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EVALUATING THE HEWLETT FOUNDATION'S TRANSPARENCY, PARTICIPATION AND ACCOUNTABILITY STRATEGY AND GRANTMAKING PRACTICE FOR 2015–2020

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2021

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ABOUT THIS REPORT

This report presents the findings, analysis and insights from an evaluation of the William & Flora Hewlett Foundation's transparency, participation and accountability (TPA) strategy for 2015–20. The evaluation was undertaken by Southern Hemisphere with OTT Consulting and partners to inform the Hewlett Foundation's new five-year TPA grantmaking strategy.

The lead evaluator was Nana Davies, Senior Consultant at Southern Hemisphere, a South Africa based consultancy specialising in participatory evaluations of development interventions with a focus on building learning organisations. Nana worked with a team of evaluators from Southern Hemisphere: Cathy Chames, Mark Abrahams, Danielle Lemmons, Brilliant Bhebe, Langton Moyo and Tracey Phillips.

Disclaimer: Although some of the work described in this retrospective summary may reflect the passage of legislation, the Hewlett Foundation does not lobby or earmark its funds for prohibited lobbying activities, as defined in the federal tax laws. The foundation's funding for policy work is limited to permissible forms of support only, such as general operating support grants that grantees can allocate at their discretion and project support grants for non-lobbying activities (e.g., public education and nonpartisan research).

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ACRONYMS AND ABBREVIATIONS

COVID-19   novel coronavirus disease 2019

CSO   civil society organisation

DEI   diversity, equity and inclusion

DRC   Democratic Republic of the Congo

GEG   Gender Equity and Governance program

GESI   gender equality and social inclusion

EU   European Union

LIC   low-income countries

ME(R)L   monitoring, evaluation, (reporting) and learning

NGO   non-governmental organisation

OCDS   Open Contracting Data Standard

OECD   Organisation for Economic Co-operation and Development

RCT   randomised control trial

SDG   Sustainable Development Goal

SMART   specific, measurable, achievable, realistic and timely

TAI   Transparency and Accountability Initiative

TOC   theory of change

TPA   transparency, participation and accountability

Grantee acronyms

ACET   African Center for Economic Transformation

ACODE   Advocates Coalition for Development and Environment

AFIC   Africa Freedom of Information Centre

ARC   Accountability Research Center, American University

ATAF   African Tax Administration Forum

CABRI   Collaborative Africa Budget Reform Initiative

COPASAH   Community of Practitioners for Social Accountability in Health

DG   Development Gateway

EGAP   E-Governance for Accountability and Participation, University of California

EITI	Extractive Industries Transparency Initiative
ERI	EarthRights International
FTC	Financial Transparency Coalition
FOGO	Feminist Open Government
FOWODE	Forum for Women in Democracy
IBP	International Budget Partnership
NRGI	Natural Resource Governance Institute
OCP	Open Contracting Partnership
PASGR	Partnership for African Social and Governance Research
PWYP	Publish What You Pay
SIEPR	Stanford Institute for Economic Policy Research
TAP	Transparency, Accountability, and Participation Network
TISA	The Institute for Social Accountability
TJN-A	Tax Justice Network Africa
UCLA PRG	University of California Project on Resources and Governance
WACSI	West Africa Civil Society Institute
WIN	Water Integrity Network

EXECUTIVE SUMMARY

The William & Flora Hewlett Foundation theorises that, when civil society, citizens and media have access to information and ways of participating with their government, they are able to hold their government to account and that this in turn supports better public service quality. It is this premise that underpins its transparency, participation and accountability (TPA) strategy (2015–20).

This report sets out the findings and insights from an evaluation of the TPA strategy, undertaken by Southern Hemisphere with OTT Consulting and partners. The analysis draws on a document review and 92 semi-structured interviews or group interviews with: staff from the immediate Hewlett TPA team, the Gender Equity and Governance program[1] (GEG) and other areas of the Hewlett Foundation; peer and co-funders; and TPA grantees and grantee stakeholders.

Considerable progress towards strategic goals

Grantees have made considerable progress towards achieving the goals of the four sub-strategies and the immediate outcomes of the Hewlett TPA strategy. There has been considerable uptake of the various knowledge products that have been produced, targeting a wide range of users such as academics, policymakers, grantees and other donors operating in the TPA space. And organised citizens (CSOs) and, to some extent, ordinary citizens, including women and young people, have used evidence and governance channels to constructively engage government. The Hewlett Foundation's flexible funding and strong partners or subgrantees are key enablers for CSO engagement with government.

At the strategy's intermediate outcome level, there is evidence of increased government responsiveness – including policy and legislative reform; and of the adoption and implementation of global norms for open contracting, tax, budget transparency and natural resource management. This was enabled by factors including credible, use-focused evidence and simultaneous, multi-stakeholder engagement at subnational and national level – which are also some of the implied assumptions in the strategy and its sub-strategies. At the strategy's ultimate outcome level, there are small pockets of documented evidence of improved service delivery.

Although grantees working within the budget transparency theme have achieved the greatest number of outcomes in the TPA strategy's theory of change, grantees working in the legal empowerment and service delivery monitoring themes have achieved the most outcomes at intermediate and ultimate level. Grantees (including regional and international grantees)

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1. During the TPA grantmaking strategy 2015-20 period, this was known as the Global Development and Population program.

operating in Senegal and Kenya have made more progress toward the strategic outcomes than in Uganda.

The TPA team's support to grantees

Grantees valued the Hewlett TPA team's 'beyond the grant dollar' support and its organisational support (including through the Organizational Effectiveness Grants). Most grantees noted that the foundation enabled them to make links to other actors and organisations and to build networks – which was also a key part of learning about better governance, what works and how to improve their implementation strategies. The foundation also shared information and knowledge products and facilitated grantees' access to external expertise and consultancy support services. Grantees noted that the foundation enabled access to other funding sources, both directly through connections and indirectly through their association and support, which lent grantees credibility and confidence. Hewlett Foundation programme officers built strong relationships with grantees and provided significant moral support, acting as a 'critical friend' or 'thought partner'. Grantees and co-funders considered this a uniqueness of the Hewlett Foundation TPA team.

Strategic-level MEL still a challenge

The TPA strategy's commitment to learning was evident in numerous activities and outcomes, and in the team's close engagement with grantees as part of its grantmaking practice. The TPA team's convening of and engagement in learning events and communities of practice provided valuable opportunities for staff, grantees and other stakeholders to share their experiences of what's working to advance better governance. A number of grantees took forward the lessons from these events to development their implementation strategies.

The foundation also contributed to improving grantee-level monitoring, evaluation and learning – through informal support, funding of project-level evaluations, connecting grantees to MEL expertise and the use of the Organizational Effectiveness grant.

However, through this evaluation exercise, the evaluation team has learnt that the Hewlett Foundation TPA team struggles to aggregate data to answer whether they progress towards overall strategic goals and outcomes. They rely on an evaluation to take place and hence do not have data on hand. This is despite the careful strategic selection and alignment of grantees to the strategy's goal and outcomes, and the overall success of MEL and reporting at the grantee level. The lack of an effective MEL system to adequately capture outcomes on an ongoing basis and the limited resources (particular in terms of staff time) to support MEL within the Hewlett Foundation TPA team is a missed opportunity for TPA to tell a compelling story the contribution and impact of their grantmaking.

A mixed picture in advancing GESI

The TPA staff built their own capacity in gender and social inclusion (GESI) and has successfully provided Organizational Effectiveness grants (and other grants) to help grantees improve diversity within their organisations. Grantees also credited 'beyond the grant dollar' support and spaces for learning with helping them develop their own GESI knowledge. Improving GESI components in grantees' programmes, however, proved to be more challenging. Certain grantees specifically developed and implemented projects with the aim of ensuring better participation in decision-making by women or by marginalised groups, while for others it was an add-on to their existing projects or approaches. And efforts are still more weighted towards gender and women and girls; only a few grantee programmes targeted other marginalised groups.

Working across multiple actors, themes and levels

The Hewlett Foundation makes grants to grantees at regional, national and international levels, and across multiple themes. In part, this is because of the obvious linkages (tax and budget transparency, for example) but it is also supported by systems thinking and aligns with the foundation's beliefs about how change happens at the national level. The approach grounded in an understanding that, particularly within the context of globalisation, we need to see the bigger picture in order to harness opportunities and effect change.

Many Hewlett TPA grantees aim to work at multiple levels – local, national, regional and/or international – and recognised the foundation's efforts to foster collaboration between and across these different levels as a valuable area of support. Working across multiple levels and themes is challenging but linking regional and international networks and engaging multiple stakeholders at multiple levels were identified as enablers for advancing TPA.

International and regional grantees have been informed by or used evidence from national and subnational partners to facilitate learning or strengthen norms and standards. And national grantees have gained knowledge, collaborative input and strength, and there are examples of learning from international and national grantees. However, more could be done to ground these learnings locally. The global North and South divide is also a key factor: local knowledge, ownership and credibility are enablers for positive outcomes, but systemic inequalities and a lack of trust between global North and South partners were recognised as potential barriers.

The closing civic space

Another barrier – and a risk that the strategy had anticipated – was the shrinking space for civil society, particularly given a trend towards autocratisation. That being said, grantees employed a number of strategies to overcome or mitigate this risk and recognised the inherently sensitive political nature of TPA interventions generally. Many grantees noted the ability to adapt, be flexible and take an 'insider' approach as key to navigating these sensitivities and to making progress in more restrictive contexts.

1 INTRODUCING THE HEWLETT FOUNDATION'S 2015–20 TPA STRATEGY

1.1 The TPA strategy

The Hewlett Foundation established its transparency, participation and accountability (TPA) strategy in 2015. The strategy was based on the framework of the 2007 Gender Equity and Governance program[2] strategy, albeit with a shift towards a greater emphasis on advocating for government to support greater transparency efforts as well as citizen participation.

The strategy's ultimate aim or outcome is for citizens to have improved quality of life supported by improved and high-quality public services. Improved public services rely on increased government responsiveness, and this demands greater transparency, participation and accountability. The Hewlett Foundation theorises that government accountability is enabled by government transparency and citizen participation. When civil society, citizens and media have access to information and ways of participating with their government, then they are able to hold their government to account, which reinforces or supports better public service quality. To advance this ultimate outcome, the foundation supported grantmaking in four immediate outcome areas, referred to in the strategy's theory of change as 'grantmaking areas' (Figure 1).

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2. At the time the strategy was established, this was known as the Global Development and Population program.

Figure 1. Derived theory of change diagram for the Hewlett Foundation's TPA strategy
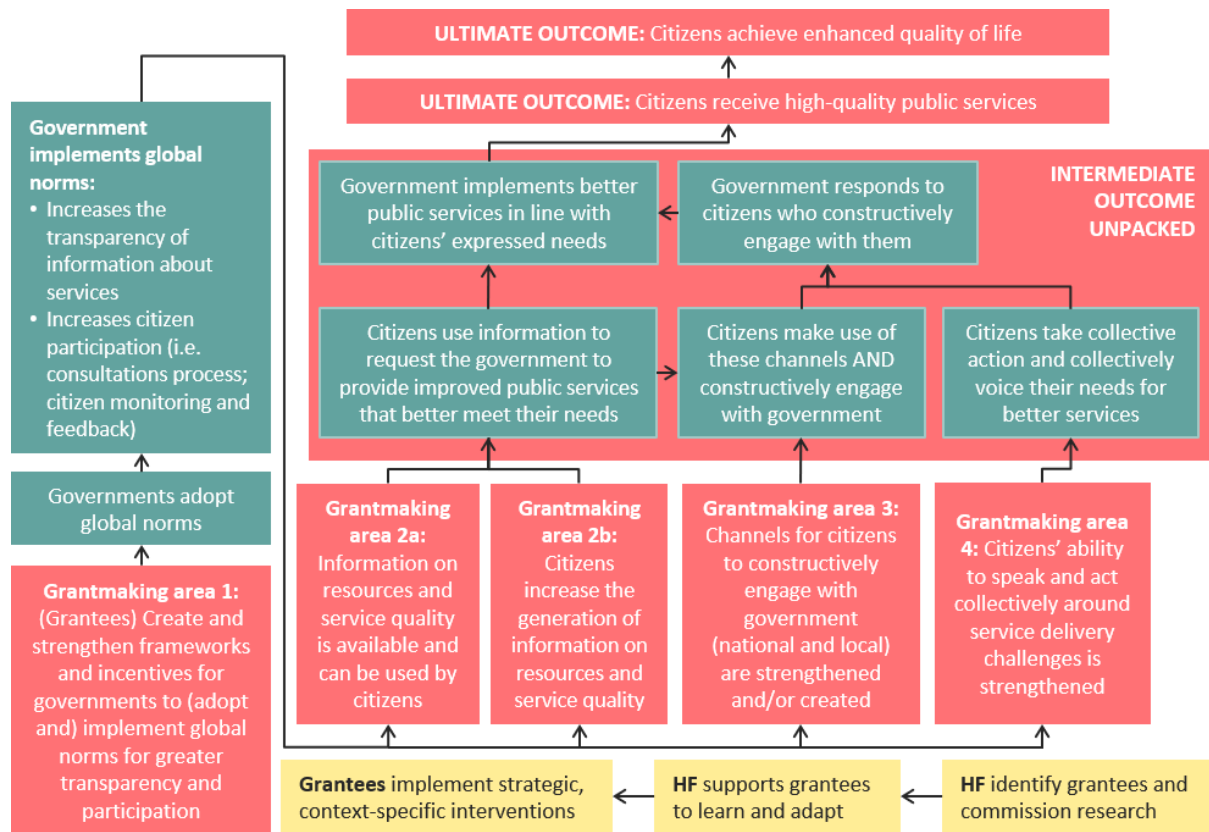
Source: Adapted from ITAD (2017).

1.2   The TPA sub-strategies

In 2016, the foundation organised the portfolio of TPA grantees into four sub-strategies (Table 1). The evaluation team sampled grantees across the four sub-strategies which is expanded on in the following chapter on the evaluation methodology and approach.

Table 1. Hewlett Foundation TPA sub-strategies and their objectives

Fiscal governance	Governance channels
(1) To promote effective country-level implementation of international norms, standards, and processes as well as national policies that foster greater government transparency and responsiveness. (2) To create and reinforce an environment that minimizes the outflow of tax revenues and enhances integrity in public financial management.	To support research, innovation and advocacy that strengthen the effectiveness and inclusiveness of new and existing channels for citizens, media and civil society to help governments improve the delivery of public services.
Service delivery monitoring	**Field learning**
To contribute to a more equitable and better-quality services in health, education, water and sanitation, especially for women, girls, lower income groups, and other marginalised sectors of society.	To support learning that advocates, practitioners, and policymakers can use to increase transparency, participation, and accountability between governments and their citizens to improve the delivery of public services like water, health, and education.

2 METHODOLOGY AND APPROACH

2.1 Approach: 'inside-out' and 'outside-in'

The Hewlett Foundation's 2015–20 TPA strategy sought to influence highly complex change processes, and its team has disbursed diverse grants over the strategy period – more than 370 grants to 107 grantees in 10 countries across 14 TPA themes[3] between 2014 and 2020 (project inception report: OTT Consulting, unpublished 2020). We therefore began by using the TPA strategy's theory of change, created by ITAD (Figure 1), and traced the intended changes forward through output, outcome and impact levels.

The evaluation team supplemented this 'inside-out' approach with an 'outside-in' approach (Figure 2). This involved engaging those outside the Hewlett Foundation and within its spheres of influence and concern (i.e. grantees and stakeholders) in order to establish what changes or outcomes have occurred (or not), where or among who, and then working backwards to determine what factors contributed to these changes, including what role TPA grants (and 'beyond the dollar support') played in creating the conditions for outcomes to emerge (or not).

Taking this dual approach enabled us to:

- interview the Hewlett Foundation and grantees/stakeholders in parallel, to incorporate a diversity of perspectives;
- capture not only intended outcomes but also those that were unintended and unwanted, as well as areas in which the Hewlett Foundation's TPA team and strategy has intervened but where outcomes have not emerged or are yet to emerge; and
- make a robust assessment of what contribution the foundation's TPA strategy has made to creating the conditions for outcomes to emerge (or not) in the TPA field over the past five years.

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3. Public contracting/procurement; Tax; Extractives; Budget transparency/advocacy; Learning/research; Service delivery monitoring and advocacy; Multi-strategy; Legal empowerment; International aid; Civic tech and open data; Media; Participatory budgeting; Co-creation; and QDEC.

Figure 2. Combined 'inside-out' and 'outside-in' approach to the evaluation's stakeholder engagement

Engaging stakeholders in the Foundation's **sphere of influence and concern** to ask what has changed (if anything). Then working backwards to determine what factors contributed to these changes, including the strategy.

OUTSIDE-IN APPROACH

SPHERE OF CONTROL
The Hewlett Foundation

SPHERE OF INFLUENCE
Grantees, partners and co-funders

SPHERE OF CONCERN
Grantee stakeholders, e.g. beneficiaries, policymakers, government officials, other experts and organisations

INSIDE-OUT APPROACH

Engaging stakeholders in the Foundation's **sphere of control and influence** to ask what change a project or program intended to bring about, and the extent to which they think it has contributed to change.

2.2 Evaluation process and sensemaking

During the evaluation's inception phase, key evaluation questions were finalised in collaboration with the Hewlett Foundation TPA team and then organised by spheres of concern, influence and control. There were 24 sets of questions (with a total of 44 sub-questions), 6 of them referring broadly to the foundation's sphere of concern, 11 referring to the sphere of influence and 7 to the sphere of control (see also section 2.3). These questions were further grouped into 'must-know' questions and 'nice-to-know' questions, which informed the proportion of time spent on answering those questions.

Figure 3. Overview of the evaluation methodology and sensemaking process

EVALUATION METHODOLOGY AND STAKEHOLDER ENGAGMENT OVERVIEW		
DATA COLLECTION AND ANALYSIS	SENSE-MAKING	SHARING FINDINGS
Blog: evaluation scope and questions (grantees, external)	Draft evaluation report (foundation, Dalberg)	Final report (foundation, Dalberg)
Document review	Sense-making meeting(s) (Sphere of control: foundation, Dalberg)	Non-linear digital report (foundation, grantees, external)
Interviews (foundation, grantees, external)	Sense-making meeting(s) (Sphere of influence: grantees)	
Digital meetup (grantees)		
Emerging findings meeting(s) (foundation, Dalberg)		

Notes: HF = Hewlett Foundation.

All evaluation questions were explored using a combination of a document review and 92 semi-structured interviews or group interviews with stakeholders from across the Hewlett Foundation's main stakeholder groups between November and December 2020. Interviewees included: staff from the immediate Hewlett TPA team, the GEG program and other Hewlett staff; peer and co-funders; grantees and grantee stakeholders (section 2.3; Table 2).

The document review was used to draw out and analyse existing content provided by the Hewlett Foundation and its grantees. The evaluation team coded documents against the evaluation questions using Nvivo, a qualitative data analysis tool, and used this review both as a data source for the overall evaluation and to inform and prepare the evaluation team ahead of grantee interviews.

There is no standard definition of what constitutes evidence in qualitative research or evaluation. However, one of the key components is that findings need to be triangulated. Triangulation refers to the use of multiple methods or data sources in qualitative research to develop a comprehensive understanding of phenomena (Patton, 2002). It has also been viewed as a qualitative research strategy to test validity through the convergence of information from different sources, which increases the confidence in the findings.

We sought to validate all evaluation findings, cross-referencing against documentation and checking statements or claims with external stakeholders – including parliamentarians and

other decision makers. These triangulated and validated findings form the basis of our analysis and the discussion in this report. Where we were less certain about a statement or claim but felt it valuable to include, we have made this clear.

A draft report formed the basis of the sensemaking phase of the evaluation. During this phase the evaluation team engaged the TPA team and other Hewlett Foundation staff as well as grantees to help shape the final evaluation report including filling critical information gaps. This report is the final evaluation report.

Table 2. Evaluation interviewees by spheres of influence

Sphere of influence	Main stakeholder group	No. of interviews		%
		Estimated	Achieved	
Control	TPA, GEG and other Hewlett staff	12	13	108
Influence	Grantees	40	39	98
	National (Kenya, Senegal, Uganda) (9)			
	Regional (11)			
	International (20)			
	Funders	8	10	125
Concern	Grantees' stakeholders (e.g. policymakers, journalists, civil society practitioners, academics and business people – identified by grantees and POs at the national, regional and/or international level) as well as implementing partners of international and regional grantees	40	30	75
TOTAL		100	92	92

2.3 Identifying interviewees

During the project inception phase OTT Consulting, Southern Hemisphere and the Hewlett Foundation's TPA team explored different ways to construct a sample of grantees to interview. We divided grantees into three groups: international, regional and national. At the national level, we selected grantees from Kenya, Senegal and Uganda to provide a mix of contexts (Francophone versus Anglophone, East versus West Africa, competitive democracies versus

more authoritarian-leaning political systems) and because they had not been the subject of a stand-alone evaluation.

At the regional and international levels, we selected grantees whose work fell under the nine themes identified by the Hewlett TPA team as a priority for analysis. These were: budget transparency; service delivery monitoring, field learning; legal empowerment; media; natural resource governance (or extractives); procurement reform (or open contracting); tax; and multi-theme (grants working across more than one area). We prioritised grantees who had focused on gender equality and social inclusion (GESI). To choose between the international grantees operating in the field learning theme and across multiple themes, we selected those who had been given the largest grant amounts.

2.4 Evaluation questions

We organised the evaluation questions according to these spheres of influence:

- Questions explored within the Hewlett TPA team's **sphere of control** concern the foundation's grantmaking practices. These are things that the foundation has the power to change — for example, how it makes decisions; how it monitors, evaluates and learns; or how it coordinates and collaborates with others.

- The **sphere of influence** focuses on grantees and co-funders. Evaluation questions looked at the role of these stakeholders in creating change and how the TPA strategy has supported them.[4]

- The **sphere of concern** reflects the social, political environment in which the Hewlett Foundation's TPA team is operating. The foundation cannot control this environment but may aspire to indirectly influence it via its grantmaking, convening and communications. Evaluation questions here focus on whether the strategy achieved its intended outcomes; external factors that enabled or hindered progress; and whether assumptions and risks materialised.[5]

Adapted from OTT Consulting, 'TPA strategy evaluation questions — invitation to comment' published on the Hewlett Foundation TPA team blog platform, 9 October 2020

2.5 Limitations

Although the number of interviews with grantees' stakeholders did not reach the intended sample, the evaluation team believes that the quality of data that emerged from the interviews and the document review provide sufficient evidence to support our analysis and findings. The

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4.   Scan questions explore funding and strategic trends within the strategy's focus countries.
5.   Scan questions look at whether/how the nature of the problem has changed.

evaluation team did not try to be comprehensive in assessing all possible grantee outcomes. Instead, we left it to grantees to identify their core outcomes and focused on verifying these with external stakeholders.

Although we asked grantees how outcomes differed for different groups (based on gender, class, age and ethnic groups), the analysis of the responses could only be grouped as how did grantees contributed to advancing gender equity and social inclusion (GESI) in the governance space.

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3 OUTCOMES AND IMPACT

BOX 1. Key findings at a glance

Findings from the interviews and document review show that the 39 sampled grantees have made considerable progress towards achieving the intended goals of the four TPA sub-strategies. And when these results are held up against the broader TPA strategy there is evidence that an enabling environment for TPA has been created.

The nine grantees under the learning sub-strategy have produced good quality research, evidence and learning about what works in the TPA sector and have shared these via regional and international networks. The 19 grantees in the fiscal transparency sub-strategy have strengthened government capacity to adhere to international norms and standards for open contracting, budget transparency, tax and natural resources governance. There is also evidence that grantees operating in the governance channel (4 grantees), service delivery monitoring (2) and multi-strategy (5) spaces have created or strengthened channels for citizens to engage government.

Organised citizens (CSOs) and, to some extent, ordinary citizens – including women and young people – have used this evidence and these channels to constructively engage government. The Hewlett Foundation's flexible funding and strong partners or sub-grantees are key enablers for CSO engagement with government.

At the strategy's intermediate outcome level, there is evidence of increased government responsiveness – including policy and legislative reform; and of the adoption and implementation of global norms for open contracting, tax, open budgeting and natural resource governance. Finally, at the strategy's ultimate outcome level, there are small pockets of documented evidence of improved service delivery, mostly in the areas of legal empowerment and service delivery monitoring.

This section deals with several evaluation questions including:

1. What progress has been made (or not) towards the Hewlett TPA strategy's intended goals, outcomes and implementation markers?

2. What contribution did grantees make to alleviating governance issues, with the Hewlett Foundation's support?

3. How did the nature of outcomes vary across thematic areas and sub-strategies?

We have analysed the outcomes achieved according to the Hewlett TPA strategy, the four sub-strategies and the nine thematic areas using the theory of change produced by ITAD during the formative strategy evaluation. We sought to validate all the findings presented in this outcomes

section through document review and discussion with external stakeholders. Many of these stakeholders are unlikely to have a vested interest in confirming any untrue claims, so we consider this evaluation of outcomes to be sound.

GESI focus

In this section we draw particular focus to **outcomes that contributed to advancing gender equity and social inclusion (GESI) in the governance space**.

It should be kept in mind that certain grantees **specifically developed and implemented projects** with the aim of ensuring better participation in decision-making by women or by marginalised groups, for others it was an add-on to their existing projects or approaches. It was deliberately decided to include gender considerations into the extractive sector and hence there are more examples here than in other themes. Likewise, legal empowerment is by its nature about empowering people who are marginalised and therefore there are more examples of different outcomes here.

Overall, GESI outcomes mainly pertained to gender; outcomes relating to age, class, ethnicity and disability (among others) were limited.

We provide separate discussions of the Hewlett TPA team's approach to GESI more generally, and in the context of knowledge and learning, later in this report.


3.1 Overview of progress towards the TPA strategy's intended goals and outcomes

In Figure 4, we map the total number of achieved outcomes, per theme, according to the theory of change. The 39 sampled grantees have made considerable progress towards achieving the intended goals of the four TPA sub-strategies. At the strategy's intermediate outcome level, there is evidence of increased government responsiveness – including policy reform; and of the adoption and implementation of global norms for open contracting, tax, budget transparency and natural resource governance. At the strategy's ultimate outcome level, there are small pockets of documented evidence of improved service delivery, mostly in the areas of legal empowerment and service delivery monitoring.[6]

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6. There is no evidence that these changes have contributed towards citizens receiving high-quality public services leading to better development outcomes; however, the Hewlett Foundation's Outcome-Focused Philanthropy (OFP) does not anticipate that the TPA team would be able to measure ultimate outcomes within a four to five-year strategy period.

