MARCH 2015

Programme Partnership Arrangement Evaluation 2014

A primary research feedback report

Coffey International

Oxfam summary feedback report

1 Introduction

The following feedback report covers the primary research with Oxfam GB as part of the 2014 PPA evaluation. The report provides a short summary of findings from this research period.

Please note that this feedback report is not an evaluation report and is not designed to provide in-depth analysis or an assessment of Oxfam GB's performance. Instead, findings from the report will be used in conjunction with other data sources as part of the Fund level evaluation. No uses of quotes in the Fund level report will be used without Oxfam GB's prior approval, nor will the report be included as a case study or annex in the 2014 PPA Evaluation Report.

We have invited Oxfam to respond to points of accuracy and interpretation from this feedback report as part of good validation practice and our commitment to shared learning and collaborative working.

1.1 Background to the 2014 PPA Evaluation

The 2014 PPA evaluation examines all 41 PPA holders and £360 million of funding over the three years of this round of PPA funding (2011 through April 2014). The 2014 PPA evaluation is a fund-level evaluation that seeks to identify and explain the effects of the PPA portfolio and the added value of strategic funding. This means that the evaluation is focused on identifying and analysing patterns of effects and changes across the fund. This also means that agencies are not being subject to a performance assessment or individual assessment.

The focus of the 2014 PPA evaluation is to better understand the effects and impacts achieved from the current round of PPA funding, particularly understanding how the flexible nature of PPA funding has influenced the type of investment decisions that organisations take and the extent to which these investment decisions are of strategic importance for the organisation, its countries of operation, the sector(s) in which it works, and ultimately how these investment decisions achieve results for intended beneficiaries.

A revised Theory of Change to frame the PPA evaluation was developed in close cooperation with PPA agencies throughout the autumn of 2013 which then informed a revised Evaluation Strategy and Evaluation Framework that was circulated in May 2014. This Evaluation Strategy builds on our lessons learnt from both the 2012 PPA Mid Term Evaluation and the 2013 GPAF Mid Term Evaluation, particularly the additional learning that comes from engaging directly with agencies in an evaluation process that is clear, highly consultative and proportionate.

1.2 Rationale for conducting primary research with a sample of PPA agencies

Our rationale for conducting primary research with a sample of agencies was driven both by the structure of the Evaluation Framework and by our experience of how to work more effectively with agencies. The 2014 Evaluation Framework is designed to track how the investment decisions that agencies have chosen to make and the flexibility to make those decisions adds value to the work of agencies compared to other types of funding. Moreover, the opportunity to meet with agencies enables us to better understand how and why they work the way that they do; how internal and external factors affected strategic decisions processes; and why some decisions were prioritised over others, information that is often not present in the agencies' annual reports. Understanding these variables allow us to trace how certain investment decisions have resulted in changes to capacity and results.

This research and the data and information we collected through discussions with each of the sampled agencies, together with other sources of data, will help us draw conclusions about the performance of the PPA Fund and answer the programme evaluation questions that were set at the beginning. For this reason, our research work with the agencies was focused on understanding how strategic decisions about the use of PPA funding were made across all 12 agencies and the consequences of those decisions.

The sample of 12 agencies was agreed with DFID in December 2013. This sample constitutes 28% of the total number of PPA holders and has been purposively selected to be broadly representative of the range of PPA holders. For more information on the research sample, please see Annex D of the Evaluation Strategy.

1.3 Organisation profile of Oxfam

Oxfam GB's headquarters in is in Oxford, UK, with major regional and countries offices spread throughout the world. Oxfam has a strong historical relationship with DFID which is reflected in Oxfam's status as being one of only nine of the current PPA holders to have held a PPA since the funding programme began in 2003. During the current 2011-2014 PPA grant period, Oxfam GB has received £11.2m of combined General and CHASE PPA funding annually which constitutes approximately 3% of Oxfam GB's total organisational income, and approximately 12% of the unrestricted budget available to its International Division.

Oxfam self-identifies as both a "Tier 1" and "Tier 2" that delivers services directly and also through it partners. Oxfam's multi-sector competence includes a myriad of specialisms across its portfolio of development and humanitarian work. Oxfam GB's annual turnover places it as a "Large" PPA agency (i.e. Turnover £10m) with a dependency on the PPA funding that is now as "low" (Grant <10% of turnover). Oxfam GB held an additional £23.4m of funding from DFID in 2013-2014, of which approximately £15.1m was used for humanitarian response and £8.2m for Oxfam's development work. Oxfam used PPA finding as a strategically flexible contribution towards the organisation's rights-based mandate of alleviating poverty and suffering.

2 Research approach

2.1 Consultation and research process

Our research agenda was tailored to primarily meet the needs of the overall Fund-level evaluation, however we attempted to incorporate the learning priorities of Oxfam to the extent that was possible. At all times we attempted to balance the needs of our research against placing an unfair research burden on Oxfam. A timeline of the consultation and research process is summarised below.

We first held a familiarisation meeting (with the Team Leader dialling in) at Oxfam House on 23 April 2014. This meeting was used to clarify different elements of the proposed research process, establish lines of communication and start outlining a timetable for the development of research plans. We sent a follow up email to Oxfam with summary points from the meeting on 1 May to which Oxfam provided comments on 15 May.

Following the review and analysis of the entire portfolio of 2014 PPA Annual Reports in June, July and August 2014, we shared a list of indicative key points of interest for further research with Oxfam on 29 August. The key points of interest were then discussed through a conference call on 15 September between the research team and Oxfam, the latter who also supplied a document that explained its partnership approach as illustrated by its work with Middle East and Commonwealth of Independent States. A primary research plan was then submitted to Oxfam on 16 September and refined again the following week.

The key primary research period spanned two months based on the availability of different stakeholders. Our joint discussions concerning where many of the investments and changes to capacity took place led us to agree to visit Oxfam UK's headquarters at Oxfam House, Oxford.

The key primary research visits took place on 2 and 3 December 2014 by Dr. Neil Macdonald (PPA Evaluation Team Leader) and Peter Mayers (PPA Evaluation Manager).

2.2 Data sources

Multiple data sources informed our primary research phase with Oxfam. These included interviews and group discussions with individuals at Oxfam, analysis of previous PPA CHASE and General PPA Annual Reports, logframes, the Independent Progress Review from the 2012 Mid Term Evaluation and review of primary and secondary sources materials that were shared by Oxfam. A full list of people consulted and materials reviewed is included in the Annexes in Section 5.

2.3 Strengths and limitations of approach

We found that our research approach satisfied our learning objectives for working with Oxfam. The staff at Oxfam fully cooperated with the research process by granting us open access to personnel and data. Our iterative approach to gathering qualitative data also allowed us to follow emerging lines of inquiry as our understanding of Oxfam GB and the effects of PPA funding improved.

