collaboration and partnerships have informed the choice of change projects across programmes (framing indicator)	Desk review Key informant interviews: ITP programme managers and mentors	- Programme proposals - Interview notes - Programme annual narrative reports - Selected change project documentation
	Politically aware capacity development: - Are ITPs designed in a way that reflect underlying power relations and incentives relevant to the issues they address? - Do ITPs address underlying behaviour change rather than just formal structures?	- Evidence of the use of power analysis (or similar) in the identification of participants and selected change initiatives - Evidence of behavioural change being considered in programme design and planning	Desk review Key informant interviews: ITP programme managers and mentors	- Programme proposals - Interview notes - Programme annual narrative reports - Selected change project documentation

ANNEX 3 – EVALUATION MATRIX

Judgement criteria	Sub-questions	Indicators	Data collection methods	Data sources
	Holistic capacity development: • Do ITP focus on building broad competencies for change – beyond technical expertise? How much attention is paid to create trust, motivation and build coalitions for change? • Has a mix of capacity development methods such as mentoring, coaching, peer learning and networking been used?	• Evidence of a holistic approach to capacity development in programme design and planning • Extent to which considerations relating to collaboration and partnerships are reflected in the choice of change initiatives • Extent and nature of different capacity development methods (mixed indicator)	Desk review Key informant interviews: • ITP programme managers and mentors	• Programme proposals • Interview notes • Programme annual narrative reports • Selected change project documentation
	Adaptive and long term: • How responsive have the ITPs been to changing circumstances and lessons learnt? Is there flexibility and adaptiveness during delivery? • How and in what ways have the ITPs sought to build capacities for adaptive learning, innovation and experimentation as part of long-term change efforts? • Have M&E systems delivered robust information that could be used to assess progress towards outcomes,	• Illustrative examples of adaptive planning and management in programme design and delivery (framing indicator) • Share of participants who perceive that programme delivery was responsive to changing circumstances • Extent to which change management skills and methods are part of the programme methods/curricula • Evidence of flexibility and adaptiveness in specific settings/change initiatives (framing indicator)	Desk review On-line survey of ITP participants Key informant interviews: • ITP programme managers and mentors • Participants/change project team members	• Programme proposals • Programme annual narrative reports and work plans • Survey report • Interview notes • Selected change project documentation

ANNEX 3 – EVALUATION MATRIX

Judgement criteria	Sub-questions	Indicators	Data collection methods	Data sources
	contribute to learning and inform programme design and planning?	Evidence of ToC-driven planning, monitoring, evaluation and learning		
Considerations related to Sida's cross-cutting perspectives have informed programme design and implementation	Cross-cutting issues: Have the poverty, gender, rights, environment and conflict perspectives been considered in ITP design and implementation? In what ways have these perspectives been analysed, targeted and integrated in ITPs?	- Extent of analysis of the Sida perspectives perspectives in programme proposals and plans - Extent of attention given to Sida's perspectives in programme curricula (framing indicator) - Share of participants who perceive that change projects have addressed Sida's perspectives - Evidence of the integration of Sida's perspectives in selected change initiatives	Desk review On-line survey of ITP participants Key informant interviews: - ITP programme managers and mentors - Participants/ change project team members	- Programme proposals - Programme annual narrative reports and work plans - Survey report - Interview notes - Selected change project documentation
Effectiveness: - To what extent have the assessed programmes contributed to, or are likely to contribute to, institutional development and capacity development at the organisational level, given results to date and evidence of what works? (EQ1) - What factors, features and characteristics can be identified that enable or hinder programmes to contribute to institutional development and capacity development at the organisational level? (EQ3)				
The ITPs were implemented as intended/planned	Were the ITPs implemented as laid out in programme proposals? If not,	Extent of deviation between programme proposals and annual work plans/reported activities	Desk review	Programme proposals

ANNEX 3 – EVALUATION MATRIX

Judgement criteria	Sub-questions	Indicators	Data collection methods	Data sources
	why? What have been the key challenges during implementation?		Key informant interviews: • ITP programme managers and mentors	• Programme annual narrative reports and work plans • Interview notes
There is adequate evidence showing that change occurred at each level of the ToC The contribution of ITPs to changes among immediate and intermediate outcomes is relatively significant	• Were the planned outputs delivered as planned? What factors influenced the delivery of outputs?	• Extent to which participants perceive that programme activities resulted in: ○ Knowledge and skills on specific priority themes/areas and change management capacity ○ Set of locally-led change initiatives/projects delivered ○ Professional networks and cooperation, both within a country and regionally or internationally • Illustrative examples of change initiatives across programmes (framing indicator)	On-line survey of ITP participants Key informant interviews: • ITP programme managers and mentors • Participants/ change project team members	• Survey report • Programme annual narrative reports • Interview notes • Selected change project documentation
	• To what extent were the intended outcomes achieved? How significant is the change?	• Extent to which participants perceive that the ITPs and the outputs delivered have contributed to:	On-line survey of ITP participants	

ANNEX 3 – EVALUATION MATRIX

Judgement criteria	Sub-questions	Indicators	Data collection methods	Data sources
	• What was the contribution of the ITPs to outcome-level change? What was the relative contribution of other actors and initiatives? • What are the external and internal factors that have influenced the achievement and non-achievement of outcomes? Did the assumptions defined in the ToC hold true? • Have particular principles been easier or harder to apply, and how has this influenced effectiveness? Has the way in which the principles been applied (or diversity in their application) had any influence on effectiveness? • To what extent has the choice of capacity development methods and activities influenced the effectiveness of the support? • What unintended effects – both positive and negative – can be detected? Did the ITPs have any (intended or unintended) effects on gender equality? • To what extent are the outcomes likely to be sustainable? What key	○ New competencies, solutions and ways of working ○ The continuation/scaling-up of change initiatives ○ Local partnerships supporting joint work on change areas • Extent to which participants perceive that the immediate outcomes have contributed to: ○ Increased institutional capacity for change across different organisations ○ Enhanced laws, policies and strategies that support improved delivery/performance ○ Increased and/or more effective use of resources that support improved delivery/performance • Illustrative examples of reported outcome-level change across programmes (framing indicator)	Key informant interviews: • ITP programme managers and mentors • Participants/ change project team members • Senior beneficiary organisation representatives Desk review	

ANNEX 3 – EVALUATION MATRIX

Judgement criteria	Sub-questions	Indicators	Data collection methods	Data sources
	factors contribute to sustainability or lack of sustainability? Have the ITPs been designed in a way that promotes sustainable outcomes?	• Evidence of outcome-level change in selected change initiative settings (framing indicator) • Evidence of internalisation and formalisation of outcomes in selected change initiative settings (framing indicator)		

Annex 4 - Data Collection Tools

DESK REVIEW FORM

Name of programme	
Documents collected and reviewed	Tick boxes: • Programme proposal [x] • Annual reports [] (indicate which years) • Prior evaluations and reviews [] • Other: ○ Type/name of document

Questions

Evaluation criteria/questions	Answer based on desk review (use bullet points)
Relevance	
Locally driven change: 1. Have beneficiary organisations been involved in the identification and design? How?	
2. Has the programme been adapted to local contexts? How?	
Systemic approach: 3. Is the programme based on an explicit Theory of Change analysis focusing on institutional change? How comprehensive is this analysis?	
4. Were leverage points considered (existing change processes, emerging opportunities, other actors support)? Were potential linkages with other Sida contributions identified?	
5. Was the programme designed to support and facilitate collaboration, coalitions and partnerships, and, if so, in what ways?	
Politically aware capacity development: 6. Was power analysis (or similar) used to identify underlying power relations and incentives?	
7. To what extent was the programme designed to address behavioural change rather than just formal structures?	
Holistic capacity development: 8. Does the programme aim to build broad competencies for change (beyond technical expertise)? How much attention is paid to create trust and motivation for change?	
9. What capacity development methods have been used (training, mentoring, coaching, peer learning, networking, etc)?	
Adaptative and long-term capacity development: 10. To what extent have programme design included adaptive planning and management? Has there been	

flexibility and adaptiveness during delivery? (give examples)	
11. Has the programme sought to build capacities for adaptative learning, innovation and experimentation? If so, how?	
12. What are the mechanisms for programme monitoring, evaluation and learning? To what extent are outcome-level results being captured, analysed and reported on? How is M&E data used? Does it contribute to learning and inform programme design and planning?	
Cross-cutting issues: 13. To what extent have the following cross-cutting issues been considered in programme design and implementation? How? ○ Poverty ○ Gender equality ○ HRBA ○ The environment ○ Conflict	
Effectiveness	
14. Was the programme implemented as laid out in the programme proposal? If not, why? What changes were made?	
15. What have been the key challenges during programme delivery?	
16. Were the planned outputs delivered as planned? What evidence is presented with regard to: ○ Increased knowledge and skills of participants ○ Change initiatives delivered ○ The creation of professional networks and cooperation	
17. To what extent were the expected immediate outcomes achieved? What evidence is presented with regard to the programme's contribution to: ○ New competencies, solutions and ways of working among beneficiary organisations ○ Follow-up/scaling-up of change initiatives based on the recommendations made by country teams ○ The creation of local partnerships that support joint working on change areas	
18. To what extent were the desired intermediate outcomes achieved? What evidence is presented with regard to the programme's contribution to: ○ Increased institutional capacity for change across different organisations ○ Enhanced laws, policies and strategies ○ Increased and/or more effective use of resources	
19. What internal and external factors have influenced the achievement and non-achievement of the results? Are the assumptions defined in the ToC valid and did they hold true?	
20. To what extent are the outcomes likely to be sustainable? What key factors contribute to sustainability or lack of	

sustainability? Has the ITP been designed in a way that promotes sustainable outcomes?	
Lessons learnt and recommendations	
21. What key lessons learnt and/or recommendations, if any, are presented?	
Possible change initiatives to be selected for in-depth review	
22. What change initiatives would be pertinent to review in further detail based on the information provided in the documentation? Why?	
Other observations	
23. Do the documents contain any other interesting information with a bearing beyond the programme?	

INTERVIEW GUIDES

Interview guide for ITP agreement/implementing partners (Programme Managers and Mentors/Coaches)

Name of interviewee	
Sex	
Position	
Data and time of interview	

Introduction

Reiterate the purpose of the evaluation and the interview
Explain how any information collected from the interview will be reported
Ask the interviewee(s) to confirm that he/she/they is/are still willing to participate in the evaluation
Ask the interviewee(s) to present him/herself/themselves

Questions

Evaluation criteria/question	Notes on response
Relevance	
1. In general, how have you ensured that the programme addresses the beneficiary organisations needs and priorities? Follow-up question: ○ To what extent were the beneficiary organisations involved in programme identification and design?	
2. What context analysis was conducted as a basis for the identification and design of the programme? Follow-up questions: ○ Please give examples of how the analysis has informed programme design and planning ○ Have any linkages with other initiatives, including Sida contributions, identified and explored? <i>Prompt: Theory of Change analysis, stakeholder analysis, power analysis, analysis of gender, right and the environment</i>	
3. What were the key political and institutional constraints to change initiatives identified and how did the ITP work with or around these? <i>Prompt: evidence of focus on formal vs informal institutions and norms</i>	

4. How were participants and change initiative selected? What considerations were made?	
5. How did the ITP aim to support networks and collaboration across different stakeholders? Follow-up questions: ○ What were the key factors that supported or enabled this and why? ○ What role do networks and partnerships play in your overall understanding of change for this programme?	
6. What strategic choices were made regarding the mix of capacity development methods and why?	
7. How have you considered poverty, gender, HRBA, the environment and conflict as part of programme design and planning?	
8. How do you ensure that the programme remains responsive to changing circumstances? Follow-up question: ○ What examples can you give of how the programme changed and adapted during delivery?	
9. What sorts of skills and competencies do you think are key to deliver ITPs? <i>Prompt: evidence of skills in change management, trust-building, relationship management etc alongside technical skills</i>	
10. What sorts of MEL tools and approaches did you use to collect data as part of this ITP, and why? How were these tools and approaches used to support ongoing programme learning?	
11. What are the key lessons learnt from earlier programmes and programme delivery to date? Follow-up question: ○ How have these lessons learnt been considered in programme design and continuous planning? Please give examples	
Effectiveness	
12. Has the programme been implemented as envisaged in the original proposal? If not, what changes have been made and why? Follow-up question: ○ What have been the key challenges during delivery, and how have they affected programme effectiveness?	
13. What evidence have you gathered about the short-term results (outputs) of the programme? What does it show?	
14. To what extent have the intended outcomes been achieved? How do you know? Follow-up question: ○ In your view what has been the most significant outcomes across countries? Please give 2-3 examples	
15. What are the key factors influencing the achievement of intended outcomes, both in a positive and negative direction?	