Figure 4. Mapping evaluation outcomes to the TPA theory of change
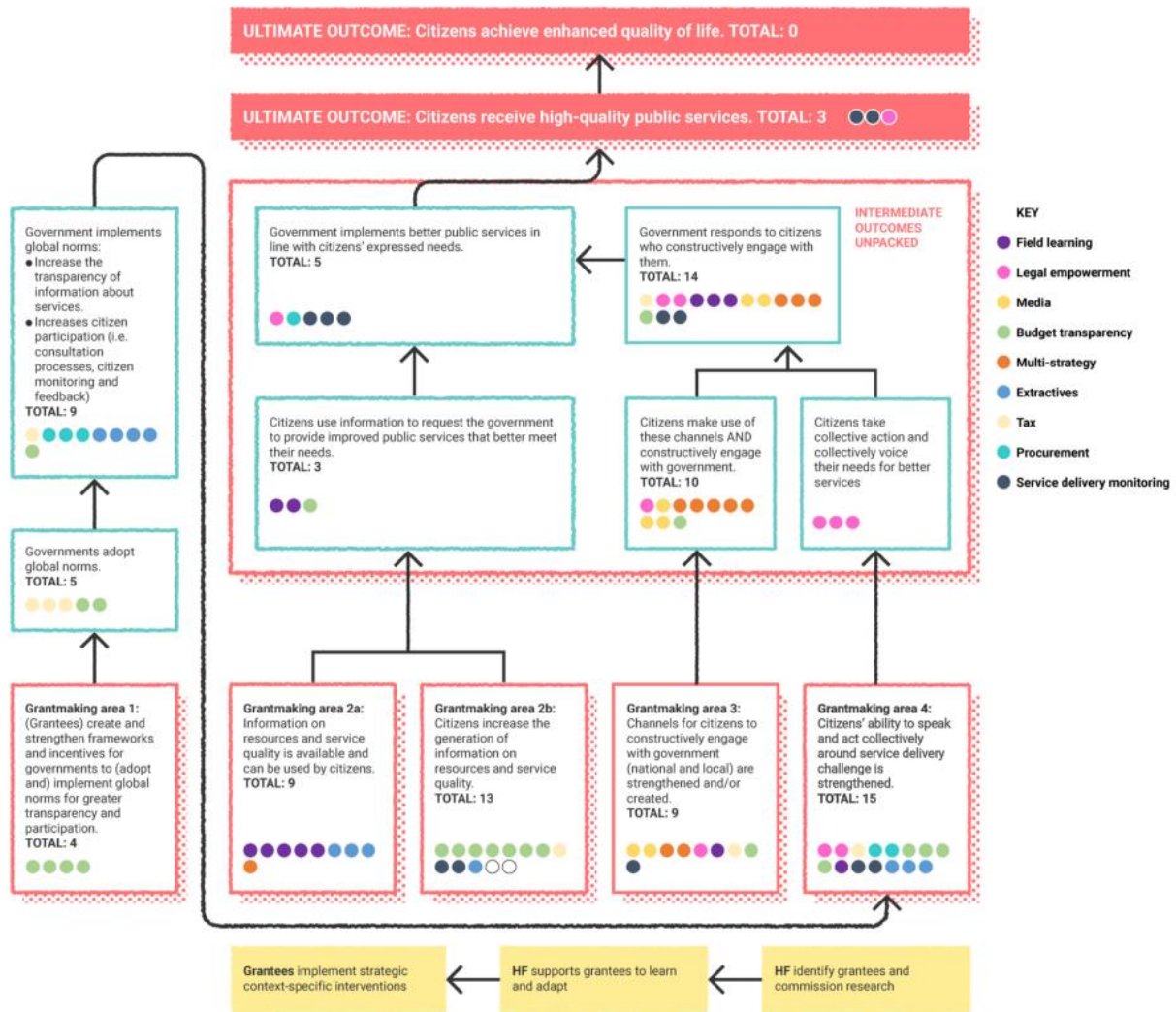
3.1.1 Which themes have seen the greatest success?

To assess which themes are most successful we looked at: the total number of outcomes achieved per thematic area; and the extent to which they achieved intermediate and ultimate outcome levels.

Number/proportion of outcomes

A total of 101 outcomes were documented across all nine thematic areas.

Budget transparency achieved 16 out of 101 outcomes and is therefore the most successful thematic area in terms of number of outcomes achieved. This is followed by tax, achieving 13; and extractives/natural resources and multi-strategy, each achieving 12 of the 101 outcomes.

Field learning, legal empowerment and service delivery monitoring were slightly less successful, each achieving 10 of the 101 outcomes. The least successful thematic areas in terms of number of outcomes achieved are procurement/open contracting and media, which achieved 8 and 7 out of the 101 outcomes, respectively.

Reaching intermediate and ultimate outcome level

Of the 101 outcomes documented across all nine thematic areas, 44 of these were achieved at the intermediate level and 3 at the ultimate outcome level.

Figure 5. Proportion of outcomes at immediate, intermediate and ultimate level, by theme
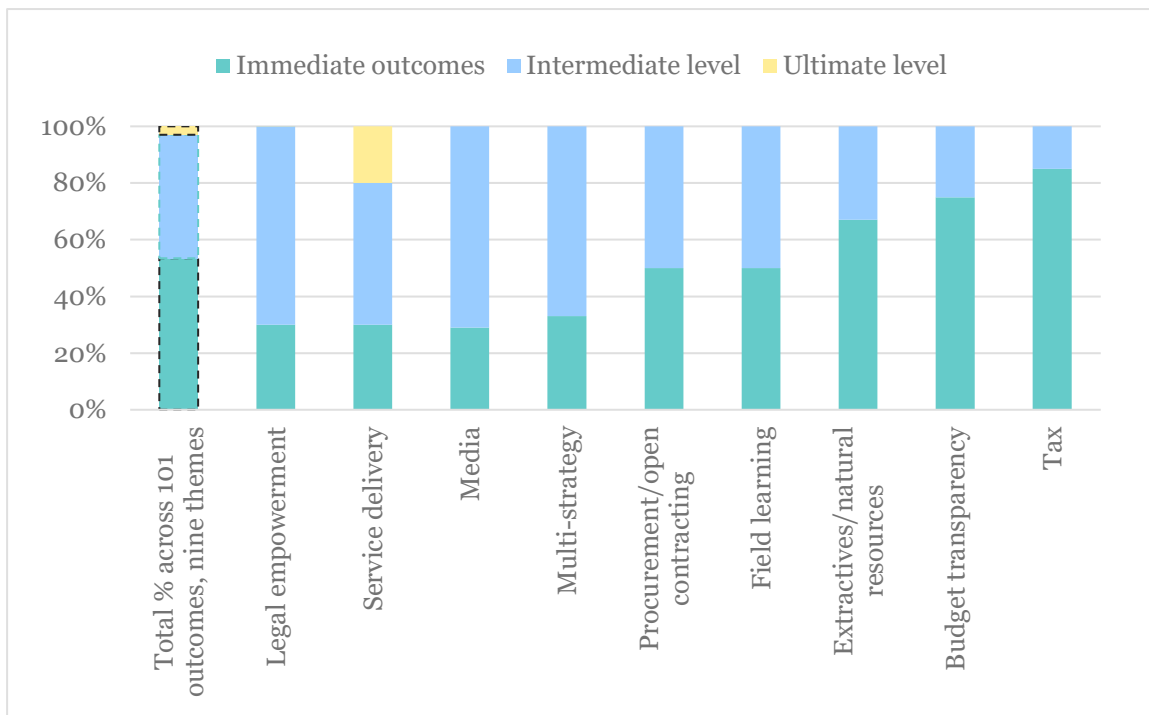
Legal empowerment was the most successful thematic area with 80% of its outcomes reaching intermediate (7/10) and ultimate outcome levels (1/10). This is closely followed by service delivery monitoring with 70% of its outcomes reaching intermediate (5/10) and ultimate outcome levels (2/10).

Although the media and multi-strategy thematic areas were also successful in reaching 71% and 67% of outcomes at intermediate level respectively, neither had outcomes reaching the ultimate outcome level.

Both procurement/open contracting and field learning were slightly less successful as half (50%) of their outcomes reached the intermediate level.

Finally, extractives/natural resources and budget transparency reached 33% and 25% of outcomes at intermediate level respectively while tax was the least successful with 15% of the outcomes reaching intermediate level.

Section 3.2 provides a deeper analysis of outcomes achieved according to sub-strategies and themes.

3.1.2 Which spatial focus (international, regional, national) has seen the most success?

To assess which spatial level was most successful we looked at the total number of outcomes achieved per level (international, regional, national) and the extent to which each level achieved intermediate and ultimate outcome levels.

Number/proportion of outcomes

Over half of the outcomes (53 out of 101) were achieved at the international level; whilst just over a quarter (27 out of 101) were achieved at national level and the remaining 21 achieved at regional level.

Reaching intermediate and ultimate outcome levels

International level was the most successful spatial level with over half (52%) of its outcomes reaching intermediate (25/53) and ultimate outcome levels (2/53).

National level followed closely with just under half (46%) of its outcomes reaching intermediate (11/27) and ultimate outcome levels (1/27).

Finally, at the regional level, 38% of outcomes reached intermediate level (8/21) with none reaching ultimate outcome level.

Figure 6. Proportion of immediate, intermediate and ultimate outcomes, by spatial focus
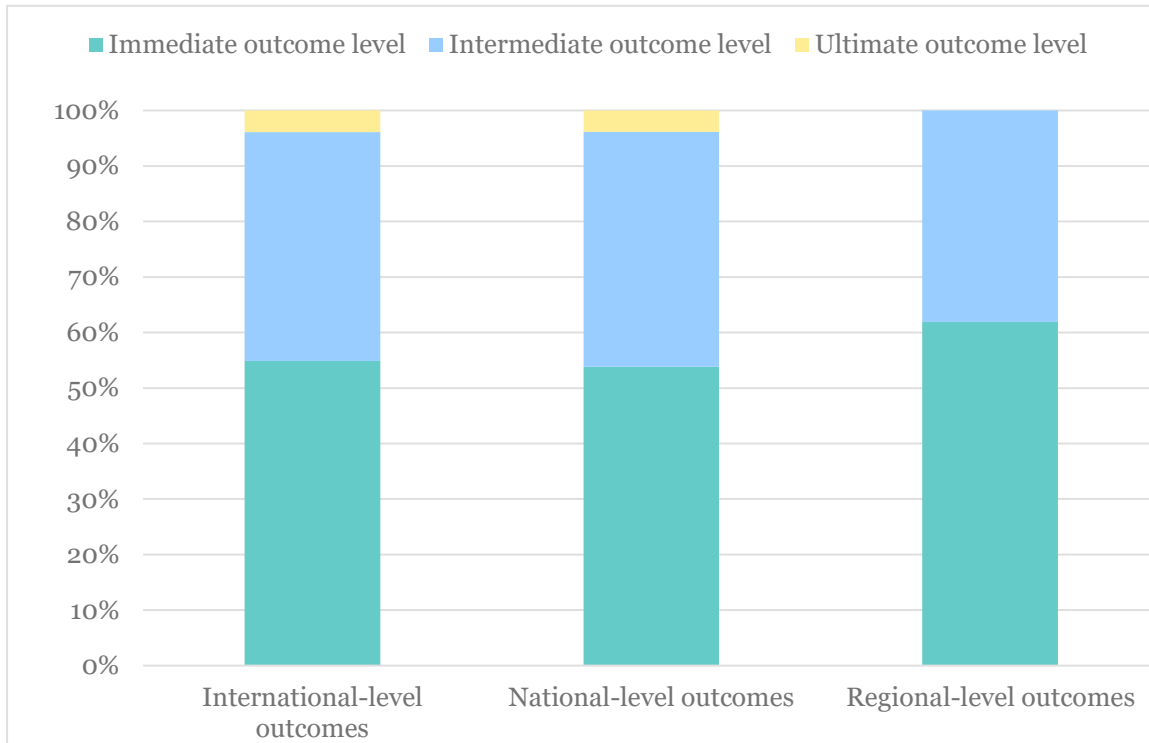
3.1.3 In which country has the Hewlett Foundation TPA strategy made the most progress toward its stated outcomes?

To answer the above question, we looked at the number of unique outcomes per country for Senegal, Uganda and Kenya. Here we included national level outcomes and both international and regional level outcomes where these grantees operated in those countries, e.g. WIEGO.

Number/proportion of outcomes

A total of 56 outcomes have been achieved across the three countries.

Figure 7. Share of total outcomes, by focal country
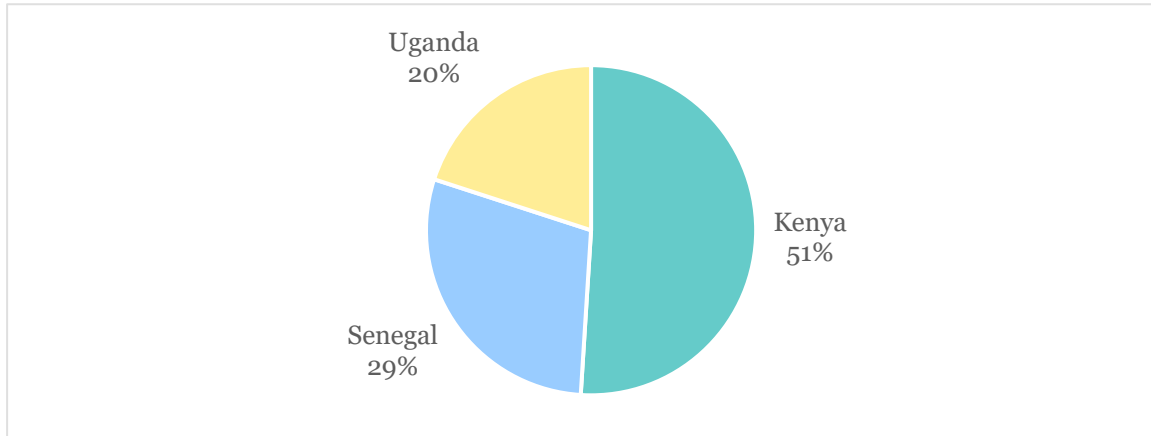
If we measure success as number of outcomes per grantees, then grantees operating in Senegal and Kenya have made more progress toward the strategic outcomes than in Uganda (Senegal: 2.67; Kenya: 2.64; and Uganda: 2.20).

Figure 8. Total grantees versus total number of outcomes, by focal country
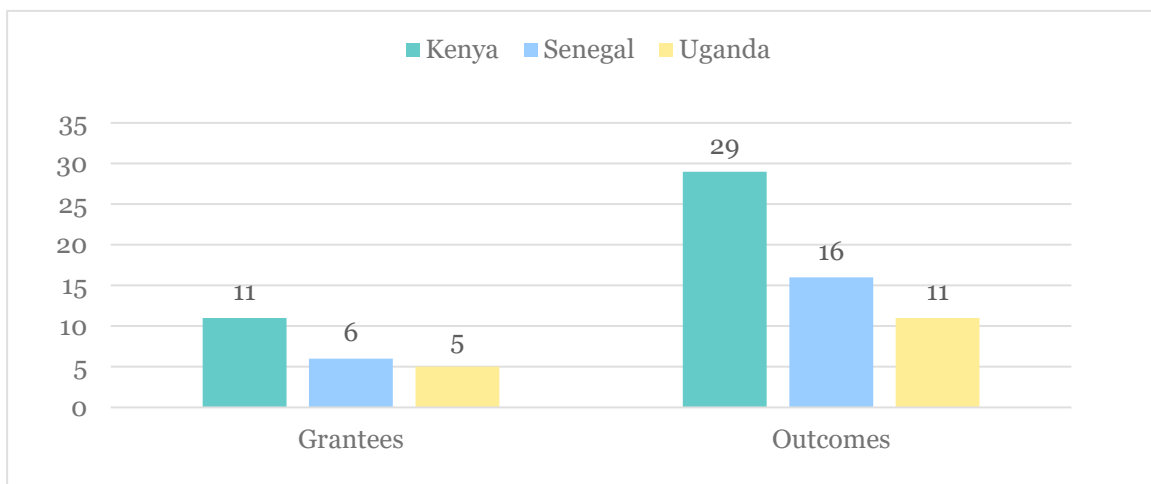
3.1.4 Which activities have been most and least effective, and why?

Determining from the outcome data which activities have been most and least effective is difficult. This is because grantees are working within different country contexts and on different thematic areas, each requiring its own particular set of activities to achieve the strategy goals and outcomes.

For example, grantees working in the fiscal transparency sector have been most effective when their activities focus on working directly with government officials – building their capacity and putting systems and structures in place to inform policy and implementation. Meanwhile, grantees working in the field learning sector have been most effective when they combine research with capacity building of researchers and decision makers and facilitating peer learning and collaboration among researchers, practitioners and policymakers to promote evidence uptake.

Despite the difficulty in determining which activities are most and least effective, four key findings around effectiveness of activities have emerged from the interviews with TPA staff and a review of the outcomes presented in the previous section.

First, grantees implementing **a combination of activities** appear to be most effective at achieving change. This is confirmed by the outcomes analysis, which found that of all the sampled grantees across all of the thematic areas are implementing a range of activities and strategies along the policy influence continuum. These typically include a combination of two or more of the following activities: research and evidence production; technical support, capacity building and empowerment of CSOs or citizen groups, particularly around how to understand and use research and evidence; network and coalition building; convening spaces for peer-to-peer support and collaboration at national or regional level; coordinated policy advocacy. This finding is aligned with similar findings in the scan of the global TPA field, which stipulates that the most successful organisations do not rely on only one strategy but instead deploy a mixture of strategies (OTT, unpublished January 2021).

Second, grantees working **both upstream** with policymakers or decision makers (policy advocacy or engagement with policymakers) **and downstream** at community level (citizen engagement), **and then linking the two**, are most effective.

> *The most effective grantees are those that are good at bridging the gap and connecting local level community engagement – spurring demand at local level – and maintaining strong relationships with national government officials. They are also combining their activities with research. (Hewlett Foundation TPA staff member)*

One illustrative example extracted from section 3, on outcomes and impact, includes ACODE (Uganda) combining relationship building with Ministry of Finance upstream and citizen mobilisation at community level to influence more timely disbursement of funding for district level service delivery. In a similar example, CICODEV (Senegal) works simultaneously at community level to educate citizens around universal healthcare and facilitating increased enrolment in health insurance (MEFS), while also leading advocacy activities at national level leading to an increase in the national health budget.

Section 3.7 on enabling and inhibiting factors provides insights into the costs and benefits of this approach and also the importance of having strong, well-connected partners or sub-grantees on the ground as an enabler for government to adopt reforms.

Third, if grantee activities include **creating links with regional or international networks** then this strengthens the enabling environment in which they operate, helps to share lessons and strengthens their visibility. We explore this in section 4.2.

Finally, at national level, **forging links with the media** was also mentioned as a particularly effective tactic which helps to broaden the reach across the general public with consistent messaging.

> *IBP stands out as an anchor grantee being successful and similar to ACODE in that they have spanned local, to national to international engagement [sic], which is effective and [have] been able to support local communities to have specific asks, but strong international and national policy level ability to engage. (Hewlett Foundation TPA staff member)*

3.1.5 Extent to which the work of international and regional organisations supported by the Hewlett Foundation has been informed by, or is relevant/useful to, national organisations

This evaluation question encompasses two scenarios: national-level organisations informing the work of international and regional organisations; and the work of international and regional organisations being relevant to national-level organisations. Some grantees suggest that this should operate as a feedback loop – the work for an international organisation should connect to those working at a national or subnational level, which should feedback and inform international or regional partners and their work.

The outcomes section of this report (section 3) shows that regional and international organisations are learning from or using evidence from national or subnational partners to inform new approaches to influencing policy and shaping international norms and standards. However, there are distinct power dynamics in this creation, sharing and use of information, knowledge and expertise do exist.

3.2 Deep dive: outcomes by sub-strategy

3.2.1 Field learning sub-strategy

TPA learning sub-strategy (2017) goal:

To support learning that advocates, practitioners, and policymakers can use to increase transparency, participation, and accountability between governments and their citizens to improve the delivery of public services like water, health, and education. We're especially interested in learning from those we often hear from the least: research organizations based in the Global South, the perspectives of women and minorities, and researchers from non-English speaking regions.

In this section, we evaluate the progress made under the TPA field learning sub-strategy specifically, by field learning grantees. However, it is important to note that knowledge and learning are of central importance to the Hewlett Foundation's wider TPA strategy and grantmaking practice.

Most grantees across all the TPA themes have undertaken activities and demonstrate outcomes related to knowledge production and use. Given the overall progress made towards the strategy's intended outcomes (see section 3), this is unsurprising; to do good advocacy, you need good evidence and shared understanding to build coalitions.[7]

Under the field learning sub-strategy, the foundation supported research and learning organisations whose work contributes to one or more of the following:

- Production and validation of actionable knowledge around issues that are relevant to the transparency, participation and accountability field.
- Dissemination, deliberation, debate and reflection of emerging evidence.
- Implementation, iteration and ongoing experimentation that leads to the production of more knowledge.

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7.   See for example http://peersforprogress.org/resource-guide/key-components-of-effective-advocacy/

The Hewlett TPA team committed to commissioning research to find out specifically how *women* experience TPA mechanisms, how they are included or excluded, the extent to which they are able to express their views and feel heard, and whether they are fully engaged in decision-making (see **box** at end of section).

Grantees sampled: American University Accountability Research Center (ARC); Community of Practitioners for Social Accountability in Health COPASAH; E-Governance for Accountability and Participation, University of California (EGAP); MIT GOV-LAB; Stanford Institute for Economic Policy Research (SIEPR); University of California Project on Resources and Governance (UCLA PRG); West Africa Civil Society Institute (WACSI); Partnership for African Social and Governance Research (PASGR); and Global Integrity.

The activities and strategies implemented by the nine field-learning grantees can be categorised into two broad areas: (1) academic institutions in the global North partnering with CSOs and/or policymakers in the global South to conduct action research or randomised control trials (MIT GOV-LAB, UCLA PRG, SIEPR, ARC, EGAP); (2) helping organisations to improve their adaptive learning (Global Integrity); and (3) regional or global networks facilitating policy and action research, peer learning and reflection, collaboration and training in the health, water and governance sectors (WACSI, COPASAH and PASGR).

Evidence from the interviews and document review suggests that these activities contribute to three immediate changes. The first is the **generation of new knowledge and evidence of *what works* around social accountability and governance**. For example, UCLA PRG's research contributes to improved understanding among practitioners and policymakers of the efficacy of natural resource governance interventions in lower- and middle-income countries; and the 26 partner organisations supported by ARC have improved understanding of more strategic approaches to public accountability. As a result, some partners in Bangladesh, Colombia, Guatemala and the Philippines have strengthened the approach to their interventions described in funding proposals and have received funding from large donors such as IDRC.

The second immediate change is **strengthened researcher capacity around research methods and evidence use.** For example, EGAP's work with researchers 'makes sure the research is practitioner-ready', thus bridging the gap between researchers and decision makers (external stakeholder, field learning).

The third change is **expanded networks and communities of practice to facilitate peer-to-peer learning and collaboration around research and emerging good governance practices.** For example, ARC, PRG and PASGR share findings among their research partners and more broadly with policymakers via forums, conferences and policy events; EGAP's global network of researchers, policymakers and CSOs has expanded significantly to 237 members across 30 countries; and COPASAH's platform includes 42

organisations from 17 countries (English and French) who collaborate and share lessons and promising practices.

These changes have contributed to the **intermediate outcome** of practitioners and advocates using the evidence and new approaches to inform their policy and programme influencing activities at subnational, national and international level. For example, connections and engagement on the WACSI platform resulted in Naymote Partners for Democratic Development in Liberia developing a tracking tool to complement IMANI Africa's IMANIFESTO (Ghana) framework, which analyses the ruling party's actions on their manifesto pledges and the impact this is having on citizens (external stakeholder, field learning). Meanwhile, PRG's study on due diligence is used by practitioners across the globe and in conversations with the Organisation for Economic Co-operation and Development (OECD) and other actors interested in applying findings more broadly and replicating the study in similar contexts. An external stakeholder confirmed that membership to these platforms is contributing towards resilience among governance practitioners in the region, who now have the knowledge and tools to hold governments to account. Similarly, anti-corruption research published by Global Integrity has also helped inform organisations' implementation strategies.

> *Some of the work that has been done by Global Integrity as well as their published anti-corruption research has been helpful for people like us. It has enabled us to review some of approaches to our work using the resources that they have shared over the years and this has been really useful for us. (External stakeholder)*

Finally, interviews with external stakeholders confirmed that these outcomes have contributed to **shaping policy content and influencing government decision-making in some countries**. MIT GOV-LAB and the Institute for Governance Reform worked with the government of Sierra Leone to conduct rapid-response surveys to address COVID-19. Early results shared with the government were taken up by the Presidential Taskforce on COVID-19, and the results of this survey were used in combination with other evidence across government and from partners to design Sierra Leone's lockdown framework.

> *GOV-LAB played a critical role to help us narrow down vital questions so that we could gather health and household information at that time – they gave updates to the National COVID Response Centre and provided a lot of guidance to DSTI and country response as a whole. This support will move beyond the pandemic. (External stakeholder)*

The National Mining Authority in Sierra Leone confirmed that PRG's work to develop a matrix for Mining Compliance Officers is being used to monitor accountability and transparency in the sector. As a result, applications for artisanal mining licences have increased and there is greater demand from government officials for good quality evidence. And, in Tanzania, PASGR's

subgrantees used their research to inform their advocacy around underfinancing in the water sector and influenced the legal regulator, leading to a 30% increase in budget allocation.

An external stakeholder confirmed that ARC has influenced the research agenda and strategies or approaches to TPA by key players in the field:

> *A lot of their [ARC's] work has influenced the agenda via thought pieces which show up at [the] World Bank and IMF. They are changing practice towards having citizens at the centre for these overseeing bodies. (External stakeholder)*

The findings confirm that these nine grantees have made good progress towards the intended goal of the learning sub-strategy as advocates, practitioners and policymakers have used learning, research and evidence to increase transparency, participation, and accountability between governments and their citizens in attempts to improve public services like in water and health.