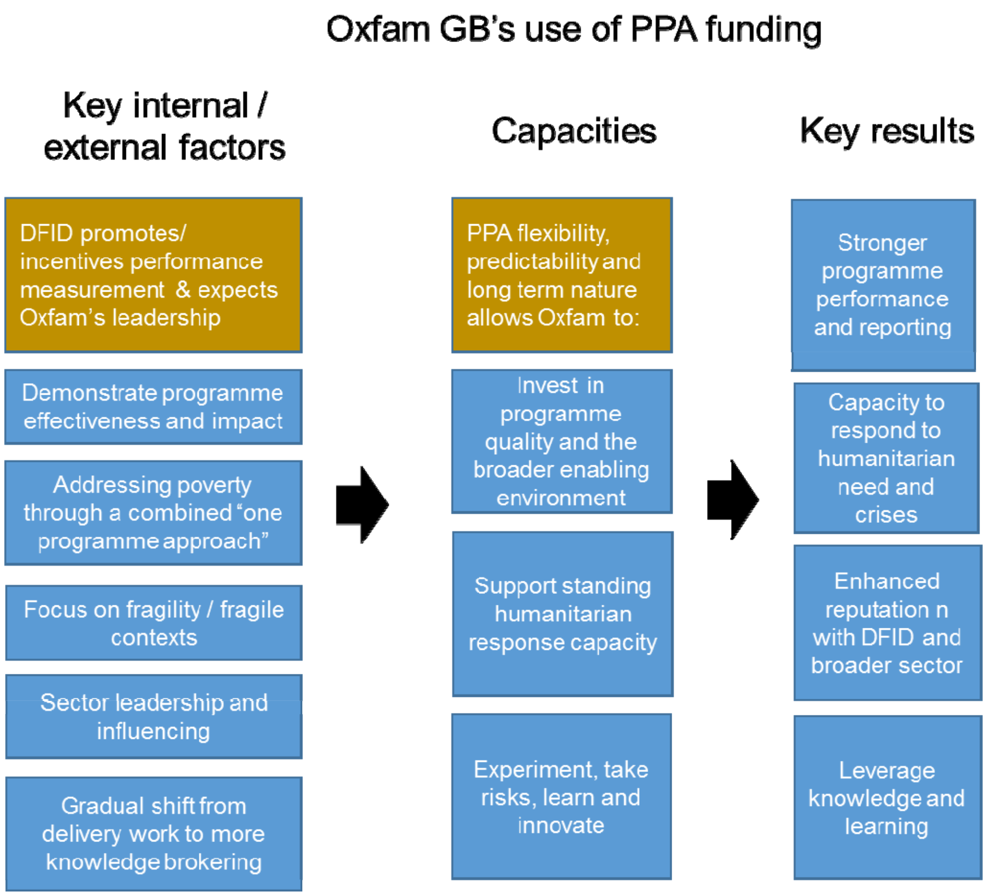
Our research approach did have some limitations. The breadth of Oxfam's work and size made it difficult to delve into some of its more technical work. We also jointly chose to prioritise understanding changes in capacity at the headquarters level (in light of how PPA funding was used) rather than conducting field visits which may have allowed us to see how changes in capacity have led to changes in results. Due to the subjective nature of qualitative data, it was also sometimes difficult to validate or test reliability of data. The data collected from the research visits was, however, used in conjunction with other sources of information, in particular the Annual Reports.

3 Findings

3.1 Use of PPA funding

Oxfam works on a one-programme basis, connecting humanitarian, development and campaigning work. The General PPA has been used to support Oxfam's GB's foundations of enabling environment and programme quality work. PPA is used solely in international funding, though they do a nominal allocation of funds across the thematic areas (recommended by the IPR) to better understand the use of strategic funds. They commissioned ITAD, who did the IPR, to come back and give guidance on thematic allocation and also Value for Money (VFM).

The summary flow diagram below highlights the key factors that informed Oxfam GB's use of PPA funding; the capacities that were enabled through PPA funding; and the key results from PPA funding.



3.2 Strategic decisions

As indicated by diagram 1, Oxfam was strongly driven in its investment decisions by a number of factors which are discussed below:

Focus on fragility and fragile contexts

Oxfam's investment decisions continue to be influenced by its longstanding emphasis on supporting people living in fragile and conflict affected contexts. Oxfam prioritises fragile contexts, because the need is greatest there. Under this, there are a number of themes, such as closing civil society space, resilience and climate change, enterprise development, women's economic empowerment. Though fragile and conflict affected contexts is one of the biggest investments, it is not the only area: another area is how to work in middle income countries.

Improving Oxfam's human resource and intellectual capacity to be effective in fragile environments also aligns with DFID's priorities, though DFID's interests was not identified as a decisive factor in Oxfam's investment decisions. Oxfam explained that having a General and CHASE PPA also influenced its decisions in relation to be able to restrict CHASE funding to specific workstreams. Staff explained that some of the decisions and resulting activities about the use of CHASE funding would not have occurred if Oxfam had not had use of the General PPA.

One programme approach and enabling environment

Oxfam continues to believe that it can do most to tackle poverty though a combined one programme approach; responding to humanitarian needs, supporting development programmes, and addressing the policies and practice that keep people poor. However, it increasingly recognises that in order to achieve the impact it seeks of transformational change at scale requires increased investment in efforts to influence the way others act, whether they be governments, companies, donors or civil society organisations.

Shifting Oxfam GB's delivery approach

Part of the importance of Oxfam GB's investment in supporting the organisation's enabling environment and programme quality is driven by a commitment to strengthen its work as an intermediary, influencer, knowledge broker and capacity builder. Oxfam expects that this work will increase its relevance, legitimacy, value for money and impact.

Oxfam GB is supporting a gradual shift in power in Oxfam from being Northern-led to becoming a global organisation, and is anticipating a future where resources are shared more equitably throughout the Oxfam Confederation, enabling the representation of diverse voices as Oxfam builds and strengthens Southern affiliates into the future (e.g. Oxfam India, Oxfam South Africa, and in the near future Oxfam Mexico and Oxfam Brazil). Oxfam affiliates have committed to work more closely and reduce our duplication and management costs.

The result of this shift to a more networked, de-centralised global structure is the likelihood that Oxfam GB will need to change the way it works and the types of skilled people it employs. In light of Oxfam GB's reputation and body of experience, it follows that Oxfam GB envisions an increasingly significant knowledge brokering and influencing role.

Improve performance reporting

Oxfam set an organisational objective of improving the quality of its evidence and reporting. Specifically, Oxfam wanted to shift from project to programme level reporting under the successive PPAs which has also raised challenges of aggregation and measurability. The pressure to improve performance reporting has come both from an increased internal focus on results and measurability from Senior Management and the Board, and externally from DFID.

Oxfam GB's work around a programme performance measurement and reporting system, the Global Performance Framework (GPF), began during the previous PPA grant and is of particular interest to DFID. Half way through the previous PPA (around 2008) there was a change where DFID pushed for greater focus on results. Oxfam GB responded by producing a first performance framework which tracked the performance of an indicative portfolio of projects, however, the Leadership Team and Board were keen to better capture and communicate organisational effectiveness, and this indicative portfolio approach was not sufficiently representative of Oxfam's wider programming. DFID also pushed for a more numerical output.

To respond to this internal and external pressure, and a recognized need across the sector for greater rigour, Oxfam GB developed the Global Performance Framework (GPF), which is comprised of two key elements. In order to understand the scale and diversity of its work, all Oxfam GB projects are required to report applicable *output* data against seven outcome areas on an annual basis. While not all that Oxfam GB does is captured, it does allow the organisation to paint a compelling picture of many of the critical things the organisation is doing to bring about a world free of poverty, inequality, and injustice. This speaks to what Oxfam GB is delivering. In order to understand and evidence whether all this work is bearing fruit, closing and sufficiently mature projects contributing to five of the seven global outcomes (livelihoods, resilience, women's empowerment, citizen voice, and policy influence) are randomly selected each year and rigorously evaluated.

3.3 Summary of the use of PPA funds by Oxfam

Oxfam treats its General PPA as a contribution to the unrestricted funds of the International Division which adopts a one programme approach to humanitarian, development and influencing programming (as referenced above). Unrestricted funds are allocated at country, regional and global level in accordance with the organisation's international programme planning process. The decision to invest the General PPA as it did is based on the assumption that investing in the organisation's enabling environment will improve programme effectiveness and deliver best quality development outcomes for the people it works with. Oxfam believes that investing the majority of its PPA with other unrestricted funds means that investment decisions can be long-term, adapted for change, and enable the organisation to take risks.