<i>Prompt: Locally-driven change, systematic approach, politically-aware capacity development, holistic capacity development, adaptive and long-term approach, etc</i>	
16. What were the key envisaged pathways of change (e.g. paths through which activities led to outputs led to outcomes)? Follow-up question: ○ Did your understanding of these pathways change over time? Why and how?	
17. Are you aware of an unintended outcome to which the programme has contributed?	
18. To what extent are the outcomes likely to be sustainable? What key factors contribute to sustainability or lack of sustainability? Has the ITP been designed in a way that promotes sustainable outcomes?	
19. Do you see any scope for improving your monitoring and reporting on outcome-level results? What would you change?	
Recommendations	
20. Do you have any recommendations to your own organisation or to Sida on how to further improve the ITP instrument, especially with a view to support institutional development?	
Wrap-up	
Is there anything else that you believe would be important for us to know? Do you have any questions? What documents would you be able to share with us that could help to substantiate your answers?	

Interview guide for ITP participants/selected change initiative team members

Name of interviewee	
Sex	
Assignment(s)	
Data and time of interview	

Introduction

Reiterate the purpose of the evaluation and the interview
Explain how any information collected from the interview will be reported
Ask the interviewee(s) to confirm that he/she/they is/are still willing to participate in the evaluation
Ask the interviewee(s) to present him/herself/themselves

Questions

Evaluation criteria/question	Notes on response
Relevance	
1. What was the most interesting/innovative about the ITP that you participated in? What activities were most useful? <i>Prompt: training in Sweden, change project, regional meeting, coaching, peer exchanges</i>	

2. In general, do you feel that the programme is/was relevant to the needs and priorities of your organisation? Did it respond to your personal learning needs? Follow-up question: ○ Were you given the opportunity to provide feedback on the training/activities during implementation? If so, do you feel that your feedback was listened to?	
3. What was the overall purpose and objective of the change initiative that you were involved with? How was it selected? What considerations were made? Follow-up questions: ○ Who was involved in the identification of the change initiative ○ What analysis was conducted as part of the identification of the initiative? <i>Prompt: involvement of team members, adapted to local context, power analysis, systemic change</i>	
4. Did the change initiative involve cooperation with other actors than your own organisation? If so, in what ways?	
5. To what extent did the change initiative address poverty, gender, HRBA, the environment and conflict?	
6. How well do you think the ITP was run overall? What did you like and/or not like about the approach that they took to delivering the ITP? What would you like to see done differently in the future?	
Effectiveness	
7. What knowledge and skills did you gain from participating in the programme? <i>Prompt: technical knowledge and skills, change management skills, knowledge about gender and other crosscutting issues</i>	
8. Do you have regular contact with other participants? Please explain <i>Prompt: professional networks within a country/organisation, regionally and/or internationally</i>	
9. Was the change initiative that you were involved with completed as planned? What were the results?	
10. What has happened since? Has any follow-up action been taken by your organisation?	
11. Has the change initiative contributed to any large-scale change, such as with regard to new laws and policies, new partnerships, and use of resources? Follow-up question: ○ What was the role of the change initiative(s) in bringing about this change, vis-à-vis the role of other actors and initiatives?	
12. To what extent are the outcomes likely to be sustainable? What key factors contribute to sustainability or lack of sustainability? Has the ITP been designed in a way that promotes sustainable outcomes?	
13. What factors contributed to the achievement or non-achievement of expected results in your experience?	

14. Did the change initiative have any unintended outcomes?	
Recommendations	
15. Do you have any recommendations on how to further improve the ITP instrument, especially with a view to support institutional development?	
Wrap-up	
Is there anything else that you believe would be important for us to know? Do you have any questions? What documents would you be able to share with us that could help to substantiate your answers?	

Interview guide for senior beneficiary organisation representatives

Name of interviewee	
Sex	
Position	
Organisation and country	
Data and time of interview	

Introduction

Reiterate the purpose of the evaluation and the interview
Explain how any information collected from the interview will be reported
Ask the interviewee to confirm that he/she is still willing to participate in the evaluation
Ask the interviewee to present him/herself

Questions

Evaluation criteria/question	Notes on response
Relevance	
1. What has been your involvement in the programme? Follow-up questions: ○ Were you consulted during the programme identification and design process? ○ What insights do you have in the work done by the participants from your organisation?	
2. In general, do you feel that the programme is/was relevant to the needs and priorities of your organisation? Follow-up question: ○ What is the most interesting/innovative about the programme in your view? What, if anything, sets it apart from other support that your organisation receives?	
3. How were the programme participants from your organisation nominated? What considerations were made?	
4. How were the change initiatives identified? What expectations did you have on the change projects?	
Effectiveness	
5. What would you say have been the most significant contribution of the programme to your organisation?	
6. In what ways have your organisation benefitted from the participants' increased knowledge and skills? Follow-up questions:	

○ What new knowledge and skills have been most beneficial?	
7. Have you taken part of the change initiative teams' findings and recommendations? If yes, has any follow-up action been taken by your organisation?	
8. Have the change initiatives contributed to any large-scale change, such as with regard to new laws and policies, new partnerships, and use of resources? Follow-up question: ○ What was the role of the change initiative(s) in bringing about this change, vis-à-vis the role of other actors and initiatives?	
9. What factors contributed to the achievement or non-achievement of expected results?	
10. To what extent are the outcomes likely to be sustainable? What key factors contribute to sustainability or lack of sustainability? Has the ITP been designed in a way that promotes sustainable outcomes?	
11. Has the programme had any unintended outcomes?	
Recommendations	
12. Do you have any recommendations on how to further improve the ITP instrument, especially with a view to support institutional development?	
Wrap-up	
Is there anything else that you believe would be important for us to know? Do you have any questions? What documents would you be able to share with us that could help to substantiate your answers?	

SURVEY QUESTIONNAIRE

This is an on-line survey conducted by Cowater International Sweden on behalf of Sida. Your responses are very valuable to us and will inform the evaluation of "Sida's International Training Programmes as Instruments for Supporting Effective and Inclusive Institutions". The survey focuses on the relevance and results of the International Training Programmes (ITPs). It should not take more than 15 minutes to complete. If a question is not applicable, skip to the next one.

Please note that responses are anonymous and the survey is not linked to any funding call or decision.

Thank you very much for your time!

Introduction

Questions	Choices
1. What is your gender?	• Female • Male • Other
2. What type of organisation nominated you to participate in the programme?	• Government agency • Non-governmental organisation • Private company • International organisation • Other

3. Are you still working for the same organisation?	• Yes • No
4. Are you still working in the same field as when you participated in the programme?	• Yes • No
5. Which of the following ITPs did you participate in?	• Sustainable Urban Water and Sanitation Services (ITP 301) • Self-regulatory Media Frameworks for Democratic Media Development (ITP 295) • Social Protection for Sustainable Development (ITP 322) • Mine Water and Mine Waste Management (ITP 308) • International Capability Building Programme to Increase Voluntary Compliance
6. What parts of the ITP did you participate in? (Multiple answers possible)	• Training courses (in Sweden, elsewhere or on-line) • Regional seminars • Change projects/initiatives • Physical and on-line meetings with mentors/coaches • Networking events (with ITP participants from other countries) • Other
If other, please specify:	

Relevance

Questions	Choices
7. To what extent was the ITP relevant to the country context in your opinion?	• To a very high extent • To a high extent • To a moderate extent • To a slight extent • Not at all
8. To what extent did the ITP address your organisation's needs and priorities?	• To a very high extent • To a high extent • To a moderate extent • To a slight extent • Not at all
9. To what extent was the ITP relevant to your individual learning needs?	• To a very high extent • To a high extent • To a moderate extent • To a slight extent • Not at all

10. To what extent did you have the opportunity to provide feedback and influence the focus and scope of activities during the implementation of the ITP?	• To a very high extent • To a high extent • To a moderate extent • To a slight extent • Not at all
11. To what extent did the change initiative that you were involved with designed to support and facilitate collaboration, coalitions and partnerships with other actors?	• To a very high extent • To a high extent • To a moderate extent • To a slight extent • Not at all
12. To what extent was gender equality considered in the design and implementation of the change initiative that you were involved with?	• To a very high extent • To a high extent • To a moderate extent • To a slight extent • Not at all
13. To what extent was the poverty perspective considered in the design and implementation of the change initiative that you were involved with?	• To a very high extent • To a high extent • To a moderate extent • To a slight extent • Not at all
14. To what extent was the human rights perspective considered in the design and implementation of the change initiative that you were involved with?	• To a very high extent • To a high extent • To a moderate extent • To a slight extent • Not at all
15. To what extent was the environment and climate change perspective considered in the design and implementation of the change initiative that you were involved with?	• To a very high extent • To a high extent • To a moderate extent • To a slight extent • Not at all
16. To what extent was the conflict perspective considered in the design and implementation of the change initiative that you were involved with?	• To a very high extent • To a high extent • To a moderate extent • To a slight extent • Not at all

Effectiveness

Questions	Choices
17. What type of knowledge and skills did you gain from participating in the ITP? (Multiple answers possible)	• Technical/thematic knowledge and skills • Change management skills • Knowledge about gender equality and other crosscutting issues (e.g. human rights, the environment, poverty) • Other knowledge and skills

18. Do you have regular contacts with other ITP participants? (Multiple answers possible)	• Yes, other participants from my organisation • Yes, other participants from my country • Yes, other participants from my region • Yes, other participants from other regions • No, I don't have regular contacts with other participants
19. What type of organisations are the other participants that you are in regular contact with working for?	• Government agencies • Non-governmental organisations • Private companies • International organisations • Other
20. To what extent was the change initiative that you were involved with completed as planned?	• To a very high extent • To a high extent • To a moderate extent • To a slight extent • Not at all
21. What were the immediate outcomes of the change initiative? (Multiple answers possible)	• The change initiative was continued/scaled-up or informed similar, new initiatives • New competencies, solutions and ways of working were introduced in my organisation • Local partnerships were built to support continued work in the same field • Other • Don't know
If other, please specify	
22. Did the change initiative contribute to more long-term outcomes? (Multiple answers possible)	• Yes, to increased institutional capacity for change across different organisations • Yes, to enhanced policies, laws and strategies • Yes, to increased and/or more effective use of resources • Other • Don't know
If other, please specify	
23. How sustainable are the outcomes that the change initiative contributed to?	• Very sustainable • Moderately sustainable • Somewhat sustainable • Not sustainable • Don't know
24. What specific features contributed to the success of the ITP, including the change initiative?	• The programme was adapted to local realities • The programme was driven by participants and national staff • The programme promoted a systemic approach to bringing about institutional change

Please rank the most significant features from 1 to 3 (with 1 being the most significant)	• The programme addressed underlying power relations and behaviour • The programme helped to build trust, motivation and coalitions for change between different stakeholders • The programme had a long-term approach • The programme encouraged adaptation and innovation • The quality of participants • The quality of facilitators and mentors • The study visits and events • Other factors • Don't know
If other factors, please specify	

