
SWAN Evaluation

A report on the SWAN Value for Money findings

September 2021



A technical assistance programme implemented by Oxford Policy Management (OPM) in partnership with:



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Executive summary

The SWAN consortium seeks to provide essential humanitarian supplies of health, water, sanitation, and hygiene (WASH), and emergency shelter (ES)/non-food items (NFIs) through a timely and cost-effective procurement and response mechanism in Ethiopia. SWAN aims to contribute towards saving lives, reducing suffering, and increasing human dignity for people affected by crises and displacement in Ethiopia by building a rapid pipeline of key humanitarian supplies in health, WASH, and shelter/NFIs.

Oxford Policy Management (OPM) was commissioned to undertake an evaluation of the SWAN project for the period between March 2019 and October 2020. The evaluation aims to assess the extent to which SWAN has been an effective humanitarian response mechanism, including an explicit Value for Money (VfM) component to evaluate whether the SWAN project delivers VfM. This report is the VfM Assessment for SWAN, undertaken during June and July 2021 and covering the assessment period between March 2019 and October 2020. This assessment covers the economy, efficiency, effectiveness, equity, and cost-effectiveness of the SWAN project. The assessment involved predefining agreed criteria (aspects of performance), standards (levels of performance), and evidence used to judge whether economy, efficiency, effectiveness, equity, and cost-effectiveness were poor, adequate, good, or excellent.

Overall, based on the indicators of economy, efficiency, effectiveness, equity, and cost-effectiveness during SWAN's one-and-a-half years of implementation, **the VfM Assessment indicates 'good' performance.**

Economy: Performance against the agreed economy criteria received a rating of 'good' overall, meeting standards for personnel fees as a percentage of the total project cost generally at the appropriate benchmark; adherence to staff recruitment policies and guidelines; adherence to policies and procedures for procurement; and VfM integration in procurement practices. The principal shortcoming for economy is a lack of substantial evidence regarding the operation time-saving and cost-saving as a result of early procurement and pre-positioning of humanitarian supplies.

Efficiency: The performance of SWAN under the efficiency criteria was overall rated as 'adequate', with most project output targets being met or exceeded and generally delivered to the intended quality and quantity, and within budget. Delivery and spending across outputs is generally proportional with budget allocations and workplans for the assessment period. There are sound processes to support adaptive programming with a view to improving efficiency over time. The limiting factors to efficiency performance are a lack of timely procurement of global supplies, a lack of timely response to beneficiaries needs, and a lack of adequate risk mitigation measures.

Effectiveness: SWAN's performance against the effectiveness criteria was rated as 'good'. The project showed significant achievements in two of its three primary outcome indicators. The project has contributed to increased access to safe water, protection, shelter, and health services. Increased knowledge received by beneficiaries from information and awareness sessions provided by SWAN has also been utilised by beneficiaries and has improved their hygiene practices, and their health wellbeing overall. However, there is limited evidence that

the Ministry of Health (MoH)'s capacity to efficiently and effectively respond to health emergencies has increased during the assessment period.

Equity: Equity performance was rated as 'good'. SWAN seeks to ensure equality, accountability to affected populations (AAP), and participation of its beneficiaries, as well as to reach the most vulnerable groups effectively. Equity considerations were visible in SWAN project planning and design, and during project operations equity issues are monitored by including relevant questions in project monitoring tools and project reporting. SWAN implements explicit strategies to enhance AAP and the participation and protection of affected populations, and there is pretty equal access to emergency supplies by women, girls, men, and boys. SWAN staff are committed to do-no-harm principles and work towards minimising unintended negative consequences to programme beneficiaries by adhering to the project's code of conduct and project policies intended to minimise harm to affected populations. SWAN has a gender-sensitive complaint feedback mechanism (CFM). However, how SWAN takes on board and uses project beneficiaries complaints and feedback to adapt project policies and strategies cannot be transparently evidenced from available project documentation.

Cost-effectiveness: SWAN was rated 'good' for cost-effectiveness. Overall, SWAN's outcomes are commensurate to the level of funding allocated. With a total investment of US\$ 8.51 million between March 2019 and August 2020, SWAN's relevance is considered high. The magnitude of results in addressing the needs of affected people is great. Equity and protection principles are well tied to the project objectives and consistently applied throughout the project cycle, and some elements of the SWAN project are expected to be sustained beyond project funding. The limiting factor to SWAN's cost-effectiveness based on the agreed criteria is timeliness in responding to beneficiary needs, which occurred over the course of one week in all cases during the assessment period.