Oxfam's CHASE PPA is invested into four humanitarian policy workstreams, allowing Oxfam to prioritise investment in issues around which there are clearly defined policy questions, but no clear answers or tried and tested approaches. The unrestricted nature of the PPA allowed Oxfam to take flexible, creative approaches to addressing such questions.

Oxfam decisions about the use of the PPA funding (both as part of its unrestricted funds and into specific workstreams) were driven by a range factors:

- Its wider International Programme Planning process.
- How to be more effective in contexts of fragility as aligned with DFID's objectives, and desire to explore approaches to governance and accountability in such contexts;
- The aim to shift emphasis from being operational to one of influencing and brokering knowledge; and
- DFID and internal pressure to complete works from previous PPA of shifting from project-focused to programme focused evidence and reporting.

Oxfam used its PPA grant to address a number of different priorities. Major investments included:

- Hiring technical advisory and PMEAL staff at all levels (General PPA);
- Programme development and planning (General PPA) ;
- Funding proposal design and donor development (General PPA);
- Standing humanitarian capacity (General PPA)
- Catastrophes Fund – the(CAT fund (General PPA)
- Key Countries Initiative contingency planning, covering nine countries where there are predicable recurring emergencies (General PPA)
- Country and regional programming in contexts of fragility (General PPA)
- Southern campaigning work (General PPA)
- Humanitarian Policy Workstreams – Within and Without State (WWS), Contribution to Change (C2C), the Africa Climate Change Resilience Alliance (ACCRA), Arms Trade Treaty (ATT) (CHASE PPA)

The results of these investments were multiple and include:

- Investments are visible in programme quality at all levels (as measured by the GPF), measurement systems and in the capacity of staff to use logic models;
- Enhancing learning, influencing and knowledge brokering capacity,
- Standing humanitarian response capacity both in financial and human resource terms;
- Development of country contingency resource and planning

3.4 Overview of the additionality of the PPA

Our discussions with Oxfam staff revealed a number of additionality effects that are related to the PPA. The key additionality of the PPA is its flexibility, predictability and the long-term nature of the funding that allows Oxfam programmes to respond rapidly, make long-term investment decisions, take risks and adapt, in ways that do not fit conventional log-frames

A summary of what we found were the most notable additionality effects is presented below:

- The PPA helped to prioritize IATI compliance, VfM and Oxfam's programme quality and enabling environment work. Unlike Oxfam's other pots of unrestricted money, the PPA has led to thinking and questioning (such as the programme quality theory of change) due to Oxfam's relationship with DFID and the Learning Groups;
- Linking to the previous point, the programme quality theory of change and PPA logframe has formed the basis for Oxfam's new corporate reporting and decision-making process going forward. For example, Oxfam is committed to maximise Oxfam's use of resources and ensure value for money (VfM). However, data collected to inform PPA reporting highlighted there is still further need to build the understanding and staff capacity to engage with and document value for money considerations. As a result, Oxfam's leadership team have invested in a fixed term position that will be tasked with developing guidance on VfM for programme staff, relating VfM considerations to project design and management, and delivering a number of other functions;[1].
- The Catastrophe (CAT) Fund (funded in part by PPA) of £2m unrestricted allows pre-financing of most humanitarian responses. Ebola is an example of work pre-funded from reserves going on at the same time as Syria and South Sudan response. Oxfam tries to plan on a 3 year horizon (PPA facilitates this), including planning for unplanned emergency responses (which entails an element of risk);
- The GPF has allowed Oxfam to measure hard to measure things (such as women's empowerment or resilience) which would not have happened if they had just been funding individual projects;
- Deepened partnership with DFID on a range of issues, including the GPF and measurement approaches, that supported Oxfam's continued sector leadership;
- Being able to invest in processes (in time and quality of design) and flexibility, especially with regards to Oxfam's humanitarian work. For example, in fragile states, goal posts keep moving so the flexibility of the PPA allows Oxfam to adapt (identifying which bits of the programme could survive and which had to change). This is type of flexibility is difficult to projectize in terms of pre-specified deliverables.
- The CHASE PPA allowed Oxfam to allocate funding to specific areas of work on humanitarian policy which are difficult to fund on a restricted basis. This area of work often requires significant, long-term investment to build effective relationships. For example, Oxfam's work concerning the ATT required stable funding to ensure the team could build lasting relationships with diplomats, and government officials. While the ATT programme did receive some restricted funding from Norway, it wasn't sufficient to deliver the long-term campaign.
- The CHASE PPA has had additional value as Oxfam has used it to engage with CHASE on key issues that typically take longer to plan and or requires longer investment such as the WWS and ATT. As one Oxfam staffer explained, "The added value isn't what we do with it, but the relationships we can have with CHASE and work around the humanitarian policy".

3.5 Changes to capacity resulting from the PPA

We found that we were able largely able to understand how the capacity of Oxfam changed from reviewing their Annual Reports and that most remaining gaps were addressed through discussions with key staff. We found a

[1] This person's work includes: providing guidance on options appraisal and advice on credible measurement approaches; Rolling out a 'train the trainers pack' on VfM to programme staff, incorporating real examples; providing specialist advice on VfM and work directly with programme staff to build staff capacity and help to embed VfM considerations in programmes as proposals are developed and programmes designed, monitored and evaluated; promoting the utilisation of our internal benchmarking approach for organisational and programme decision making

number of instances of changes to capacity resulting from the PPA. A sample of those we deemed especially important are included below:

General PPA

- The development of the GPF (described under 3.2 above) has been a key innovation in the PPA period. With regards to PPA reporting, it allows Oxfam to provide output level data on reach against the PPA logframe (though there are challenges in doing so as discussed in 3.6 below) while reporting the impact of programming across outcome areas.
- The PMEAL team is able to spend more time on developing systems and frameworks rather than trying to measure change and manage the collection of data.
- Increased internal PMEAL capacity (rather than outsourcing it) allows accompaniment, earlier engagement, and including learning from other programmes. This capacity also allows Oxfam to manage risk, identifying weaknesses in Theories of Change (ToC).
    - The Arms Trade Treaty (ATT) campaign illustrated the combined effects of changes to PMEAL capacity with the power of PPA-supported funding continuity. At the beginning of the process, ATT staff were activists and more activity focussed. The PMEAL team helped ATT staff to develop a ToC which, in turn, allowed the team be more flexible and adapt to changes and track results throughout this protracted engagement process.
- Response and Resilience team (63 people) who are permanently deployable (public health. engineers, logisticians, finance people etc.) as part of Oxfam's broader standing humanitarian capacity (to the amount of £300,000 per year);
- Investments in the four Humanitarian Policy Work streams (CHASE funded) has allowed Oxfam to pursue inventions that are in line with its organisational priorities while also responding to DFID's priories. As the IPR notes, when compared with "financing humanitarian emergency interventions, getting support to develop humanitarian policy is considerably more challenging".[2]
- Key Countries Initiative where Oxfam is now able to support nine fragile countries (Ethiopia, DRC, S Sudan, Zimbabwe, Mali, Sierra Leone, Pakistan, Yemen, Haiti). This includes sharing learning from one country to another (e.g. SOPs from Ethiopia to Yemen), working with local partners to build their capacity, creating a fund (supported by the PPA) to support sending advisers free of charge (e.g. putting systems in place in DRC to improve fraud compliance).
    - Increased capacity of response in South Sudan is a relevant example. The KCI facilitated research to understand the capacity of the market to support a voucher system rather than bringing in commodities (which led to charcoal vouchers, milling vouchers and then commodity vouchers)