Recommendations

25. What would you change in terms of the overall approach and methods of the ITP?

26. Do you have any other comments or suggestions to the ITP organiser or Sida?

TEMPLATE FOR NARRATIVE SNAPSHOTS

Name of change initiative	
Country	

- Overview of the selected change initiative:
 - Context
 - Purpose, objective, scope
 - Actors involved
 - Activities
 - Time frame
- Description of results with a focus on immediate and intermediary outcomes linked to the outcome categories in the ToC (see Table 2 below)
- Analysis of how the ITP contributed to this initiative (how was it designed and implemented by the ITP, what key factors were identified as contributing to its success or lack thereof)
- Summary analysis
 - Assess significance of outcomes and any signs of sustainability and potential impact
 - Assess and rate (high, medium, low) the ITP/change initiative's contribution to the outcomes (see Table 3 for guidance)
 - Assess and rate (high, medium, low) the strength of evidence (see Table 4)
 - Assess factors influencing the achievement or non-achievement of outcomes with particular attention to CAPDEV's principles (Table 5) and other assumptions in the ToC
 - Identify lessons learnt with a bearing beyond the change initiative
 - Draw conclusions
 - List sources (see Table 1)

Guiding notes**Table 3 Case study sources**

Documents	Interviews
• ITP annual reports • Annual country reports/reports from change project teams • Prior evaluation and reviews (if any) • Other external sources for verification purpose (to be identified for each single case)	• ITP programme managers • National coaches and mentors • ITP participants/representative of change project teams • Change initiative authorisers (or similar senior managers) in beneficiary organisations • External stakeholders (if possible)

Table 4 Outcome categories

Immediate outcomes	
1	Scaling-up/continuation of change initiatives
2	New competencies, solutions and ways of working
3	New partnerships/cooperation between stakeholders
Intermediate outcomes	
4	Increased institutional capacity for change
5	New laws, policies and strategies
6	Increased and/or more effective use of resources
Ultimate outcome/impact	
7	More effective, transparent, accountable and inclusive institutions and structures

Table 3 Contribution rating

Rating	Definition
High	The outcome could not have happened without the TIP/change initiative. The ITP/change initiative was a key contributor to the change. Note: the ITP/change initiative does not have to be the only contributor for the change but one of the key ones.
Medium	The ITP/change initiative made a substantial contribution to a key part of the outcome, and without its support and efforts, the outcome would not have happened in the same way. Other actors also made a substantial contribution to the outcome.
Low	The outcome would have probably happened anyway, regardless of the ITP/change initiative's involvement (i.e. counterfactual scenario)

Table 4 Strength of evidence rating

Rating	Definition
High	Evidence comes from multiple sources and can be externally validated
Medium	Evidence comes from more than one external source and can be externally validated
Low	The only source of evidence is ITP staff / documentation (i.e. no external stakeholders or partners)

Table 5 CAPDEV's principles

1	Locally-driven change
2	Systemic approach
3	Politically aware capacity development
4	Holistic capacity development
5	Adaptive and long-term approach

Annex 5 - Documentation

General documentation:

Bistånd för en ny era. Reformagenda för biståndet. Regeringskansliet – Utrikesdepartementet. 2023.

Evaluation of Sida's ITPs as Instruments for Supporting Effective and Inclusive Institutions – Inception Report. Cowater Sweden.

ITP Portfolio overview 2024. Excel.

Strategirapport för Kapacitetsutveckling, partnerskap och metoder som stöder Agenda 2030 för hållbar utveckling 2018-2023, with Bilaga 1. Förändringsteori per stödområde, Sida. 15 march 2024.

Utvärdering av genomförandet av strategin för kapacitetsutveckling, partnerskap och metoder som stöder agenda 2030 för hållbar utveckling. Sida Decentralised Evaluation. FCG Sweden. 2023

Guidelines for the implementation of ITP 2022 (English version). Sida, Unit for Capacity Development. February 2022.

Strategy for capacity development, partnership and methods that support the 2030 Agenda for sustainable development. Government Offices of Sweden. Ministry for Foreign Affairs.

Briefing paper for Goal Area 1 Workshop (Part of Utvärdering av genomförandet av strategin för kapacitetsutveckling, partnerskap och metoder som stöder agenda 2030 för hållbar utveckling). FCG Sweden. 24 november 2021

Strategiplan för Kapacitetsutveckling, Partnerskap och Metoder för Agenda 2030 år 2024. Sida. 11 december 2023.

Slutlig MR för följeutvärderingens rekommendationer från Slutrapporten (Part of Utvärdering av genomförandet av strategin för kapacitetsutveckling, partnerskap och metoder som stöder agenda 2030 för hållbar utveckling). FCG Sweden. 01 December 2022.

Ternström et al (2018) *Evaluation of Sida's ITP approach for Capacity Development.* Sida Evaluation 2017:1.

SUWAS ITP:

Annual Progress Report Final

Annual Progress Report SUWAS 2018, Final

Annual Progress Report SUWAS 2019 programmes

Avslutspromemoria

Beredning av avrop från ramavtal för kapacitetsutvecklingsprogram

Beredning av avrop från ramavtal för kapacitetsutvecklingsprogram, ITP 301
 Beredning av insats, slutgiltig
 Beslut om ändring av insats, ITP 301 Sustainable Urban Water and Sanitation
 Beslut om avrop från ramavtal för kapacitetsutvecklingsprogram, ITP 301
 Beslut om avrop från ramavtalet ITP 301 Sustainable Urban Water and Sanitation
 Beslut om insats
 Final Report SUWAS
 Final Updated SUWAS Concept Note Result Strengthening Activities with correct index
 ITP SUWAS Annual Progress Report
 ITP SUWAS Inception Report
 Projektdokument Anbud 6, Niras Natura AB, ITP 301 Water and sanitation
 Projektdokument Bilaga 13, Målgrupp och rekrytering
 Projektdokument Bilaga 2 Översiktligt program
 Sammanfattande resultatuppdatering
 Sammanfattande resultatuppdatering - Bedömning av genomförande för år 2019
 Sammanfattande resultatuppdatering - Bedömning av genomförande tom 2018-12-31
 Större insatsändring- Beslut om ändring av avrop från ramavtal - tillägg till SUWAS
 SUWAS 2020 Concept Note 20-08-24 Excl Budget

Media ITP:

Conclusion of Performance ITP 295, Sida, Capacity Development Unit. 11 July 2022
 Activity and Financial report ITP Media MENA 2021a incl annexes
 Activity and Financial Report IITP Media Africa 2020
 Activity and Financial Report ITP 295 Media Eastern Europe 2019
 Activity and Financial Report ITP 295 Media Eastern Europe 2019
 Activity and Financial Report ITP 295 Media EE 2021
 Activity and Financial Report ITP Media Africa 2021
 Activity and Financial Report ITP Media Africa Alumni and Stakeholder Meeting
 Activity and Financial Report ITP Media Asia 2020 incl annexes
 Activity and Financial Report ITP Media Asia 2021
 Activity and Financial Report ITP Media Asia Follow-up and Regional Alumni Meeting
 Activity and Financial Report ITP Media Latin America 2021
 Anbudssvar, NIRAS Sweden AB, ITP 295

Appraisal of Intervention ITP 295, Sida, Capacity Development Unit. 09 May 2023
Beredning av insats inför beslut om att inleda upphandling, ITP 295 Media
Final Activity Report MENA 2021b with Annexes
Final report ITP media 2018-2023
ITP Media 2022 Yearly report 22.12.22
Rapport Media Asia 2020 NIRAS Sweden AB
Reserapport ITP Media Alumni-möte, Media Summit samt IPA, Nairobi, 1-5 maj 2023
Sammanfattande resultatuppdatering Juli 2023
Sammanfattande resultatuppdatering RP 2021
Yearly Final report 2021, ITP 295

Social Protection ITP:

Annex 4 -Theory of Change
Annex 5 Country-wise Participant Composition
Annex 6 Change Programme Snapshots
Beslut om insats, ITP Social trygghet
Bilaga 4, Beredning av insats
Conclusion on Performance - Handover
Conclusion on Performance 2021 - handover
Institutional Change Impact ITP322 CPs 2023 04 14
Narrative Report 1 2019
Programme proposal
Quality Assurance Framework
Revised ITP322 Annual Report - Final version
Sida ITP322 Annual Report with AF Input 31.03
Sida ITP322 Narrative report 2020 ITP Social FINAL updated 04.06
Southern Hemisphere (SH) *Mid-Term Evaluation of Advanced International Training Programme on Social Protection for Sustainable Development*. Draft report. 19 October 2022.
Southern Hemisphere (SH) *Outcome harvesting report*, 2024.

Mines ITP:

Beredning av insats till beslut om förstudie
Beslut om beredning ITP 308 Tillsyn av avfall och vattenföroreningar från gruvor
Beslut om förstudie Mining Water Management

Beslut om insats angående ITP 308

Beslut om tilldelning av kontrakt, Niras Sweden AB, RBM stöd kopplat till genomförande

Bilaga 2 Appraisal of intervention, Sida, 2017

Bilaga 4 programförslag

Budget förstudie ITP

Financial Report 20220502

ITP Proposal Mine Water Mine Waste Management Final, ny

Protokoll CAPDEV insatskommittémöte 2015-04-01 avseende stöd till Sveriges Geologis

Sammanfattande resultatuppdatering 2020

Sammanfattande resultatuppdatering 2022

Tjänsteköpsöverenskommelse mellan Sida och Sveriges Geologiska Undersökning (SGU)

Årsrapport 2020 ITP 308

Årsrapport 2021 ITP 308

Årsrapport för 2022 ITP308

ICBP:

Annual report 2020 ICBP.

Annual report 2021 ICBP final.

Annual report 2022 ICBP

Beredning av insats.

Beslut om insats, Skatteverkets program

Programme Proposal ICBP final 3.

Revised budget 2022-2024 Skatteverket.

Sammanfattande resultatuppdatering 2020 ICBP och TiWB.

Sammanfattande resultatuppdatering 2021.

Sammanfattande resultatuppdatering 2022.

Signerat avtal mellan Sida och Skatteverket.

Ställningstagande till narrativ rapport 2022.

Ställningstagande till rapport 2021.

Annex 6 - Summary Description of the Five ITPs

ITP Sustainable Urban Water and Sanitation Services

The overall goal of the now completed ITP was improved planning and implementation of water and sanitation services, where especially the rights, needs and demands of marginalised groups are taken into account. The ambition was to achieve results at the individual level (improved capacity and new networks) as well as at the organisational and institutional levels, in terms of new tools, policies, ways of working to strengthen the institutions and processes for the planning and delivery of water and sanitation services in particular towns and cities. The initial 2016 programme round included five countries: Kenya, Uganda, Tanzania, Bangladesh and Myanmar. During 2016, the ITP expanded to two larger regional programme components in Africa and Asia. Between 2017 and 2020, four such regional programme components were implemented per year, two focusing on Asia and two on Africa. Over the course of the ITP a total of 17 programme rounds were delivered in ten countries (Kenya, Tanzania, Zambia, Uganda, Rwanda, Bangladesh, Cambodia, Lao PDR, Nepal and Myanmar) and close to 500 participants took part. Total expenditures on the ITP amounted to SEK 95 million.

Within the overarching goal of strengthening planning and implementation of water and sanitation, the ITP focused specifically on cities and urban areas – in the main, this involved the capital city and a secondary city, although in some countries it also included a region with smaller urban areas. The participants were drawn from water and sanitation service providers in the urban areas with some civil society and academic participants as well. The ITP was structured around national facilitators, who supported participants to develop and implement change initiatives within their respective institutions and in collaboration, alongside a study visit to Sweden, dedicated visits within their own countries, and monthly city/country team meetings. This was adjusted during Covid, as many of the scheduled visits were not possible and more hybrid models were developed.

ITP Self-regulatory media frameworks for democratic media development

The overall goal of the ITP was to strengthen strategically important actors and organisations in their efforts to establish, support and protect institutions within the self-regulatory framework of freedom of expression. In this way, the ITP aimed to promote and contribute to a media environment characterised by freedom of expression, pluralism and diversity. It was one of the largest ITP investments for Sida,

running across 22 countries²¹ and five regions, with 510 participants in total. The regional programme components were implemented 21 times and there were also three regional Alumni conferences. Total expenditures on the ITP amounted to SEK 113 million.