GESI focus: Fostering knowledge on gender

- TPA collaborated with various co-funders and partners in TAI and Open Governance Partnership fields and shared in the production of commissioned research focusing on gender transformation; social accountability; diversity and inclusion.
- In commenting on the research priorities of EGAP, one interviewee felt that although the gender focus was important, it was less of a focus in the funding of research that had a mission to provide better evidence for government policies.

When held up against the TPA strategy, progress has reached *intermediate outcome level,* because there has been an increase in government responsiveness to citizen demands. As already noted, the Hewlett Foundation's Outcome Focused Philanthropy does not anticipate being able to measure the ultimate outcome within a four to five-year strategy period. However, the evaluation team did assess the extent to which there has been some progress towards citizens receive high-quality public services leading to better development outcomes. In this regard, there is still limited evidence of progress towards achieving this goal within the field learning sub-strategy.

> **GESI focus:** **Contributions to advancing GESI in the governance space**
>
> - Generating good evidence and sharing lessons on the inclusion of women in the management of water and their inclusion in leadership positions for health management committees, and practical ways to ensure their participation in decision-making at local level (PASGR, SIEPR).
> - Ensuring research, regional learning events, training, workshops include diversity in selection of research topics and participant selection (WACSI, EGAP, COPASAH).
> - Studies conducted by UCLA PRG gather evidence around the effects of the extractives industry on the world's poorest, most marginalised communities and identify what works in terms of amplifying their voices. This includes for example, studies into small-scale artisanal mining in Sierra Leone; conflict minerals in the DRC; and impact of mercury pollution from artisanal gold mining on health of community members.

3.2.2 Governance channels sub-strategy

TPA governance channels sub-strategy (2018) goal and overall TPA strategy grantmaking area 4: To support research, innovation and advocacy that strengthen the effectiveness and inclusiveness of new and existing channels for citizens, media and civil society to help governments improve the delivery of public services.

This sub-strategy covers two thematic areas – legal empowerment and media.

Legal empowerment

Grantees sampled (both international): Namati; and Women in Informal Employment: Globalizing and Organizing (WIEGO)

We categorise the activities undertaken by both grantees into four broad areas: (1) capacity building and empowerment of citizen groups; (2) conducting research, data or evidence to support the claim; (3) building or strengthening channels through which citizens can engage with government on, e.g., remedy for violation; and (4) advocating or even litigating for changes in policy.

There is evidence from the interviews and the document review that these activities contribute to two immediate outcomes. The first outcome is **organising and strengthening the capacities of citizens to speak and act collectively around service delivery challenges**. For example, in Mozambique Namati has trained women in how to address

barriers with health officials to enable access to healthcare services. The majority of cases were resolved. In Senegal and Ghana, WIEGO has built democratic organisation of informal waste collectors. In Senegal, they have established a women waste collector committee and trained waste collectors on how to engage in dialogue and negotiation with government:

> *Before [WIEGO] came to Senegal the informal sector was a ghetto and voiceless. They have helped to look at streets as a workplace where they can help redefine laws together with informal workers. (External stakeholder)*

The second outcome is **creating or strengthening channels for citizens to constructively engage with government**. For example, WIEGO has supported efforts to ensure waste collectors in Dakar are on the monitoring committee for dump closures (to ensure that workers' concerns are taken seriously); and, in Mexico City, it has facilitated collaboration between waste pickers and the Ministry of Environment.

These changes have contributed to partner organisations **using case work and evidence to advocate for changes in policy, law and practices, or even to undertake litigation. In turn, this has led to governments improving public services in line with citizens' expressed needs.** For example, through a lawsuit in Kenya, Namati managed to postpone an ID digital system until it would be more inclusive of the country's marginalised groups (like the Nubians, who have for a long time been excluded from claiming their civic rights). In Accra, Ghana, as a result of WIEGO bringing informal workers and local government together, municipal authorities lifted the toll for informal traders at the market, provided childcare facilities at *kraal* markets and have committed to adopting childcare guidelines for markets.

GESI focus: Contributions to advancing GESI in the governance space

- In Mozambique, women have been trained to address barriers to access healthcare services with health officials. The majority of cases were resolved (Namati).
- Postponed the introduction of a digital ID system in Kenya until it would be more inclusive of marginalised groups like the Nubians (Namati).
- Built democratic organisation of informal women waste collectors in Senegal (women waste collector committee established in Dakar) (WIEGO).
- In Accra, inclusion of childcare facilities at kraal/markets and commitment by local government to have childcare guidelines for markets (WIEGO).

In conclusion, the two grantees have contributed to the sub-strategy goal of strengthening the effectiveness and inclusiveness of new and existing channels for citizens and civil society to help governments improve the delivery of public services. There is even a small pocket of evidence that they have contributed towards the Hewlett TPA strategy's intermediate outcome **of increasing government responsiveness so that public services better meet the needs of citizens**.

Media

Grantees sampled: Uganda Radio Network (URN) and Shujaaz (Well Told Story)

The activities undertaken by the two media grantees can be described broadly as: (1) training of 50 community radio stations in how to produce and disseminate investigative content on reproductive health and primary education (URN); and (2) running multi-media campaigns to involve youth in governance (Shujaaz, Well Told Story).

The immediate change is that **grantees have created and strengthened an enabling environment for citizens and young people to constructively engage with government**. This is based on evidence from interviews and document review, which includes: URN has broadcast 4,160 radio programmes across 50 radio stations in different regions in Uganda and held 27 community dialogue meetings with a focus on bringing together political, civil service, religious and cultural leaders to address the views of ordinary people (URN narrative report, 2020). Similarly, Shujaaz's Mic Yetu ('Your Say') events have created a space in which young people can engage with local leaders, voice their problems and priority issues, and share solutions.

The intermediate outcomes are twofold. First, **citizens and young people make use of these channels and information provided by the media to constructively engage with government**. For example, in Kenya, after nine years of Shujaaz being in operation, 50% of the youth population aged 15–24 (5.1 million young people) engage with the Shujaaz brand. After three years in Tanzania, Shujaaz is reaching 23% of the youth population (2.1 million young people) and is growing fast (Well Told Story, 2018 cross-sectional survey). During the COVID-19 pandemic, Shujaaz's virtual Mic Yetu meet-ups on Facebook and Zoom connected young Kenyans with their local and community leaders or national leaders to explore how county governments are responding to the pandemic. The virtual Mic Yetus on Facebook **reached 47,736** users, with **2,123 users engaging** directly in the conversations (Well Told Story, progress report, 2020).

> *They are breaking barriers to speak about issues that are taboo – relationships, sexual relations and political involvement – celebrities are involved and now you have politicians as well who act as role models.*
> *(External stakeholder, media)*

Secondly, evidence from interviews and document review suggests that **governments are responding to citizens who engage with them via radio and media channels**. In Uganda, some radio stations (East FM in Tororo and Kisoro FM) have fostered working relations with local health and education professionals and policymakers. For example, URN and partners facilitated 13 community dialogues meetings between citizens and local political leaders where citizens asked questions and voice their concerns, and in another example teachers and District Health Officials participated in radio shows to promote health and education related knowledge and answer questions from citizens (URN proposal, 2020).

The external stakeholder confirmed that, as a result of these activities, citizens are now receiving reliable and useful information; have improved awareness of health and education related issues; and, in some instances, this has resulted in behaviour change. For example, some parents have increased their participation in children's education, and more parents are accessing education grants for their children. At the same time, the interviewee confirmed that these URN activities are 'enabling citizens voices' or strengthening citizen participation because more citizens are attending public meetings and participating in governance issues (SSI, external stakeholder).

In a further development, Shujaaz's Mic Yetu events have established a partnership with the Kenya Council of Governors and the County Assemblies Forum. This partnership will lead targeted conversations across the country and will include a feedback mechanism.

> *Now we see that government is reaching out to us – this may not be on a large scale in the urban areas but in the rural areas … we engage policy debates and make sure that people are informed. Politicians want to know how many people will be listening to them … government officials engage for selfish reasons but our job is to inform people so it is win-win. (External stakeholder, media)*

These findings confirm that Shujaaz and URN have made good progress towards achieving the intended goal of the governance sub-strategy as they have strengthened both the reach and inclusiveness of media as a channel for constructive engagement between citizens and government. When held up against the TPA strategy, there is some evidence of governments increasing participation in these media channels.

3.2.3 Fiscal transparency sub-strategy

> *TPA fiscal transparency sub-strategy (2018) goals:*
>
> *(1) To promote effective country-level implementation of international norms, standards, and processes as well as national policies that foster greater government transparency and responsiveness.*
>
> *(2) To create and reinforce an environment that minimizes the outflow of tax revenues and enhances integrity in public financial management.*

There are four themes in this sub-strategy: tax, budget transparency, public procurement/open contracting, and natural resources governance.

Tax

Grantees sampled (2 regional, 1 international): African Tax Administration Forum (ATAF); Tax Justice Network Africa (TJN-A); Financial Transparency Coalition (FTC)

Tax transparency is expected to reduce corporate tax avoidance, especially by multinational corporations. With corporate tax making up a significantly larger share of government revenues in developing countries (16%) than in OECD countries (8%) this particular norm shift has the potential to be highly pro-development (OTT, 2021 unpublished: 14. Tax is mostly covered in grantmaking area 1: to create and strengthen frameworks and incentives for government to adopt and implement global norms for greater transparency and participation. We categorise the activities undertaken by the one international and two regional grantees evaluated into four broad areas: (1) **producing and using data, statistics and evidence**; (2) convening and **building the capacity** of tax administrators (ATAF) or CSOs (TJN-A and FTC) or journalists and parliamentary members (TJN-A); (3) **advocate to strengthen international taxation and accounting norms, standards and practices** (ATAF and FTC); and (4) **promote at country level the adoption and implementation** of international taxation and accounting norms, standards and practices.

There is evidence that these activities contribute to two immediate outcomes. The first is that, through litigation, **channels are built for citizens to engage with government**. For example, the Government of Kenya is now conducting public hearings and encouraging participation of citizens around double tax agreement after TJN-A won a court case in which it claimed that the government had violated these requirements.

They advocated for amendments to bills. They are very thorough in their presentations and knew what they were doing and when they came to us through the Office of the Speaker we questioned them, had consultative engagement with them and felt they brought a lot of information. This made me feel that they know what they are doing so we have worked together on a number of issues. (External stakeholder, parliamentarian)

The second outcome is that, through **advocacy and litigation**, grantees have ensured **systems that minimise the outflow of tax revenues**. For example, TJN-A's network used litigation and evidence-based advocacy to encourage (and in some cases compel) the governments of Kenya, Senegal and Zambia to revisit and renegotiate their double tax avoidance agreements with Mauritius. With ATAF's support, 15 tax authorities in Africa have changed their standards or laws for effective taxation after deliberations on effective tax administration. And FTC has contributed significantly towards 100 countries adopting beneficial ownership regulations.

FTC has influenced the panel members of FACTI and how they write recommendations to the policy makers. They have been one of the drivers for having over 100 countries to adopt beneficial ownership regulations. (External stakeholder)

Finally, it is important to mention that two grantees (ATAF and FTC) are ensuring that the voices of Africa and the global South are being heard and reflected in international norm setting processes.

The three grantees have contributed to the fiscal sub-strategy goals of country-level implementation of international norms, standards and processes; greater national government transparency and responsiveness and improved legislative and norms environment that minimises the outflow of tax revenues. This has contributed to the TPA strategy's intermediate outcome of increased government responsiveness (although there is no evidence of this leading to better outcomes for citizens).

Budget transparency

Grantees sampled: Collaborative Africa Budget Reform Initiative (CABRI); Forum for Women in Democracy (FOWODE); International Budget Partnership (IBP); ONG-3D

Activities implemented by the one international, one regional and two national grantees can be categorised into four broad areas: (1) conducting research; (2) building the building of (or providing technical support to) community groups or implementing partners; (3) network building or creating the channel for citizens to engage with government; and (4) advocate for budget transparency.

These activities contribute to a number of immediate positive outcomes. The first outcome is the **generation of new knowledge and evidence of what is spent in government budgets and whether these budgets are transparent**. For example, IBP conducts a survey in more than 100 countries to measure the degree to which budget processes are transparent and open to public input. ONG-3D researches how budgets, policies and programmes are relevant to women's lives. This research was shared with women's organisations. And FOWODE collected data and produced a user-friendly document on how local governments spend budget on health – particularly sexual and reproductive health. There are examples of government officials taking up (and even relying on) FOWODE's research:

> *FOWODE does a shadow report which the Equal Opportunities*
> *Commission in Uganda is using. We share their research and use it to*
> *advise government on non-compliance. We rely on FOWODE's advocacy to*
> *put issues to parliament. (External stakeholder, government official)*

The second outcome is **convening and strengthening capacity and technical support of target groups to speak and act collectively around service delivery challenges.** For example, IBP provides training and technical assistance to local organisations to strengthen their advocacy campaigns for more transparent and participatory budget policies and practices. ONG-3D builds the capacity of women leaders and women's organisations on how and where to use the budget information to gain access or improve the quality of services. And CABRI convenes and provides a platform for peers (officials from budget and finance ministries) to learn from the challenges and successes of others.

The third outcome is the creation of **channels for citizens to constructively engage with government**. For example, IBP Kenya brought together civil society partners and half the county's Heads of Budget to help build the former's capacity and understanding of how county budgets work.

Fourth, citizens **use these channels** and **constructively engage with government** (or that there is **increased citizen participation in governance**). For example, in Senegal, ONG-3D has contributed to increased women's representation and leadership capacity in local government and that women councillors are now more confident and speak freely:

> *ONG has developed the participation of CSOs in budget developments.*
> *They have trained women to understand local budget and how to make*
> *sure it represents women's interest. In the last meeting I saw many women*
> *take the floor and I saw the mayor respond to the women. (Co-funder)*

The Hewlett Foundation provided general operating support to IBP. As part of IBP's activities, the Chief Procurement Officer in the National Treasury in Kenya invited the IBP-coordinated network of CSOs working on procurement to propose clauses on transparency and participation for the upcoming Supply Chain Management Bill. Overall, 50 countries increased their

transparency index score and 66 countries improved their scores on the participation index (IBP's report to the Hewlett Foundation).

A fifth outcome is that some **changes in policies have occurred**. For example, an official from one national treasury confirmed they had benefited from the approach/tool used by CABRI to solve a problem with inaccurate and inadequate data availability from sector departments and created better systems:

> *The approach helps building better relationships. We have the skills we did not have before. We resolved our problems. (External stakeholder, government official)*

In conclusion, the five grantees have made some good progress towards the fiscal sub-strategy goals.

GESI focus: **Contributions to advancing GESI in the governance space**

- Building capacity of women leaders and women's organisations on how and where to use budget information to gain access or improve the quality of services (ONG-3D).
- Increased female representation and leadership capacity in local government in Senegal (ONG-3D).
- Validation of local government expenditures with communities and sensitise community to engage in budget (FOWODE).
- Identified group of stereotypes preventing women in leadership positions and they have presented recommendations (FOWODE).

Public procurement and open contracting

Grantees sampled: Africa Freedom of Information Centre (AFIC); Development Gateway (DG); Open Contracting Partnership (OCP)

The activities of the three sampled organisations include: (1) research; (2) technical support; (3) capacity strengthening; and (4) coordinated advocacy.

Evidence from interviews and document review reveals that these activities contribute to the immediate change of **strengthened capacity of key implementing partners to constructively engage with government and monitor open contracting principles and commitments by government**. For example, AFIC's capacity-building interventions led to enhanced knowledge and awareness of open contracting principles and commitments among its five in-country implementing partners. This has in turn increased the monitoring of

open contracting commitments made by various national stakeholders in Ghana, Kenya, Malawi, Nigeria and Uganda (AFIC, 'Final narrative report', 2020).

Furthermore, as a result of work undertaken by Open Heroines, a sub-grantee of Development Gateway, and through support from the Open Heroines network, the number of women attending large networking events – the OGP summit and the Open Data Conference – has increased. This has led to **a gender lens being applied to open data work**, thereby helping to create more inclusive projects and programmes. For example, the Open Heroines network 'Do-a-Thon' helped the City of Buenos Aires to analyse their data in new ways to then feed into their policymaking and helped the Feminist Open Government (FOGO) initiative to gather more evidence on how female and gender equality perspectives and applying a gender lens can enrich open data work and projects (Open Heroines, 'Interim narrative report', 2020).

These changes have contributed to two intermediate outcomes. First, **government capacity to develop databases that capture and publish data about open contracting has been strengthened**.

Second, there has been an **increase in the number of regional and country-level commitments to or adoptions of open contracting in line with the Open Contracting Data Standard (OCDS), leading to increased transparency**. For example, in the 12th East African Procurement Forum, which includes public procurement regulatory bodies of Burundi, Rwanda, Kenya, Tanzania and Uganda, representatives committed to implement open contracting in their respective countries and to report on progress at the 13th Forum (AFIC, 'Final narrative report', 2020). OCDS data is now published by 29 bodies across the globe (OCP, Narrative report, 2020); more than 50 governments have incorporated open contracting into their OGP action plans and reforms; and open contracting has been endorsed by the G20, G7 and OECD among others (OCP, 'Grant report', September 2020). In Makueni County, Kenya, the county government has instituted an Open Contracting Portal which publishes the data publicly along with analytics (Development Gateway, Final report, 2020). This has improved the county's performance on open governance:

> *In Kenya the county government implemented open contracting and it became the best performing county in Kenya in terms of open government and the Governor has become a champion of open contracting movement and has got other governors to follow this process. (External stakeholder)*

In Ghana, as a result of open contracting advocacy and support to public institutions undertaken by AFIC's implementing partners, the number of fully implemented open contracting commitments (as set out in the government's OGP National Action Plan) has increased from 12% to 22%, (AFIC, Final Narrative report, 2020).

These findings confirm that the three grantees have made good progress towards achieving the first intended goal of the fiscal transparency sub-strategy, as country-level implementation of

the Open Contracting Data Standard has happened across the globe. Some progress has also been made towards achieving the second goal – to increase citizen voice in decisions about how public resources are allocated and used. This is based on evidence from several of OCP's partners, such as Colombia, Ecuador, Moldova, Paraguay and Ukraine,[8] and others, whose governments show they were able to better plan, buy and deliver essential COVID-19 contracts because of open contracting (OCP, Grant report, September 2020).

Furthermore, OCP's partner countries have documented evidence that more public information is available on contracting and therefore watchdog organisations can use it to track and measure more efficient use of public resources. Since its founding, OCP has realised 4 stories of impact, 8 of progress and 21 of data use (OCP, Grant report, September 2020). When held up against the TPA strategy, the progress has certainly contributed towards the overall activity level by reinforcing norms and standards that enable greater transparency. It has also achieved an intermediate-level outcome (i.e. increased government responsiveness), and some changes are emerging change at the ultimate outcome level, as OCP has documented evidence of citizens receiving improved public services.

GESI focus: Contributions to advancing GESI in the governance space

More women attended big networking events (OGP summit and Open Data Conference) through the support of the Open Heroines Network and they also participated in pre-conference events and workshops. This has led Open Heroines network gaining more global South representation and supports a more intersectional approach to diversity in the International Open Data Conference (IODC)/Open communities, (sub-grantee of Development Gateway).

A gender lens has been applied to open data work creating a more inclusive projects and programmes – in Buenos Aires the Open Heroines Network Do-a-thon helped the City of Buenos Aires to analyse data in new ways that helped the FOGO initiative to expand their evidence base on how female and gender equality perspectives and applying a gender lens can enrich open data work and projects (sub-grantee of Development Gateway).

Natural resources

Grantees sampled (1 national, 3 regional, 4 international): African Center for Economic Transformation (ACET); EarthRights International (ERI); GLISS; Global Witness; Publish What You Pay (PWYP); Oxfam America (women in extractives governance); Oxfam America (Senegal); Natural Resource Governance Institute (NRGI)

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8. Although these countries fall outside of the HF's priority region, the grant to OCP is GOS

Activities include: (1) technical support for government officials and implementing partners and capacity strengthening among implementing partners, CSOs and women's organisations; (2) norms and standards setting; (3) coordinated advocacy; and (4) litigation.

Evidence from interviews and document review reveals that these activities contribute to the immediate change of **making sure that information on extractives industries, their obligations to the public and their impact on communities is available**. For example, Oxfam America (Senegal) provides citizens with detailed information on the legal and fiduciary obligations of extractives companies. ACET undertook country assessments and formulated value addition strategies in the extractive sectors of eight African governments, and Global Witness produced a handbook on extractives revenues and accountability, entitled 'Finding the Missing Millions' (2018).

These activities have also contributed to **building the capacity of civil society organisations and citizens in understanding and engaging with** the extractives sector. For example, Oxfam America (women in extractives governance) has trained 15 women's groups in West Africa to better understand the extractive industry sector. Meanwhile, in focus communities in five regions of Senegal, Oxfam America (Senegal) has built citizen capacity to participate in decisions about the allocation and use of extractive revenues.

These immediate changes have contributed to three intermediate outcomes. First, grantees have through advocacy **influenced global or European norms, standard setting and legislation**. For example, advocacy by PWYP's coalition has led to the inclusion of gender disaggregated data and company ownership data as requirements in the global extractive disclosure standard (EITI standard). They were also successful in making contract disclosure mandatory. Oxfam America's (women in extractives governance) regional platform of women organisations working in the extractives sector successfully advocated for the impact of the extractive industries on women and girls to be featured in the Beijing Platform report. Likewise, Global Witness advocated successfully for a directive that requires all European Union (EU) Member States to establish public beneficial ownership registers for corporate and other legal entities.

Second, grantees have **supported governments to put global norms and standards into practice**. For example, ACET has provided technical support to the government of Ghana in developing policy on, for example, Petroleum Policy, while PWYP coalitions have strengthened EITI implementation at national level in Cameroon and the Democratic Republic of the Congo (DRC). NRGI's work led to new beneficial ownership requirements, state-owned enterprise reforms and disclosures, and conflict-of-interest provision around the world including in DRC, Ghana, Guinea and Tunisia, which has supported governments to adopt global norms:

> *NRGI assisted with the review of the mining contracts and 18 mining conventions were audited, of which 10 were renegotiated. The new mining*

*law was accepted and executed. NRGI identified the tax to complete the
mining law. NRGI is constantly active and available and the Ministry
could call on them anytime. NRGI has also ensured that we have achieved
the growing uptake of global norms of transparency and governance.
(External stakeholder, government official from Guinea)*

Third, **governments have responded to the advocacy of grantees and citizens** to
increase accountability of the extractive industries and how they operate in their
countries.

For example, ERI-supported communities successfully stopped extractive projects to which
they objected. ERI also won a reversal of the legal precedent that established absolute immunity
for international organisations like the International Finance Corporation – the private-lending
arm of the World Bank Group, and won reparations for at least one community using the new
precedent.

*ERI played a big role in helping communities to bring about justice, bring
lawsuits and they work in a constructive manner with partners. ERI
secured remedy for extractive industry abuses for at least one community,
demonstrating a growing trend toward accountability. ERI has been able
to launch, pilot and replicate Community-Driven Operational Grievance
Mechanisms (CD-OGMs). (External stakeholder- government official)*

Global Witness revealed how Shell and Eni used Nigeria's share of oil for bribery, an act which
saw money flow from the companies to individuals instead of to the Nigerian state and,
ultimately, the Nigerian people. Global Witness successfully litigated to get them to pay the
money back.

It can be concluded that the eight grantees working with natural resource management have
contributed to all the elements of the TPA fiscal sub-strategy goals.

> **GESI focus: Contributions to advancing GESI in the governance space**
>
> - In capacity-building sessions, the gender balance of participants (invited and involved) was considered and improved (GLISS, EarthRights).
> - Women and young people were invited and trained to monitor budgets (Oxfam America (Senegal)).
> - Establishment of a platform of women organisations working in the extractives sector, human rights and security to harmonise advocacy efforts around a common action plan (Oxfam America (women in extractives governance)).
> - The participation of women's groups in high-level decision-making processes was formalised, including through an invitation to join the Economic Community of West African States (ECOWAS) geo-extractive forum (Oxfam America (women in extractives governance)).
> - Inclusion of gender perspectives in high profile reports or international standards:
>   - The impact of the extractives industry on women and girls included in the Beijing Platform report for the first time in 25 years (Oxfam America (women)).
>   - The new EITI provisions are the subject of a detailed guidance note issued by the EITI International Secretariat highlighting the opportunities presented by the Standard to advance gender balance and meaningful participation in multi-stakeholder groups; gender disaggregated EITI disclosures; and inclusive outreach and dissemination of EITI data and reports (PWYP).

3.2.4 Service delivery monitoring sub-strategy

TPA service delivery monitoring sub-strategy (2018) goal: To contribute to a more equitable and better-quality services in health, education, water and sanitation, especially for women, girls, lower income groups, and other marginalised sectors of society.

Grantees sampled: CICODEV; Water Integrity Network (WIN)

Activities undertaken by the two service delivery monitoring grantees sampled can be categorised into four broad areas: (1) conducting research; (2) building the capacity of local civil society organisations, water-user associations and water activists in Kenya and Benin, and community members in Senegal; (3) facilitating collaboration; and (4) advocacy.

These activities contribute to three immediate positive changes. First, **generating information on resources and service quality that can be used by citizens**. For example, CICODEV conducts household surveys to determine people's knowledge of universal healthcare and to identify the barriers to health insurance membership. They also produce fact sheets for citizen observatories that they can use for citizen education. WIN produced a publication on public finance management of water services in Kenya and developed the integrity management tool box, and in Benin the network also developed an integrity road map for water accountability for local government in three municipalities.

A second change is **increasing awareness and capacity among citizens to speak and act collectively around service delivery challenges**. For example, CICODEV provides citizen education to ensure they have information about what services to expect and how well their local health facilities are doing in providing universal healthcare. It also trains community members on how to influence health policies as well as to understand the endogenous health financing model 'Lékett-bi' as a solution to overcoming the financial barrier and enabling community access to healthcare.[9] WIN built the capacity of local civil society organisations, water user associations and water activists in Kenya and Benin to use tools and strategies that enable citizen oversight of water services.

A third change is that **channels for citizens to constructively engage with government are strengthened**. For example, WIN has built coalition platforms in three counties in Kenya between CSOs, the county governments, the communities and water service providers to strengthen community monitoring, oversight and feedback mechanisms in water and sanitation investment projects and services.