3.6 Reporting results

The GPF

Members of Oxfam's PMEAL team explained that the PPA emphasis on measurement has been incredibly helpful in furthering the PMEAL agenda. The most significant element of this agenda has been the development and roll out of the GPF. The GPF is comprised of 2 key elements: Global Output Reporting and Effectiveness Reviews (as discussed in Section 3.2), framed around 7 outcome areas. When the GPF was designed it aimed to tackle two distinct but related challenges: how to access credible, reliable feedback on whether interventions are making a meaningful difference in a practical, proportional way; and how to "sum" this information up at an organisational level. Through the GPF, Oxfam GB has invested significant resources and thought in developing practical and proportionate (aka affordable) approaches to measuring hard to measure concepts, such as resilience, women's empowerment and policy influence. Global indicators that would allow the organisation to credibly "sum up" the findings from the effectiveness reviews of these sampled interventions were developed. The GPF has evolved over time. Where accountability was arguably the most prominent driver for the GPF early on, learning at all levels has taken on increasing significance, and this increased priority ascribed to the learning agenda has led Oxfam GB to move from using a fairly standardised approach for the effectiveness reviews under each outcome area, to investing more in tailoring and contextualising evaluations designs to individual interventions. This shift over time from an almost

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[2] "Independent Progress Review of the CHASE Programme Partnership Arrangements between Oxfam GB and DFID. 2012. Page 41. "

exclusive focus on accountability to an agenda that is more concerned with learning has, in effect, meant that the focus on the "sum" has decreased.

While the GPF was put forward as the means of reporting on the PPA, Oxfam realised in the second year of reporting that the timeframe for improvements in outcome indicators as a result of lessons learnt from the effectiveness reviews would happen over a longer timeframe than the expectation of year on year improvements assuming by the logframe. Oxfam sees this is in part a reflection of the limitations of a logframe for considering organisational performance, but also a recognition that capturing and communicating information on delivery and impact left off the intermediate steps that the organisation takes to enable and assure programme quality, which are key elements of Oxfam's PPA Theory of Change. The development of Enabling Environment for Programme Quality (EEPQ) logframe in the third year of the current PPA was in response to this and aims to track the investments that the organisation is making in programme quality and the interim outcomes of this work.

The most notable short coming of the GPF is that it does not allow Oxfam to track performance for the same projects over several years, as the outcome data that populates the GPF is collected from randomly selected projects on an annual basis. Oxfam clarified that randomly selecting them at "the centre" avoids cherry picking and strengthens the representative nature of the sample, helping to avoid "cherry picking" and other selection biases often associated with this type of exercise and thereby arguably gives a more honest picture of effectiveness. And selecting projects as they come to a close has also helped to ensure that they do not enjoy a "spot light" effect, receiving special attention and becoming different or distinct as a result.

Oxfam noted methodological constraints implicit in ex-post evaluations, and sampled projects do not always mesh with the learning priorities at country and regional level. Furthermore, the investment in the GPF has not been accompanied by a concerted investment in the quality of evaluations more broadly, and the next challenge for the organisation will be to extend the technical competence that has been built through the GPF to the broader portfolio of evaluations undertaken by Oxfam GB's projects and programs each year which Oxfam notes as still being of mixed quality.

DFID has also expressed some concerns about how the performance can be reported within the PPA logframe through the GPF, but have been very interested in the idea, and this year will pilot a scheme to enable DFID staff to accompany the field work for effectiveness reviews as part of the professional development of its evaluation cadre.

The GPF and measurability: the logframe issue

Oxfam's General PPA logframe does not work like those of other organisations or traditional project logframes in terms of numerical targets. The organisation had wanted to use the logframe to reflect how the flexible nature of strategic funding enables the organisation to invest in its enabling environment to deliver impact at scale across all its programmes. In retrospect, Oxfam has found that it is implausible to expect to be able to demonstrate impact across all its programmes within a conventional logframe timescale. Oxfam has, however, been successful in making numerous changes to the PPA logframe (for instance, the addition of the EEPQ logframe in Year 3) which helps to distinguish the difference between PPA logframes and less flexible, project-based logframes. This has included the addition of interim outcomes across areas which aim to improve programme quality, such as business processes, responsive and innovative programming and MEAL, and where the organisation expects to be able to demonstrate progress,

Flexible strategic funding and flexible logframe management

The ability of Oxfam to get logframe changes approved has depended on number of factors. It depends partly on the quality of the data and DFID's understanding that Oxfam is trialling something unknown. These changes are further enabled because of Oxfam's strong relationship with DFID and long-term conversations about how its work has evolved. For example, Oxfam is expecting to change its CHASE logframe in January to reflect updated indicators and targets, and will use it this an opportunity to engage DFID in a conversation about humanitarian standards and workstream progress (e.g. ratification targets for the ATT). As one Oxfam staffer put it "Logframes don't work in the context of what we're trying to do, but we recognize that DFID is locked into this so as long as we both understand each other, it works".

3.7 Sustainability of key PPA investments

Overview of the sustainability of the top three investments

Whilst noting that Oxfam treats its PPA as a contribution to its International Division's unrestricted funds, and as such its use is not tracked, the top three Oxfam investments which the organisation has identified with regards to its General PPA are:

- **Humanitarian Standing Capacity** - Given efficiency savings already made by the organisation in this area over 2013/14, and the crucial role of this capacity, if the PPA money was to end, it might be that this investment would continue to the detriment of funding for other initiatives.
- **Working in fragile contexts (at country, regional and global level):** In addition to regular unrestricted budgets in fragile contexts, four country programmes operating in particularly challenging environments have received extra investment since 2011/12 to support programming. Whilst the extra investment might not continue if PPA money was to end, strategically, Oxfam will continue work in fragile contexts and therefore as with Humanitarian Standing Capacity, it might be that overall investment would continue to the detriment of funding for other initiatives. However the internal benchmarking exercise as well as efforts made to increase cost recovery in restricted grants might mean that we see a reduction of central investment.
- **PMEAL (at country, regional and global level) and specifically the GPF:** Oxfam is committed to embedding PMEAL further in its work and as part of this, Oxfam is already exploring use of restricted funding to cover GPF Effectiveness Reviews; this was one of the recommendations coming out of the GPF Review which took place last year. Likewise, recovering costs of PMEAL staff members at country, regional and global level through unrestricted budgets is part of the organisation's broader cost recovery strategy. Therefore if PPA funding was to end, the organisational commitment to PMEAL and the GPF would continue; what might be affected would be investment in new PMEAL initiatives.

Top three Oxfam investments from CHASE PPA:

- **Technical assistance and advocacy around the ATT:** With CHASE PPA funding, Oxfam contributed towards the achievement of a binding ATT in 2013 and provided ongoing assistance to states to ensure that they can effectively implement the treaty. In this way, Oxfam's work on the ATT has contributed towards the establishment of a permanent global public good. While the sustainability of the ATT is inherent in international law, Oxfam has passed leadership of ATT work to the Control Arms Secretariat to ensure the sustainability of the wider coalition work. Therefore if CHASE PPA funding was the end, Control Arms would have less core funding available to leverage additional funds for assistance work.

- **Capacity building and ongoing support to governments and CSOs on climate change adaptation and disaster risk reduction:** Through the ACCRA programme CHASE PPA funds were used to influence legislative frameworks, policies and ways of working in three countries. Joint ACCRA-government pilot initiatives continue to be scaled-up and rolled out by these governments, however the sustainability of this work depends to a large part on political will and ongoing financial and technical support from ACCRA. Given this, if the CHASE PPA funding was to end, the organisational commitment to this workstream would continue, potentially to the detriment of funding for new initiatives.