National facilitators worked with ITP participants to develop and implement change initiatives, supported by study visits (including to Sweden), webinars and readings. There was also a strong focus on peer support and building new networks across different stakeholders within a country. Participants included journalists, editors, other media professionals, representatives from relevant regulatory bodies, legal advisers, parliamentarians, representatives from relevant ministries and relevant experts e.g. in freedom of expression. Change initiatives aimed to achieve change in both the formal and informal organisational/institutional environment. During Covid, the ITP transitioned to a largely online training and capacity-building model, and to more hybrid approaches in the final phase.

ITP Social Protection for Sustainable Development

The main objective of the ITP was to reinforce the competence of strategically-positioned individuals to carry out necessary reforms and policy, programmes and organisational changes within partner country's social protection system. Ultimately, the ITP aims to increase the capacity of partner governments to build more effective social protection systems that tackle poverty, vulnerability, inequality (both gender and economic) and exclusion while strengthening delivery of inclusive social development and equitable economic growth. Initially, the ITP covered five countries (Ethiopia, Kenya, Uganda, Tanzania, and Zambia) but was later expanded to 10 (with the addition of Cambodia, Moçambique, Rwanda, Sudan and Zimbabwe). At the end of 2022, the programme had trained a total of about 190 participants from government and civil society organisations. A total of SEK 57 million has so far been spent on the ITP.

The programme design consists of eight phases, including inception, recruitment, regional training, intermediate phase, Swedish training, project phase, a second regional training and a final phase. The participants are recruited and trained using a hybrid and staggered approach and form cross-agency country teams, tasked with developing and implementing change initiatives. These change initiatives extend across cohorts of participants in each country, allowing for more long term approaches and focus on sustainability. Another innovative aspect is the creation of national steering committees, ensuring local ownership and linkages to national policy objectives.

ITP Mine Water and Mine Waste Management

²¹ Africa – Kenya, Zimbabwe, Tanzania, Uganda, Zambia; Asia – Cambodia, Bangladesh, Vietnam, The Philippines, Lao PDR, Myanmar; Eastern Europe – Armenia, Moldova, Ukraine; Latin America – Honduras, Bolivia, Guatemala, Colombia, El Salvador; MENA – Morocco, Tunisia, Lebanon, Palestine

The aim of the ITP is to build capacity within government organisations working with mine water and mine waste in several African countries where Sida is active, i.e. Ethiopia, Kenya, Liberia, Rwanda, Tanzania and Zambia. The ITP seeks to improve technical knowledge of mine water and mine waste operations, as well as the understanding of conflict perspectives, transparency, governance, human rights, and poverty reduction. By the end of 2022, 134 individuals had participated in the ITP. Total expenditures amount to SEK 37 million.

The ITP was originally set to be implemented in three phases; training and education in Sweden, change initiatives in a local and organisational setting, and regional seminars. Only the first group, however, completed the ITP accordingly. From group four (starting in 2021) the ITP is carried out as an online training programme with a field visit added to the regional seminar phase. All the training material, including pre-recorded lectures and movies, are available at a dedicated webpage, which according to SGU is accessed also by people who have not participated in the programme, including other staff of the partner government agencies. The ITP should have ended in 2024 but was extended for one year.

ITP International Capability Building Programme to Increase Voluntary Compliance

The overall goal of the ITP is to increase voluntary compliance to pay taxes and thereby contribute to increased domestic resource mobilisation. This is to be achieved by exploring Voluntary Compliance-strategies, the theory behind what influences Voluntary Compliance, and the many actions countries fiscal administrations can and need to take to increase trust in the (tax) administration and thus strengthening Voluntary Compliance among citizens and businesses. The ITP targets tax agencies and ministries of finance in four African countries (Kenya, Nigeria, South Africa and Zambia) and so far, three programme rounds of 12 months each have been completed.

Each participating country forms a country team that, with the support of coaches from the Swedish Tax Agency, uses the Problem Driven Iterative Adaptation (PDIA) approach to implement local solutions to address local constraints. This is done through an on-line PDIA course (organised by CABRI), a framing workshop (to identify root causes of problems), regular on-line meetings with coaches, and both on-line and physical workshops. The fourth and final round of the programme will be completed by December 2024

Annex 7 - Narrative Snapshots – Change Initiatives

SUWAS ITP

Name of change initiative	SUWAS in Nakuru County
Country	Kenya

Context:

The key challenges for sustainable delivery of water and sanitation services within Nakuru include:

- Insufficient political effort to prioritise plans and budgets for governance of the water sector
- Inadequate coordination of stakeholders in the WASH sector
- Inadequate monitoring of water quality
- Inequitable distribution of water and sanitation services
- Pollution of groundwater and surface water resources
- Inadequate and unsupervised management of waste
- Insufficient, inappropriate and poorly maintained infrastructure and equipment
- Low levels of community awareness and participation in planning and delivery of WASH services

Purpose & objectives:

Through a series of change initiatives, SUWAS aimed to drive organisational changes that would contribute to sustainable WASH services for all in Nakuru County.

Specific objectives of the various change projects included:

- Improving access to WASH services in underserved, low-income areas
- Strengthening governance and management of small water supply systems within rural communities
- Enhancing sustainability and revenue of water supply services
- Introducing WASH related improvements in educational and healthcare facilities
- Developing and implementing a gender and social inclusion policy
- Improving access to, and utilization of, public sanitation services within marginalised groups
- Improving systems and competencies for monitoring and reporting on water and sanitation services

Actors involved:

The main actors were ITP participants drawn from the county government departments and agencies, universities and NGOs active within the water and sanitation sector in Nakuru County, including:

- Department of Health Services, County Government of Nakuru

- Department of Water and Environment, County Government of Nakuru
- Nakuru Water and Sanitation Services Company (NAWASSCO)
- Nakuru Rural Water and Sanitation Company (NARUWASCO)
- Naivasha Water and Sanitation Company (NAIVAWASCO)
- Rift Valley Water Services Board
- Water Sector Trust Fund
- Egerton University
- Water and Sanitation for the Urban Poor (WSUP)
- Umande Trust
- Child Care International Kenya
- Sanivation
- Catholic Diocese of Nakuru (CDN)

Timeframe:

In Nakuru, SUWAS ran for four cohorts from 2016/2017 until 2019/2020.

Activities:

The change initiatives were heavily influenced by the key SUWAS principles:

- Equity and Inclusion; in governance and infrastructure
- Sustainability; in technology and practices
- Integration; in approaches and collaboration across sectors

The objectives and methods of specific initiatives reflected the strategic priorities and functions of the participating organisations. Projects varied depending on the problem being addressed, the issues or groups targeted and the resources most readily available to the ITP participants.

NAIVAWASCO and NAWASSCO developed guidelines and adopted new equipment to reduce the levels of non-revenue water in selected urban areas. In Kivumbini, NAWASSCO partnered with WSUP and other stakeholders to expand infrastructure, connect households to a metered supply system.

To enhance hygiene and reduce pollution, the Department of Health increased handwashing facilities in early childhood development centres and improved the handling of waste within health care facilities.

To improve on-site sanitation for low-income households in Katembwa, NAWASSCO worked with the Department of Health, local leaders and private operators to promote new methods for the collection and transportation of faecal sludge. In the central business district, the Department of Health developed partnerships with private service providers to subsidise access to public toilets for street families and hawkers.

Outside the main urban centres, NARUWASCO trained the members of community water committees in 11 sub-counties on water quality management and source protection, as well as the official Water Services Regulatory Board (WASREB) guidelines for small water supply systems

To enhance stakeholders' capacity to promote inclusion, the Department of Health developed a GIS-based methodology for mapping and monitoring the distribution of sanitation facilities within the county, NAWASSCO conducted research that was used to develop guidelines on gender and social inclusion.

Results:

- New guidelines and technologies leading to significant reductions in the levels of non-revenue water supplied within three areas in the county
- Increased access to safe water and sanitation services for low-income households and vulnerable groups, including street families
- Reduced open and unsafe defecation
- Improved governance and competence within 23 community water committees overseeing the management of small boreholes and water supply systems in rural areas
- Improved capacity for monitoring and evaluation of WASH services within the Department of Health
- Improved protocols for routine monitoring of water quality in healthcare facilities
- MoUs with private service providers, including operators of public toilets

Key factors:

Across the projects, the following factors were identified as important for success:

- The relevance of the change initiatives, which were addressing significant needs and challenges within the WASH sector; were closely aligned with the strategic goals and workplans of the participating organizations; and were within the scope of the participants' designated roles. As such, the ITP participants were better able to draw on funding and other support from their organisations and other stakeholders.
- The SUWAS emphasis on collaboration, which encouraged participants from different organizations to pool their intellectual, technical and financial resources, and draw on the support of other stakeholders and funding partners.
- Institutional goodwill, especially the support from peers and senior staff in the participating organizations, leaders in the county government, local politicians, and community elders.
- The training component, which built upon participants' prior experience and competencies; strengthened their capacity to identify, unpack and articulate problems; and exposed them to different scenarios, approaches and tools.
- Complementarity among change projects, which contributed to continuity and improvement within the WASH sector, and networking among the key actors.
- Competent technical guidance, coaching and monitoring by the ITP coordinator and national facilitator which, in addition to the support from peers, motivated the participants to complete their initiatives.

Summary analysis:

- The immediate outcomes of the projects in Nakuru may be rated as medium. Individual participants emerged more competent, confident and connected to peers outside their organizations. Many developed new partnerships (supported by MoUs) and piloted alternative strategies and solutions within the change initiatives.
- The intermediate outcomes are also rated as medium. Lobbying by several participants across cohorts is thought to have contributed significantly to formation in 2019 of the multi-sectoral, Nakuru Countywide Sanitation Technical Steering Committee (NACOSTEC). NACOSTEC played an important role in coordinating the sector's response to Covid-19 but, unfortunately, stalled within a few years. Beyond that, changes in policies were reported at team or organizational levels. By reducing the levels of non-revenue water in parts of Naivasha and Nakuru, the ITP contributed to more efficient use of resources.
- Overall, SUWAS's contribution to change within Nakuru's WASH sector is rated as medium. The ITP provided stakeholders in Nakuru with a collaborative platform to channel more attention, expertise and resources to improving Inclusion and sustainability within the WASH sector.

- The strength of evidence on which these assessments are based is medium. Key sources include interviews with programme staff, the national facilitator, and ITP participants from three cohorts (2017-2020), as well as their progress reports and presentations during the 2022 alumni symposium. Some additional information was gathered during an interview with an affiliated organization (KEWASNET), but wider external validation was not possible because of time and resource constraints.
- Key factors for success are summarised above. The CAPDEV principles that were emphasised most were locally-driven change and a systemic approach. All ITP participants were supported to design projects directly relevant to their situation and roles, and to initiate or strengthen collaboration with other actors through formal arrangements. The principle of an adaptive and long-term approach was also applicable in several of the change projects in Nakuru, especially those which introduced new policies and tools for learning and decision making.

Key sources:

- ITP's annual and final reports
- Interviews with ITP participants, ITP coordinator, national facilitator, and senior managers of participants' organisations

Name of change initiative	Establishing the SUWAS Alumni Association of Nepal, "Society of Sustainable Urban Water and Sanitation, Nepal or Society of SUWAS"
Country	Nepal

Context:

Nepal faces significant changes for water and sanitation, including a lack of access to safe water (especially in rural areas), lack of access to basic sanitation and a lack of basic hygiene. The government has committed to improving water and sanitation access, including increasing protection for freshwater sources, improving water resource management, ensuring more equal access to WASH facilities, and addressing significant disparities between different regions. A key gap identified in interviews is the lack of coordination and harmonisation across different stakeholders and different expertise/disciplines (for example, to address WASH you need coordination across water infrastructure, public health, and sanitation).