> *We have changed the way service providers manage their business and improved service delivery and the way these service providers are looking at their customers. We have platforms for CSOs, service providers and regulators where we ensure the voice of citizens to service delivery is heard. WIN has really created a platform on how persons receiving water services has a say on how service providers can improve services.*
> *(External stakeholder, government official)*

These changes have contributed to two intermediate outcomes. First, **citizens have access to healthcare insurances**. In Senegal, CICODEV facilitated an increase in people enrolled in health insurance:

> *CICODEV has researched and engaged with poor communities to find ways they can generate funds to pay for [endogenous health financing*

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9. Lékett-bi – a Wolof term – is a fundraising system, based on a voluntary and periodic contribution of all sections of the community.

mechanisms] MEFS. The only village in Senegal who have achieved universal health coverage is where [the] head of village decided to have [a] plot of land and called it community arm and asked the community to give 1-2 hours in working in the field. This village, when they produced groundnut and millets, they sold it and the profit was used to enrol everybody in the health insurance. (Grantee)

Second, **governments have responded to citizens who constructively engage with them**. For example, the Kenyan Water Services Regulatory Board issued regulatory guidelines for rural water services, operationalising its mandate on regulating water services in all areas of the country and clarifying roles and responsibilities for services in areas not covered by the formal water service providers. The guidelines reference WIN's Integrity Management Toolbox for Small Water Supply Systems. CICODEV has contributed through advocacy to the increase in national health budget from 5% to 8% in the 2021/22 budget.

They have conducted more advocacy to hold government responsible for domestic financing and decentralised service delivery of health services. (Co-funder)

In conclusion, the two grantees have shown good progress towards achieving the goals and outcomes in the service delivery sub-strategy.

3.2.5 Multi-strategy

Grantees sampled (2 international, 3 national and 1 regional): Afrobarometer; Open Institute's Global Goals for Local Impact programme; Oxfam Novib Voice project; World Federation of United Nations' Transparency, Accountability, and Participation (TAP) Network; The Institute for Social Accountability (TISA); Advocates Coalition for Development and Environment (ACODE)

Six organisations in the sample are working on multiple themes at international (2 grantees), regional (1 grantee) and national levels (3 grantees). They are implementing a wide variety of activities and strategies, which fall into the following broad categories: (1) conducting research and disseminating publications at regional and local level (Afrobarometer, the Open Institute's Global Goals for Local Impact programme, ACODE); (2) promoting diversity, equity and inclusion (DEI) in the TPA space to promote inclusive governance in 10 countries in Africa and Asia (Oxfam Novib Voice project); (3) undertaking legislative monitoring and litigation (TISA); (4) networking and capacity strengthening (TAP Network); and (5) engaging in advocacy for policy influence (all six grantees).

These activities contribute to two immediate changes, the first of which is the **generation of information on resources and service quality across multiple sectors**. For example, Afrobarometer is conducting its eighth iteration of the regional opinion survey in Africa, which now covers up to 36 countries. Meanwhile, in Kenya, citizens gather data at hyper-local, village

level around their service delivery needs (Global Goals for Local Impact). The second outcome is **the creation or strengthening of channels for citizens to engage constructively with government, regional bodies, and other international institutions such as UN bodies and African Union**. Some examples include: Afrobarometer's survey data is disseminated amongst policy actors and civil society as well as feeding into policy processes at national, continental and global level including UN bodies, African Union, World Bank and European Union; and in Kenya, citizen-generated data is fed into the government system via the Village Administrative Units and County Statistical Units via the Global Goals for Local Impact Project, which promotes the relevance of the Sustainable Development Goals at village level.

At an intermediate outcomes level, **organised citizens understand and use evidence to take collective action to voice their needs, advocate and litigate for policy change and improved service delivery**. For example, the Mo Ibrahim Foundation uses Afrobarometer data to assess the state of governance in African countries and, at national level, citizens use the data on corruption to advocate for change in their countries:

> *Advocacy and pro-democracy activists have found the data very useful and hold it as a mirror to their governments. (Grantee)*

The TAP Network of 270 CSOs mobilised around United Nations Sustainable Development Goal (SDG) 16 to ensure inclusive, accountable and effective governance is included in the 2030 Agenda for Sustainable Development. These processes have been cascaded to national level, where TAP Network members have convened civil society networks in Nepal and Kenya and developed national advocacy plans around SDG 16.

> *[TAP Network] really galvanised support and they did a good job in making the case for national accountability [around SDG 16]. (External stakeholder)*

TISA has submitted four memorandums to Kenya's National Treasury. Some of these submissions have been reflected in national budgets. TISA has also instigated litigation against the government on grounds of constitutional violations relating to devolution and the impact of national debt on good governance in Kenya.

Finally, there is evidence that these outcomes have contributed to **donors, governments and regional institutions responding to organised citizens who constructively engage with them, and that this is shaping policy and catalysing some changes to service delivery**.

TISA publishes policy analysis, which gets picked up by the media and informs debate during the legislative process. They do not lobby, but their analysis is influential. For example, TISA's advocacy and litigation has contributed towards the protection of devolution as one stakeholder confirms:

The devolved system of government has had a very difficult time … the forces of centrism were never going to rest. They [TISA] provide serious critique and many of their proposals have gone into legislation – they are the undisputed watchdog of government. (External stakeholder, multi-strategy)

The African Union uses the Afrobarometer survey data to track implementation of some of its conventions. Governments in Kenya and Nepal have established and participate in SDG 16 multi-stakeholder forums to monitor implementation and hold government accountable for SDG 16 implementation (TAP). The Kenya Bureau of Statistics now includes household-level data in its data sources, and two additional counties have now adopted the framework for citizen generated data – Elgeyo/Marakwet and Makueni Counties – which feeds into county planning and programming (The Open Institute).

Finally, in Uganda, ACODE's research – along with its relationship building with the Ministry of Finance and citizen mobilisation – has contributed to more timely disbursement of funds from central to district level government. As a result, local financing for service delivery has improved because the money has reached the district faster.

When held up against the Hewlett TPA strategy, these findings confirm that the six grantees have made good progress towards: (1) ensuring that evidence on government service delivery is available and can be used by citizens, thus creating an enabling environment and (2) strengthening citizens' ability to speak and act collectively; and (3) strengthening channels for constructive engagement with government. There is also evidence that governments are responding to citizen demands through policy reform.

GESI focus: Contributions to advancing GESI in the governance space

Women's groups in Nakuru County, Kenya collected their own data and set up gender committees to ensure that women are included in water committees at local level (The Open Institute).

Forward look: A novel and promising approach to GESI in the TPA space

Oxfam Novib's Voice project will work towards the participation of groups living on the margins of society across 10 countries in Asia and Africa in the governance space – they will ask difficult questions and will create a level of discomfort in the system. Six projects representing 17 organisations have been selected for support from a Voice Innovate & Learn Grant. Their projects will focus on testing ways to harness the power of transparency and reinforce accountability to overcome the social, political and/or legal barriers that keep their constituencies marginalised.

3.3 Knowledge produced and used with the foundation's support

We have already discussed outcomes relating specifically to the field learning sub-strategy (section 3.2); here, we provide a broader assessment of knowledge uptake and use across the TPA sub-strategies. Factors that explained the uptake of this knowledge are covered in section 3.7, on enabling and inhibiting factors.

3.3.1 Support to knowledge production

The Hewlett Foundation provides research grants to academic and non-academic platforms such as universities (e.g. The Accountability Research Center at the American University), think tanks (e.g. ACODE), research institutions and learning hubs (e.g. Oxfam America). It also provides support to institutions like Afrobarometer, who build the capacity of governance advocacy groups to produce high-quality evidence. For example, Afrobarometer makes its survey samples and methodologies available for public use and runs summer schools, which play a key role in building the capacity of African research and advocacy groups in conducting fieldwork and analysing and sharing research findings.

As evident from the previous section on outcomes, grantees produced a wide range of knowledge products with support from the Hewlett Foundation, including research-based, experimental or practice-based, citizen-generated, and statistical information, covering social accountability, tax justice, budget monitoring and expenditure tracking, gender responsive budgeting and budget transparency, among many others.

- Advocacy and social accountability guides and training manuals, e.g. WACSI social accountability guide; Oxfam Novib Voice Initiative.
- Research papers and journal articles, e.g. Academic institutions such as the University of California, Los Angeles (UCLA); Accountability Research Centre at the American University; and research institutions such as Afrobarometer.
- Position papers, think pieces, policy briefs, e.g. UCLA, ACET, CABRI etc.
- Academic research papers on research methodologies, e.g. experimental methods (University of California Berkeley) and fieldwork methodologies (Afrobarometer).
- Survey tools, fieldwork methodology guides, analysis plans, etc. (Afrobarometer).

3.3.2 Extent to which key stakeholders took up and used this knowledge

Grantees have synthesised and packaged information in a format that citizens and governments can understand and use. They have employed different channels to share this with key

stakeholders, including online platforms such as knowledge hubs,[10] websites, portals and social media platforms and in-person approaches such as symposiums, workshops, conferences, and learning and policy events.

There has been considerable uptake among targeted users (policymakers, media, other grantees, field actors and citizens) of the knowledge produced by grantees. Of the 13 external stakeholders who responded to the question on knowledge use, 12 confirmed that they use knowledge materials produced by grantees.

> *With support from the Hewlett Foundation, we did two studies on local government financing and discovered a lot of money meant for local government is held by line ministries at central government and was being misused by technocrats. Findings from our study influenced the Presidency to request that the Ministry of Finance release the money. This led to increased local financing. (Grantee)*

Capacity strengthening of other grantees and other CSOs

Knowledge produced by grantees with support from the Hewlett Foundation has been instrumental in **informing the implementation strategies of other grantees and CSOs** working in the TPA space. Interviews with external stakeholders who had made use of the knowledge products were used to validate this assertion. For example, interview data shows that ATAF effectively used its tax justice research to build the capacity of individuals in revenue authorities, CSOs, and media practitioners on regional and global taxation matters. Similarly, anti-corruption research published by Global Integrity has also helped organisations to inform their implementation strategies.

> We constantly use research produced by African Tax Administration Forum. Our main constituency is CSO and we rely on ATAF's research. Big resource for our work. (External stakeholder)

> *Some of the work that has been done by Global Integrity as well as their published anti-corruption research has been helpful for people like us. It has enabled us to review some of approaches to our work using the resources that they have shared over the years and this has been really useful for us. (External stakeholder)*

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10. Knowledge hubs are repositories for data produced by the grantees. For example, CABRI has an online public finance management knowledge hub.

[The Institute of Social Accountability] has produced a number of knowledge products including papers and publications on various areas related to devolution and we have used those resources. (External stakeholder)

Our document review reveals evidence that Integrity Action's service delivery model has been taken up by its local partners, as well as by non-partners who are undertaking projects funded by other donors. Integrity Action's model is based on a community-driven, collaborative, and problem-solving approach aimed at improving service delivery. Kwale County Natural Resource Network (KCNRN) was identified as an example organisation which adopted Integrity Action's model of open citizen feedback in its USAID-funded water and sanitation programme in Kenya. Several other partners were said to have adapted this model to suit their own implementation strategies.

Interview data also shows that participants of capacity-building initiatives implemented by the Hewlett Foundation's TPA grantees use the resources provided and the knowledge acquired to upskill others in the field. Tax Justice Network Africa (TJN-A) has seen alumni from its International Tax Justice Academy going on to train other CSOs on tax justice.

Over the years we have realised that some participants go ahead and train CSOs in their areas on tax justice. There is one alumnus from Togo who went ahead to train CSOs on tax justice in Togo and many alumni are making a difference in this area.(Grantee)

Influencing government decisions and policy change

The interview data shows that different government actors have been using some of the research produced by grantees to inform policy and its implementation. For example, an external stakeholder who was interviewed on behalf of the Water Services Regulatory Board (WASREB) in Kenya indicated that they were using evidence produced by the Water Integrity Network to improve water management in rural areas:

We have used the current [WIN] initiative in terms of improving water management in Kenya. We had initially focused on urban areas where we had a regulated service provider and had neglected rural areas where more than 50% of the population reside. This has been identified as a problem area in terms of policy and we are working towards fixing that. To fix it we used a tool box developed by Water Integrity Network. (External stakeholder)

Interviews with external stakeholders also suggested that grantee research and knowledge materials have in some cases influenced public finance policies and budget reforms. For

example, one interview indicated that the National Treasury in South Africa has benefited significantly from working in collaboration with the Collaborative Africa Budget Reform Initiative (CABRI). The Treasury has used CABRI's problem-driven iterative adaptation (PDIA) approach to identify public finance problems and develop solutions through engagement with other stakeholders.

> *The PDIA approach was introduced to us by CABRI and has helped us in building relationships with stakeholders who input into the system. We have extended this approach to other areas of our work. The PDIA module is very successful in coming up with a problem and coming with a solution through engagement with stakeholders. (External stakeholder)*

Interview data also shows that the Uganda Equal Opportunities Commission is a long-term user of FOWODE's gender responsive budgeting research. FOWODE plays a key role in producing research on gender analysis of national budgets, conducting public expenditure tracking surveys, gender audits of sectors, and position papers on budget speeches to mention a few examples. A representative from the Uganda Equal Opportunities Commission reported that FOWODE's research has enabled the Commission to lobby government on issues related to gender responsive budgeting compliance.

> *We have used FOWODE's gender responsive budget research. We use this evidence to lobby in parliament and it was included in the Public Finance Management act. (External stakeholder)*

While there is evidence from this evaluation that some of the research produced by grantees is used by grantees and government, some respondents find it difficult to track how much of their knowledge products were being used and by whom:

> *It is difficult to say who is using our knowledge products in conjunction with all the other activities we do with decision makers. We have been building relationships with them over the years and then presenting relevant research. We don't want policymakers to base their changes on one project but based on relationships and knowledge translation materials we share with them. (Grantee)*

3.4 Unintended outcomes and consequences, and unexpected changes

Few grantees spoke about unintended outcomes or unintended consequences, and where they did these were mostly positive. For example, a grantee working in the **tax** subfield said that one unintended outcome of their work is that they and their advisors have been invited to sit on two subcommittees at the OECD and the UN Committee on Tax. This shows that they have been recognised as a key stakeholder in the sector. Another grantee working in the legal

empowerment sector said that the building of a strong coalition to push for policy change was to some degree an unintended outcome.

Two grantees in the **field learning** subfield highlighted unexpected changes. First, members of the COPASAH regional network developed a social accountability charter at a global symposium organised in 2019 to drive the agenda and create discussion on social accountability. As one interviewee stated:

> *The social accountability charter was not initially in the project workplan*
> *– it was at the Global Symposium we organised in Oct 2019 that we*
> *drafted it as part of our lessons learnt – to draft a charter that can drive an*
> *agenda and create discussion on accountability – this was unexpected*
> *outcome. (SSI, grantee)*

Regional assemblies from Africa, Asia, Latin America and Europe presented and received input into the charter from participants. An external stakeholder confirmed that the Social Accountability Charter was signed by all members of the COPASAH platform who made a committed to implement it within the regional network hubs of the platform. However, there is no clear evidence of the extent to which this charter has been implemented.

Second, UCLA PRG ran learning days workshops to train researchers in low-income countries (LICs) to improve their research capacity. Demand for this training increased and generated a larger pipeline of researchers from LICs being brought into the global network of resource governance experts.

Two grantees mentioned that a consequence of COVID-19 is that it emphasised the need for stronger health systems. Another said that the crisis was presenting more opportunities to secure meaningful commitments from governments and companies to raise awareness about women's rights and gender equality in the context of natural resource governance. We discuss the impact of COVID-19 in section 3.7 on enabling and inhibiting factors and risks.

One grantee operating in a semi-authoritarian country reported an unintended negative consequence – that in becoming more assertive and raising their voice, staff members in the grantee organisation had been labelled a bad citizen and their bank accounts have been frozen by government.

In the area of **fiscal transparency**, one grantee in the open contracting sector reported that procurement authorities in targeted countries have become a source of information and are being relied upon to provide data, rather than the other way around. This is evidence that the capacity of these authorities to generate data has improved substantially.

3.5 Sustainability of outcomes

3.5.1 Outcomes for citizens

The evaluation identified evidence of considerable uptake and use of knowledge products among intended users. Some respondents argued that these ideas and knowledge gained through research will remain with citizens and grantee organisations and will influence their practice in the future. According to one interviewee:

> *There is a change in people's ideas about what works – this is an outcome that sustains itself without any cost… it is changing how individual organisations operate – being more evidence driven and thinking about evaluation differently, I expect that to stay with organisations. (Grantee, field building)*

A few grantees raised that they are making their work more sustainable by addressing the governance concerns that communities have identified.

> *We are making sure that what we do is responsive to what the communities are concerned about and that we add value. (Grantee, extractives)*

There is even one example where the grantee has supported the communities, they work with to come up with a way to finance health insurance.

A frequently mentioned sustainable outcome is **building citizens' capacity** – their skills and confidence – to claim their rights gained. Interviewees argue that, when this capacity building has been targeted at already existing structures and **organised groups** of citizens, the change is more likely to be sustained because these groups will remain in place beyond the life of the intervention. However, this change remains to be seen.

> *We established local community committee and they were trained in public procurement and budget. And these committees will last and interact with local authorities. (Grantee, budget transparency)*

Interestingly, two grantees mentioned that, by **training journalists**, grantees can share information and knowledge more widely without further funding, as these journalists take it back with them into their public-facing work. Another factor that influences outcome sustainability is when citizens take part in gathering evidence and holding their local leader responsible.

3.5.2 Outcomes for government stakeholders

When government stakeholders gain skills alongside shifts in attitude and improved understanding of the value of the intervention then outcomes are sustained. There is evidence of this in both the multi-strategy and open contracting thematic areas:

> *Open contracting has further advanced countries – they kept using it in different sectors – once government starts using it they see the benefits. The narrative has changed and now with COVID it has drawn procurement into the spotlight – demand has tripled. (Grantee, open contracting)*

This was confirmed for the Afrobarometer – when government sees the value of the data and funds it, then it shifts from being donor dependent and is more likely to be sustained:

> *The work is sustainable because African governments have come to accept this is a good thing to do and let down their resistance. (Grantee, multi-strategy)*

Similarly, when grantees working at the community level demonstrated the value of community participation, local government attitudes began to shift towards appreciating the need to engage with citizens (grantee, media).

3.5.3 Policy-level outcomes

A number of grantees mentioned that they have contributed to policy changes. One concern raised is that policy reform is only the first step towards sustained change. While it builds a solid foundation on which to build future change, this change is not guaranteed and thus grantees need to focus on the next step in the policy change continuum – to advocate for policy *implementation*. This is where linking to regional and international networks plays an important role, as one respondent explains:

> *The only limiting factor is the accountability of government ...we have the laws but we don't have the political accountability. One way to ensure sustainability is to do networking to target policy and anti-corruption work with transparency international. (Grantee, multi-strategy)*

Another concern is that the policy and legislative change could be changed again if the political will is not maintained.

These concerns are echoed in a recent article by Christopher Choong Weng Wai (2021) on the dangers of 'policy-sation'. He argues that policy-sation constructs 'achievement' as a predominantly document-based process, and imagines the relationship between policy change and social change uncritically. The immediate danger here is that 'the desired social change does

not take place, but policy change constructed as achievement gives a deceptive appearance of progress'. The author is hesitant to offer concrete suggestions on what to do and rather suggests that this reflection might provoke a broader dialogue on thinking more critically about 'how we can reclaim the place of social change in the policy space'.[11]

These findings are echoed in the OTT scan of the TPA field that accompanies this evaluation (OTT, unpublished January 2021), which found that TPA actors and initiatives (including Hewlett Foundation grantees) have started paying attention to the 'implementation gap'. It notes that, without implementation, policies and legislation will fail to improve development outcomes as intended.

3.5.4 Sustainability of grantee organisations

A number of interviewees shared their views about sustainability of outcomes at the level of their organisation. A dominant theme emerging is that those who have access to multiple funding partners are confident that their work will be sustained, while those that rely on one core funder (e.g. the Hewlett Foundation or the UK FCDO (formerly DFID)) are concerned about their future sustainability. Similar findings emerged in the Mexico Evaluation (February 2020) with financial sustainability being identified as receiving little attention from the Organizational Effectiveness grants or broader organisational strengthening efforts. Here, the Mexico Evaluation recommended that programme officers be more directive in encouraging grantees to focus on financial sustainability from the outset through Organizational Effectiveness grants and capacity-strengthening interventions.

3.6 Support to grantees: effectiveness, resilience and learning

Key findings at a glance

This evaluation identified several support mechanisms, including the foundation's provision of learning opportunities; facilitation of linkages and network building; sharing of information and knowledge products; facilitating access to other funding sources, plus to external expertise and consultancy support services; and the provision of moral support.

These support mechanisms have enabled a number of outcomes for grantees. Examples provided include increased capacity, financial sustainability and the adoption of gender equity practices and policies. Of note is that the foundation's open and respectful engagement with its grantees has contributed towards their adoption of similar practices with their partners.

Respondents also noted that the foundation's support has contributed towards improved programme implementation, reach and scope. This has allowed grantees to

11. https://oxfamblogs.org/fp2p/the-dangers-of-policy-sising-social-change/

establish higher levels of visibility and credibility for themselves, which can be leveraged for policy maker engagement, evidence dissemination and improved evidence uptake.

This discussion of the Hewlett Foundation's contribution to grantees' effectiveness, impact, resilience and/or longer-term organisational health includes 'beyond the grant dollar' support and support organisational effectiveness (primarily through the Organizational Effectiveness grant).

'Beyond the dollar' support is that which is provided in addition to grant funding. Interviewees noted that the Hewlett Foundation TPA team provided various forms of such support.[12] Although there seems to be some overlap with grantee receipt of the Organizational Effectiveness grant (for example, access to external expertise and consultancy services), it is interesting that grantees perceived this as being 'beyond the grant dollar'.

3.6.1 Providing opportunities for sharing and learning

Throughout the strategy period, the TPA team created spaces and opportunities for staff, grantees, policymakers and other interested stakeholders to reflect on and learn from each other's implementation experiences in the governance field and to promote and improve the uptake of effective evidence-informed governance practices.

Learning events

The Hewlett TPA team organised and facilitated learning events in various forms, such as peer-to-peer convening, grantee learning and exchange events, regional learning workshops and shared learning workshops. Events mentioned included those in Kenya, Mexico, Portugal and Uganda, among others.

> *We bring grantees together to learn from each other For example, [the] learning event in Uganda, where grantees from East and West Africa had to learn from one another. Several of the institutions adopted strategies done by others. For example, the replication of community engagement with local leaders. (Hewlett TPA staff member)*

> *In Mexico, we work with a consultant to support the cohort of grantees. They have an annual learning agenda and we have taken time to build relationships with the grantees and set up learning sessions for them as part of their learning journey. (Hewlett TPA staff member)*

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12. In total, 35 grantees responded to the question about support provided by the Hewlett Foundation. Through this section, numbers of respondents are out of 35.

Grantee feedback from one of two Mexico learning events held in 2018 revealed that they had benefited from the information sharing session and would use what they had learnt (e.g. about the local-level efforts of WIEGO and Controla tu Gobierno) to improve their own work.

> *The level of expertise of some of the groups with regards to budget analysis could be helpful for our health-related work. (Participant, Mexico learning event)*

> *Listening to some of the groups talk about their participation [in] local-level work made me think about the relevance of thinking about the user of public services and how we could incorporate these perspectives into our work. (Participant, Mexico learning event)*

The Hewlett TPA team convened a similar learning event in Nairobi, bringing together ITAD consultants, TPA staff and grantees supported by the Hewlett Foundation; and organised a shared learning workshop on social accountability with West Africa Civil Society Institute (WACSI) and the Open Society Initiative for West Africa (OSIWA), which brought together 38 CSOs from West Africa ('Report on Shared Learning Workshop on Social Accountability in West Africa', 2018).

Ongoing learning through grantmaking practice

The Hewlett Foundation also promotes ongoing learning through its grantmaking practice, which often happens in less systematic and more informal ways. For example, regular engagement between grantees and TPA programme officers ensures that there is constant sharing of information between the two. This encourages ongoing learning – both for TPA and grantees – which they use as they implement their projects, and links to other areas of support to grantees (namely knowledge products, information and moral support).

A major contribution to facilitating learning was in the brokering role Hewlett Foundation's programme officers played in the Transparency Breakfasts in Mexico. These regular gatherings with Hewlett Foundation grantees, primarily represented by their directors, provided the space for like-minded organisations and those from different ends of the spectrum to share information about the context and their experiences, and eventually to co-design research, multi-stakeholder engagement strategies and advocacy campaigns. This community of practice enabled CSOs and think tanks in a relatively new field to learn from one another and became a signature feature of the Hewlett Foundation in Mexico (OTT, 2021).

3.6.2 Facilitating linkages and network building

Most grantees agreed that the outcomes that actors in the TPA field hope to achieve require the contribution and collaboration of multiple diverse stakeholders; no single organisation or actor would be able to bring about the desired change on their own. 19 respondents noted that the

facilitating of linkages and network building was an important feature of the Hewlett Foundation's support.

Network building happened primarily through learning events, workshops and other gatherings convened by the Hewlett Foundation, which helped grantees connect with other actors operating in similar or closely related fields, at local, national and international levels. Some grantees also said that their respective Hewlett TPA team programme officers had at times made specific recommendations about potential partners.

Fostering collaboration between national-level organisations and international organisations

Grantees acknowledged the Hewlett Foundation as an organisation that encourages horizontal collaboration, with a specific focus on regional and international collaboration. A strength was the foundation's fostering, rather than forceful, approach:

> *It has been right for [the Hewlett Foundation] to support collaboration in specific ways but we have appreciated that they did not put pressure on us. From my vantage point, they give freedom to collaborate in ways we think is right.(Grantee)*

The Hewlett Foundation appears to play three roles in fostering collaboration: (1) direct participation in supporting horizontal collaboration with other regional and international grantees or partner organisations to foster learning; (2) influencing others with their own approach and practice; and (3) providing funding that enables grantees to engage with multilaterals, national actors, government, civil society and country citizens around a specific theme or activity.

> *The Hewlett Foundation has engaged in collaborative initiatives with other global funders, playing different roles from active participant to influencing others with the example of their own practice. (Grantee)*

For example, the foundation's funding for COPASAH helped to establish thematic hubs that encouraged the development of partnerships and coordination between global universities and country-level organisations, which in turn ensured the provision of research to support NGOs in their work to improve accountability.