- **Widespread civil society capacity building in four conflict affected and fragile contexts:** Through the WWS workstream, Oxfam has applied CHASE PPA funds to building CSO organisational capacity in four conflict affected and fragile contexts. As such, this workstream is focused inherently on building the sustainability of local civil society. If the CHASE PPA funding was to end, Oxfam would retain its organisational commitment to working in conflict affected and fragile contexts. What is most likely to be affected is the ability to pilot new approaches and build/scale-up the programme.

Contingency planning for if the PPA were to end

Oxfam GB is considering what a post PPA landscape might look like. This has included reviewing its organisational structure and also finding additional ways to grow its unrestricted funding. Oxfam began a scenario planning exercise in 2013 when it was not clear whether there would be a PPA extension and it examined the possibility of transitions some of its unrestricted investments into more restricted funding. Specifically, Oxfam looked at scaling back its operations in Latin America (which has happened anyway).

Oxfam will start planning and modelling for the end of the PPA. In the next phase of the GPF, Oxfam GB will need to identify ways to extend the technical competence that has been built to the broader portfolio of evaluations undertaken by Oxfam GB's projects and programmes each year - to apply the lessons learnt from ERs to the meaningful implementation of Oxfam's evaluation policy and help achieve more consistent high quality evaluations across Oxfam GB. This will involve defining, more tightly, standards for evaluation quality and setting up processes to enable central monitoring of quality – for example, potentially randomly selecting project level planned/funded evaluations from a central register and offering the technical competencies held by the global team to quality assure these evaluations. .

3.8 Value for Money

Difficulties in framing organisation value for money (VFM)

Oxfam has a commitment to VFM, endorsed by its leadership team, and as a rights-based organisation, it places 'value for whom' at the centre of VFM considerations. We found that for organisations such as Oxfam, one of the primary challenges in developing an organisational VFM framework is that such a framework suggests centralised decision-making processes about what is 'good' value for money. In a large, decentralised organisation such as Oxfam, while there are core values that inform how the organisation works, the decision making process about what is 'good value' sits across different departments and teams with different decision-makers, which is particular difficult to develop a consensus around the more subjective elements of "value" to the point that it becomes measurable.

Oxfam has adopted the VfM learning group's VFM checklist as an organisational management information tool, transforming this into scorecard to track organisational progress and report on this to its leadership team.

Business cases – Oxfam uses business cases to help appraise potential programme options. Oxfam's inclusion of options analysis in these business cases is consistent with good Value for Money practice by presenting different choices to decision makers.

Experiments with different value for money metrics

Oxfam has considered different ways of approaching VFM. Oxfam's investment decisions are not based on cost alone, as it applies a rights-based approach. Instead, Oxfam has developed internal benchmarking of costs using data from its programmes worldwide (something smaller organisations could not do). Oxfam applies a Global Programme Influencing Investment Framework (GPIFF), which has a typology of country models, types of country programmes and history about the ability to leverage additional funding or to influence other. For example, if Oxfam is considering investing in a fragile state, it can interrogate what kind of unrestricted and what kind of restricted funding it could expect to be leveraging. Evidence for influencing comes from Oxfam's own programmes and research and access that Oxfam has to high level policy conversations. In sum, these tools allow Oxfam to consider key variables concerning the potential scale of change, influencing potential and what would need to be invested in terms of core systems and other sunk costs.

Oxfam GB decided not to pursue expensive social return on investment (SROI) research because of the amount of other financial and management information and due to the size and complexity of its portfolio. Oxfam engaged in the PPA benchmarking exercise that was led by Save the Children but concluded that it had limited utility since organisations are structured and deliver in such different ways. Based on learning through these initiatives and the recognised value of bench marked metrics, Oxfam has invested in the development of a database of internal cost metrics against which it can make comparisons for key cost drivers and programme types.

Processes for managing quality – Programme Implementation Plan (PIP) reviews

Oxfam uses a quality check list before programme funding is approved. Staff explained that these PIP health checks are used to help investment decisions both during programme design and programme delivery. There are 12 elements to the PIP checklist[3] scored out of 30 or 36, which cover (1) clarity of programme description; (2) SMART outcomes including gender equity (3) the logic model (4) risk analysis (5) SMART outcome indicators including gender (6) MEAL plan (7) Consultation with stakeholders (8) governance (9) gender analysis (10) funding (11) active management of the PIP.

Adaptive country work

Oxfam has reduced the number of countries in which it works in over time, but it is able to build in longer exit period (up to three years) through use of its PPA funding. The extent to which there is a humanitarian imperative is a key driver of decisions around country offices, which has recently led Oxfam to reopen a programme in Iraq. By contrast, Oxfam had been working in Cote D'Ivoire and then exited once the humanitarian imperative decreased. It may need to fund those decisions from reserves. The CAT fund (funded by PPA) of £2m unrestricted allows pre-financing of most humanitarian responses.

[3] Quality Checklist for a PIP; see also quality checklist – criteria explained

Developing a value for money framework with ITAD

Oxfam has worked with ITAD following the 2012 Independent Progress Review (Better Value for Money framework from ITAD) to increase its measurement approach. This includes examining

- Input-output level costs (e,g, cost of a training against a benchmark);
- Use of options appraisal (e.g for location of a multi-country programme management unit); and
- Effectiveness reviews

Oxfam had initially thought of having a global outcome indicator on VFM to sit within the suite of indicators covered by the GPF effectiveness reviews. The organisation opted not to go for a stand-alone indicator and rather to explore options of incorporating VFM within the existing effectiveness reviews i.e by looking at whether there is a compelling picture of the intended value; this includes incurring greater costs to reach people where the depth of poverty is greater, taking opportunity and risk into account. In line with this, the organisation also made a wider organisational investment to strengthen its VfM capability linking costs and results across the programme cycle and as a key component of its MEL frameworks.

3.9 Achievements concerning the Arms Trade Treaty (ATT)

The PPA helped Oxfam make significant contributions to the ATT. The DFID money allowed Oxfam GB to coordinate the work of other organisations and to exert continuous, long term pressures. PPA funding was also used to attend meetings with large team of experts and mobilise media on a large scale. The flexibility of PPA funding was viewed as particularly important because the ATT team needed to be able to identify and respond to key opportunities as the policy landscape changed, such as quickly engaging with governments or conducting media campaigns (e.g. hiring a Gospel Choir to sing outside delegate entrance to UN). Another PPA agency that was involved in the ATT process corroborated Oxfam's key role.

Evidencing the work of ATT

Oxfam's evidence of its advocacy work has traditionally been collected retrospectively through ex post evaluations. Data has come from interviews, attributed statements email chains, and some text analysis. We examined samples of this evidence relating to Oxfam's contribution to the ATT[4]. There is evidence that Oxfam helped to convene and to shape the debate, as a leading member of the Control Arms coalition. The evaluations of the ATT process were unable to assess Oxfam's precise influence, not least because a number of country delegations (such as the EU) were already favourably inclined to an ATT. Oxfam found that this approach did not necessarily provide the level of evidence that was needed to determine the difference of Oxfam's work. Oxfam is currently applying new ways to proactively gather data, such as soliciting evidence from contacts.

Evidencing advocacy work more generally

A major experiment pioneered by Oxfam through the GPF for use in the evaluation of small n interventions - where there are too few units of assignment to permit tests of statistical significance between treatment and a comparison group – is the use of a qualitative causal inference method known as process tracing. External researchers are contracted to determine the degree to which outcomes have materialised, and the significance of the intervention's contribution to these outcomes in light other possible explanations for change - looking to establish a case "beyond reasonable doubt" of the link between intervention and change, beyond "simple association"[5]

We examined an example of this technique in an evaluation of Oxfam's contribution to the 2012 Congress of the Parties (COP17) of the United Nations Framework Convention on Climate Change in South Africa[6]. It provided evidence that Oxfam made a "notable contribution" to the South African government's leadership on pro-poor adaptation and to the mobilisation of civil society, though evidence of Oxfam's success in lobbying the South African government's management of the COP was more equivocal.