Purpose & objectives:

The ITP cohorts developed an alumni network to be a learning platform, allowing for exchanges of experience and skills and as an advocacy platform for the SUWAS principles of Equity and Inclusion (in governance and infrastructure), Sustainability (in technology and practices) and Integration (across sectors). This network reflected the strong commitment to SUWAS and to collaboration achieved in Nepal, and it was used as a platform for wider lobbying and uptake of individual change initiatives developed by ITP participants.

Actors involved:

There were 50 participants in the SUWAS programme in Nepal as a whole, representing 24 different organisations. 11 participants were from federal government agencies; 18 from local government in Kathmandu valley (five municipalities were represented); seven from the Water Regulatory Board and Water Utility Operators in the valley; and 13 were from I/NGOs and one from private sector. Eight organisations had three or more participants in the programme. The Alumni network was open to all participants, and

interview with participants from different cohorts confirmed wide participation of course alumni.

Timeframe:

Nepal became part of the SUWAS programme in 2017 with a focus on four municipalities in the Kathmandu Valley, and federal government ministries. The network was formally established in 2018 as a loose network, and developed further by subsequent cohorts. The 2022/2023 cohort established a clear management structure and an executive committee of 11 members and 3 advisers.

Activities:

The SUWAS alumni network was established as a loose network at the end of the first cohort (2018) and over time has developed into a more formalised coalition. In 2022 it refined its mission: “to support to localize SUWAS key principles, build human resource capacity, share knowledge, promote a culture of learning and improve knowledge management for improved WASH service delivery for all”.

It also developed a management structure and programme objectives, and is trying to be formally registered as a non-profit organisation.

The Network supported the SUWAS programme during the regional SUWAS phase 4 implementation, and it hosted all SUWAS city seminars. During the Covid-19 pandemic, the Network together with the SUWAS programme conducted national, regional and global sessions on water, sanitation and hygiene. The Alumni have supported ongoing change projects (e.g. by being mentors to new cohorts) and helped to conduct joint advocacy and lobbying to carry out the change project recommendations. These change initiatives included the development of public toilet guidelines and standards, and guidelines for sanitation workers occupational health and safety, as well as developing new sanitation planning tools for municipalities. The Network supports these initiatives through lobbying for the wider uptake and implementation of these guidelines and change initiatives.

Select ITP participants confirmed the network was still operational and regularly meeting.

Results:

- The creation of a new platform for collaboration, bringing together stakeholders from government, civil society, private sector, public utilities and as a forum for lobbying
- New ways of working through new collaboration and coordination among these different stakeholders
- Wider dissemination of change initiatives and the new guidance and policies developed as part of these

Key factors:

Drawn from ITP reporting documents and interviews with national facilitator, participants and programme staff, the following factors were identified as important for success:

- Emphasis on network-building: This seems to have been particularly important for WASH as a sector, which requires high levels of coordination across different departments and disciplines, which meant there was significant benefits by establishing a more formal network. According to the national facilitator, the network element was very important to the overall ITP as without this, the work of the team each year would not have been scaled up or adopted by their organisations. For example, he highlighted that a number of policies were drafted, and without the network, they would have been seen as the actions by one staff member but the

validation and support of the network acted as a stronger pressure group which could push for adoption.

- High level participation: The national facilitator stressed that he focused on identifying senior level decision makers including Mayors, and managers within water companies and municipalities, so that the network could support decision making and have wider influence.
- The emphasis on establishing a network was closely linked to sustainability and keeping up the motivation for change, with cohorts that aimed to build on each other and developed a self-sustaining platform for coordination and lobbying that would continue once the ITP had ended.
- The national facilitator recognised that this all required significant skills in trust building, people skills, and relationship building with participants and their organisations.

Summary analysis:

- The overall significance of outcomes rated as low or low to medium – new partnerships appear to have been established within the network but it is less clear if they have specifically contributed to new outcomes for example there was no documentation to show if lobbying efforts have led to wider uptake of new policies or ways of working.
- The ITP's contribution to change is rated as high – the SUWAS model is the basis of the network and seems to have been the key factor in developing the network.
- Evidence strength is low- it is reliant on the documentation from ITP participants and programme staff, and their internal reports. Wider external validation was not possible, reflecting time and resource constraints of the evaluation.
- Key factors are summarised above. Using the CAPDEV principles, the key principles that were most applicable were the principles of locally-driven change; a systemic approach (through formalizing partnerships and coordination); and a long-term approach (creating links across ITP cohorts). The focus on locally driven change was particularly emphasised.
- The emphasis on networks and coordination is particularly relevant for WASH reform in general, which requires coordination across different areas and departments. The need for strong relationship building and trust building skills for those delivering this programme is also noted.

Key sources:

- ITP final report
- Interviews with ITP participants, national facilitator, and programme director

MEDIA ITP

Name of change initiative	Strengthening-in-house media self-regulatory mechanisms by introducing editorial guidelines to the regional and community media outlets in Kenya
Country	Kenya

Context:

During the past decade, there has been a rapid increase in the number of community media outlets in Kenya. These outlets, including low-power radio broadcasters, are usually established by individuals, families, community groups or universities. The majority are not staffed by trained journalists and lack the competence and resources to adopt the practices and technology required to improve their compliance with broadcasting standards. Community media outlets are especially vulnerable to interference from political and commercial interests, as well as legal disputes and accusations of misinformation and hate speech.

Community media outlets are recognised as significant actors in Kenya's media landscape, especially within rural and marginalized communities. In 2023, they comprised over 60% of media outlets and controlled over 70% of the rural audience market share. There is, therefore, widespread interest in improving their credibility, professionalism, sustainability and inclusion in the regulatory framework

Purpose & objectives:

The overall goal of the initiative was to strengthen in-house, media self-regulatory mechanisms in regional and community media outlets.

The specific objectives of the initiative were:

1. To develop editorial guidelines.
2. To facilitate the adoption of editorial guidelines by at least 40 percent of community media outlets
3. To improve the professional conduct of community media outlets
4. To support more effective, In-house practices for media self-regulation

Actors involved:

The main actors were the ITP participants who represented the following government: agencies and professional bodies.

- Kenya Editors Guild (KEG)
- Kenya News Agency (KNA)
- Bloggers Association of Kenya (BAKE)
- Standard Media Group (SMG).
- Media Council of Kenya (MCK)

Representatives of the Kenya Media Sector Working Group, Kenya Correspondents Association were also involved in the later stages of the initiative.

Timeframe:

This was second cohort in Kenya, which was active in 2019/20.

Activities:

The editorial guidelines for community media outlets were compiled based on documentation and knowledge shared by the five ITP participants. The draft editorial guidelines were shared with representatives of community media outlets, during a one-day workshop hosted by CAK in Nairobi. The workshop participants reviewed the guidelines, shared their feedback, discussed the framework for media self-regulation and the media council's code of ethics.

Recommendations from the editorial guidelines were incorporated in the final version of the editorial guidelines, which were then rolled out for adoption by the media outlets.

Results:

- Editorial guidelines are available for community media outlets to adopt and customise
- Editorial guidelines have been adopted by approximately 40 community media outlets in Kenya
- More community media outlets are better able to comply with regulatory requirements
- Some training centres and colleges are using the editorial guidelines to train journalists

Key factors:

The following factors were considered key to successful completion of the initiative:

- The perceived relevance and benefits of the editorial guidelines among stakeholders in community media outlets, including the owners, journalists and other staff.
- Close alignment of the project with the aims of the participating organizations, including their ambitions for more independence, credibility, sustainability and professionalism within the sector.
- Good teamwork and synergy among the Cohort 2 participants based on their shared commitment to the overall goal of promoting responsible and ethical journalism.
- The technical capacity and convening power of the ITP participants, which placed them in a position to draft appropriate guidelines and connect with diverse stakeholders.
- Complementarity with the objectives of the previous ITP Cohort 1, which had sensitized media stakeholders about the importance of media self-regulation.

Summary analysis:

- The immediate outcomes of the project may be rated as medium. The ITP participants emerged with stronger commitment and ability to promote media self-regulation. Community media outlets gained access to editorial guidelines which were not available to them previously due to their limited technical and financial capacities. Other stakeholders, including colleges and universities, were also able to adopt the guidelines for their training programmes.
- The intermediate outcomes are also rated as medium. The staff and owners of community media outlets which have adopted the editorial guidelines have found them useful for improving their professionalism and compliance with regulatory requirements, and in avoiding legal disputes.
- Overall, the initiative's contribution to change within community media is rated as low. Although the guidelines were finalized and adopted by many media outlets, there were no follow-up activities to support customization and implementation by outlets operating in different circumstances.
- The strength of evidence on which these assessments are based is low to medium, as it is reliant on interviews with the national coordinator, the ITP participants and the final Media ITP report. Wider external validation was not possible because of time and resource constraints.
- Key factors for success are summarised above. The CAPDEV principles that were emphasised most were locally-driven change, a systemic approach and politically aware capacity development. The objectives of the project were directly relevant to the strategic roles and competencies of the ITP participants, which was enhanced through their interactions with experts and peers based in Sweden, Denmark and other African countries. The initiative hinged on collaboration among other diverse actors and stakeholders in the media landscape. In addition, the project enhanced the

capacity and inclusion of community media outlets which, despite their large audience, have tended to operate on the margins of a regulatory framework that is dominated by actors with significantly greater technical and financial resources.

Key sources:

- ITP's final report
- Interviews with ITP participants and national coordinator

Name of change initiative	Creation of local Press Councils
Country	Philippines

Context:

The Philippines has a challenging media landscape, with high levels of attacks on journalists, which escalated under the previous President (Rodrigo Duterte). Violations of press freedom remain common and there is increasing use of legal action against journalists to suppress their reporting. There is significant polarisation and reports of disinformation specifically from far-right media outlets.

Purpose & objectives:

The change project involved establishing local Press Councils, with membership drawn from the local communities. These Councils provide training in press freedoms, alternative dispute resolutions (to reduce legal action against journalists) and help build greater understanding and public awareness of media ethics.

Actors involved:

This change project was led by an ITP participant, who already had an interest in developing Press Councils but had struggled to make progress previously.

Timeframe:

The Philippines ITP only ran for two cohorts (2021-2022; 2023-2024) and it was a replacement after the ITP in Myanmar had to close due to the outbreak of conflict.

Activities:

The first cohort (2021-2022) had participants from the Asian Center for Journalism, Cebu Citizens-Press Council, Center for International Law, the Commission on Human Rights, the Integrated Bar of the Philippines, the Mindanao Times, the Philippines Press Institute and VERA Files. According to interviews with the national facilitator, initially the participants wanted to cover a wide range of problems for the media but after facilitation in the ITP, identified a more focused approach to addressing the problems of legal action against, and harassment of, journalists.

As part of this, one of the ITP participants developed the idea of local Media-Citizen Councils, which brought together media, local communities and citizens at provincial and county levels. According to the ITP participant who led this project, Press Councils are usually developed at the national level and this had previously been tried in the Philippines but had not worked. This participant worked for the Philippines Press Institute, which was one of the organisations' focusing on press safety and interested in the potential of Press Councils. They had previously established one local council but had struggled to see these adopted more widely.

Through engagement with lawyers who were also ITP participants, this participant learnt about the government's commitment to alternative dispute resolution and the potential for Media Councils to be trained and accredited in this.

As part of the ITP, they scoped potential areas to establish these, developed guidance for how they would work, and initially proposed creating 3 local Press Councils in new areas. They looked at example from South Africa of the use of local Press Councils as part of self-regulation efforts as inspiration. The team working across the ITP cohort allowed them to conduct more orientation sessions with different cities, eventually leading to the creation of new councils in 3 locations.

Once these were established, the idea reportedly gained momentum, leading to the establishment of others. ITP activities also involved raising awareness about the Councils and increasing support to them to become operational. This was then taken up as wider initiative by the Philippine Press Institute itself, and now has its own webpage as part of their website, and the Institute continues to advocate for and support the establishment of Media-Citizen Councils: <https://philpressinstitute.net/about-the-ppi-media-citizen-councils/> Further funding was identified from the Danish Government to fund 5 new councils in 2023.