3.6.3 Enabling access to knowledge, information and consultancy support services

12 respondents said that the Hewlett Foundation had enabled their access to knowledge products and information related to their field of work. They also noted that the Hewlett Foundation had facilitated access to consultancy support services and expertise. Where respondents mentioned accessing specific types of expertise, this tended to relate to support in

formulating communications strategies and outputs, and establishing monitoring, evaluation, reporting and learning (MERL) systems (see also section 4.3, on the Hewlett TPA team's progress in MEL more generally).

3.6.4 Providing moral support

11 respondents indicated that the Hewlett Foundation played a key role as a critical friend and 'sounding board'. Hewlett TPA team programme officers were described by the overwhelming majority of respondents as knowledgeable, well-informed and highly committed or 'invested' partners. As such, they provide grantees with substantial moral support as well as important insights and suggestions related to strategic and programmatic planning.

> *There have been very rich conversations between myself and my Program Officer. Our relationship with the foundation is more than just a financial support relationship. It feels like an equal exchange; a partnership. The relationship is extremely good, open, constructive and supportive.*
> *(Grantee, budget transparency)*

3.6.5 Offering visibility and credibility to improve access to other funding sources

11 respondents noted that the support they received from the Hewlett Foundation also improved their access to other funding sources, beyond facilitating connections (already discussed). Respondents explained that their engagement with the Hewlett Foundation had provided them with the necessary levels of visibility, credibility and confidence to apply for and access additional funding streams.

3.6.6 Impact of support to grantees

Grantee interviewees indicated that the support provided by the Hewlett Foundation has resulted in **improved organisational health and effectiveness** (Table 3). It has also been particularly critical for improving grantees' knowledge, understanding and practice when it comes to GESI (see **box**).

GESI focus

Most grantees indicated that Hewlett TPA staff helped them with their GESI goals, inclusive strategies or general awareness of GESI issues and concerns.

Grantees reported being able to discuss GESI issues with programme officers and said that Hewlett TPA staff exposed them to documents and further reading, and arranged learning events for grantees to attend.

The issue of gender and equity has been around but not diversity so much and I first got to know about it in the training – we did it with other organizations.

(Grantee)

Grantees could also use the Organizational Effectiveness grant to work with identified service providers and strengthen their organisational capacity to deal with ongoing inclusion challenges.

Specific individuals from the Hewlett Foundation made these events, changes and interventions a reality, and grantees acknowledged these people.

Table 3. Examples of improvements in organisational health and effectiveness as a result of support from the Hewlett Foundation, as reported by grantees

MERL	Resource mobilisation	Human resources & management	Planning, design & implementation	GESI
Improved ability to develop indicators Improved monitoring of outcomes Better quality and more comprehensive reporting (both internally and externally) Streamlined reporting systems (for multiple donors)	Knowledge about additional, relevant funders and funding streams Improved capacity for proposal writing, plus the design and implementation of fundraising strategies Improved ability to think about – and plan for – organisational sustainability	Improved organisational governance and leadership Improved internal communication and role clarification Higher levels of transparency in relation to decision-making	Improved planning at both strategic and programmatic level Better alignment of planned outcomes with organisation vision and mission Higher levels of collaboration with other, similar organisations and with key external stakeholders	Improved understanding of gender equity practices and principles Higher level of focus on enabling inclusivity and diversity Adoption of participatory and egalitarian collaboration methods with partners

Identification and recruitment of additional, and often critical, staff; e.g. finance and administration

Grantees reported that these improvements (Table 3) had a number of positive **outcomes**. For example:

- 14 respondents noted a higher level of **financial resilience** as a result of their improved confidence and ability to apply for and access additional funding streams. Access to additional funding has also allowed grantees to attract and employ skilled professionals, thus contributing towards strengthened staff capacity.
- Reported improvements in role clarification and management practice have also led to a number of human resource-related outcomes. For example, respondents noted higher levels of **consensus and collaboration among staff**. Together with the aforementioned increases in staff capacity and skills, respondents reported that this has resulted in improved team working.
- 7 respondents noted that their improved understanding of **gender equity practices and principles** had enabled them to develop or improve gender-related policies. These included sexual harassment policies and guidelines for gender equitable staff recruitment. As a result, two respondents noted improvements in staff gender ratios among their staff, including a higher representation of women in management positions.
- 3 grantees ascribed their adoption of a more **equitable and participatory approach** in relation to their **work with programme partners**, particularly those operating at grassroots level greater awareness of inclusion, equity and the power dynamics that often prevail in (and skew) these relationships within the development sector. Respondents noted that they were now attempting to ensure that power imbalances are recognised and addressed for constructive and sustainable collaboration.

The other important outcome is that we are thinking deeper and there are a number of lessons learned about partners and particularly women in community organisations and how the foundation works with partners. We related this to the grassroots organisations that we work with; thinking through how to have more equal partnership; how do we share power. We looked at the relationships between ourselves and our partners. (Grantee, budget transparency)

Lastly, the primary data indicates that the Hewlett Foundation's support to its grantees has also led to **improved impact**. Firstly, respondent input indicates that the improvements in planning, financial security and sustainability, and staff capacity, have contributed to expanding the **scope and reach of advocacy-related work** as well as enabling more **effective programme implementation**. This, in turn, has allowed grantees to establish **higher levels of visibility and credibility** for themselves or, as noted by one grantee, a reputation as '…credible changemakers…' (Grantee). Consequently, grantees have been able to form **strategic alliances** and have established **good relations with key policy actors and evidence users**. Two respondents felt that this is contributing towards increased uptake and use of their knowledge products.

3.7 Factors that enabled or inhibited progress

Key findings at a glance

Over the strategy period, a number of risks came into play and affected grantee programme implementation. These included financial reliance on donors; a lack of reliable and sustainable access to capacity; the COVID-19 pandemic; and changes in international and national political environments and their impact on free expression, information-sharing and civic participation.

Grantee organisations adopted a number of strategies to mitigate risks and overcome barriers. For example, several grantees took a collaborative, nonpartisan, non-confrontational approach when engaging with decision makers. Respondents also noted the ability to work strategically, leveraging one's social capital and networks to ensure good relations and regular contact with decision makers.

More generally, a number of respondents viewed the ability to work in an agile and collaborative manner as a successful form of risk mitigation. Being flexible and adaptive is an overall enabler for achieving government reform as it allows actors to respond to work effectively in changing, highly political contexts and take advantage of windows of opportunities.

Long-term, reliable and flexible funding is therefore also a key enabler, as is political and cultural sensitivity to context. Strong, locally rooted partners enabled CSOs to better engage with decision makers, and visible regional expertise and ownership made these decision makers and other partners more likely to support and take ownership of change. Local relevance and ownership also affect evidence uptake, which may be greater when research agendas are set by and respond to the needs of global South partners; where data comes from the global North, there is often a lack of trust, which inhibits use.

The foundation's support to its grantees has contributed towards risk mitigation and enabling approaches. Such support includes facilitating access to other funding streams; facilitating network-building and linkages between grantees and between grantees and other actors working in similar fields; and the provision of flexible and sustained financial and moral support – which has been particularly important in the context of COVID.

In this evaluation, questions distinguished between enabling factors, constraining factors (or barriers) and risks. However, some enabling factors and barriers are effectively two different sides of the same coin. And there is considerable overlap between barriers and risks, partly due to how different interviewees interpreted these questions and the fact that, in practice, when risks come into play, they often act as barriers.

A key reflection during the Kampala learning event is that the context in which the grantees operate matters for the *intensity* of the engagement as well as for the success and failure of TPA initiatives. While some factors within the context – such as the presence of access to information laws or growing civic space within the country – may generally signal positively for TPA initiatives, the political context in the same environment may be extremely suffocating (Kampala convening report, final).

Overall, the factors that enabled or inhibited progress towards the Hewlett TPA strategy's intended goals, outcomes and implementation markers were largely similar across all of the TPA sub-strategies and thematic areas, as were the reported risks. These affected both the ability of CSOs to engage government successfully and the ability and willingness of governments to adopt reforms.

3.7.1 Enabling factors

Long-term, reliable and flexible funding

Work in the governance sector is extremely complex and relies on strategic partnerships and alliance building. Respondents describe the Hewlett Foundation's grantmaking as being less focused than others' on the delivery of outputs, which allows grantees to focus on this critical relationship building with key stakeholders, partners and sub-grantees, rather than 'nagging them for deliverables'.

Several interviewees noted that this funding was a particular enabler for government engagement during the COVID-19 pandemic:

> *Funding from the Hewlett Foundation is core support and this gave us breathing room to draw on relationships we had built previous to the pandemic. With Hewlett Foundation support we were able to build on those relationships really quickly to have a successful coalition between a North institution, a South institution and together with government.*
> *(Grantee, field learning)*

One respondent noted that the Hewlett Foundation's prompt disbursement of funds throughout the project period, coupled with relevant guidance from the Hewlett TPA staff, enabled smooth implementation. Interviewees also frequently noted that the Hewlett Foundation's Organizational Effectiveness grant has been an enabler to making grantee organisations stronger (we discuss this further in section 3.6, on support to grantees, and section 3.9 on GESI).

Closely connected to long-term, flexible funding is the **ability of grantees to work in an adaptive and agile way**. Not only is this crucial for mitigating risk but it also means TPA actors can take advantage of windows of opportunity. This is an overarching enabler for achieving government reform.

For example, although all respondents cited the COVID-19 pandemic (and response) as a barrier to some efforts, grantees reported that they adapted by hosting online events, hiring local consultants and fieldworkers, and moving to remote facilitation methods. One interviewee reported the use of non-governmental radio stations as a means of continuing community outreach and information dissemination activities.

The pandemic also presented new opportunities and enabled stakeholders to work together to achieve a common goal. For instance, COVID-19 enabled grantees to show the value of open contracting around emergency procurement of personal protective equipment (PPE) and magnified the status of weak national health systems, providing a basis for further advocacy.

> *COVID-19 helped to demonstrate the critical value of open contracting, enabling countries and cities to plan, coordinate and buy better and empowering media to civil society organisations to demand more transparency and accountability. (Grantee, open contracting)*

The scan of the global TPA field similarly highlighted that 'COVID-19 may help make financial accountability a greater political priority, which could – if it receives enough attention – have a lasting positive effect on wider accountability systems' (OTT, 2021 unpublished: 7).

> *COVID-19 has shone a torch on how skewed the health system is against women, which only makes a stronger case for our advocacy for increased additional funding for sexual and reproductive health. (Grantee, budget transparency)*

Strong, locally rooted partners or sub-grantees

Having partners or sub-grantees at subnational level with good organisational and technical capacity for implementation – particularly for international organisations that are removed from national contexts – was often mentioned as a key enabler. Taking the time to identify the CSO partners who understand the ecosystem is key to success, as they anchor the support needed for implementation on the ground. Legal empowerment grantees emphasised the importance of having teams locally rooted in the countries in which they operate, with strong connections to the target group they are assisting. One of the grantees mentioned their approach of working in the nested system as an enabler:

> *The ability to point to enough examples of violations that we can document patterns and use as evidence base to push for change and advocate for system change and changing institutions at national level. (Grantee, legal empowerment)*

This may be particularly important given the Hewlett Foundation's multiple theme approach, which necessarily means less in-depth knowledge within an individual sector or country.

Being viewed as credible, independent and nonpartisan

Grantees reported that being seen as a credible, independent and nonpartisan organisation was a key enabler for building trusting relationships with both citizens and government. For example, Shujaaz (media), explained that being a 'trusted brand' is a critical enabler for engaging and sustaining youth as an interested audience. It was further noted that CSOs that have credibility among citizens are more likely to earn government respect. According to Hewlett Foundation staff, building this credibility requires being neutral and keeping the same messaging despite changes in government.

These findings are further elaborated on in some of the conclusions from the Mexico learning event, which are useful enablers to consider, namely that:

> *Building trust and credibility with stakeholders entails being aware and transparent with respect to possible conflict of interests and it requires strong and fluid communication channels.*

> *Trust is not a virtue but is a consequence of our work. When working with communities or local level organisations, we must be very aware that we are not utilising them to extract information or that we are exploiting them for our own purposes. We need to avoid the 'they came, they researched, and they left' scenario because this destroys trust and credibility. (ITAD, Hewlett Foundation Learning Event, Mexico)*

These points were echoed during the interviews. Within the media thematic area, using the right channels of communication is a critical enabler. For example, Shujaaz is shifting to online as digital is the 'new normal', particularly when engaging with young people. With the increase of access to smartphones, grantees have improved their communication and reach to their constituency via WhatsApp and social media, but this raises new challenges related to the threat of disinformation (Hewlett TPA staff member).

Engagement with multiple stakeholders at national and subnational levels

This is a key enabler for eventual evidence uptake and changes in policy and practice. It includes working at different levels, with multiple stakeholders simultaneously, engaging decision makers while also building citizen capacity to demand change. In the open contracting sector, this would include working with government officials at both national and subnational level. This is a more sustainable way to increase use of procurement data as effective procurement and service delivery become more closely linked.

Getting parliamentary support is a further enabler here and some respondents report bringing them on board as an implementing partner. As one respondent states:

> *The more the parliament was involved the better the results were and [the government] buys into things. (Grantee, open contracting)*

Similarly, the Mexico evaluation found that the foundation's contribution to engage more diverse organisations that work closer to the grassroots responding to an identified need was an enabling factor (OTT, 2021: 30). As we discuss in section 4.2 on spatial focus, however, working at multiple levels also presents a number of challenges.

Successful stakeholder engagement in turn relies on knowing the correct channels to use; respecting authorities at all levels; and building capacity for civic engagement. It is also more effective when it addresses demand from communities (though creating community demand for and generating interest in engaging in budget transparency and accountability work can be challenging).

Taking a collaborative, participatory and capacity-building approach

Implementing participatory processes when engaging relevant stakeholders is an enabler for success as it facilitates greater buy-in and support along the policy influence continuum. Collaboration and the existence of an established partnership between grantee and stakeholder influenced evidence uptake and use. For example, a representative from the TJN-A indicated that due to the partnership and memorandum of understanding they have in place with the ATAF, they tend to use ATAF research a lot. The same was noted for FOWODE and the Uganda Equal Opportunity Commission, who have had a long-standing relationship since 2010. Within the learning sub-strategy, decision makers set the research agenda from the outset thus strengthening the likelihood of evidence uptake.

When working in the open contracting sector, a collaborative approach when engaging the procurement authorities is a critical enabler which increases the chance of implementing open contracting in line with global norms.

> *This is what I will call a 'constructive engagement approach'. Not activist approach and this makes them less defensive. We discuss with them how we can support them. (Grantee, open contracting)*

Signing memorandums of understanding with relevant government officials and regulators to hold each other accountable is further enabler for both multi-strategy and open contracting thematic areas.

The majority of Hewlett Foundation staff concur that those grantees who are finding ways to work with policymakers in government that gets their buy-in tend to be more effective (insider approach):

> *Without this, you just push them and berate them – this does not lead to change. Engaging directly with government and putting systems and*

structures in place to inform policies is very critical – grantees who work with governments tend to be more successful. (Hewlett Foundation staff)

On the other hand, progress can be inhibited when grantees are 'too collaborative' in their engagement with government (see next section on inhibiting factors).

When engaging with government, there is a tension between our roles as watchdogs and the need to negotiate and engage as an ally. This is very complex, and it entails a constant need to question our assumptions, strategies, and those of others. (ITAD, Hewlett Foundation learning event, Mexico)

Overall, government behaviour is outside of grantee control, thus requiring an approach that is able to read the context and navigate carefully along the continuum of confrontation and collaboration based on the context (Hewlett Foundation staff).

Being considerate of political, cultural and religious sensitivities

As one grantee explained, TPA is 'so politically charged'. Respondents noted that being sensitive to this tension is a key enabler for TPA efforts:

Even though we are nonpartisan we recognise that the context in which we operate is so politically charged – when you mobilise citizens it creates discomfort in the leadership and you need to make sure you engage with leadership and there is buy in so you don't cause anxiety. (Grantee, field learning)

Similarly, respondents working in the media sector noted **cultural and religious sensitivity** as a particular enabler for engaging citizens:

You have to gain acceptance (there are) conservative views based on religious and cultural practices ... health infrastructure is owned by religious institutions. (Grantee, Uganda, media)

When building strong regional networks and engaging at different levels, this understanding of and sensitivity to context can demand a considerable amount of time, given the vast differences in political, social, cultural and religious environments.

Linking with regional and international networks

Creating linkages between the national level and regional and international networks was highlighted as an enabler across all sub-strategies. This broadens the scope and outreach capabilities of an organisation and is particularly relevant when working in a new thematic area such as water integrity or open contracting as it creates an enabling environment for government reform.

In the extractive sector, grantees have successfully established good partnerships with institutions like the EITI secretariat and ECOWAS. Furthermore, increased collaboration with peer grantees in the extractive sector was seen as an enabling factor.

Within the learning sub-strategy, those grantees that are linked to networks are able to share their research findings and practices more broadly, also creating an enabling environment for governance related issues.

Enablers for a strong, coalesced network include: strong governance structures; secretariat support; and having a joint advocacy strategy designed collaboratively amongst network partners.

Visible regional expertise and ownership

Within the tax and budget transparency themes, having *regional* technical expertise (as opposed to expertise from the North) creates a sense of ownership for national members, which is an enabler for progress:

> There is a sense of ownership by members of the organisation as it is a network of senior budget and debt management government officials. They have a comparative advantage in that it is African owned; it was grown in Africa and the strategic direction that is taken is informed by those that stand to benefit from the outputs of the network. (Grantee, budget transparency)

However, because many grantees rely on funding from developed countries they are limited in the extent to which they can set and pursue their own priorities:

> We have to follow the agenda of the North on what is best for Africa as we rely on funding from the developed countries. (Grantee, tax)

The visibility and power of certain actors over others is in fact a barrier to the effectiveness of some grantees:

> The space is occupied by powerful players like the World Bank, the IMF and other bilateral programs who work with the ministries of finance in a particular way where it is driven by consultants. That has contributed towards the following unintended consequence that sometimes inhibits our work, namely that officials start to think that change and reforms are meant to be externally driven by experts flying in from Washington. (Grantee, budget transparency)

OTT Consulting

Communicating the links between transparency, participation and accountability

Within the open contracting sector, TPA is used as a framework for enabling change:

> There is a linking of the concepts – you need to start with transparency of information, then participation (of citizens) to make use of the information, and then the public sector should be accountable. That is moving from disclosure to impact – we need to link the concepts. (External stakeholder, implementing partner)

Hewlett Foundation staff raised the concern that the focus of the TPA strategy implementation has been skewed towards transparency with the idea being that when information becomes available, then things would change.

> We are good at transparency but (we have) not solved the participation and accountability and it is because it is linked to policy. (Hewlett Foundation staff)

Efforts have been made to include more focus on *participation* to strengthen government responsiveness including a shift away from funding INGOs towards funding more in-country NGOs in the global South. However, it was raised that Hewlett Foundation staff support multiple approaches to citizen participation and thus it is open to interpretation by each individual team member. This results in funding of 'different ideas' without being sure about whether it leads to the outcomes the team is wanting to achieve.

Making sure research and evidence is credible, relevant and use-focused

Making knowledge materials easily accessible was a key factor in evidence use. Grantees have made efforts to ensure their research can be understood and used by the public and other stakeholders and have adopted various sharing strategies. These have included producing open-source knowledge materials, uploading resources to accessible online platforms and knowledge hubs, and ensuring widespread distribution at important events such as symposiums, workshops and policy events.

Trust in grantee research is another important factor. According to one of the interviewed external stakeholders, decision makers are most likely to use research and evidence from a trusted and credible knowledge resource. Women in Informal Employment: Globalizing and Organizing (WIEGO) was noted as an example of an organisation that decision makers consider a partner and centre of knowledge and resources. Government ministries and trade unions used training materials produced by WIEGO, for example. Publication in major world publications and established journals also increases trust in grantee research.

The scan of global trends in the TPA field noted that 'research on or used in the global South lacks expertise or input from Southern researchers and instead is often conducted by Northern academics and Northern-headquartered international organisations' (OTT, 2021 unpublished: 6). Where researchers proactively engage practitioners and policymakers in the global South – like the PRG (UCLA) project with Sierra Leone's National Mining Authority and work by PASGR – research agendas are more likely to be determined by these global South partners and more likely to be relevant to their needs. This generates greater buy-in:

> *One part is because research is driven by global South partners. This is why we have buy-in and help them answer questions they have. We recognise that we are helping them in the policy research that is pertinent to them – they brought this idea to us to say they want to focus on this topic in their country. (Grantee, field learning)*

Academic institutions in the North mention that they should 'not put papers first'; viewing research as a 'public good' is thus an enabler. However, as one interviewee noted:

> *Research cannot be a public good until it is applied, translated and useful – this builds trust and credibility with your partners. (Grantee, field learning)*

This was echoed during the Kampala Learning event which added that:

> *Evidence can be a powerful advocacy tool when it is relevant and easy to understand for community members, particularly those who are affected by the policy in question. (Kampala Convening Report, Final)*

3.7.2 Inhibiting factors

The shift towards nationalist, populist and isolationist politics (and closing civic space)

Interviewees noted a shift in global politics towards nationalism, isolationism and populism, and argued that this has contributed towards a climate of suspicion and, at times, even antagonism towards civil society actors – particularly those arguing for greater accountability, good governance and the protection of civil liberties.

Although levels of political opposition and civil society restriction vary from one country to the next, interviewees noted that it encumbered their efforts in the following ways:

- Limited levels of information sharing between political and civil society actors – this was noted particularly in relation to fiscal matters.
- Linked to limited information sharing is the restriction of public access to information as well as the introduction of restrictive legislative frameworks related to civil society organisations and actions, as well as the press and social media.
- Some cases of limited levels of participation by key decision makers in evidence dissemination and discussion – this, respondents noted, contributed to limited uptake and utilisation of evidence by these decision makers and policymakers. This is despite out earlier findings that showed a general increased uptake and use of knowledge by decision makers.
- Lastly, in light of all of these things, the creation of an often weak and fragmented civil society.

To overcome this barrier, organisations often adopt an insider/outsider approach to advocacy, which one respondent describes as:

Keeping a foot in the door when the windows are closed.
(Grantee, field learning)

The COVID-19 pandemic and response

All respondents cited the COVID-19 pandemic (and response) as a barrier to engaging collaboration partners, government or other institutions that grantees wanted to influence. Social distancing requirements and travel restrictions hindered the hosting of events and face-to-face engagements, and drastically curtailed grantee access to key stakeholders at local, national, regional and international level. Research activities had to be delayed or postponed, despite the phasing in of online/remote work options and an increased use of local consultants.

Another barrier associated with the COVID-19 pandemic was the move by a number of governments towards an authoritarian response to dealing with the health crisis through restrictions on movement and increased policing. This further exacerbated the challenges outlined under political environment, as the following quote illustrates:

There are huge problems working in transparency, participation and accountability because this is not the mood right now for governments to allow a lot of this. Many governments are becoming populist and the space for organisations to demand transparency and anti-corruption is closing. Participation is being threatened in such a real and upsetting way. A lot of organisations are facing difficult legislation with laws that restrict them and their movements. COVID-19 has exacerbated this and it is not getting better. (Grantee, legal empowerment)

Grantee financial and capacity constraints

Financial constraints were directly linked to two external factors – namely, the COVID-19 pandemic, which has required the re-prioritisation and diversion of funding to COVID-19 response mechanisms, and the rise of nationalist and populist politics, which grantees felt contributes towards re-prioritisation as well as contraction of funding. Grantees also noted that their reliance on donor funding also presented a risk to their operations (see following section).

Enabling activities, like multiple-level engagement, are time consuming and requires substantial resources which are often in short supply among CSOs:

> *Building strategic alliances as a means for credibility and engagement means that organisations invest a lot of resources in time and money to sustain them. Time and money that we do not factor in when designing a project because it is difficult to determine how much this [engagement] costs. (ITAD, Hewlett Foundation learning event, Mexico)*

Respondents also noted a number of risks associated with capacity. These include limited access to staff with the relevant qualifications and levels of experience and expertise required for research and advocacy interventions. Additional risks include being able to retain well-qualified staff who are often in high demand. Challenges associated with staff retention during periods of limited funding and budget cuts were also noted.

Lack of government capacity to respond to citizen feedback

One lesson shared at the Kampala learning event is that pressurising and engaging in dialogue with local government using TPA work is not enough; the government must be sufficiently capable and willing to respond. Some organisations have therefore chosen to limit citizen feedback to the areas where there *can* be government response. This reduces frustration and increases the possibility of effecting change.

Systemic inequalities and the global South/North divide

Within the field-learning thematic area, one external stakeholder noted that a major barrier to evidence uptake is the lack of trust for data produced in the global North. A reason given by one African researcher is the history of colonisation and systemic inequalities which widens the gap between North and South:

> *It may be because they have an inferiority complex – they feel they can never match up to the experts from the West. I don't think there is any common ground yet – there are systemic reasons for this. (External stakeholder, field learning)*

The TPA field often fails to acknowledge or recognise contributions from the global South to the same degree as those from the global North. Interviews with North-based grantees reveal that they are aware of this divide and are making efforts to address it.

> *Our counterparts are making globally relevant contributions or innovations but they are just [country name] groups, or other, but located in the South. But if it was us, being in the North, would be more recognisable as contributing to the field. (International grantee)*

Lack of enabling legal and policy environment

In some sectors, the lack of legislation and policy in many countries does not create an enabling environment for change. This is true for the open contracting sector, where there is no legislation or policies in place to guide procurement processes resulting in them remaining opaque, complex and antiquated. This, in turn, makes it difficult and expensive to put online e-Procurement systems in place which is further exacerbated by low-tech environments with poor internet connectivity.

Social and political norms

Social and cultural norms were noted as a barrier by only two interviewees. However, we include this here given their potential impact on women's participation and perceived levels of credibility within the advocacy and policy engagement space. (This particular barrier was highlighted by grantees working in the gender sector.)

3.7.3 Risks that came into play

The TPA strategy identified two broad threats to implementation:

> *First, space for civic action is shrinking around the world, and restrictions on civil society organizations are increasing. [...] The second challenge comes from uncertainty about whether and to what extent lessons garnered from one setting at one time can be used to inform decisions in another setting at another time...*

This first risk – the shrinking civil society space – did play out over the strategy period (see also the scan of the global TPA field (OTT, unpublished January 2021)). We discuss this under 'Changes to the international and national political environment'.