We also reviewed the evaluation of Oxfam's advocacy campaign on Free Universal Health Care in Ghana. By using a process verification approach, the report found that there is strong evidence to suggest that the National Health Insurance Authority changes it methodology for calculating coverage due to the actions of the campaign.

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[4] Owl Research (Aug 2011) Evaluation of Oxfam's Sustainable development and the Arms Trade Treaty project, Annex Three, relating to the 1 April 2009-11 July 2010 period; Chris Stalker and Steve Tibbett (26 Nov 2012) Oxfam International, Arms Trade Treaty / Control Arms Campaign: INDEPENDENT REVIEW

[5] **White and Philips, 2011**

[6] Margaret Jack and Margaret McKenzie (May 2102) Oxfam GB Citizen Voice Outcome Indicator External Evaluation (http://policy-practice.oxfam.org.uk/publications/effectiveness-review-climate-change-advocacy-programme-south-africa-247811)

3.10 Learning and Innovation

Learning and innovation are key features of Oxfam's ethos. One staffer explained that "Our stock currency is around knowledge. Oxfam is a knowledge broker". We examined a number of learning processes and products that Oxfam has explored during this PPA period. A sampled of these are highlighted below:

Innovation in Programme Design and Delivery

It was not immediately clear from the Annual Report why the featured work in Yemen making cash payments through the post office was claimed as innovative. Interviews clarified that this was because Oxfam had, at some risk, worked in a business relationship through a non-traditional partner to achieve scale that could not have been achieved through usual relationships. It challenged the conventional narrative that it was hard to spend money in Yemen at the time due to problems of access due to insecurity.

Research based learning

Oxfam generated research based learning through a number of mechanisms: knowledge platforms (e.g. policy and practice website and gender and development journal), knowledge networking with PLAN, Save the Children and others, and relationships with academics, research institutions and international knowledge hubs (e.g. resilience, violence against women, women's empowerment, and extractive industries).

Oxfam provided us with an example of research-based learning[7], published jointly with IIED and examining policy and advocacy levers for inclusive agricultural investment and market development. Oxfam says this is used to guide decision-making on programme investment. We found, however, that the application of this learning would be difficult since it sits at a high level of analytical abstraction, and seems capable only of providing a general framework.

Learning around resilience

Oxfam's resilience framework has emerged from learning through its programme work and strengthened by the discussions of the Resilience Learning Group . The PPA Learning group was reported as being helpful to debate and clarify understanding of what is meant by resilience in terms of both technical solutions and processes. The diversity of voices engaging in the PPA Learning group was highlighted as important – for example, the inclusion of thinking from WWF has helped to ensure an ecological component was included which other organisations reportedly did not stress.

The resilience framework has been influential on other organisations, including in the development of DFID's BRACED framework[8] and is well referenced a significant contribution to sector thinking[9].

Learning about fragility

The work on governance in situations of fragility has broken new ground, in particular in South Sudan. While it is not new for Oxfam to work in fragile contexts, Oxfam realised it needed to improve its understanding in the area because this is where large number of poor people are and where emergencies occur. Oxfam's stocktake revealed a weakness in joining its humanitarian response to longer-term humanitarian and development work. The PPA allowed the opportunity to experiment – they wanted to see what would happen with different approaches to developing civil society in these contexts – which led to WWS being set up.

Innovation funds

Oxfam is one of a number of organisations that has used PPA unrestricted funding to support innovation funds. Among these are the WASH Innovation Fund and Gender Experimentation Fund. We found relevant examples of incremental innovation resulting from both funds, with the some notable examples of leverage. For example, the Gender Experimentation Fund paid for one project design that cost £5,000 (a gender-based violence sensitising pilot for men and boys), which has now grown into a multi-year, £1.4m programme.

3.11 Partnerships Models

One of Oxfam's main stocks is its relationships. Oxfam continues to work in partnership with other local and international organisations to deliver impact. Oxfam places a lot of focus on strengthening its' partner organisations' capacity, but also managing the risk of those partners' work on behalf of donors, in each case aiming to do this through the strength of the relationships it holds with those organisations. In the case of local organisations, local

[7] BILL VORLEY, LORENZO COTULA, MAN-KWUN CHAN (December 2012) TIPPING THE BALANCE Policies to shape agricultural investments and markets in favour of small-scale farmers
[8] https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/279549/Grantees-resilience.pdf
[9] http://www.gsdrc.org/docs/open/HDQ1045.pdf, http://www.ifpri.org/publication/resilience-programming-among-nongovernmental-organizations, http://www.fsnnetwork.org/sites/default/files/resilience_measurement_background_paper_2.12.2013.docx,

partners that are embedded in the local context may be more able and better positioned to deliver, yet not have the same access to technical expertise or global networks that Oxfam has.

Working with partners to build their capacity is embedded within Oxfam's theory of change that a strong civil society is instrumental in ending poverty. In line with this idea, as referenced in section 3.2 under shifting delivery approach, Oxfam is increasingly looking to a future of managing knowledge and influencing, brokering and facilitating rather than delivering per se and the organisation is exploring new models of partnership arrangements for these relationships which will look different to traditional operational partnership arrangements. Forecasting the future of Oxfam in five years' time, one staffer said that people "Will talk less about Oxfam programmes but programmes we're part of."

4 Suggestions

Our research Oxfam was not a formal evaluation and so it is not appropriate to make recommendations. Through our discussions, we did, however, identify suggestions that may be of benefit to Oxfam. A list of these suggestions is provided below

- Oxfam has invested significantly in the GPF programme quality performance framework. This is a very interesting approach but, as noted earlier in this report it contains weaknesses: it cannot track changes in a programme over time, because Oxfam's evaluation method involves random sampling of programmes. It may be important to Oxfam to plug this gap, by perhaps adding another method of longitudinal tracing of selected programmes.
- Another weakness is that it is difficult to prove the validity of the inference within the PPA Theory of Change that compliance with programme quality measures translates into impact. Oxfam may want to explicitly test this hypothesis through additional research.
- Given that Oxfam's trajectory is moving away from operations and towards more influencing, developing robust methods for evidencing the contribution of this influencing would seem to be of great importance. Though Oxfam has made considerable efforts in this direction, the data we examined suggested that such methods are still producing equivocal data. It may be worth examining methods such as statistical textual comparison between briefs submitted and final policy language, as well as routinely interviewing stakeholders for precise assessment of Oxfam's contribution.
- It was not easy to understand from the Annual Report exactly what Oxfam thought its key learning had been, with whom this learning had been shared, and how it had been applied. It might be useful to Oxfam to provide clearer evidence on these points, as well as clarity on why claimed innovations met the criteria of being new knowledge for the sector and/or application of existing knowledge in new contexts.