A summary of recommendations to improve economy, efficiency, effectiveness, equity, and cost-effectiveness is provided here and further detailed in Subsection 3.6. It is recommended that SWAN and its consortium partners:

- should ensure their staff, especially the field staff, have sufficient time to administer project activities and are flexible enough to free up time to attend to project requirements;
- should evaluate, document, and keep track of its cost-saving and time-saving potential to justify efficiency gains across a range of inputs and outputs;
- should continually strengthen its links with the national agencies entrusted with coordinating relief efforts to deal with restrictions imposed through tariff and non-tariff barriers restraining the importation of relief supplies;
- should aim to significantly reduce the time from when it's identified that beneficiaries need the goods, to when beneficiaries actually received them;
- should strengthen the documentation of how lessons identified and learned through the monitoring, evaluation, learning, and accountability (MEAL) systems are incorporated into project management to facilitate adaptive programming and to enhance VfM;
- should develop a critical risk management process for risk identification, profiling, assessment, mitigation, and management;

- should strengthen its monitoring activities of the capacity building component of the project—outputs and intended outcomes of this pathway should be integrated into the monitoring framework and reported on regularly to assess progress towards efficient and effective response by local actors;
- should document and disseminate its learning from community feedback and response mechanisms (CFRMs) to relevant stakeholders for consideration during subsequent humanitarian response; and
- should consider distribution of food items as part of its response to be highly relevant to the critical needs of its beneficiaries.

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List of abbreviations

AAH	Action Against Hunger
AAP	Accountability to Affected Populations
CFRM	Community Feedback and Response Mechanism
CoRG	Community Reference Group
CFM	Complaint Feedback Mechanism
DFID	UK Department for International Development
EHF	Ethiopian Humanitarian Fund
ES	Emergency Shelter
FCDO	Foreign, Commonwealth and Development Office
FSP	Financial Service Provider
GA	Grant Agreement
GBV	Gender-Based Violence
ICCG	Inter-Cluster Coordination Group
IDP	Internally Displaced Person
ITB	Invitation To Bid
ITT	Invitation to Tender
LTA	Long-Term Agreement
MEAL	Monitoring, Evaluation, Learning, and Accountability
MoH	Ministry of Health
NFI	Non-Food Item
NGO	Non-Governmental Organisation
NRC	Norwegian Refugee Council
OCHA	Office for the Coordination of Humanitarian Affairs
OPM	Oxford Policy Management
PDM	Post-Distribution Monitoring
RRM	Rapid Response Mechanism

SCI	Save the Children International
SCI-ETH	Save the Children Ethiopia
SNNP	Southern Nations, Nationalities, and Peoples
SOP	Standard Operating Procedure
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNOPS	United Nations Office for Project Services
VfM	Value for Money
WASH	Water, Sanitation, and Hygiene
WHO	World Health Organization
WVI	World Vision International

1 Introduction

The SWAN consortium is implementing the *Provision of Essential Humanitarian Supplies of Health, WASH and ES/NFIs Through Timely and Cost-Effective Procurement and Response Mechanism project* in Ethiopia. The consortium consists of four international non-governmental organisations (NGOs): **Save the Children International (SCI)**, consortium lead, **World Vision International (WVI)**, **Action Against Hunger (AAH)**, and the **Norwegian Refugee Council (NRC)** (thus the SWAN project). The Ethiopian Humanitarian Fund (EHF) solely funds the project.

The project was set up in March 2019 and facilitates timely and coordinated sectoral and multisectoral emergency interventions in health, WASH, and shelter/NFIs through immediate response and pre-positioning of essential supplies, delivered to affected populations using cash and in-kind modalities. The SWAN project received US\$ 9 million of funding in March 2019 and was intended to last for 12 months until March 2020. In March 2020, however, the project received an additional US\$ 3 million for project extension until March 2021.

The overall objective of SWAN is to build a rapid pipeline of key humanitarian supplies in health, WASH, and shelter/NFIs to ultimately contribute towards saving lives, reducing suffering, and increasing human dignity for people affected by crises and displacement in Ethiopia. On behalf of EHF, OPM was commissioned by the Foreign, Commonwealth and Development Office (FCDO) to evaluate the SWAN project between March 2019 and October 2020. OPM aims to assess the extent to which the SWAN consortium has been an effective humanitarian response. The evaluation includes an explicit VfM component to evaluate whether the SWAN project delivers VfM.