A number of other risks also came into play over the period and affected grantee programme implementation. No clear patterns emerged in terms of which risks most affected particular

grantees or thematic areas; all of the risks discussed in this section appeared to affect grantees across the field.

Changes to the international and national political environment

Given the nature of grantees' work in TPA, it is unsurprising that the political environment should be the most frequently reported risk factor (24 of 45 interviewees). However, the ways in which this particular risk plays out and affects the work of grantee organisations were myriad and multifaceted.

For example, the extent to which civic space is open in each country is a predictor for success: it is obviously easier to operate in countries where the government is open and willing to engage; and much harder to voice dissent and mobilise for policy reform amid the threat of arrest and prosecution.

From a stakeholder engagement perspective (which respondents cited as a key enabler), a changing political landscape in some countries also leads to regular changes in government administration, making it difficult to build longer-term relationships with government officials and slows down the pace of change.

Shifts in the international political environment also present a major risk. For example, respondents noted that the Trump administration in the US had a negative impact on the extractive and tax sectors as some enabling legislation was changed and the administration created hostility towards some of the grantees.

Financial dependence on donors

Ten interviewees highlighted low levels of financial resilience and donor dependency as key risk factors to their operations. For example, as already noted, some donors have shifted their focus away from particular themes and therefore funding to these areas is now more limited.

Grantee's limited reliable access to appropriately qualified staff

Sustained access to well-qualified staff is an important risk factor to consider going forward, particularly for those organisations that are volunteer based. For example, one interviewee noted that volunteers often lack the necessary skills but, once capacitated, may leave their volunteer positions to seek paid employment.

The COVID-19 pandemic – and future health crises

As discussed under enablers and barriers, the COVID-19 pandemic and resultant lockdowns presented a number of challenges to grantee operations (9 interviewees).

3.7.4 Mitigating risks and overcoming barriers

Grantee organisations noted that they have mitigated these risks in different ways. A high number of interviewees viewed the ability to work in an adaptive and agile manner as a successful form of risk mitigation. Many described the need to take a 'flexible approach' to their work – that is, being open to change and adapting your advocacy strategy as the context changes and when new opportunities arise.

Here, the advantages of collaboration and working in partnerships or coalitions were emphasised. Such strategies serve to broaden grantee reach and facilitate access to additional skills, thus also addressing capacity constraints as well. In providing flexible financial and moral support, facilitating grantee network-building and introductions to other funders and TPA actors, and sharing information with grantees on additional funding options, the Hewlett Foundation contributes positively to these risk mitigations.

The Kampala learning event confirms the need for grantees to adapt or die:

> *TPA work requires a high level of adaptability when timing and context changes. Sometimes change arises from sporadic events within the socio-economic and political environments. Such events can act as catalytic or regressive moments. When such events happen the TPA actors and/or movements must respond in a highly adaptable manner to minimise adverse effects. It is all about timing… the ability to take advantage of opportunities that sporadically arise is imperative.*
> *(Kampala Convening Report, Final)*

In terms of working in restrictive political environments, the adoption of a nonpartisan, collaborative and non-confrontational approach was seen as a good mechanism for encouraging and maintaining dialogue with key decision makers.

As one interviewee said, it is not always necessary to '… make a noise when trying to move decision-making…' (Grantee, service delivery monitoring). Rather, it is important to work strategically, leveraging one's social capital and networks to ensure good relations and regular contact with decision makers.

Three interviewees noted the adoption of a demand-driven approach to research and evidence generation as a risk mitigation strategy. This, it was argued, ensures that knowledge products are relevant to the needs of those that you are seeking to inform and influence, thus encouraging evidence use. The need to ensure that one's research was rigorous and that the information generated was perceived as being credible and of good quality was also highlighted during interviews.

3.8 Extent to which the TPA strategy assumptions remain valid

Key findings at a glance

The Hewlett TPA team worked extensively with the ITAD team (as part of the formative evaluation of the TPA strategy) to extract the assumptions underpinning the TPA strategy, the sub-strategies and the theory of change. It is difficult to categorically state whether the assumptions are (still) valid or not as this is context-dependent, but the evaluation team has found pockets of evidence showing that most of the assumptions (10 of 13) are still valid. In response to the separate question, on governance structures, grantees confirmed the governance sub-strategy assumption that local governments were restrained by central governments in their response to new ideas and that real impact required engagement of national governments. Overall, we recommend that, for future strategies, each assumption is clearly defined and distinct, and is monitored on an ongoing basis to ensure that they remain valid as contexts change.

The Hewlett TPA team worked extensively with the ITAD team (as part of the formative evaluation of the TPA strategy) to extract the assumptions underpinning the TPA strategy, sub-strategies and theory of change.

We asked Hewlett TPA staff if, knowing what they know now, these assumptions are still valid, and we asked grantees about the extent to which their own assumptions held true during implementation. Many grantees and some TPA staff members did not feel they could determine the validity of the assumptions yet. This was in part because results take time to show and, in part, because respondents lacked sufficient evidence to make such assessment. Despite this reluctance, however, the evaluation did identify a number of examples that provide evidence that some of the assumptions are still valid.

The evaluation team grouped assumptions together where we found they were similar:

- Assumption 5 was grouped with assumption 6;
- Assumption 8 was grouped with assumption 10.

During the grantee engagement the participants were asked to rate and comment on whether four of the assumptions (2, 3, 4 and 8/10), which the evaluation team had limited evidence on, were valid. The analysis is below together with the analysis provided by the evaluation team. As a caveat it should be noted that it can be difficult to categorically state whether an assumption is valid or not as it is very context specific.

Assessing assumptions for validity is also ambiguous. For example, some respondents answered valid or not valid according to whether they agreed or disagreed with the truth of the statement. Where the answer was 'not valid', it was not always clear whether the respondent was

disagreeing with the statement itself or with it being a prerequisite for advancing TPA (and would therefore still be a valid assumption for TPA work).

However, the evaluation team has found pockets of evidence showing that most of the assumptions (10 out of 13) are still valid. We recommend that, for future strategies, each assumption is clearly defined and distinct, avoiding composited assumptions – that is, where an assumption consists of a number of assumptions. Also, each assumption should be monitored on an ongoing basis to ensure that they are still valid as the context changes.

Assumption 1: **Governments and other powerful actors (e.g. business) can be incentivised by the actions and pressure of CSOs to adopt and implement norms.**

The evaluation team found that this assumption is **valid** as a number of grantees were able to influence government to adopt and implement norms. For example, TJN-A's network used litigation and evidence-based advocacy to encourage (and in some cases compel) the governments of Kenya, Senegal and Zambia to revisit and renegotiate their double tax avoidance agreements with Mauritius. Likewise, in Ghana, the advocacy for and support to public institutions by AFIC to implement their open contracting commitments in the OGP National Action Plans has led to improved disclosure of the commitments (AFIC, 'Final narrative report', 2020). Also, more than 50 governments in Africa have through the support of OCP incorporated open contracting into their OGP action plans and reforms.

Assumption 2: **Governments have capacity and resources to implement the global norms they adopt.**

This assumption was assessed by grantees in the grantee engagement sessions and the vast majority (27 of 32) said that this is **not a valid** assumption. While some of the grantees argued that government might have the capacity and resources but not the political will, others said that they do not have the capacity and some of the grantees is providing technical support to government to implement the norms adopted (e.g. AFIC and Development Gateway have strengthened government's capacity to develop databases that capture and publish data about open contracting).

Assumption 3: **Government and others (e.g. from donors) collect information that is reliable and accurate and make this available in a usable way. Citizens accept the information is reliable and accurate and are able to use it in initiatives to hold government to account (particularly public expenditure information related to service access and quality).**

Due to time constraints this assumption was only assessed by the first group of grantees in the grantee engagement, where the majority (12 of 18) said that the assumption was **not valid**. Grantees pointed out that this assumption comprises several assumptions. Firstly, that the

government collects reliable and accurate information; secondly, government makes it available to citizen in a useable manner; and thirdly citizens accept the information as reliable and accurate and they can use the information. Grantees said that this assumption is far too complex to be valid and this is an area where they provide their main intervention:

> *I answered 'No' as this is why a lot of us do what we do. There might be cases of accurate data collection but a lot of time there is not. (Grantee)*

Assumption 4: Citizens have capacities and resources to generate reliable accurate and accessible information; citizens are motivated to generate information; government accepts information is reliable and accurate.

The majority of grantees engaged (18 of 29) in the grantee engagements said that this assumption is **not valid**; some (7 of 29) said it is valid. Again, this assumption is context dependent. For example, in Tanzania it is illegal to use any data source that is not an official data source. Understanding 'citizen' to be a group of targeted citizens, some grantees have worked with, for example, community groups to generate reliable data – particularly during COVID-19 – which the government accepted. One grantee based in Africa said that it is far too time consuming to train citizens and often data is collected together with experts to ensure that it is reliable and hence sustainable.

> *Context is very important with this kind of question. In this part of the world, we do have instances where organisations have the capacity and this type of data, and on the flip side we have the government who would not accept this data. But we also have government who believes most data collected from civil society is to go against their achievements. And we have civil society organisations who don't have adequate resources and capacity to collect this kind of data. (Grantee)*

Assumption 5: Government has the incentive to listen to citizens requests; government has authority, capacity and incentive to make changes to improve service delivery.

Assumption 6: Government responds positively and delivers improved and equitable services that meet citizens' needs.

The evaluation team found that there was some evidence that these assumptions are still **valid**. For example, in Accra, Ghana, as a result of WIEGO bringing informal workers and local government together, municipal authorities lifted the toll for informal traders at the market and provided childcare facilities at *kraal* markets. Likewise, in Kenya, the Water Regulatory Board confirmed that WIN has influenced policy and service delivery in the water sector at both national level and county level and hence people in rural areas are receiving water. However, one lesson shared at the Kampala learning event is that pressurising and engaging in dialogue with local government using TPA work is not enough; the government must be sufficiently capable and willing to respond, as discussed in section 3.7 on enabling and inhibiting factors and risks.

Assumption 7: Channels for constructive citizen engagement with government can be identified, constructed and learned; making use of information can be an important part of citizen's constructive engagement.

This is another example where the assumption consists of two assumptions, namely: channels for engagement can be identified, constructed and learned; and that making use of information is important for citizens' engagement. However, the evaluation team found evidence that this assumption is **valid**. For example, MIT GOV-LAB and the Institute for Governance Reform worked with the government of Sierra Leone to conduct rapid-response surveys to address COVID-19. Early results shared with the government were taken up by the Presidential Taskforce on COVID-19, and the results of this survey were used in combination with other evidence across government and from partners to design Sierra Leone's lockdown framework. Furthermore, WIEGO has supported efforts to ensure waste collectors in Dakar are on the monitoring committee for dump closures (to ensure that workers' concerns are taken seriously); and, in Mexico City, has facilitated collaboration between waste pickers and the Ministry of Environment. Waste collectors use statistics which has been compiled by WIEGO.

Assumption 8: Government will listen and responds to citizens who constructively engage with them under the right conditions and these conditions can be identified/learned.

Assumption 9: Government will listen and respond to citizens who speak and act collectively and this will produce a sustained engagement between citizens and government.

The overall majority of grantees (28 out of 30) in the grantee engagement said these assumptions **valid**, despite that it was also acknowledged that the space of civil society is closing down around the world. Many of the grantees' strategies are to facilitate that government will engage and listen to groups of citizens. Some of the grantees emphasised that 'under the right condition' carries a lot of weight and they struggle to engage any local leaders.

Likewise, the evaluation team found evidence that these assumptions are valid. For example, WIEGO has supported efforts to ensure waste collectors in Dakar are on the monitoring committee for dump closures (to ensure that workers' concerns are taken seriously). Furthermore, the Hewlett Foundation provided general operating support to IBP. As part of IBP's activities, the Chief Procurement Officer in the National Treasury in Kenya invited the IBP-coordinated network of CSOs working on procurement to propose clauses on transparency and participation for the upcoming Supply Chain Management Bill.

Assumption 10: With ability, motivation and the right conditions (e.g. supportive environment; sufficient time and resources), citizens will join together to express their interests and take action.

This assumption was found to be **valid,** particularly if citizen groups could see the value of joining together. This might require awareness creation or training in the communities. For example, in Senegal CICODEV's citizen education on local health facilities and universal

healthcare and its training of community members in health financing and how to influence health policies has led to community groups joining together and facilitated an increase in the number of people enrolled in health insurance MEFS. Likewise, ONG-3D's efforts to improve women's participation in local budget developments has led to women coming together to ensure local government budget transparency.

Assumption 11: The Hewlett Foundation is able to identify a sufficient number of CSO grantees with capability and networks to facilitate results.

This assumption is **valid** as the outcomes in section 3 clearly show that the Hewlett TPA team is able to identify sufficient number of CSO grantees who have been able to facilitate results.

Assumption 12: CSOs/grantees can build partnerships (trust and respect) with citizens, citizen groups and other CSOs; avoid being captured by elites; not compete with each other for resources.

The evaluation team found evidence that this assumption is **valid**. For example**,** Oxfam America (women in extractives) established a regional platform of women organisations working in the extractive's sector, human rights, security to harmonise advocacy efforts around a common action plan. They also formalised participation of women's groups in high-level decision-making processes, including invitation to join the ECOWAS geo-extractive forum. Likewise, FOWODE in Uganda increased women's participation in budget processes.

Assumption 13: CSOs/grantees are capable of developing tactics in relation to analysis of context (political/economy/cultural) and monitor and evaluating their effectiveness, learn and adapting their tactics accordingly over time to increase the chance of success.

The evaluation team found evidence that grantees are able to develop tactics to analyse context and hence this assumption is **valid**. For example, CICODEV in Senegal conducted household surveys to determine people's knowledge of universal healthcare and to identify the barriers to membership in health mutual. They also produced information and facts for citizen observatories that they can use for citizen education. AFIC's capacity-building interventions led to enhanced knowledge and awareness of open contracting principles and commitments among its five in-country implementing partners. This has in turn increased the monitoring of open contracting commitments made by various national stakeholders in Ghana, Kenya, Malawi, Nigeria and Uganda (AFIC, 'Final narrative report', 2020). Furthermore, the findings in section 4.3 on monitoring, evaluation and learning (MEL) show that most of the grantees are successful in establishing MEL systems.

3.8.1 Extent to which the strategy's assumptions about governance structures held true at country level

The evaluation team was unable to provide a comprehensive analysis on this question as we were unable to pin down exactly what this question was asking (beyond what has already been explored) and we had insufficient external evidence to elucidate this question. However, the governance channel sub-strategy states that national government constrain local government in making a substantive change to service delivery because the larger legislative influence lies with the national government. Grantees from the learning sub-strategy confirmed that local governments were restrained by central governments in their response to new ideas and that real impact required engagement of national governments. This indicates that the assumption holds true.

3.9 Efforts to advance gender equity and social inclusion

Key findings at a glance

The Hewlett Foundation TPA staff spent considerable time and effort building their own capacity in the area of gender equity and social inclusion (GESI) – and grantees noted the particular role of programme officers in helping them to advance GESI goals. The inclusion of women and under-served groups in Open Governance remains a challenge. The Open Governance sector co-exists within political and socio-cultural ecosystems that historically excludes marginalised groups.

Responses by external observers suggest that Hewlett TPA team are prepared and able to ask gender-related questions of grantees, to either provide support or to ensure maximum participation of target or marginalised groups.

The Hewlett Foundation's TPA strategy set out to challenge gender-blind approaches and to identify bias, gaps and spaces for interventions in the TPA grantmaking field. Proponents of social accountability want to believe that it is aligned with the objectives of gender transformation and is able to fill the gaps of including the voices of excluded groups. The field of social accountability has developed a wide range of approaches including: citizen monitoring and oversight of public and private sector performance; user-centred information access and dissemination; public complaint and grievance systems; citizen participation in decision-making, and resource and budget allocation (Hepworth, 2016).

The TPA team initiated several efforts to promote diversity, equity and inclusion (DEI) through its grantmaking. They supported efforts to sustain women's ongoing participations and enhance the voices of women and marginalised groups, and they made substantial contributions to initiatives started by the women. As indicated in the Mexico evaluation report, this developed further in 2013 when a new programme officer with a strong feminist background and interest joined the Mexico office (OTT, 2021 forthcoming: 12). The TPA's DEI strategies fed into the

2018 processes when the Hewlett Foundation made a formal institutional commitment to promote DEI. The Gender Equity and Governance program (GEG) embarked on a process to build trust and a shared understanding of these issues among staff and to clarify its approach to staffing and recruitment. GEG, consisting of five sub-teams including the TPA team, formed a task team to create an internal learning environment in which to discuss DEI in international grantmaking.

The task team considered DEI both in relation to an organisation's leadership, staff and internal practices, but also to their mission, activities, geography and relationships with partners and communities. GEG colleagues **generated learning questions for staff**, possible questions for grantees and data sources for continued growth and learning about DEI. The Program then provided guidance to its staff on how to structure a process and questions to ask about **integrating DEI in new grantee searches**.

The Hewlett Foundation **convened learning events for existing grantees**, focusing on DEI, and the TPA staff conducted a mini survey to generate a list of possible observable DEI features as identified by grantees. They reached out to 11 grantee organisations across all GEG areas with the following two questions:

> *Question 1: We want to learn from you very briefly whether DEI is a relevant consideration in your organization and your work? Specifically, thinking of your staff, the board, your recruitment practices, the populations you serve etc. do you do anything to promote DEI? A one or two sentence response would be perfect.*
>
> *Question 2: What are some of the observable DEI features in your context? (some observable features we consider are gender, race, disability etc.). I would appreciate it very much if you could list the observable DEI features in your organization/context.*

In their responses to the foundation, almost all grantees reported that DEI was an important consideration in their work. DEI observable features included gender, region, nationality, HIV status etc., and spanned staff, boards, advisory committees and, to a lesser extent, the target 'beneficiaries'/populations served by grantees' work. However, there was a general acknowledgment that the three elements of DEI did not receive similar levels of attention (GEG, 2018). These and other initiatives resulted in the development of various **guidelines and toolkits** for programme officers.

Programme officers also used the **Organizational Effectiveness Grant Program (OE).** These grants can be used for internally facing needs, such as recruiting and retaining a diverse

staff and building an inclusive culture; or for externally facing needs, such as ensuring the organisation's work incorporates the perspectives and experiences of the underrepresented communities it is trying to serve (Hewlett Foundation, 2019). According to TPA staff, GEG spent $1.8 million on OE grants in 2020: $1.47 million on OE, and $330,000 on OE-DEI specifically.

Of the 89 Organizational Effectiveness grants disbursed by the Hewlett Foundation's TPA team between 2014 and 2020 (23% of the total), only two focused specifically on GESI.

> *We used the special grant: we aim to ensure that diversity equity and inclusion are woven into the organization's ethos and is reflected in all facets of our organizations functions, policies, and procedures. (Grantee)*

GESI-specific grant support was also provided through general Project Support grants for 18 projects. Most of the total amount granted (70%) was in the extractives theme (with the remaining 30% split between field learning, legal empowerment, service delivery monitoring and budget transparency themes) (grant data analysis, 2021). TPA staff and GEG colleagues undertook detailed engagement and planning around DEI, which resulted in a shared, heightened understanding of the concepts and the development of toolkits for engagement with existing and new grantees.

Our review of internal memorandums, learning event agendas and reports, draft terms of reference for the task team, draft guiding documents and other documents pertaining to DEI suggests that the Hewlett TPA team invested significant time **working through the DEI issues and developing agreed understanding of what and how to communicate to diversity and gender related issues and concerns with grantees**. The Hewlett TPA strategy highlights the issue of gender inequity in its sub-strategies (fiscal transparency; service delivery; governance channels; and field learning), developed in 2017 and 2018, from which point on (and after engaging with international agencies) the team started using the more internationally recognised term gender equity and social inclusion (GESI).

Most of the grantee respondents (70%+) interviewed indicated that the operationalisation of GESI initiatives in the Hewlett TPA strategy was strong on women's participation. One interviewee indicated that the success was more limited when it came to the inclusion of other marginalised groups such as people with disabilities, sexual minorities and other excluded groups. This, according to the interviewee had much to do with the nature of the extractives industry that was dominated by males. The TPA team's ability to encourage the participation of women and to ask pointed questions in this regard was echoed by several grantees and other interviewees.

One co-funder noted that Hewlett Foundation TPA staff were good at asking the right questions about what interventions mean for women and girls in certain policy issues, and said that the Hewlett Foundation's TPA programme had a strong women's participation component (though she was unable to provide details), but she couldn't comment on other inclusion aspects, such

disability and other marginalised groups. Given the limited evidence of outcomes that advanced the position of marginalised groups *beyond* women and girls (or along gender lines), as we set out earlier in this report, this may suggest that little progress has been made in taking a broader, more intersectional approach (even since the GEG review of DEI in 2018).

TPA staff suggested that incorporating a gender lens and pushing forward a more feminist approach to governance allowed for more shifts in policies and organisational perspectives. A co-funder interviewed indicated that gender and equity issues are intertwined and there was a need to embrace intersectionality as it is a reminder that context matters and that race, class and gender are interlinked.

> *I would prefer an intersectional gender lens integrated to how we work not into on the side but central to what we do I think the feminist approach is necessary but we must all work and should be informed by perspectives that accommodate all the nuances and interests of women across the globe. There are differences between all the feminisms, there are so many schools of thought. Yes, I believe that representation matters but it should not be the one woman that speaks for all women in a big company of men.*
> *(Co-funder, SSI)*

The respondent's plea for a more intersectional view of gender did not comment directly on the achievements or lack of achievements of the TPA strategy but indirectly alluded to the expected nature of participation by marginalised groups as well as how GESI initiatives are operationalised.

3.9.1 Grantee efforts to improve engagement between systematically oppressed groups and government

The majority of the grantee respondents interviewed (over 80%) indicated that they do have GESI goals or, if not, that they observe principles and values that embrace GESI.

> *I can only speak for the activities under the centre where we are streamlining and adopting approaches that ensure that equity is one of the issues we focus on – we are also able to do a number of studies about gender and what we do going forward is to see how the work we do – when we speak about transparency and accountability – how does it support equity, inclusion. (Grantee, SSI)*

This feedback locates equity and inclusion at the core of transparency and accountability, and alludes to an increased number of studies focusing on gender.

A formative evaluation of the TPA strategy during 2018 found that grantees experienced difficulties to develop appropriate strategies for including and enabling marginalised groups to participate in governance channels (ITAD Evaluation Study, 2018).

As we discuss in the outcomes section of this report (section 3), some grantees, particularly in extractives, had a deliberate and intentional GESI focus (though this was almost exclusively on gender, women and girls) and some had an in-built focus – for example, legal empowerment, which by definition focuses on groups whose voices and rights have been overlooked, side-lined or oppressed. For other grantees, outcomes that advanced the capacities and opportunities of systematically oppressed groups in TPA were still largely incidental.

> *On gender and equity we have a long history of this in our country and we have many tools and done a study on gender budgeting and a manual on gender in local government and also reviewed the approach of equity to analyse gender responsiveness budgeting. The Hewlett Foundation support and capacity building provided us with something unique and different – considering marginalized groups – this training was in 2018. (Grantee)*

Some grantees pointed to their ability to increase the participation of marginalised groups. For example, the organisation of a 'tax and gender' workshop resulted in more interest from female participants and gender issues/content have been incorporated into the training programme. One co-funder mentioned that ONG-3D, provided significant support to women in their region:

> *They have done a lot of training for women at local level. A lot of peer-to-peer training. They invited women from rural areas to come to Dakar to share their experience on budget and representation. So this approach was very good. ONG organized a lot of TPA support to talk about and deal with access to information – health education and women – they share a lot of information on TV and media. (Co-funder)*

The peer-to-peer approach was successful because the women realised that participation was about having the power to support themselves socially and economically. In Senegal the involvement of women is legislated but this does not necessarily translate into genuine participation. Senegal has taken steps to promote women's rights by adopting constitutional measures such as the Convention for the Elimination of All forms of Discrimination Against Women (CEDAW). Women continue to face challenges and systemic difficulties. The widespread use of French (language) in institutions of power is also a barrier for some women who are not proficient in the official language. The peer-to-peer strategies of the women's' groups have countered these barriers and enabled the women to navigate on their own terms.

Many grantees recognised issues of diversity *within* their own organisations and the impact that this may have on the process of trying to change gender and power dynamics in the TPA field and in governance more generally:

> *Internally, we are conscious of being a group of white women from the global North trying to change the gender dynamics, we are also aware that there is complexity in governance and power dynamics of all institutions. We are hoping that something that we can work towards changing and*

with Hewlett's help we can draw in more women from the South and change the face of our efforts (Grantee)

4 STRATEGY IMPLEMENTATION

4.1 Strategic decision-making and alignment

Key findings at a glance

TPA staff and colleagues within GEG developed broad guidelines for grantmaking. An effort was made to understand contexts and to identify priorities for the sub-strategies. Grantmaking evolved over time to focus more on in-country support to NGOs. Grantmaking remained relatively consistent, with minimal exiting grantees in TPA.

In part this is due to the apparently high levels of alignment between grantee goals and the TPA strategy. The TPA staff engage in an annual team-level review of the alignment of grants with their sub-strategies/priorities. The alignment processes also allow organisations to clarify their strategies and objectives and enable them to articulate clearly how they intend to reach their targets or goals. There were adjustments rather than 'shifts' and the adjustments generally once the adjustments addressed issues of alignment with Hewlett TPA sub-strategies, the grantees were supported.

4.1.1 Directions for grantmaking

When, in 2015, the Hewlett Foundation added a greater focus on *participation* to its transparency and accountability strategy, it identified five areas to be used as 'rough guidelines' for grantmaking. These five areas, which had the potential to overlap, guided grantmaking towards:

1. Creating and reinforcing norms and standards that enable greater transparency and participation.
2. Ensuring that information about resources and service quality is collected and can be used (and, in some cases, generated) by citizens.
3. Strengthening citizens' ability to speak and act collectively around service delivery challenges.
4. Building and strengthening channels that provide citizens constructive ways to engage with all levels of government.
5. Enhancing the Hewlett Foundation's impact through active collaboration across portfolios.