5 Annexes

5.1 Outline of research plan

Point of research interest	Profile of stakeholder(s)	Data collection approach
Oxfam's strategic decisions and additionality of PPA.	Senior management staff that are able to explain the internal and external factors that informed Oxfam's overarching strategy, especially in relation to the 10 thematic areas identified from existing organisational strategies.[10] PPA grant management staff who are able to provide an overview of the additionality of PPA funding and how it has affected the organisation. Possible external stakeholders or partners who may also be able to provide evidence on the additionality of PPA funding.	**Approach:** focus group discussions; semi-structured interviews **Contextual factors:** External stakeholders may include respondents based overseas. **Sampling:** Purposive
Oxfam's investment in capacity and the outcomes of this change in capacity.	PPA grant management staff that are able to explain how capacity has changed and with what effects. Possible external stakeholders or partners that are able to provide evidence on the effects of the related changes to capacity.	**Approach:** focus group discussions; semi-structured interviews **Contextual factors:** Some potential changes in capacity may not be observable at the HQ-level. External stakeholders may include respondents based overseas. **Sampling:** Purposive
Oxfam's PPA supported innovations and learning. Oxfam's contributions to the development and sharing of learning on resilience and fragility are of particular interest.	PPA M&E and grant management staff that develop and disseminate innovation and learning products, especially concerning resilience and fragility. Possible external stakeholders or partners that are able to provide evidence on the use/uptake of learning or innovations.	**Approach:** focus group discussions; semi-structured interviews; review of innovation or learning products **Contextual factors:** External stakeholders may include respondents based overseas. **Sampling:** Purposive

[10] The Evaluation Manager recognises that funding was not restricted to any specific project, programme or policy area.

Oxfam's approaches to measuring and reporting Value for Money.	PPA M&E and financial management staff that are able to explain how the respective organisations measure, monitor and report VFM.	**Approach:** focus group discussions; semi-structured interviews; review of systems and M&E data **Contextual factors:** N/A **Sampling:** Purposive
Oxfam's history behind the greater rigour in measurement and reporting, and the growing emphasis on learning over the course of successive PPAs. In particular, understanding how Oxfam evidences advocacy.	PPA grant management staff and M&E staff that are familiar with the evolution of Oxfam's reporting to DFID on the PPA. This includes staff that can explain the processes of organisational change in relation to systems such as the GPF and PMEAL. Reporting and/ or M&E staff that are familiar with Oxfam's approaches to evidencing advocacy and have experience in their application or reporting.	**Approach:** focus group discussions; semi-structured interviews; review of M&E products and reporting policies **Contextual factors:** NA **Sampling:** Purposive
The role of partnership in Oxfam's programmes and the nature of the partnership models.	Staff that have an overview of the value addition of Oxfam's different partnership models and also those who can explain the extent to which these different types of models enable mutual accountability. Possible external stakeholders or partners that are able to provide insights into the Oxfam's working relationship and the value addition of this partnership model.	**Approach:** focus group discussions; semi-structured interviews; review of organisational structure **Contextual factors:** External stakeholders may include respondents based overseas. **Sampling:** Purposive
Oxfam's achievements around the Arms Trade Treaty (CHASE) as an example of a long-term advocacy programme, the nature of influence on investors, and the role played by the consortium with other organisations (including Transparency International and Saferworld).	Internal advocacy staff that contributed to the achievement of the Arms Trade Treaty and have long-term perspective on how this was achievement. Possible external stakeholders or partners that are able to provide insights into the Oxfam's contributions to the achievements around the Arms Trade Treaty,	**Approach:** focus group discussions; semi-structured interviews; review of potential documents **Contextual factors:** Some respondents may no longer be working with Oxfam or may be working in different countries or with different organisations. **Sampling:** Purposive

Oxfam's experimentation with "Darwinian" approaches to funding and programme development (small seed funds and the selection of successful approaches).	Programme and M&E staff that have applied experience with such approaches and can explain: the value of experimentation, how these approaches and their results are monitored, and the types of desired changes/behaviours resulting from these approaches. Specific examples that are observable at the HQ level will be selected for closer observation.	**Approach:** focus group discussions; semi-structured interviews; review of products/documents **Contextual factors:** There are a large number of possible examples to choose from at the HQ level, regional level and country level. To consider only one of these examples in detail will likely not be able to respond to the research question. **Sampling:** Purposively examining a small number of such initiatives in detail, in consultation with Oxfam.
The value of having both a General PPA and CHASE PPA grant.	Senior management and PPA grant management staff that can explain the value addition of separate PPA grants.	**Approach:** focus group discussions; semi-structured interviews **Contextual factors:** N/A **Sampling:** Purposive

5.2 Documents reviewed

Oxfam GB (Jan 2013) Health for All: Towards Free Universal Health Care in Ghana – End of Campaign Evaluation Report

Oxfam GB (Nov 2013) Quick update on MECIS thinking to partnership working group

Quality Checklist for a PIP; see also quality checklist – criteria explained

OI Community of Practice for MEL in Campaigns (October 2012) Monitoring, Evaluating and Learning in Oxfam campaigns; Oxfam GB (undated) Process Tracing: Draft Protocol

Oxfam GB (undated) Process Tracing: draft protocol

Oxfam GB (undated) Quick Introduction to the Gender Experimentation Fund and Final Report

Oxfam GB (May 2012) Great Innovations in Water, Sanitation and Hygiene Promotion (WASH)

Oxfam GB (May 2012) Oxfam GB's Research, Development and Innovation Fund for Water Sanitation and Public Health Promotion, Funding Proposal for the Mariposa Foundation

Oxfam International (undated) OI Strategic Opportunities Fund Guidelines

Oxfam GB (2012) Regional Pot Poject Showcase 2012

Claire Hutchinggs (October 2013) MEL in Campaigns and Policy Advocacy, PowerPoint presentation

Claire Hutchings (2014) Balancing Accountability and Learning: a review of Oxfam GB's global performance framework, Journal of Development Effectiveness, DOI:10.1080/19439342.2014.971552

Luis Artur, Melq Gomes, Sérgio Maló and Saide Anlaue (August 2014) Tracking Adaptation and Measuring Development (TAMD), IIED

Bill Vorley, Lorenzo Cotula, Man-Kwun Chan (December 2012) Tipping the Balance: Policies to shape agricultural investments and markets in favour of small-scale farmers

Oxfam GB (undated) Enabling Environment for Programme Quality (ToC)

Oxfam GB (January 2014) Global Performance Framework Review 2014

2013-2014 PPA Annual Report

2012 Independent Progress Review

2013-2014 PPA logframe

Materials that were reviewed as part of Oxfam's evidencing advocacy work is included in Section 5.4

5.3 People consulted

Caroline Foster (UK Government Partnerships Manager)

Adele Cross (UK Government Partnerships Coordinator)

Jennie Richmond (Deputy Head, International Programmes)

Helen Bushell (Deputy Head of Programme Strategy & Impact) CHASE

Kathleen Parsons (Deputy International Programmes Director (Business Processes)

Elise Montano (Global Programme Officer) (CHASE)

Claire Hutchings (Head of Evaluation & Effectiveness)

Nick Pialek (Head of Development Partnerships)

Nigel Timmins (Deputy Humanitarian Director)

Ulrich Wagner (Senior Humanitarian Coordinator / Key Countries)

Sarah Totterdell (Programme Learning Manager)

Helen Jeans (Agriculture & Natural Resource Use Unit Manager)

Saskia Daggett (ACCRA Programme Coordinator)

Jo Rowlands (Senior Adviser, Governance & Institutional Accountability)

Steph Brigden (Within and Without the State Programme Coordinator)

Tom Donnelly (Fragile States Programme Coordinator)

Dieneke Vanderwijk (Head of Programme Strategy and Impact)

Ruth Rennie (Gender)

Yo Winder (Global Accountability & Partnerships Adviser) (Lead)

Vanessa Rice (Deputy International Programmes Director - Business Processes)

Yusef Salehi (Consortium Legal Adviser)

Martin Butcher (Policy Advisor Arms and Conflict was Oxfam GB until 2014 now Oxfam International)

Zoya Craig, Administrator of Control Arms

Andy Bastable (Head of Water and Sanitation)

Jane Remme (Gender Advisor 2013-2014)

Rosa Garwood (Gender Advisor 2014)

James Whitehead (Global Innovation Adviser)

5.4 Evidencing advocacy

Evidence provided by Oxfam on influence on the ATT process

There is no "smoking gun" that confirms Oxfam's influence on the treaty process and its wording, though there is evidence of congruence between positions adopted and Oxfam's ask. The evaluations of the ATT process were unable to assess Oxfam's precise influence, not least because a number of country delegations (such as the EU) were already favourably inclined to an ATT.