Results:

- New Media-Citizen Councils established; according to interviews, 14 were established within 4 years. The public website lists 9 of these.

Key factors:

Drawn from ITP reporting documents and interviews with the national facilitator, lead participants and programme staff, the following factors were identified as important for success:

- The involvement of key stakeholders who were previously not connected: The ITP involved lawyers for the first time in these discussions, which was seen to be significant due to the significant problems of legal action taken against journalists. In turn, they made connections for the ITP with government representatives who oversaw mediation and alternative dispute resolution. This seems to have created more momentum to establish these Councils, as they could link to government efforts for training on alternative dispute resolution.
- The ITP's problem driven approach: According to the national facilitator, at first the ITP participants wanted to look at all of the problems faced by the media within the Philippines, but the ITP approach and support from the thematic mentor was helpful in allowing them to prioritise and focus in on specific issues and problem areas, which led to the identification of the Press Councils approach.
- Exposure to Swedish/other experiences: While the Press Councils model was familiar within the Philippines, it had not been explicitly linked to a self-regulation model so this innovation was reported to be useful, in understanding how it could address problems of legal action and attacks against journalists.
- Sustainability: the change initiative has continued since the ending of the ITP and was taken up by the Philippines Press Institute as an area of work, showing a progression from a change initiative pursued by an individual participant to wider uptake of new ways of working with the organization they represented.

Summary analysis:

- Overall, the significance of outcomes achieved is rated as medium – there has been significant progress in increasing the number of local Press Councils and raising awareness of their roles.

- The ITP's contribution to change is rated as medium – the focus on identifying specific problems and supporting locally led solutions appears to have been helpful in developing a change initiative that drew on existing ideas but sharpened the focus on self-regulation and galvanised action from different stakeholders.
- Evidence strength is low-medium – the evaluation team has largely relied on the documentation from ITP participants and programme staff, and their internal reports. Wider external validation was not possible, reflecting time and resource constraints of the evaluation, as well as language constraints as members of these councils represented local communities and this would require interviews in local languages. However, independent sources do validate the creation and existence of these councils, including through their website.
- The CAPDEV principles that are most applicable to this change initiative and the principles of locally-driven change; a systemic approach; and a long-term approach. The focus on locally driven change was particularly emphasised, as ITP participants were supported to identify ideas that were most relevant to the specific problems they faced. A key factor not covered by these principles was the focus on multi-stakeholder coalitions, and bringing together stakeholders who were not usually in contact (e.g. lawyers, government representatives with media representatives) in order to achieve breakthroughs and make progress where previously it was more limited.

Key sources:

- ITP's final report; Philippines Press Institute website and resources on Media Councils
- Interviews with ITP participant, national facilitator, and programme director

Name of change initiative	Change Messengers
Country	Armenia

Context:

Armenia is currently undergoing a period of extensive reform in media regulation, against a background of significant challenges for an independent, free press. These challenges include trends of regional conflict, including a 44-day war between Armenia and Azerbaijan as part of ongoing territorial disputes, and the fallout from Russia's war with Ukraine. This has contributed to rising trends of media polarisation, and of disinformation and misinformation propagated by Russia. This has contributed to levels of public trust towards journalism and incitement of hate speech. The government's initial response to these trends was to develop more restrictive legislation and regulation through the media, but there has been growing efforts within the media industry and from civil society to develop self-regulatory approaches and a focus on media ethics. These efforts are also reinforced by efforts within Armenia for EU accession, and incentives to align with EU regulation and practices, including for media freedoms.

Purpose & objectives:

The change initiative involved coordination across multiple initiatives and different actors to support efforts at raising awareness of self-regulation as an alternative to restrictive state regulation, developing self-regulatory mechanisms for media bodies and ensuring recognition of these issues in legislation too.

Actors involved:

24 participants completed the programme; 8 participants from Ukraine, 8 from Armenia and 8 from Moldova. In Armenia, participants included a parliamentarian, a representative from the government regulator, from a Yerevan journalism faculty, the Media Ethics Observatory, the Yerevan Press Club and the Media Initiative Centre.

Timeframe:

The Media ITP was delivered in Eastern Europe (Ukraine, Armenia and Moldova) from 2019 to 2023. This change initiative is known as ‘Change Messengers’ in Armenia and represents the work of the Armenian participants in the final cohort (2023/24).

Activities:

According to a selection of participants interviewed, there were key phases to the ITP – initially, building understanding across the participants of the ideas of self-regulation (reinforced by study visits to Sweden and Denmark), followed by developing collective plans for how to advance self-regulation within Armenia.

As documented in the final reporting for the 2023 cohort, this involved developing a shared vision as follows: “Our shared vision is EU-aligned media regulatory and self-regulatory framework in Armenia to support the development of a diverse media landscape, where information is freely accessible, and journalists work under high ethical standards.”

Participants then developed their own priorities to meet this vision. All participants represented different stakeholders and conducted their own analysis. Based on this, they identified possible actions as one group, and shared out responsibilities among the Armenian participants. There were lots of regular in-person meetings – sometimes weekly – to come together and discuss the issues they were facing while implementing changes.

Priorities identified included:

- Support to update outdated media and audiovisual legislation (led by the parliamentarian participating in the ITP).
- Increasing awareness among media organisations about the importance of self-regulation (such as including media self-regulation in curricula of journalism courses, developing training for journalists, and supporting a 2024 conference on the theme of media standards. Regular events were also held at the Yerevan Press Club.
- Support for self-regulatory efforts, including developing codes of conducts and media groups membership of the Media Ethics Observatory.

Results:

- Changes were drafted to the Audiovisual Law which included reference to the importance of media self-regulation and support to increase recognition of self-regulation groups in the media; and a draft law on mass media included commitments to implement self-regulation mechanisms. These are still in draft form.
- Media self-regulation was included in the curricula of journalism studies, including a pilot course on self-regulation for journalist at the Yerevan State University.
- Increase in membership of the Media Ethic Observatory (according to the participant from this organisation, this increased from approximately 50 before the ITP to 83), and 8 media organisations signed up to the Self-Regulation Initiative.

Key factors:

Drawn from ITP reporting documents and interviews with the national facilitator, participants and programme staff, the following factors were identified as important for success:

- The importance of national facilitators: the national facilitator was reportedly well chosen, as he was widely recognised as an expert in the field, well connected, and knowledgeable on key issues such as EU alignment/regulation, and this helped bring the group together to develop shared change strategies.
- Those interviewed highlighted the usefulness of the systemic focus on change: According to the national facilitator, the draft legislation provides recognition of self-regulation only, but does not create changes in norms. Therefore, the Armenia team developed parallel processes within the ITP, for example to develop new tools such as media training and ethnics initiatives, alongside exchanges with others in the region. This included a focus on raising public awareness of self-regulation, for instance through the Self-Regulation Initiative, developing a list of ‘quality media’, with transparency over funding and following codes of conduct for ethical journalism.
- Cohorts learnt from past cohorts: Each cohort appears to have built on the efforts of previous cohorts. The national facilitator appears to have been important in providing institutional memory for the ITP, and ensuring overall consistency between projects across different cohorts.
- Importance of coalition building: Before the start of ITP, there were reportedly looser coalitions only among media NGOs, and the ITP provided opportunities for more genuine multi-stakeholder coalitions, which reached across the media industry, NGOs, MPs, government regulators, and representatives from academia. The national facilitator highlighted that while the idea of change in the form of self-regulation was initially developed by civil society, they could not deliver change without the participation and engagement of those in government, parliament, and from regulators – which was possible in this ITP. The Armenian participants interviewed felt that they had not understood the perspectives and priorities of different stakeholders prior to the ITP, and it gave them better understanding and insights for example into government and parliament priorities.
- Specific to the region, the Sweden/Denmark visits were also seen as particularly useful because Armenia had added incentives for reform from the prospect of EU accession, and therefore greater alignment with European countries was seen very positively. The ITP appears to have been delivered within a somewhat favourable context given this potential EU alignment, and where there were existing but more dormant self-regulatory initiatives that could be re-activated (such as the Media Ethics Observatory). The ITP appears to have been particularly useful in bringing together key stakeholders that were otherwise not in contact with each other and in galvanising attention and energy around these issues, but it was not the only or possibly the main factor in pushing for change in some of these areas.

Summary analysis:

- The overall significance of outcomes is rated as low-medium – there has been progress and there is potential for significant future change but it is still too early to tell whether how much will be realised.
- The ITP’s contribution to change is rated as medium – there were already some enabling factors and pre-existing reforms, but the ITP process does seem to have galvanised key stakeholders from different institutions to work together who otherwise would not have done so. A key strength of the ITP’s approach seems to be

the focus on multi-stakeholder coalitions, which in this example was significant as previously those pushing for reform were reportedly isolated or fragmented.

- The evidence strength is low-medium – the evaluation team has largely relied on the documentation from ITP participants and programme staff, and their internal reports. This documentation does provide evidence of the main outcomes, such as draft legislation, new courses or modules and so on, but it was harder to validate the ITP’s contribution to developing these, apart from interviews with ITP participants and staff.
- Key factors are summarised above. Using the CAPDEV principles, the principles reflect locally-driven change; a systemic approach; and a long-term approach. There was significant focus on in-person meetings and working together within Armenia and cohorts built on the efforts of previous cohorts, which gave a longer-term perspective. A key factor not covered by these principles was the focus on multi-stakeholder coalitions, particularly bringing together representatives from media and civil society organisations with those from government and state regulatory bodies, as well as the focus on wider public engagement/ awareness raising.

Key sources:

- ITP’s final report and annual reports on activities in Eastern Europe; PowerPoint on Change Messengers, prepared for 2024 final ITP workshop
- Interviews with ITP participants, national facilitator and programme director

SOCIAL PROTECTION ITP

Name of change initiative	Kenya Family Resilience Programme
Country	Kenya

Context:

Kenya’s social protection sector has rapidly expanded over the past 15 years. This is e.g. reflected in an increase in the number of cash transfer programmes, including for older persons, persons with disability, orphans and vulnerable children, and a hunger safety net programme targeting poor and marginalised households. As highlighted in the concept note of the Kenya Family Resilience Programme, adolescents in Kenya are a particularly vulnerable group. The health status of adolescents is identified as a major concern, including in terms of their nutritional status and their mental health. Adolescents have also suffered the brunt of the Covid-19 pandemic. The economic downturn and job losses have contributed to increased adolescent pregnancies, early marriages, school drop-out, as well as higher levels of delinquency.

Purpose & objectives:

The change initiative (or change programme) was developed with the overall goal of building “resilient families in secure environment” by putting mechanisms in place to enable families to cope with various shocks, including climate, economic and social shocks. The target population was poor and vulnerable families with children aged 10 to 18 years.

Actors involved:

The change initiative was designed (and partly implemented) by Kenyan ITP participants from several government agencies, including the Ministry of Labour and Social Protection, Ministry of Gender, Children and Social Development, State Department of Planning, etc,

as well as civil society and one UN agency. There were also participants from county governments.

Timeframe:

All of the Kenyan ITP participants worked on the same change initiative. The work started with the first cohort in 2019 and ended in 2024.

Activities:

The change initiative was initially outlined in a programme concept note developed by the first ITP cohort and then further developed by subsequent cohorts, e.g. by refining the various programme components and implementation strategies, developing an M&E framework, defining the geographical scope and targeted beneficiaries. Later cohorts worked to identify partnership and funding opportunities.

Results:

- According to interviews, ITP participants involved with the change initiative enhanced their skills in designing evidence-based social protection programmes, thereby being better able to advice government.
- The change initiative can be said to have influenced the national policy framework since it was incorporated with Kenya’s Medium-Term Plan 4 of the Kenya Vision 2030, and possibly will be implemented as part of the second phase of the Kenya Social and Economic Inclusion Programme. The change initiative was also included in the Strategic Plan of the Directorate of Social Development.
- The change initiative influenced policy development at the county level, specifically by ITP participants providing technical assistance and inputs to the development of social protection policies (in Samburu and Baringo counties).
- ITP members contributed to the establishment of an Enhanced Single Registry (ESR), a socio-economic database of poor and vulnerable households in Kenya. The objective of the ESR is to help social protection programmes to select and provide services to beneficiaries.