(TPA Strategy, Hewlett Foundation, 2015)

The TPA strategy was one of two subcomponents in the 'Amplifying Voices' component of the GEG program. The second subcomponent was Evidence-Informed Policymaking (EIP) strategy. The role of TPA in this collaboration was to ensure that citizens had the information, capacity, and channels needed to hold their government accountable for improved social service delivery. The EIP grantmaking, on the other hand, focused on ensuring that government officials had the information, ability and incentives necessary to make good decisions on the policies and programmes best able to serve citizen needs. Both the TPA and EIP targeted the general improvement of the citizen-government environment.

4.1.2 Decision-making autonomy of programme officers

Respondents acknowledged that board members and senior management **trust TPA programme officers,** which leads to the TPA programme officers having significant autonomy for making decisions on grantmaking practices, selection and renewal processes, portfolio development and exit strategies. This finding aligns with that of the Mexico evaluation (OTT, 2021: 11), which also concludes that in practice it is the programme officers' ability to understand the reality of the country and their capacity to fund grantee that are able to meet the country's demands that ultimately shapes the success of the portfolio.

4.1.3 Assessing opportunities

Initially, TPA strategies were pursued in the US and in neighbouring Mexico, where the foundation had locally based staff until April 2014.[13] Through grantmaking to INGOs that were supporting initiatives in East and West Africa – particularly in the extractives industry – the strategy's geographic implementation gradually spread.[14]

The TPA staff found that, despite an existing concentration of grantmaking in Kenya, Tanzania and Uganda, they did not know enough about the breadth of activities of civil society, the contextual factors (both country specific and region wide), nor the particular opportunities that existed in those countries to develop clear priorities. They had comparatively less experience supporting aligned civil society organisations in Francophone West Africa, and fewer relationships with donors doing relevant grantmaking in the region.

For East Africa, the Hewlett TPA team therefore developed an implementation plan that included a visit to the region and a process of defining and refining focus areas. In West Africa, the team commissioned an in-depth scoping study on transparency, participation and accountability in Burkina Faso, Ghana and Senegal, which identified opportunities for the

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13. There is one national grantee organisation based in India, Accountability Initiative.
14. The Transparency and Accountability Strategy was shaped by grantmaking experience that originated in the US-Latin American Relations Program between 1997 and 2003.

Hewlett Foundation to take a regional approach to its intervention in West Africa and to contribute to fostering more coordination in the TPA efforts for possibly greater impact.

Common across both reviews were the following criteria, which informed the Hewlett Foundation's decisions about where to work, on what issues and how:

Opportunity: Based on the contextual factors observed, including the presence of existing actors and funders, where is there the greatest opportunity for Hewlett's engagement? The focus areas will reflect areas of the greatest opportunity.

Effectiveness: Based on research and case studies, what types of citizen engagement do we believe will be most effective in improving service delivery? The focus areas will reflect areas where we expect a high level of success.

Replicability and learning: While we will aim to be responsive to context and specificity, our focus areas will likely reflect levels of engagement where we believe there is potential for learning and replicability, at least within the region.

(TPA sub-strategy for East Africa, 2016)

4.1.4 Coordinating and collaborating with others

The TPA strategy also looked to the GEG subcomponents to explore in collaboration with (a) International Reproductive Health (IRH) programme officers how IRH grantees applied TPA approaches to their advocacy strategies. With the (b) Women's Economic Empowerment (WEE) component the TPA staff checked if women with economic agency experienced negotiation power increase within the household, and with their communities and public officials. The TPA staff also worked closely with the EIP component and jointly funded a grant to the Center for Global Development (CGD) to support research and policy engagement on tax and illicit financial flows. We discuss this further in section 4.6, on collaboration with other GEG teams.

As founder member of the Transparency and Accountability Initiative (TAI), a donor collaborative which includes Ford Foundation, Luminate (previously Omidyar Network), Open Society Foundations, MacArthur Foundation, and FCDO, the TPA staff built on the grantmaking experience of these donors. It also engaged in co-funding agreements with donors such Wellspring Philanthropic Fund, Swedish International Development Agency (SIDA), the World Bank and USAID. In Mexico there was collaboration with Ford Foundation's Mexico City office, Open Society Foundation's Latin America Program, and Luminate. In East Africa, there was co-

funding with Open Society Initiative for Eastern Africa, Luminate, DFID, Ford Foundation, American Jewish World Service, and FCDO. And, in West Africa, TPA worked most closely with the Open Society Initiative for West Africa and Ford Foundation.

4.1.5 Overlap with grantee priorities

Hewlett Foundation TPA staff indicated that they insist on and have invested a lot in achieving high levels of alignment between grantee priorities, the TPA strategic priorities (including sub-strategies) and the Hewlett Foundation's values and objectives. There is apparently now 'pretty decent alignment' and this is because of efforts made by programme officers.

We are far more aligned now in terms of what the sub-strategy was originally – [the programme officer] was very pointed in making this happen. We did not have sub-strategies before; the process of developing them helped to focus the portfolio and [the programme officer] was explicit in terms of not holding back in getting people aligned. (Hewlett TPA staff)

This evaluation found no evidence to suggest that grantees shifted their priorities to secure Hewlett Foundation funding. The foundation's TPA team proactively identifies potential grantees who appear to have overlapping priorities and it is usually easy to check a grantees' work to assess the extent to which a proposal is purely a fundraising exercise or in line with their stated strategies. The TPA team also undertakes an annual review of the alignment of grants with their sub-strategies and priorities. The alignment process allows organisations to clarify their strategies and objectives and articulate clearly how they intend to reach their targets or goals, and although most Hewlett Foundation TPA staff agreed that adjustments were sometimes necessary, they felt that these were usually within scope and not completely new priorities.

My gut is that it seems like people are not adjusting to fit our strategy because our strategy is so broad so you could make a case without feeling like you had to engage in mission drift, it was more about describing the work you do in the strategy.

When talking about projects and plans, I refrain from saying how much is available. Or asking, how much does it cost? The starting point should not be the budget as they will make it fit as they rely on project support for funding. It is sometimes easier to do new grants, funding the true costs of projects as they have costs.

The approach we use is to identify grantees, we don't take unsolicited proposals. We get them from funding partners or follow their work on their website until relevant to our strategy and use this as a basis for our conversation. I don't find them trying to pivot in a particular way to suit our strategy. (Hewlett TPA staff member)

We do get proposals like [i.e. less aligned] that and often we decline it as it becomes apparent. It would be interesting to see from grantees, we do ask them how their strategy is aligned to ours. We emphasize that it does not have to be aligned fully with everything in strategy. We want to know where alignment is. Yes and no, they need to be aligned. (Hewlett TPA staff member)

For the handful of grantees that have been misaligned, either the grantee was able to adjust their strategies to overlap more with the Hewlett Foundation's TPA sub-strategies or, in a handful of cases, grants were phased out. Programme officers used the availability of the Hewlett Foundation's Organizational Effectiveness grant to ensure organisational alignment with overall strategies. Where grantees are co-funded there might be a mismatch with aspects of their work but enough synergy with some deliverables to justify continued support and funding.

4.1.6 Evolving the TPA grantmaking portfolio

In 2016, the TPA staff organised the portfolio of TPA grantees along four major themes and each programme officer developed a sub-strategy that specified grantmaking criteria, plans, and learning priorities through 2021.

The TPA team was committed to continuing to move resources to national and regional organisations while also supporting INGO partners to explore future roles. Hewlett Foundation TPA staff members noted that their portfolio had evolved since 2016 (when the four sub-strategies were created), shifting from providing support to large INGOs based in Washington DC, New York and London, to direct grantmaking to a greater number of national NGOs.

This shift was made possible because the national NGOs in the priority countries became more diversified in their revenue sources, mitigating the risk of financial dependence, and increasing their ability to invest in institutional capacity and long-term planning. The adoption of new technologies and improved connectivity also allowed for easier communication between TPA programme staff and grantees based in East and West Africa. Interestingly, an analysis of the actual grantmaking (Figure 9) indicates that it is the number of regional (and not national) grants that have increased over time.

Figure 9. Spatial focus of TPA grantmaking over the course of the strategy
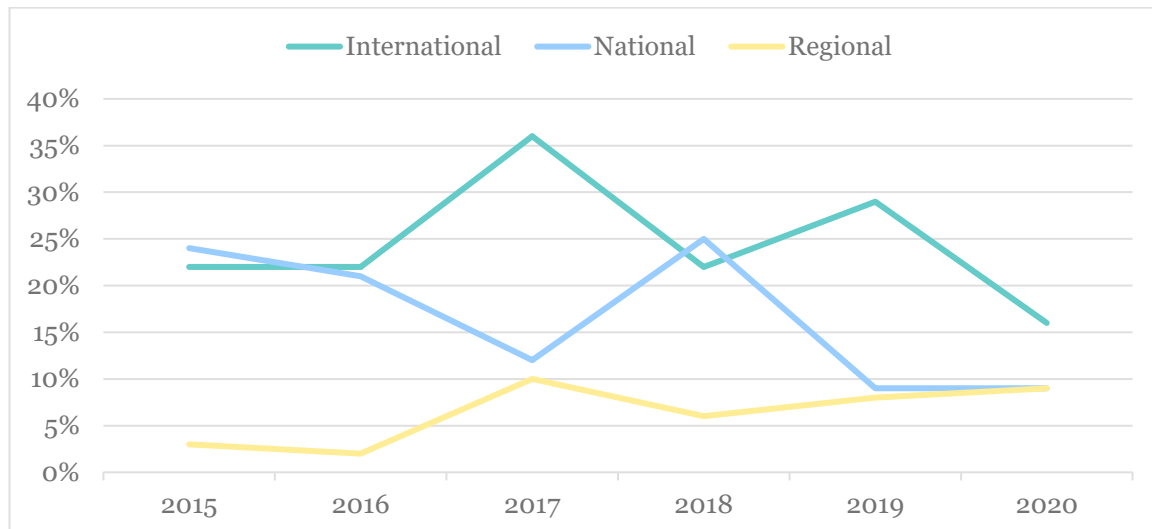
There were also **external factors that influenced funding patterns generally**. Hewlett TPA staff highlighted the shifts in global leadership that affected the governance trends initiated through the Open Governance Partnership that was announced at the 2011 UN General Assembly. Instead, democratic standards were eroded through reduced support for civil society, the criminalisation of activism and the diminishing of civic space. The Hewlett TPA team decided to not pursue an explicit grantmaking strategy that addresses civic space but chose instead to support their grantees' efforts to expand their constituencies of support and diversify their staff to build broader societal support when under threat (TPA staff, 'TPA Strategy Summary', 2019).

Through commissioned research, engagement with INGOs, co-funders, field visits, stakeholder convenings, the TPA staff developed frameworks or approaches to grantmaking in East and West Africa and Mexico. Programme officers were given some leeway and autonomy when considering new countries, however, they had to make a compelling case.

Although the Hewlett Foundation's TPA grantmaking appears to have gradually shifted over time towards (new) national and regional grantees it retained its general focus by supporting (existing) international grantees over longer periods. Overall, exiting from a grant takes time and was not undertaken lightly:

There was very little room to make new grants because of historical grantmaking. It takes time to stop funding. Hewlett Foundation's norm is not to just cut off an organization. This takes time before they were completely removed from the portfolio. (Hewlett TPA staff)

For example, if an assessment of a grantee's priorities revealed high strategic alignment but poor or weak organisational structure, consideration was given to support them organisation via the Organizational Effectiveness grant (rather than necessarily exiting).

Several US-based INGOs received sustained support and were re-grantees in the TPA field. A grantmaking analysis for 2019 revealed that the bulk of TPA grants were renewals (indeed, respondents praised the TPA grantmaking strategies for offering good opportunities for renewal).

Figure 10. TPA sub-component breakdown of renewal support by dollars, 2019
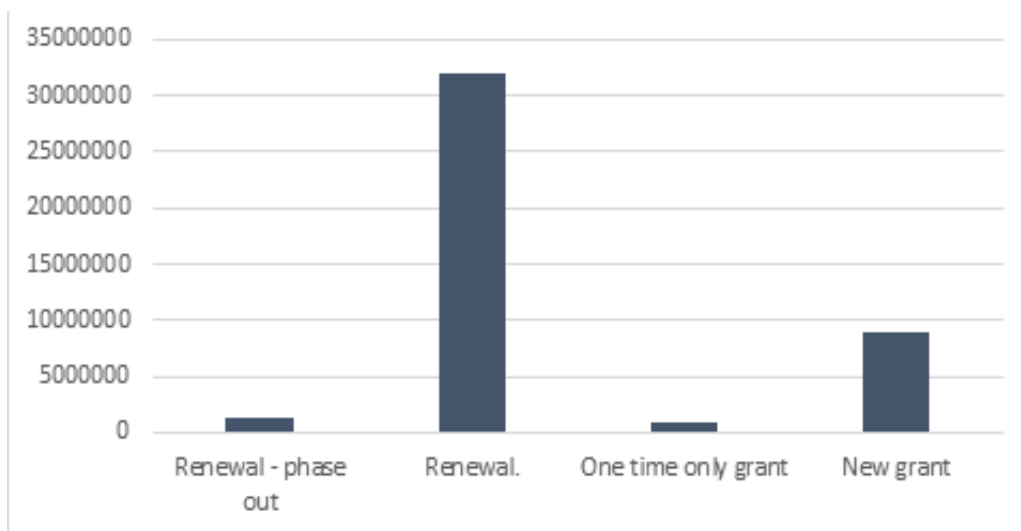
The 2019 grantmaking analysis also showed a measure of growth for project-level support and a decrease in general support to organisations among the sub-strategies of TPA. It also showed some growth in the support of national NGOs (foreign – not visible here) across the sub-strategies.

The sectors that received attention and support depended on the existence of known partners and models in the sector (e.g. Oxfam America, NRGI, PWYP, IBP). There was also increased support for national NGOs and that was determined, according to a team member, in part by a political environment that appeared to support citizen participation in that country. There was general agreement among TPA staff that TPA needed to support grantees located within countries to enable marginalised groups to participate in governance channels. This sentiment is shared by grantees and other stakeholders located in Africa (verifiers/co-funders) engaged as part of the evaluation. How best this can be done will manifest in ongoing strategies for grantmaking by TPA staff.

4.2 Thematic and spatial breadth

4.2.1 Geographic and spatial focus (national, regional, international)

Between 2014 and 2020, the Hewlett Foundation TPA team disbursed more than 370 general operating support, project support and Organizational Effectiveness grants to 107 grantees working at an international, regional and national, in 10 countries. Most of this funding went to 'international' grantees (Figure 11), located primarily around the North Atlantic. In 2020, TPA provided funding more evenly to international, national and regional grantees (Figure 9).

Figure 11. Spatial distribution of the Hewlett Foundation's TPA grantmaking
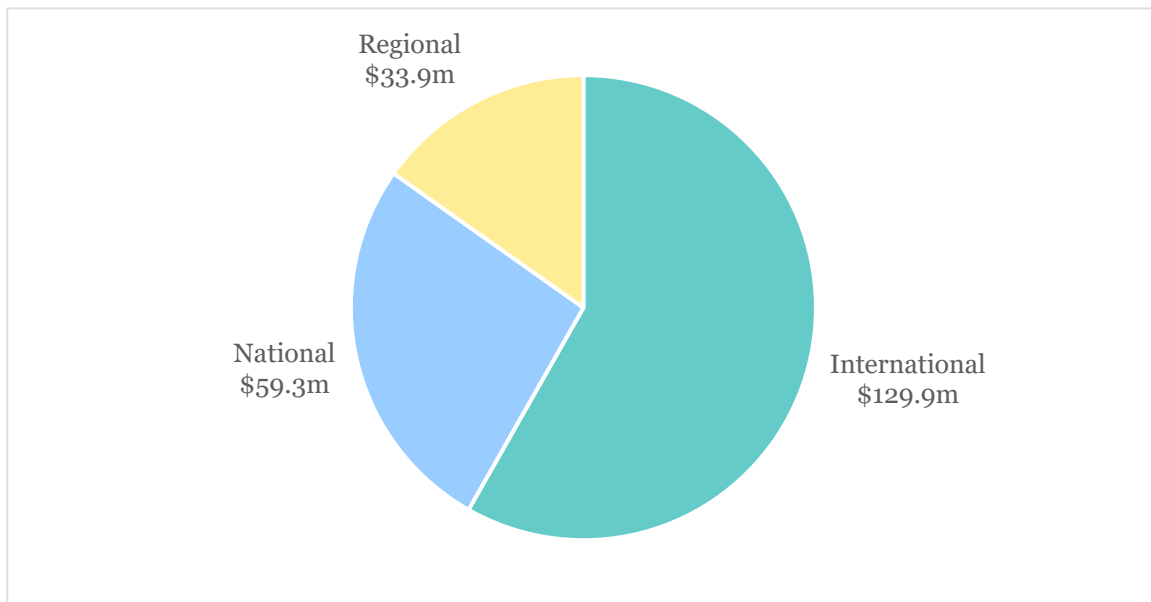
The 2018 evaluation of the Hewlett Foundation's TPA strategy found that although most grantees aim to work at multiple levels – that is, local, national, regional and/or international – doing this is challenging and therefore some grantees focus only on one level (see section 3.7 on inhibiting factors). A number of grantees in the current evaluation gave examples of working at only one level – e.g. nationally or internationally – however others strategically planned to work at multiple levels. For example, Afrobarometer does stakeholder mapping at country, regional and global level and targets their products at them depending on their need and perceived need. Grantees in Africa expressed the wish for more visible presence of TPA staff on the continent.

4.2.2 Understanding a multi-level, multi-theme approach

Working at multiple levels – international, regional, national, local – is supported by different models primarily systems thinking and the socioecological model; for some Hewlett Foundation staff there is an understanding that, to effect change, we need to understand both the whole system (globally) and what is being done at the local, national, international and regional levels.

> *Seeing a broader and whole picture enables you to engage more effectively and understand what opportunities at global level you can harness at a national level despite global norms. (Hewlett TPA staff)*

There is an assumption that changes at one level of the system filter down or aggregate up to influence these other spaces – for example, that regional-level norm changes will influence norm changes at a country level, or vice versa. (This is not always the case: some countries do not adopt international norms and standards or policies for country-level implementation, for example.)

> *The international norms guide but the national countries have the power to implement over their citizens. (Grantee)*

Globalisation has also radically influenced and changed the framework within which governments formulate their policies, as limitations have been imposed on the freedom of governments to develop and apply macroeconomic policies. For the Hewlett Foundation to influence and support national governments in developing, implementing and monitoring macroeconomic policy, it also needs to have influence at a regional or international level. For some thematic areas, such as tax, it is therefore essential that there is investment on multiple levels.

> *Globalisation has brought to the fore how global links to national and subnational, and we want to be able to connect all three. Take for example the issue of tax, domestic level mobilisation to get more revenue but if you don't work on tax architecture internationally, you work with a leaking bucket. You need to link national and international architecture. (Hewlett TPA staff member)*

Similarly, there is a general belief that to effect real change within specific contexts, work has to be done across multiple themes. And many have obvious overlaps – for example, tax and budget transparency. Many of the organisations that the foundation supports already work across numerous themes. The IBP, for instance, works across various fiscal governance issues (e.g. taxation, public revenue, or public debt).

4.2.3 Merits and drawbacks[15]

Working at multiple levels and across multiple themes exposes the Hewlett Foundation and its grantees to opportunities for engagement and learning and aligns with the Hewlett Foundation's values of collaboration and learning and its beliefs about how change happens at the national level. It means that the foundation can be adaptable within a politically charged field, shifting focus between themes as political opportunities emerge or tensions arise, and can help the foundation to identify success stories that have the potential for cross-context implementation or scaling.

The Hewlett Foundation encourages and facilitates collaboration across fields, geographies and spatial levels, and national- and subnational-level organisations report having benefited from exposure to international and regional actors via networking platforms, research publications, data access, etc. (see section 3.6, on support to grantees). These benefits include gaining additional knowledge in specialised fields or skills (such as advocacy) and driving norm change and good practice simultaneously across multiple countries.

Regional and international collaborations also provide opportunities to learn about other TPA work, which might be replicated or adapted in a national or subnational setting. Hewlett Foundation should make greater efforts in deepening multilevel partnerships to form working relationships that could help national or subnational partners better contextualise such examples or practices.

> *My critique would be that there needs to be more connections made on how to use or making best use of regional/international work to national, but especially sub-national contexts. Connections here refer to better joint working between the different levels, more resources to national/subnational levels, etc. (Grantee)*

However, there are also drawbacks to a multi-theme, multi-level approach. For example, although a key benefit of a multi-level approach may be the opportunities for learning, there is some suggestion that learnings are often context specific and therefore what has been successful or useful in one country may not be relevant to or successful in another.

Moreover, given the Hewlett Foundation's finite resources, the capacity of staff to provide expertise support through beyond the grant dollar support is limited. There is less funding and TPA staff support to any one field or region (as finite resources are spread across several). This limits the depth of engagement and knowledge in specific fields or regions, and the ability of staff to develop a deep understanding of complex country-level policies and processes. This also

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15. This section also answers the evaluation question: 'The extent to which the work of international and regional organisations supported by the Hewlett Foundation has been informed by, or is relevant/useful to, national organisations'.

emerged as a challenge for the Hewlett Foundation's when it comes to fostering learning about governance, in that it is more challenging to extract meaningful learnings from different projects when TPA's work in any one sector is limited.

Another key drawback to a multi-theme approach is that it may encourage donor-focused programme planning. Many organisations have a number of programmes that work across multiple themes and are not always linked – something that generally comes about as a result of a focus on what the donor wants or where the funding is coming from, rather than on the interconnectedness of the themes. This could have a detrimental effect on the sustainability of grantee programmes; when funders exit, there's not necessarily the strategic impetus to take this work forward. However, our findings in this area are inconclusive. Providing core support to organisations rather than programme-specific funding would be one way to mitigate this risk.

> *Some of the grantee organisations (African CSOs) – there is a proliferation of programmes and themes as they think that is where they can get funding – I understand why they are doing it, as it is about the funding behaviour... If working across themes they should really see how they connect and how work with others, as it can be difficult to sustain. (Hewlett TPA staff)*

Evaluating this breadth of focus from a resource perspective, might result in a recommendation for greater focus in both depth and breadth of the work; however, when evaluating this from a learning perspective, it is evident that this wide focus area has resulted in an immense amount of learning for grantees, and ultimately the generation of an entire field for learning. This conclusion was supported and validated by grantees during the grantee sense-making session, where it was suggested that the Hewlett Foundation has been an important actor in building the TPA field. Experimentation in and working across multiple contexts and multiple themes, is a valid approach given the need for continuous learning in this formative field.

> *There is a field that exists around transparency, participation and accountability that didn't exist when Hewlett started their work. (Grantee)*

4.3 Monitoring, evaluation and learning

Key findings at a glance

Monitoring, evaluation and learning (MEL) is an integral part of tracking progress towards the Hewlett Foundation's strategic goals and outcomes. The Hewlett TPA team has been instrumental in supporting and promoting MEL at the grantee level in various ways. This support includes providing organisational effectiveness grants to improve MEL, making sure that grantees report progress against both output and outcome indicators, and funding internal and external evaluation of grantee programmes. But although there have been significant successes at the grantee level, this evaluation finds that measuring progress towards overall strategic goals and outcomes has met with challenges. These include a lack of an effective MEL system to adequately capture outcomes and limited resources to support MEL among others.

For the Hewlett Foundation, tracking progress towards strategic goals and outcomes is a fundamental aspect of the outcome-focused philanthropy (OFP) approach that underpins its work. The OFP framework reflects the foundation's commitment to being rigorous, flexible, adaptive, transparent and open, while also staying focused on results and active learning at every juncture (Wang et al., 2018). Monitoring, evaluation and learning (MEL) is crucial to this and the Hewlett Foundation sees it as serving both a learning and an accountability function, helping them to track and measure progress and identify key lessons that can be learned from implementation successes and challenges.

The Hewlett Foundation also emphasises the importance of *ongoing* monitoring and learning across all the four stages of its strategy life cycle (Figure 12).

Figure 12. Strategy life cycle and MEL guiding questions
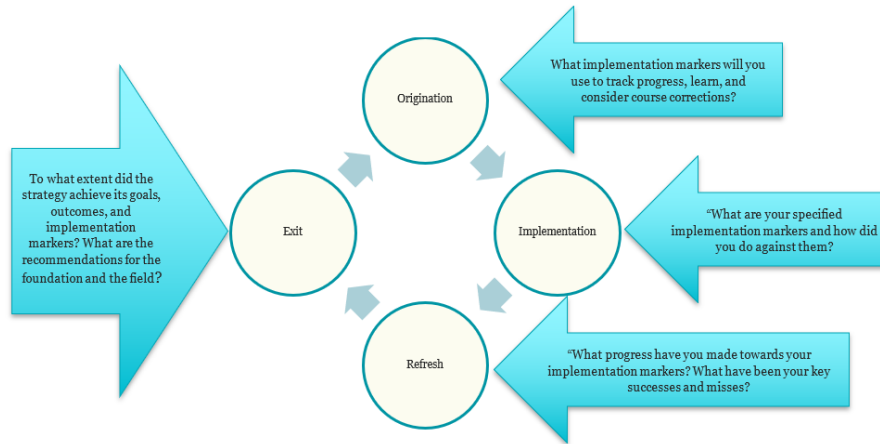
Source: Adapted from Hewlett Foundation (2016) *A practical guide to outcome-focused philanthropy.*

4.3.1 Moderate progress towards better MEL at the strategic level

Data from interviews shows that the Hewlett TPA team has made moderate progress in its efforts to track strategic-level goals and outcomes. **To measure success, the foundation relies primarily on implementation markers,** which it defines as interim steps towards medium- to longer-term outcomes set out in its strategy. These implementation markers take different forms, such as Hewlett TPA staff and grantee activity, grantee capacity, contextual factors and some short-term outcomes, and are identified, set, assessed and reported on by Hewlett TPA staff. For example, the *President's Annual Strategy Update* requires Hewlett's TPA staff to recount progress against agreed implementation markers in their respective sub-strategies, indicating both successes and failures. Staff compile these progress reports by drawing on various sources of information, including check-ins with grantees, information obtained from grantee reports, media reports and evaluations.

Although these implementation markers are intended to help assess the success of the foundation's strategic goals and outcomes, interview data suggests this method has for the most part been ineffective. To begin with, there is no MEL system in place; formal reporting on implementation markers is done annually and very little time and effort is dedicated towards this activity.