> "*Although difficult to assess Oxfam's precise influence, the fact is that many of Oxfam's priorities from the development perspective are present in the documentation of this period leading up to the PrepComs."*[11]

> "*Oxfam's precise influence cannot be assessed although the development language used largely represents that of Oxfam and governments supportive to its positions."*[12]

> "Oxfam has led the research, legal and policy arguments for ensuring that the "sustainable development" criteria are enshrined in the current Treaty text"[13]

Oxfam's language or statistics were quoted or mirrored by stakeholders that indicates that influencing information is reaching high-level decision makers. Examples include:

- Liberia's president, Dr. Ellen Johnson Sirleaf, address to the ATT Plenary in July 2012 which quotes Oxfam's research on embargoes being circumvented (doesn't explicitly mention Oxfam);
- Hon. Alan Duncan MP, DFID Minister, quoted Oxfam research at an event held at the IISS in May 2012 (doesn't explicitly mention Oxfam; and
- Ban Ki Moon in March 2013 urging adoption of the treaty, noted that "there are common standards for the global trade in armchairs but not the global trade in arms"[14], which may mirror Oxfam's language that the trade in bananas is regulated but not the trade in arms.

There is evidence that Oxfam helped to convene and to shape the debate, as a leading member of the Control Arms coalition.

> 'One key diplomat stated in interview: *"The fact we're sitting here at all (is due to civil society especially Oxfam)"'.*[15]

> Several governments also noted the role of civil society in the process:

- Ban Ki Moon explicitly recognised the role of Control Arms: "*Let me also register my special thanks to the leaders of the Control Arms Coalition as well as all those here today, for your vigorous and invaluable efforts." Ban Ki Moon 4 Jul 2012 on the handover of the* Speak Out petition on the Arms Trade Treaty[16]
- The Australian ambassador at the signing ceremony specifically singled out civil society "States did not do this alone. It is important we recognize the enormous contribution of civil society who have been advocating for this Treaty for many years, who informed our negotiations and who have an important role in the years ahead"[17]
- Similar comments were made by governments of Albania, Brazil, Estonia, Finland and the US[18]
- The ATT Legal Response Network received inquiries from six governments during the July 2012 negotiations, and 11 inquiries during March 2013. Some plaudits provided by Oxfam included:

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[11] Owl RE (Aug 2011) Evaluation of Oxfam's Sustainable development and the Arms Trade Treaty project, Annex Three, relating to the 1 April 2009-11 July 2010 period
[12] Ibid, relating to the 12 July 2010-31 March 2011 period
[13] Ibid p7
[14] http://www.aljazeera.com/news/americas/2013/03/2013318195846784585.html
[15] Chris Stalker and Steve Tibbett (26 Nov 2012) Oxfam International, Arms Trade Treaty / Control Arms Campaign: INDEPENDENT REVIEW (p5)
[16] https://www.oxfam.org.au/2012/07/500000-worldwide-tell-governments-we-need-to-control-arms-now/
[17] http://unoda-web.s3.amazonaws.com/wp-content/uploads/2013/06/20130603_Woolcott_ATT_Signing_Event.pdf
[18] http://unoda-web.s3.amazonaws.com/wp-content/uploads/2013/06/albania.pdf; http://unoda-web.s3.amazonaws.com/wp-content/uploads/2013/06/brazil.pdf; http://unoda-web.s3.amazonaws.com/wp-content/uploads/2013/06/estonia.pdf; http://unoda-web.s3.amazonaws.com/wp-content/uploads/2013/06/finland.pdf; http://unoda-web.s3.amazonaws.com/wp-content/uploads/2013/09/United-States.pdf

- "As Lead Negotiator for the Caribbean Community (CARICOM) on the ATT, I availed myself of the outreach provided by ATT Legal which enabled some officials from CARICOM to benefit from the legal analysis of the entire ATT process. This was important, especially when I was unable to provide such advice due to my heavy schedule." – Diplomat
- "ATT Legal team provided an important service to UN Member States which found an independent and impartial group of experts who provided very valuable legal insights at numerous stages of the ATT negotiating process. Although my delegation did have legal expertise available, it still benefited from the commentary of the ATT Legal team which served at times to clarify any ambiguities or discrepancies in the draft Treaty text which sometimes escaped us." - Diplomat

- There is a correlation in time between the issuing of the Investors' Statement and Egypt dropping its opposition to the commercial aspects of the treaty, according to Oxfam

Evaluation of the work on COP 17

From 28th November to 9th December 2012, South Africa hosted the 17th Congress of the Parties (COP17) of the United Nations Framework Convention on Climate Change (UNFCCC). Oxfam's work had four objectives:

(1) that the South African government expressed strong leadership on pro-poor adaptation
(2) that the South African government ran an inclusive, legitimate Congress of the Parties (COP) that contributes to a fair, ambitious, and legally binding deal, taking particular leadership with progressive voices
(3) that Individuals and civil society in South Africa are mobilised
(4) that African organisations and people speak for themselves, particularly around women's leadership, representation and participation

An evaluation of the work was carried out by Margaret Jack and Margaret McKenzie[19] using the process tracing approach. It concluded

- For objective 1 on South Africa's climate change policy: "Oxfam's Climate Change Advocacy Programme made a notable contribution to the White Paper development process. Oxfam's Climate Change Advocacy Programme was one of many contributors to the White Paper development process. The evidence notes wording on vulnerability of women and on women as primary producers in the White Paper that was attributable to Oxfam and appraisal from an official of the Department of Environmental Affairs that 'that Oxfam's participation was "very strong" and "very vocal in public meetings"' and made 'really good' suggestions though sometimes too detailed, and that Oxfam participated in smaller caucus meetings.
- For objective 2 on lobbying the South African presidency on the management of the COP, which is rated as being partly achieved: "Oxfam's climate change advocacy programme was able to influence the SA COP Presidency. Oxfam's climate change advocacy programme was one of many influences on the SA COP Presidency." The precise nature of the influence is not described. They note that the outcome was poorly stated and therefore hard to assess
- For objective 3 on engagement by civil society: "Oxfam's Climate Change Advocacy Programme made a notable contribution to mobilisation of individuals and civil society. Oxfam's climate change advocacy programme was one of several significant contributors to mobilisation of individuals and civil society. Oxfam contributed to public awareness in the lead up and during COP17. Oxfam was one of a large number of contributors to public awareness in the lead up and during COP17." This was done through financial support, intellectual support, networking support and technical support. It organised media and other events to raise awareness
- For objective 4 on facilitating African voices: "Oxfam was a major supporter of RWA(Rural Women's Assembly) and PACJA (Pan African Climate Justice Alliance). RWA and PACJA would have been active at COP without the support of Oxfam. Oxfam facilitated civil society voices to be heard inside COP. There is little opportunity for civil society voices to be heard inside COP due to its inherent structure"

[19] Margaret Jack and Margaret McKenzie (May 2102) Oxfam GB Citizen Voice Outcome Indicator External Evaluation (http://policy-practice.oxfam.org.uk/publications/effectiveness-review-climate-change-advocacy-programme-south-africa-247811)

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