Key factors:

The following factors have been identified based on the information presented in ITP annual reports, an outcome harvesting report published in 2024, and interviews with ITP participants:

- The change initiative demonstrated the importance of ensuring the participation of decision-makers in the ITP, including as members of a steering committee for the change initiative. This facilitated policy advocacy and the inclusion of the change initiative in Kenya’s Mid-Term Plan.
- The continued engagement of the steering committee across cohorts was critical, especially since there was a gap in hand-over between some cohorts.
- The diversity of actors, including both government and civil society representatives, who have complementary roles and skills and collectively can “push” the social protection agenda.
- The change initiative has been partly implemented but they key component on evidence-building through piloting has not started due to financial constraints. Funding has thus been a significant disabling factor.
- The change initiative linked up with the support from development partners. However, there is limited evidence of explicit synergies and no funding has as yet to be mobilised.

Summary analysis:

- The overall significance of the outcome is rated as medium to high – with reference to the inclusion of the change initiative in Kenya’s Medium-Term Plan and the influence on county-level policy frameworks. The second component on evidence-building has not started, however.
- The ITP contribution to change is rated as medium – reports and interviews indicate that ITP participants played an important role in the accomplishment of the above-mentioned results, but it is not clear what other actors and factors influenced these results.
- The strength of evidence is rated as medium – while the evaluation team has drawn upon interviews, ITP reports as well as an outcome harvesting report prepared by an external company, it has been difficult to find key informants and sources that offer a more balanced view of the results.
- Key factors are summarised above. Evidence reflects all five CAPDEV principles: locally-driven change process; a systemic approach to collaboration; understanding of power relations; building broader competencies for change, and; adaptive and long-term approach.

Key sources:

- Interviews with ITP participants, including steering committee members, and ITP managers, mentors and coaches.
- ITP final narrative report 2024.
- Outcome harvesting report (2024).
- Concept note: Kenya Family Resilience Programme.

Name of change initiative	Integrated Programme for Increasing Social Protection Coverage
Country	Uganda

Context:

The Uganda change initiative (programme) was designed to address a problem statement that highlighted several challenges, including: high levels of vulnerability; the lack of social security (only 15 percent of the working population is covered by some form of social security); high school dropout rates; high teenage pregnancy rates; and limited social protection coverage (less than 10 percent of the country’s population is covered).

Purpose & objectives:

The change initiative (or change programme) was developed with the overall goals of: expanding the coverage of social assistance grants to all older persons aged 70 years and above; increasing access to social protection programmes by adolescent girls in urban settings, and; expanding social security coverage to informal sector workers.

Actors involved:

Reflecting the diverse composition of ITP participants, the change initiative was designed by participants from a wide range of government agencies (such as the Ministry of Gender, Labour and Social Development, Ministry of Public Service, Ministry of Education and Sports, Office of the Prime Minister, Kampala Capital City Authority), several civil society organisations, and one development partner (UNICEF).

Timeframe:

All of the Ugandan ITP participants worked on the same change initiative. The change initiative was initially designed by the 2019 cohort and then “implemented” between 2019 and 2023 by subsequent cohorts.

Activities:

The change initiative was initially outlined in a programme concept note developed by the first ITP cohort and then further developed by subsequent cohorts, especially in response to Covid-19 and its consequences for access to education. In 2023, a specific focus on persons with disabilities was added.

Results:

- According to interviews, ITP participants involved with the change initiative gained valuable knowledge and skills in social protection programming that directly contributed to their work. Participants also highlight improved skills in planning, M&E, advocacy, and fundraising.
- The mobilisation of additional (external) funding for the Girls Empowering Girls programme, which aims to support vulnerable girls aged 11 to 15 years in Kampala to stay in school and avoid early pregnancies. With the additional funds (obtained from Belgium) the programme’s outreach was expanded from 1,500 to 4,000 girls, in additional districts.
- Sustained government budget allocations for the Senior Citizen Grant, leading to expanded coverage across all Uganda districts.
- The launch of a Community of Practice to enhance collaboration among stakeholders in social protection initiatives, in turn resulting in the annual organisation of a Social Protection Month, focusing on raising awareness and providing a platform for dialogue on social protection issues. This initiative has reportedly engaged over 100 participants, including ITP alumni.

Key factors:

The following factors have been identified based on the information presented in ITP annual reports, an outcome harvesting report published in 2024, and interviews with ITP participants:

- The engagement and commitment of key stakeholders, including high-level government officials, in driving the change initiative. This has ensured government ownership, and facilitated smoother implementation.
- The multi-institutional approach, which fosters collaboration among diverse organisations, leading to more comprehensive and effective solutions to complex problems, and increasing the likelihood of policy influence.
- Strategic recruitment of participants across cohorts and diverse representation in the steering committee, enhancing networking opportunities, collaboration and learning and promoting inclusive decision-making.
- The focus on addressing real issues specific to Uganda and practical solutions, such as the Girls Empowering Girls initiative.
- The alignment with national priorities and existing policies and programmes, as well as with work plans and budgets, providing a framework for applying knowledge and skills, and ensuring sustainability.
- Adaptability in reshaping the change initiative in response to the Covid-19 pandemic, ensuring effective crisis management and allowing innovative solutions to emerge.

- Challenges related to conflicting priorities among team members, leading to inconsistent participation in meetings and activities, and diverting the focus away from the change initiative.
- Challenges related to the handover process between ITP groups, resulting in a loss of continuity in engagement and enthusiasm in the change initiative.

Summary analysis:

- The overall significance of the outcomes is rated as medium to high – the most significant outcome was the expansion of the existing Girls Empowering Girls initiative. The Community of Practice is also assessed as important, especially for ensuring sustainability.
- The ITP contribution to change is rated as medium – reports and interviews indicate that ITP participants played an important role in the accomplishment of the above-mentioned results, but other actors (such as UNICEF) and factors also had an influence.
- The strength of evidence is rated as medium – while the evaluation team has drawn upon interviews, ITP reports as well as an outcome harvesting report prepared by an external company, it has been difficult to find key informants and sources that offer a more balanced view of the results.
- Key factors are summarised above. Evidence reflects all five CAPDEV principles: locally-driven change process; a systemic approach to collaboration; understanding of power relations; building broader competencies for change, and; adaptive and long-term approach.

Key sources:

- Interviews with ITP participants, including steering committee members, and ITP managers, mentors and coaches.
- ITP final narrative report 2024.
- Outcome harvesting report (2024).

MINES ITP

Name of change initiative	“Environmental framework for mine site closure”
Country	Kenya

Context:

Kenya is a country with an emerging mining industry. While currently only a very small share of the country’s GDP stems from mining, the Kenyan government has in recent years been working to significantly expand the importance of this sector. However, the practices have historically been unsustainable. This includes the aspect mine site closure, which is a critical component of environmental management in the mining sector.

Purpose & objectives:

The change initiative aimed at developing an Environmental Framework for Mine Site Closure, encouraging the development of comprehensive closure plans that return all mine sites to viable, self-sustaining ecosystems, and that these plans are adequately financed, implemented and monitored within all jurisdictions.

Actors involved:

The change initiative was designed/carried out by two participants from the National Environment Management Authority (NEMA).

Timeframe:

The initial change initiative work started and ended in 2018. Follow-up activities supported by EGP continued throughout 2023.

Activities:

The change initiative was designed/carried out during the 12-month duration of the ITP round, starting with a training in Sweden, followed by change initiative work in Kenya, and completed by a regional follow-up seminar. In addition, regional workshops were held in three locations within Kenya, with the aim of capturing the diversity and unique mining challenges with in the country.

The change initiative work overlapped with the implementation of the Environmental Governance Programme (EGP), supported by UNDP and the Swedish Environmental Protection Agency (Naturvårdsverket), and some of the activities took place in that context.

Results:

- The work of the two ITP participants resulted in the development of a draft Environmental Framework for Mine Site Closure. This document was further developed with the support of the EGP, ending with the formalisation of a National Guideline on Mine Site Decommissioning and Rehabilitation. This document was approved by the NEMA board and published in 2023.
- Interviews indicate that the participants obtained new knowledge and skills from participating in the ITP, which enabled them to better prioritise and describe standards for environmental management, and connect these standards with relevant legislation.

Key factors:

The following factors have been identified based on the information presented in ITP annual reports, the deliverables of the change initiative, and interviews with participants and senior managers in NEMA:

- The ITP came at the right time when NEMA had become increasingly concerned about the rise in the number of unlicensed, artisanal miners with little motivation and resources to be compliant with the relevant legislation and requirements.
- The coordination with UNDP was critical, including the technical and financial support from the EGP, without which the framework had probably remained in a draft form. EGP supported several consultations and stakeholder meetings.
- The support from the NEMA leadership was critical for the success of the change initiative according to the participants. NEMA's organisational culture was also identified as a factor, allowing staff some autonomy to prepare proposals and discuss them with stakeholders.

Summary analysis:

- The overall significance of the outcome is rated as medium – the national guidelines developed based on the change initiative deliverable set standards but are not “enforceable” since the guideline is not a legal document.

- The ITP contribution to change is rated as medium to high – although the national guidelines were finalised with support of the EGP the ITP participants prepared the first draft and were also actively involved in the implementation of the EGP.
- The strength of evidence is rated as high – the information was corroborated by external stakeholders (UNDP) and the evaluation team has reviewed both the framework and resulting national guideline.
- Key factors are summarised above. Using the CAPDEV principles, evidence exist of a locally-driven change process and a systemic approach to collaboration (with the EGP). The other principles are not clearly reflected in the change initiative.

Key sources:

- Interviews with ITP participants, NEMA senior managers, ITP programme managers, ITP coaches, UNDP, and the Swedish Environmental Protection Agency.
- ITP annual report 2023.
- Draft Environmental Framework for Mine Site Closure (NEMA).
- National Guideline on Mine Site Decommissioning and Rehabilitation (NEMA), 2023.

Name of change initiative	“Guidelines for mine water and tailings management for small and medium scale mines”
Country	Tanzania

Context:

Tanzania has a growing mining sector that impacts significantly on the environment. The government has initiated legal and institutional reforms to ensure more sustainable development of the mining sector, including through enhanced accountability and local participation in mining operations. A significant challenge is artisanal and small-scale mining (ASM). As conveyed by change initiative documentation, small and medium scale gold miners often engage in improper waste management due to financial constraints, technical expertise, or, simply, lack of awareness of the effects of their practices on environment degradation and water pollution.

Purpose & objectives:

The change initiative aimed at developing guidelines on mine water and tailings management for government staff and actors involved in the extraction and processing of minerals.

Actors involved:

The change initiative was undertaken by ITP participants from the Ministry of Minerals and the National Environment Management Council. Subsequent, related change initiatives also involved the Tanzanian Mining Commission and the Occupational Safety and Health Authority.

Activities:

The change initiative was designed/carried out during the 12-month duration of the ITP round. It involved a review of available information, stakeholders’ consultations, and site visits to small and medium scale mines.

Timeframe:

The initial work on the guidelines was carried out by Tanzania participants of the 2019 ITP round, and has informed and been expanded by several, subsequent change initiatives.

Results:

- Draft guidelines were completed in 2019, aiming at enhancing the understanding and knowledge of best practices, regulations, and procedures related to effectively managing and minimising the impact of mine water and tailings. The guidelines have reportedly been adopted by the Ministry of Minerals.
- Multiple follow-up initiatives carried out by subsequent ITP participants resulted in illustrative drawings/flyers in Swahili to help small-scale miners to understand proper infrastructure arrangements for safe working environments, as well as a training programme (2023) specifically tailored to small-scale miners. At the time of the evaluation, as part of the ongoing ITP round, participants were developing a training-of-trainers module based on the guidelines.
- Interviews indicate that the ITP provided participants valuable insights and new ideas related to sustainable mining practices, particularly in waste management and environmental safety, which were deemed critical in the Tanzanian context. Participants also reported enhanced managerial and communication skills.