According to one member of the Hewlett TPA team, this is because monitoring implementation markers is an unfunded activity:

> *I don't think the implementation markers are effective in measuring the foundation's progress. Monitoring implementation markers is an unfunded mandate and we do this on top of our normal work. There is no time and*

expertise to really closely monitor them. ... We report on implementation markers annually but no one really has time to spend on monitoring them because it is no-one's specific job and hence it does not get done or we don't do it in a meaningful way. (Hewlett TPA staff member)

One interview respondent added that, by failing to adequately monitor implementation markers, the Hewlett Foundation misses an opportunity to learn and make informed decisions

We don't have an up and running MEL system and don't use our implementation markers effectively. We have a handful of markers but we don't track them and use them to inform decision-making. (Hewlett TPA staff member)

Overall, the Hewlett Foundation has done little to practically implement MEL at the strategic level; MEL is largely practiced at the grantee level, with support from the foundation, as we discuss in the next subsection.

4.3.2 Supporting better MEL at the grantee level

Despite the challenges it has faced in improving MEL at the strategic-level, the Hewlett TPA team **has played a key role in supporting and promoting MEL in various ways at the grantee level**. This support includes Organizational Effectiveness grants to improve MEL, ensuring that grantees report progress against both output and outcome indicators, and funding project evaluations. This support helps grantees to promote ongoing organisational learning and increase their capacity to communicate results.

Evaluation findings show that most of the grantees have MEL systems in place; however, the extent to which these are effective in measuring change varies. Some project grantees have been successful in measuring progress towards expected outcomes. Several factors have contributed to this success, including support from the Hewlett TPA team. Some organisations have clearly articulated theories of change and M&E frameworks, which help them to measure progress towards intended outcomes more effectively. These grantees also have dedicated human and financial resources for MEL, and frameworks that are geared toward activity and output reporting as well as for outcome reporting.

The Oxfam South Africa programme, for example, developed a stakeholder analysis that defines beneficiaries and programme partners and a MEL system that identified root problems and established a clear, strategic plan and theory of change, set of SMART (specific, measurable, achievable, realistic and timely) goals and expected outcomes. A formative evaluation of the Oxfam programme found that this effective MEL system contributed to everyday programme management and its overall success (Oxfam South Africa, Formative Evaluation Report).

Evidence also shows that most grantees can articulate stories of change resulting from their interventions. One of the interviewees emphasised that some grantee organisations have put in place measures to document impact stories and this is a key achievement in measuring progress.

> *Several of our grantees have their own MEL systems and they collect impact stories about how their contribution has led to outcomes. Grantees use their databases to collect information systematically and synthesise the data into impact stories. These impact stories are often short and clearly articulated. (TPA staff member)*

Providing financial resources to help grantees develop and improve their organisational MEL systems and capacity. For example, in 2019 the Hewlett Foundation provided an organisational effectiveness grant to ACODE to enable it to establish a consolidated, organisation-wide MEL system (ACODE Application Summary, 2019). With this financial support, ACODE aimed to (1) design appropriate MEL tools, (2) procure the necessary software for the MEL system, (3) build capacity for MEL within the organisation, and (4) deploy and test the system by collecting M&E data and documenting impact of their work. This grant also sought to help ACODE to achieve more integration and cohesion across its projects. Through these Organizational Effectiveness grants, TPA has been able to promote good MEL practice among its grantees. Effective MEL systems are key in enabling grantees to not only prove their impact but also to improve their work as needed.

> *We have funded MEL platforms for some of our grantees as we see value in doing this. Almost all major grantees have some form of MEL platform which they use to measure progress. (Hewlett TPA staff)*

Funding and supporting evaluations of grantee projects. The purpose of the evaluations has been to understand what has been achieved in terms of implementation and outcomes and to learn from what has or has not worked in the TPA field. The Hewlett TPA team plays a key role in funding evaluations of grantee projects (as well as contributing technical expertise, as we discuss in section 4.5 on coordination with funders). These evaluations have been useful in helping grantees and the foundation to assess the extent to which projects are successful – in some instances, demonstrating outcomes that MEL frameworks would not have.

For example, an evaluation study of the Ghana Center for Democratic Development (CDD-Ghana) *I Am Aware* project reveals that the evaluation team was able to identify many more intermediate outcomes than CDD-Ghana had recorded in its monitoring data. This suggests that evaluations funded by the Hewlett TPA team have played a key role in helping to effectively articulate project impact and fill the gaps left by ineffective monitoring systems.

> *The TPA team always wants to fund evaluations and we have used our grants to fund evaluations of grantee projects. (Hewlett TPA staff)*

4.3.3 Learning about what fosters or inhibits good governance

From the beginning [of the strategy period] we were intentional about learning from the field, contributing to the field, and learning from grantee partners who are closest to the problems and solutions and bring lived experiences, valuable knowledge and expertise to the goals we are both working towards (TPA blog)

As part of its commitment to learning, the Hewlett TPA strategy set out to deepen understanding of the interaction among global norms, regional efforts and national practices. In particular, it identified the need to understand how best to support subnational groups, such as teachers' and parents' associations, youth groups, women's organisations and school management committees (TPA Strategy, 2015).

In addition to its field learning sub-strategy, which we discuss in section 3 on outcomes and impact, the Hewlett Foundation TPA team developed a set of learning questions and undertook a range of activities to test the assumptions that underlie its governance interventions.

Many of these learning activities have also contributed positively to understanding and implementation efforts among grantees (see section 3.6, on support to grantees) and the wider field; in this section, we focus on those activities that the TPA team felt shaped *their own* knowledge and learning.

Funding and supporting research and evaluations: Although TPA staff noted a lack of monitoring and evaluation at the TPA strategy level, one of their key contributions to MEL was in funding and supporting evaluations of grantee-level projects and programmes. These evaluations appear to have helped Hewlett TPA staff gain a better understanding of what has or hasn't worked in advancing TPA.

Some of these evaluations [that we've supported] lead to very useful information for the field and for us. (Hewlett TPA staff)

These evaluations also often form the basis of the foundation's various **learning events**. For example, the Hewlett Foundation supported a workshop learning event, designed and facilitated by Colectivo Meta, that brought together 23 grantee organisations in Mexico to share and discuss findings from the TPA strategy evaluation conducted by ITAD in 2018 (see also learning events and communities of practice, in this section).

Information sharing also occurs between the Hewlett Foundation and other funders in the governance and TPA space:

We share reports with fellow funders and give them informal updates on what we learnt, however, this is not done systematically. (Hewlett TPA staff member)

Regular engagement with grantees as part of grantmaking practice: The supportive and collaborative approach of Hewlett TPA programme officers, as noted by an overwhelming majority of the grantees we interviewed, has also helped to contribute the foundation's learning about governance:

I think we promote learning through general operating support and taking time to talk to grantees. This allows for better flow of information. We also make sure we read institutional newsletter received from grantees and discuss any key issues in our meetings. (Hewlett TPA staff member)

GESI focus: Learning about gender and inclusion in the TPA space

According to the COMETA event report (2018), the Mexico learning event prompted a number of thoughtful insights about inclusion. From the reflections below (taken from the report) the event seems to have been a productive space for generating knowledge – not only about gender differences in TPA but about inclusion more broadly:

- Inclusion is not just one thing and it is not equally implemented. It is important to reflect upon why we seek to implement inclusion and in which strategies makes sense to do so (research, legal accompaniment, internally, externally, etc.).

- Inclusion has a multiplying factor: it allows us to reach a broader audience, it forces us to go deeper both in terms of themes and types specific communities.

- Inclusion has the potential of strengthening our processes: makes us more effective, makes our projects more sustainable, it provides us with greater legitimacy.

- An inclusion lens or strategy has the potential of increasing the appropriation of our processes by the communities we engage with.

- There is a big challenge for this community of practice: how are we defining inclusion? This definition greatly depends on the vocation of each organization, its power dynamics and their approaches.

(COMETA, 2018, Mexico convening report)

Engaging in learning events and communities of practice: The Hewlett Foundation TPA staff were active participants in learning events and communities of practice. For example, programme officers played an important brokering role in the Transparency Breakfasts in Mexico, which offered an efficient way for them to learn about the context and interact with grantees, without having exclusively bilateral meetings (OTT, 2021). During the Mexico learning event to discuss the 2018 ITAD evaluation, TPA staff heard from grantees about their experiences and thoughts on the main themes that had emerged. Learning events also provided productive spaces in which TPA staff to reflect and learn about GESI in relation to the TPA field (see Box).

4.3.4 Challenges in monitoring, evaluating and learning

Interview data and document review show that the Hewlett TPA team faces several challenges related to MEL – both at the strategic level and at the grantee level. As mentioned, the lack of a centralised MEL system for the strategy is one of the reasons why the foundation has not been effective in measuring progress towards its goals.

Some Hewlett TPA staff indicated that the TPA strategy's **ultimate goals are big and broad**, which makes it hard to clearly map out whether they are on track. The breadth of these goals is in part due to the fact that the TPA team takes a multisectoral approach and works across countries and themes. For example, grantees cover a wide range of issues including women's issues, education, health and the water sector. There was also consensus among interviewees that transparency, participation and accountability goals and the governance sector in general are hard to measure.

> *The challenge is that TPA works in a space where it is difficult to measure success. Putting in metrics for service delivery monitoring and governance is not easy and we struggle with this. There are too many variables and the field is so broad and you never know what to tackle. (Hewlett TPA staff member)*

The document review revealed a few **gaps in existing grantee MEL systems and approaches**. For example, the National Taxpayers Association (NTA) evaluation report found weaknesses in the project's TOC and its MEL framework (Report of the Evaluation of the NTA SRC School Report Card). The project's TOC failed to adequately describe how change was expected to happen, making it difficult to see how certain project outputs would generate the anticipated outcomes. There was also no consideration of contextual enabling or constraining factors, and only limited analysis of the assumptions underlying the project's goals. According to the report, the TOC is premised on the assumption that capacity building would ultimately contribute to increased parental participation and improvement in schools; however, it fails to clearly articulate the causal links that support the achievement of these outcomes.

A **lack of resources hindered some grantees'** ability to effectively measure progress. For others, it was also the lack of a clear MEL strategy. For example, the Integrity Action SIDA mid-

term evaluation report (2019) revealed that, although Integrity Action had been collecting vast quantities of data through the Development Check database, it was unable to benefit from this significant body of information because it had been done without any clear MEL strategy or plan. Subsequently, an Organizational Effectiveness grant was provided to Integrity Action by Hewlett TPA to improve its MEL systems and practice. TPA staff confirmed that the organisation has since recorded impressive gains in MEL since receiving the OE grant.

Capturing project outcomes is one of the key challenges that grantee organisations face. In some instances, their MEL systems are designed in such a way that they capture only limited outcome data, **focusing instead on project activities and outputs**. A review of the NTA evaluation reports shows that its MEL system only captured data about number of schools reached, number of people trained and SRC reports (and didn't capture or report on the impact of the work or the quality of the implementation processes or outputs). In addition to this, **unintended outcomes are often neglected**, which limits the ability of grantees (and the Hewlett TPA team and the wider field) to effectively measure change and to learn.

In addition, a few TPA staff who were interviewed indicated that the foundation has not done enough to prioritise internal and external evaluations.

> *We don't have a good MEL system and we are not evaluating along the way. There hasn't been an evaluation between this strategy and the last and this contributes to the problem of exiting from some grantees. (TPA staff member)*

4.4 Unique contributions to the TPA field

The evaluation asked the TPA team's co-funders and other funders whether (and where) the foundation's TPA strategy has made a unique contribution to the field, complemented other funder investments or overcrowded them. Eight out of 10 co-funders or other funders answered these questions.

Overall, respondents (co-funders) noted various contributions and complementarities; only one respondent, in relation to one specific area (service delivery around universal health coverage), suggested that the Hewlett Foundation may be crowding out other funders. The general view was that the TPA grantmaking contributed to the building of knowledge of the field.

> *Yes, the TPA is involved in creating knowledge and provide sophisticated answers to questions such as what is the value of disaggregated data on different constituents of the population? They're (Hewlett Foundation) funding work in this. On knowledge generation in general is that the knowledge never happens in a vacuum and it resides in how it is produced and who produces it and who shares ownership of it. (Co-funder)*

Most of the responses focused broadly on the Hewlett Foundation's *niche* as a funder, rather than necessarily specific or unique contributions to the TPA field.

One co-funder commented that the Hewlett Foundation provided generous support and made available significant sized grants. It also tended to stick around longer than other funders tend to. Apparently, other funders have moved on from the 'transparency' theme.

> *What is interesting is that there's been a lot of acknowledgement of how transparency is inefficient in the way it is implemented. The outcomes and successes are very hard to see and I don't know that there are many US funders still focusing on these issues... But in all honesty, the 'transparency' theme is not a crowded space, it is in fact a very small space.* *(Co-funder)*

Overall, the TPA strategy invested in networking and ensuring alignment with grantees and among co-funders. Respondents credited the foundation for its field-building initiatives and credited the Foundation for the establishment and continued existence of key organisations in the TPA field. The successes can also be attributed to the relationships of the TPA staff and grantees. The relationships were key and allowed for dynamic engagement between the parties. Co-funders are aware of relationship building capabilities of the TPA staff.

> *From my knowledge, and working experience, one of the sort of unique selling points is the quality of their staff who can really analyse the situation and ask helpful questions. (Co-funder)*

Finally, two of the co-funders found that the TPA team is unique in their strong focus on gender and nexus with participation and one co-funder highlighted that the TPA team is pursuing civic engagement more aggressively than other funders and wanting to understand why it is not working.

4.5 Coordination with funders

Key findings at a glance

The Hewlett Foundation's TPA team has collaborated with individual funders or multiple funding agencies like e.g. the Finnish Ministry of Foreign Affairs, the Ford Foundation, Luminate, Open Society Foundations, Open Society Initiative for West Africa (OSIWA), United States Agency for International Development (USAID) and Wellspring Foundation in the TAI and in the Open Government Partnership. This collaboration takes the form of various informal and formal activities, such as the pooling of resources, technical assistance to grantees, learning engagements, information sharing, and exchanges between funders and grantees. The TPA team's coordination with co-funders strengthens the capacity of grantees working in the TPA field and mobilises and consolidates resources – particularly

to smaller organisations. It also helps grantees by alignment of the reporting requirements to funders. Together, this helps improve the effectiveness of grants in achieving common TPA objectives in the Hewlett TPA team's focus countries.

We characterise 'coordination with funders' as the Hewlett TPA team's relationships, engagement and collaboration with other funders to increase grant effectiveness towards achieving common transparency, participation and accountability objectives in its focus countries. Donor coordination and support facilitate greater joined-up strategic collaboration among accountability actors and provide significant added value (NTA Evaluation Report, 2016: 10). Coordination and collaboration have also in some cases helped reduce duplication and fragmentation.

The coordination mechanisms of the Hewlett Foundation's TPA team vary according to the nature of collaboration between the team and the funder(s). For example, in West Africa the programme officer has met with other funders to connect them with potential grantees, to ensure they do not overlap in programme areas, sharing relevant information and where they are co-funding they have tried to align the reporting requirements by the grantees, while the TAI is a more structured platform with regular meetings and memorandum of understanding. The programme officers have divided their coordination with funders according to regions and they have one programme officer coordinating the engagement with TAI.

The TPA team and the co-funders acknowledge that they have different grantmaking approaches and even values hence these meetings are essential for increased understanding of each other's grantmaking cultures.

The Hewlett Foundation coordinates extensively with other funders and this has been crucial to multiplying different forms of support and scaling smaller projects' effects in focus countries. As explained by one Hewlett co-funder, a key reason for pursuing a co-funding option with the TPA team was to give more funding to a grantee, to help increase their visibility and strengthen the organisation structurally to pursue TPA goals. Through donor collaborations the Hewlett is also exploring possibilities to raise more funding for other grantees in the TPA field.

The collaborative efforts to support grantees help build organisational structures and strengthen the grantees' efforts to achieve the TPA objectives. The networking and information sharing platforms scale the learning and advocacy to increase the diversity of cultures and practices, equity, and inclusion among peer funders and grantees.

Coordination is not without challenges and limitations. The different funders' goals, organisational systems, and contexts can present potential coordination obstacles. The Hewlett Foundation and its co-funders operate and work with grantees from different geographic areas,

across multiple time zones, and employ different grant making approaches. Coordination therefore requires logistical planning, time commitments and extensive negotiation to agree to common goals and approaches. And more time spent on overcoming these challenges limits the time available for providing substantive input and exchanging information and learning to actually deliver the desired TPA outcomes.

And as one interviewee reflected, this pressure on time is a barrier to more and improved coordination generally:

> *The challenges for both of us are that we just have so much to cover and*
> *very stretched, and working on policy and programs reporting outputs.*
> *This often means that we don't have the kind of time that we would like to*
> *be able to spend on providing inputs and sharing materials, having more*
> *open sort of collaboration exercises just because we are all so busy.*

The Hewlett Foundation's coordination with other funders takes many different forms and covers many different activities, which include providing mutual financial assistance to grantees, networking and connecting grantees to policymakers and peers (particularly through regional networks), jointly organising and participating in information sharing and knowledge exchanges. We can group these activities into three different coordination models: multilateral funding, strategic collaborations and technical assistance.

Multilateral funding. In some cases, the Hewlett Foundation's TPA team provides funding to grantees and programme activities also receiving funding or financial assistance from other grant makers, governments or development agencies. For example, it has made grants to the ATAF and the TJN-A, which are both also funded by the Finnish Ministry of Foreign Affairs. With multilateral funding, the Hewlett Foundation provides financial resources at the same scale as other funders and does not interfere with or provide direction to how grantees manage their programme/project; grantees – who have existing and well-recognised expertise in the TPA field and the capacity to independently undertake activities to advance TPA priorities – are given strategic and decision-making autonomy, under the direction of local leadership. This approach of non-interference is critical for the effective operation of grantees. It creates a flexible learning environment, supported by Hewlett's overall openness and flexibility, in which grantees can select and adapt approaches according to their local context and more easily navigate multiple funding agencies' requirements using different programmatic approaches – which is also an advantage for partner organisations in the TPA field.[16] One funder respondent noted:

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16. The flexibility and non-interference approach of the foundation is key to the success of operations of grantees organisation to achieve the TPA objectives as it allows the development of plans that are relevant to different country contexts.

As we work as part of the government, we are restricted within our limits in terms of what we can prioritise instead of the Hewlett Foundation. They have more space, more freedom, and more flexibility. So, we benefit from being able to work with that and combine our efforts. And perhaps on an efficient level where our time frames are very limited, we have to meet this financial date at a certain time, there is a bit more flexibility around this and the logistics of it from Hewlett Foundation, and this is important in terms of being able to reach partners and have that consistency. (Co-funder)

Strategic collaborations are essential for coordinating strategic plans and improving learning and approaches to achieve common objectives. Unlike in multilateral funding, the TPA team is more involved in planning, implementing and evaluating transparency, accountability programmes and activities, and its involvement takes the form of multilateral joint programming, technical assistance, networking for learning and information sharing activities. As one co-funder explained:

We are not trying to manage the project jointly, but we are supporting the same organisation. We let each other know what our plans are and share notes about what we see and share thoughts about that – I share my reports and notes with the Hewlett Foundation about what I have seen [and] what is right and they share their reflections and opinions. (Co-funder)

For example, the Hewlett TPA team worked closely with fellow co-funders of the Open Government Partnership evaluation (the FCDO and the Open Society Foundation) to develop the evaluation terms of reference.

Through these strategic collaborations like this, co-funders can augment their efforts to pool resources by also pooling their technical expertise to advance a common objective. Other organisations and grantees can '*tap in' to* the foundation's human resources capacities and strengthen their internal programmatic planning. The foundation facilitates this through information exchanges and **technical assistance** between the foundation and other grant making co-funders. One co-funder noted that these strategic collaborations with the Hewlett Foundation have benefitted the learning and knowledge of their staff members:

I think we get a lot from the sort of the intellectual capacity of Hewlett and the quality of their staff in terms of having another set of eyes on this work and another perspective as they come to me with a sort of different geographic perspective. In other areas of collaboration, there is a bit of sharing mainly through the TAI, platforms of membership. (Co-funder)

These strategic collaborations are further enhanced by networking and the sharing of knowledge products such as blogs and other resources. In other strategic partnerships, learning between

funders is facilitated through membership platforms such as the TAI donor collaborative, which the Hewlett Foundation also co-finances. The co-funders convene grantees for exchanges and introduce them to further funding opportunities.

4.6 Collaboration with other GEG teams

Key findings at a glance

Collaborations between the Hewlett Foundation's TPA team and other grant making teams within the Governance Equity and Governance program (GEG) have developed organically, dependent on different internal strategies. The TPA team collaborates more with other teams that have complementary strategies, particularly the EIP team. Mostly, these collaborations fall into the categories of information sharing, learning and experience sharing (i.e. of working with different grantees) and jointly funding grantees on common strategies, and are generally flexible and driven by need.

The TPA team is one of five sub-teams within the Hewlett GEG each of which has its own internal strategy, assigned programme staff and grant making budget.[17] Across the teams, there is, as one Hewlett TPA team member put it, a lot of 'cross-pollination' and the TPA team has made substantive connections:

> *There are a lot of cross-pollination and co-funding of grantees with them,*
> *and we fund something they don't have in their budget and vice versa.*

The extent of TPA's collaborations within GEG, however, depends largely on the degree to which individual team strategies and focus areas complement one another.

There are clear areas of strategic intersection – perhaps mostly with EIP. For example, both the TPA team's learning agenda and the EIP's learning agenda focus on improving access to information related activities – with the former focused on citizen access to information such as governments budget analysis reports, to enable citizen to hold governments accountable on service delivery and the latter focused on government needs for information and home grown-evidence to help improve on the quality and monitor service delivery based on the needs of the people and the quality of social and economic policies. The two teams share knowledge and learning on this particular area, jointly develop grantee proposal calls and exchange feedback to inform their grantee engagement. The EIP and TPA have established 'proposal buddies', whereby they review and provide feedback on each other's calls for proposals to provide grants, and there have been consultations on eight proposals on behalf of the TPA

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17 Hewlett Foundation, Overview of the GEG Program.

team. The two teams are willing to collaborate through sessions to discussions, strengthen weakness, and coordinate the way forward on proposals for similar grantees.

As well as knowledge sharing and more internal cooperation, **co-funding can also be a mechanism to advance shared or complementary aims.** In this case the two team's strategies complement each other towards supporting significant amounts of data collection and research. The TPA and EIP team strategies are complementary with the former focused on promoting access for citizen participation in governance and accountability, the latter on information access for governments to develop responsive policy and service delivery. Accordingly, they have jointly advanced learning agendas by co-funding the Centre for Global Development to support research and policy engagement.

The TPA team have held learning exchanges with other GEG teams to intensify support to common grantees. For example, TPA and WEE have been limited to information exchanges based on experiences of how to support a mutual grantee like the WIEGO. Other TPA collaborations have included work with IRH on reproductive health in Uganda through joint grantmaking, jointly sharing work in the Francophone Africa regions and attending the same meetings of civil society actors. The interest of the TPA in reproductive health has been from accountability focus providing additional support for grantees to track public health budgets and expenditures if it is used effectively. One TPA team member noted that these IRH collaborations have resulted in the creation of a health-focused service delivery monitoring programme that the teams are jointly funding through the INGO Population Action International. There has been very limited or no interaction between the TPA and the US-based USRH due to its US-specific geographic focus unlike the TPA that has a more outside US geographic focus.

The collaborations between TPA and WEE have in part been shaped by having a GEG team member sitting on both sets of portfolios. Generally, though, **TPA collaboration with other GEG teams is highly flexible, unstructured and informal, needs-dependent and matures as events transpire**. For example, a respondent from EIP noted that a TPA Program Officer has assisted with their grant making work for education. The teams collaborate out of the arising need to jointly consider some specific grants streams. These collaborations can be influenced by the strategy thematic and or geographic focus.

All **GEG** teams work closely together in an unstructured, informal manner – advising one another, and sharing information, experiences and learning on how to work with different grantees. This has helped them to work towards a common understanding of what type of partner **GEG** teams should be to grantees and other funders.

4.7 The effect of internal changes within the Hewlett Foundation

Key findings at a glance

Over the years, a number of internal changes within the foundation have influenced the implementation of the TPA grantmaking strategy. These changes have mainly occurred from the transitioning of the new GEG director which has required more time spent by program officers on onboarding him, other staff transitions and turnover, greater involvement of programme officers in strategic conversations, and board membership changes.

Hewlett Foundation staff were asked if internal changes took place since 2014 and if so whether changes affected the strategy implementation. A few changes were raised with the **appointment and start of the new GEG Program Director** being the biggest change. The programme officers said that they have spent more time internally on this transition but that this has not led to any changes in strategy implementation yet.

Although respondents acknowledge that board members and senior management afford TPA programme officers a significant degree of autonomy, **composition of the Hewlett Foundation board** has also had some influence on strategy implementation. The Hewlett Foundation's earlier board membership (including the direct descendants of its founders) had a particular interest in the reproductive health sector. Over time, as the composition of the board has changed – so has also the interests and strategic priorities – so too have the thematic and geographic focus of the foundation's grant making strategies. The current board membership is showing more interest in learning and better understanding the transparency, participation and accountability field. Respondents also pointed out that the board composition is more representative of the regions in which the TPA team is operating.

The PAs raised that they have been included more in strategy conversation during the last couple of years than before where their scope of work was purely administrative. This has led to greater insight by the PAs when they administrate grantmaking.

Limited number of staff within the GEG strategy teams. Current staff members are overwhelmed with grant administration work towards the already existing grantees. This has limited the Hewlett TPA team's ability to expand its strategic focus – in terms of establishing relationship with new grantees so as to fund more and new NGOs in the TPA field and venturing into new geographic territories. The emerging recommendation from the evaluation on this will be contracting of consultants to support on other activities such as monitoring and evaluation and lessen the pressure on the TPA staff to adequately focus on grant administration work and strengthen the focus on TPA grant making support to more grantees and venturing into new geographic areas. Another suggestion is to have bigger and fewer grants to administrate.

When programme officers leave, and new staff join, much of this relationship and trust building with the external stakeholders has to begin again. Staff transitions within the Hewlett TPA team also affect the time to focus substantively on grantee work, due to the need to on-board new colleagues. The staff turnover and introduction of new members has also resulted in shifting priorities and engagement with the grantees. These conditions have affected the strategy's implementation: as one respondent noted, it meant that during one year a lot of money had not yet been allocated, and when grants were made these mostly went to existing grantees rather than to new grantees.

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