Key factors:

The following factors have been identified based on the information presented in ITP annual reports, the deliverables of change initiatives, and interviews with participants:

- The change initiative demonstrated the importance of ensuring the institutional adoption of change project deliverables.
- The ITP and the change initiatives were relevant to the daily work of participants, which allowed them to directly apply the new knowledge and skills gains to their roles.
- Close mentorship by ITP coaches ensured that participants stayed on track with the change initiative work. The combination of mentorship and practical applications also fostered a collaborative environment, encouraging participants to share experiences and learn from each other.
- Collaboration among team members from different organisations posed challenges in executing the change initiatives, particular in terms of coordinating meetings, affecting decision-making.
- Insufficient funds and other resources hindered the execution of change initiatives, making it especially difficult to conduct field work.

Summary analysis:

- The overall significance of the outcome is rated as medium – the guidelines were completed and reportedly adopted by the Ministry of Minerals but resource constraints seem to have affected their use, including the implementation of the training programme that developed by a subsequent cohort.
- The ITP contribution to change is rated as high – the deliverables were all prepared by ITP participants, as verified by the evaluation team.
- The strength of evidence is rated as medium – the evaluation team has not been able to verify that the guidelines have been officially adopted and it was not possible to interview any external stakeholders.
- Key factors are summarised above. Using the CAPDEV principles, evidence exist of a locally-driven change process; a systemic approach to collaboration (as several

government agencies were involved), and; an adaptive and long-term approach. The other two principles are not clearly reflected in the change initiatives.

Key sources:

- Interviews with ITP participants, ITP programme manager, and ITP coaches
- ITP annual report 2023.
- Amalgated Guidelines for Mine Water and Tailings Management for Small and Medium Scale Mines in Tanzania.
- Training Programme on Mine Water and Tailings Management for Small and Medium Scale Mines in Tanzania.

ICBP

Name of change initiative	Reducing public tax through voluntary compliance
Country	Kenya

Context:

Kenya's tax system is centralised. The Kenya Revenue Authority is mandated to assess, collect and account for all revenues in accordance with the country's laws. However, distortion in Kenya's domestic tax debt has made debt recovery inefficient, which has impeded voluntary tax compliance. As recognised by KRA, the allocation of unrealistic targets based on distorted debt data has resulted in unachievable annual targets. It has also led to an increase of the costs for collection when tax officers pursue invalid debts. Moreover, distorted debt data has implied that KRA is unable to provide taxpayers accurate information of their tax status, which has impaired voluntary tax compliance, delayed services, increased the cost of tax compliance, and decreased customer satisfaction.

Purpose & objectives:

The change initiative aimed at identifying solutions that could help addressing KRA's huge and distorted tax debt portfolio, thereby contributing to more efficient debt recovery, encouraging voluntary tax payer compliance, and increasing staff morale.

Actors involved:

The change initiative was designed and (partly) implemented by a team of six KRA officials from various departments who participated in the 2023 cohort of the ICBP. While also having a stake in the identified problem and the issue of voluntary tax compliance more generally, the Kenyan National Treasure (Ministry of Finance) did not participate in the ICBP, despite efforts made by the Swedish Tax Authority.

Timeframe:

The 2023 round of the ICBP started in December 2022 and the work on the change initiative ended in November the same year.

Activities:

The change initiative was designed based on the adjusted PDIA method that was used across the ICBP for all change initiatives. This involved breaking down the problem into causes and identifying entry points and possible solutions (in a step-by-step approach). The participants went through a series of on-line courses, explored the identified problem in a problem framing workshop, and attended two regional workshops (in Sweden and Rwanda). As part of the work on the change initiative, several stakeholders' meetings (with staff of

different KRA departments) were also held. The assigned coach (from the Swedish Tax Authority) provided regular mentoring (on-line) and also visited Kenya once.

Results:

- As described in the final report of the team working on the change initiative, participants identified several learnings, both in relation to PDIA and voluntary tax compliance. These learning were largely confirmed in interviews.
- Through the work on the change initiative the team of participants identified five entry points for addressing the problem, and came up with four recommendations to the KRA on required changes/further work to be done.
- The action taken to address the problem involved a tax amnesty/waiver and the collection/correction of old debt. The tax amnesty resulted in the collection of approximately SEK 1,2 billion in principle taxpayer debts and the reduction of debts relating to interest and penalties by approximately SEK 17 billion by February 2024.

Key factors:

The following factors have been identified based on the country team's report and interviews with the stakeholders of the identified problem, including participants of different cohorts and the "authoriser":

- The non-prescriptive approach (PDIA) used in the ICBP, which enabled the team to articulate the problem and appropriate solutions in a step-by-step manner. The use of PDIA also taught participants a new way of finding solutions that are applicable beyond the change initiative. However, participants noted that the PDIA method had not been passed on in the organisation.
- Working on a dedicate change initiative created an opportunity for deeper and more focused attention to addressing some of the long-standing issues/problems that KRA have been grappling with – that had not taken place before.
- The team work involved with identifying the problems, solutions and recommendations, which was new to the participants and also enabled the team to address root causes of a wider magnitude. As indicated in interviews, KRA staff generally work in departmental silos.
- The ICBP and the change initiative had a focus on 'best fit' rather than 'best practice'. Earlier attempts to replicate solutions from Rwanda had been unsuccessful because of differences in system performance and social norms.
- The passion and motivation of the participants. At the same time, participants noted that the ICBP run side by side with their regular duties, which meant that they could only focus on the change initiative after working hours.
- The lack of involvement by the National Treasury, which limited the potential to address very old debts and, more generally, to promote voluntary tax compliance.
- The short time duration of the change initiative work, which limited the possibilities of implementing recommended solutions in an effective manner. Relatedly, it was noted that lack of resources, both staff and finances, is a significant obstacle to implement the recommendations.
- Leadership support, especially from the "authoriser", who championed the cause/change initiative, and the facilitation of Swedish coaches.

Summary analysis:

- The overall significance of outcomes is rated as medium – the impact of the tax amnesty is notable, but it is not clear to what extent the change initiative will continue to generate benefits since there is no system for passing on knowledge

within the KRA and resources for implementing wider change in line with the recommendations of the team seem to be missing.

- The ICBP contribution to change is rated as medium to high – it is noted that KRA has also earlier used amnesties but the scope of the amnesty realised as part of the change initiative was broader, covering amnesties for all taxes and taxpayers.
- The strength of evidence is rated as high – the evaluation team has corroborated the information on the tax amnesty through on-line research and external documentation.
- Key factors are summarised above. Using the CAPDEV principles, evidence exist of a locally-driven change process, the building of broad competencies for change (PDIA and thematic/technical), and an adaptive and long-term approach. A systemic approach was reflected in the use of PDIA but not evident in terms of collaboration of actors beyond the KRA. There is limited evidence showing understanding of power relations although it is noted that the work on the change initiative included a stakeholder analysis.

Key sources:

- Interviews with participants, change initiative authorisers, other stakeholders within the KRA, ICBP programme manager, and ICBP coaches.
- Kenya country team final report. Programme round 3.
- ICBP annual report 2023. Programme round 3.

Name of change initiative	“Escalating Tax Arrears for State Owned Enterprises and Government”
Country	Zambia

Context:

Although the Zambian government has made efforts to improve revenue collection and fiscal discipline, state-owned enterprises (SOEs) often face challenges in tax compliance due to lack of oversight and compliance. According to the change problem statement in the Zambia country team’s report, tax arrears for the public sector increased by 85 percent between 2016 and 2022. It is noted that SOEs constitute 15 percent of total public institutions, but owed more than half of public debt in 2022. This reduces the overall tax morale, trust in the public sector, and the revenue collected by the government.

Purpose & objectives:

The change initiative aimed at identifying solutions that could help addressing the escalating tax arrears for SOEs and the government.

Actors involved:

The change initiative was designed by a team of Zambian participants from the Zambia Revenue Authority and Ministry of Finance.

Timeframe:

The 2023 round of the ICBP started in December 2022 and the work on the change initiative ended in November the same year.

Activities:

The change initiative was designed based on the adjusted PDIA method that was used across the ICBP for all change initiatives. This involved breaking down the problem into causes

and identifying entry points and possible solutions (in a step-by-step approach). The participants went through a series of on-line courses, explored the identified problem in a problem framing workshop, and attended two regional workshops (in Sweden and Rwanda). As part of the work on the change initiative, the country team analysed data on debt stock, engaged with SOEs (through a questionnaire), and reviewed a draft monitoring framework for state-owned enterprises, among other activities.

Results:

- As described in the final report of the team working on the change initiative, participants identified several learnings, both in relation to PDIA and voluntary tax compliance. These learning were to some extent confirmed in interviews. Interviews also highlighted the contribution of the ICBP to enhancing presentation skills, research skills and teamwork skills.
- Through the work on the change initiative the team of participants identified three entry points for addressing the problem, and came up with four recommendations on required changes/further work to be done. The recommendations were directed to the Cabinet Office, Ministry of Finance, Zambia Revenue Authority, and the Investment Development Corporation.
- The recommendations of the team have not (yet) been implemented. This includes the recommendations a) to include a section on tax compliance in the SOE monitoring policy, which aims to enhance SOE oversight, and b) to create a Public Sector Unit within the Zambia Revenue Authority, intended to give specific services to SOEs.

Key factors:

The following factors have been identified based on the country team's report and interviews with the stakeholders of the identified problem:

- The PDIA allowed for an in-depth understanding of the problem and solutions to be undertaken, and enabled participants to focus on aspects where there was space for change. The focus on practical solutions tailored to local contexts resonated with participants.
- Participants and other stakeholders were engaged in the problem-solving process, which was seen as crucial for building local capacity and increasing the chances for sustainability.
- The change initiative was not fully completed/implemented due to time constraints. Not all planned stakeholder engagements and meetings could be organised, and team members' conflicting work schedules caused difficulties in coordinating regular discussions and progress updates.

Summary analysis:

- The change initiative did not (yet) result in any change that could be assessed. There is a need for more regular follow-up with country teams to ensure that progress is made towards the completion of change initiatives and the implementation of recommendations, and that any challenges faced by the country teams are handled.
- Key factors are summarised above. Using the CAPDEV principles, evidence exist of a locally-driven change process, the building of broad competencies for change (PDIA and thematic/technical), and an adaptive and long-term approach. A systemic approach was reflected in the use of PDIA and the collaboration between the Zambia Revenue Authority and the Ministry of Finance. There is limited evidence showing understanding of power relations although "using power to strengthen trust" was reportedly one of the learning outcomes resulting from the use of PDIA.

Key sources:

- Interviews with participants, ICBP programme manager and ICBP coaches.
- Zambia country team final report. Programme round 3.
- ICBP annual report 2023. Programme round 3.



Evaluation of Sida's International Training Programmes (ITP) as Instruments for Supporting Effective and Inclusive Institutions

The main purpose of the evaluation was to promote learning and inform the continued development of future capacity development programmes (ITP), as well as a general approach to capacity development as a method for supporting effective and inclusive institutions. The objective was to assess the relevance and effectiveness of five ITPs, to identify what works well and less well.

Conclusions: The evaluation concludes that ITP design and methods were generally relevant. All the five ITPs promoted locally driven change, most promoted systemic solutions and a long-term approach, and a majority were adaptive. Less attention was paid to understanding local power relations. Intended outputs were achieved to a great extent although the results of change initiatives were mixed. The most prominent outcome was the forging local partnerships. Key enabling factors included local adaptation, participant engagement, and multi-stakeholder involvement. The key barriers were Covid-19, funding constraints, and lack of leadership buy-in.

Recommendations: The evaluation recommends that ITPs should focus more on organisations, target decision-makers, promote more regional exchange, have longer programme rounds, and that measures should be taken to ensure that change initiatives are completed and learning is passed on. It also recommends to invest in alumni networks, build synergies with other projects, and improve M&E systems.

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