This report is the VfM Assessment for SWAN between March 2019 and October 2020 based on the SWAN VfM framework agreed upon by FCDO and SWAN in April 2021. This assessment covers the economy, efficiency, effectiveness, equity, and cost-effectiveness of the SWAN project.

1.1 The objective of the VfM Assessment

As set out in the SWAN VfM framework, this VfM Assessment serves two purposes:

- i) first, it fulfils an accountability function for FCDO and other key stakeholders, demonstrating if and how SWAN represented good VfM during its one-and-a-half years of implementation (March 2019–October 2020); and
- ii) second, it fulfils a learning function, allowing project staff to understand if they have delivered good VfM and how they can adapt to strengthen VfM further.

1.2 Purpose of this document

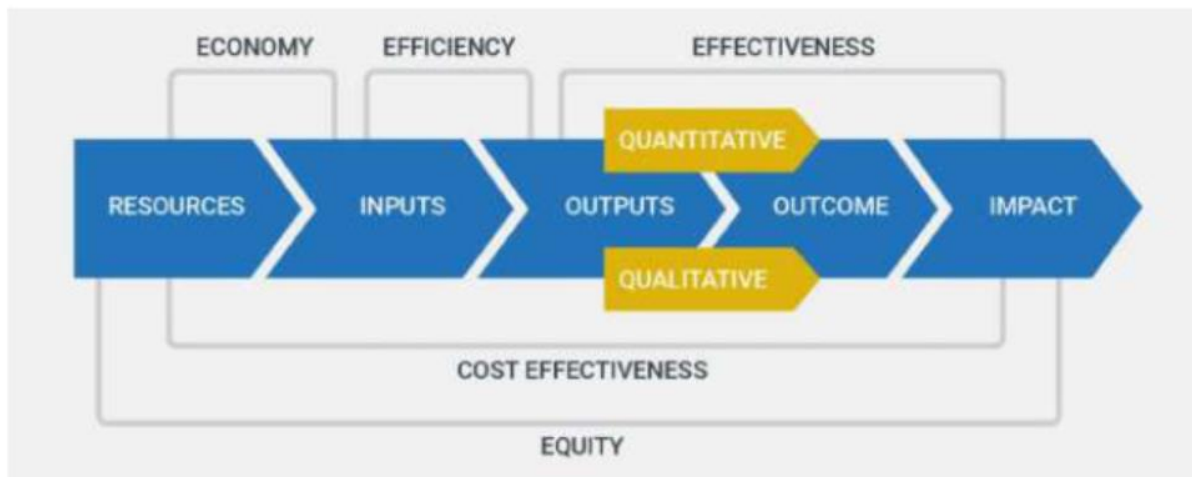
The purpose of this document is to present the findings of the VfM Assessment. Section 2 gives an overview of our approach to VfM. Section 3 presents the VfM findings regarding SWAN's economy, efficiency, effectiveness, equity, and cost-effectiveness. Section 4 provides conclusions, including opportunities to improve VfM.

2 Approach to VfM

VfM means delivering the maximum benefits possible for a given amount of expenditure. VfM has to be understood as more than minimising overheads and unit costs in the SWAN project context. To deliver real VfM, the SWAN consortium needs to think, not just about procurement and financial controls, but also about how it designs and implements its activities and how it allocates resources across the programme to maximise outcomes and impact. This approach applies not only to the design of programmes, but also to ongoing improvements during implementation and programme evaluation.

The SWAN VfM framework is based on the ‘4E’ framework used by FCDO (Figure 1). The 4E framework (covering five criteria in reality) differentiates VfM at three different levels or dimensions—economy, efficiency, and effectiveness—that also correspond to varying levels of the SWAN project’s reconstructed Theory of Change (ToC) (March 2021) from inputs to impact.¹ The fourth E is equity, which focuses on the extent to which the intervention under analysis (in this case, the SWAN project) reaches marginalised and vulnerable groups. Overall, VfM is summarised by cost-effectiveness, or the high-level impact delivered relative to the amount spent.

Figure 1: VfM conceptual framework



Source: King and OPM (2018)²

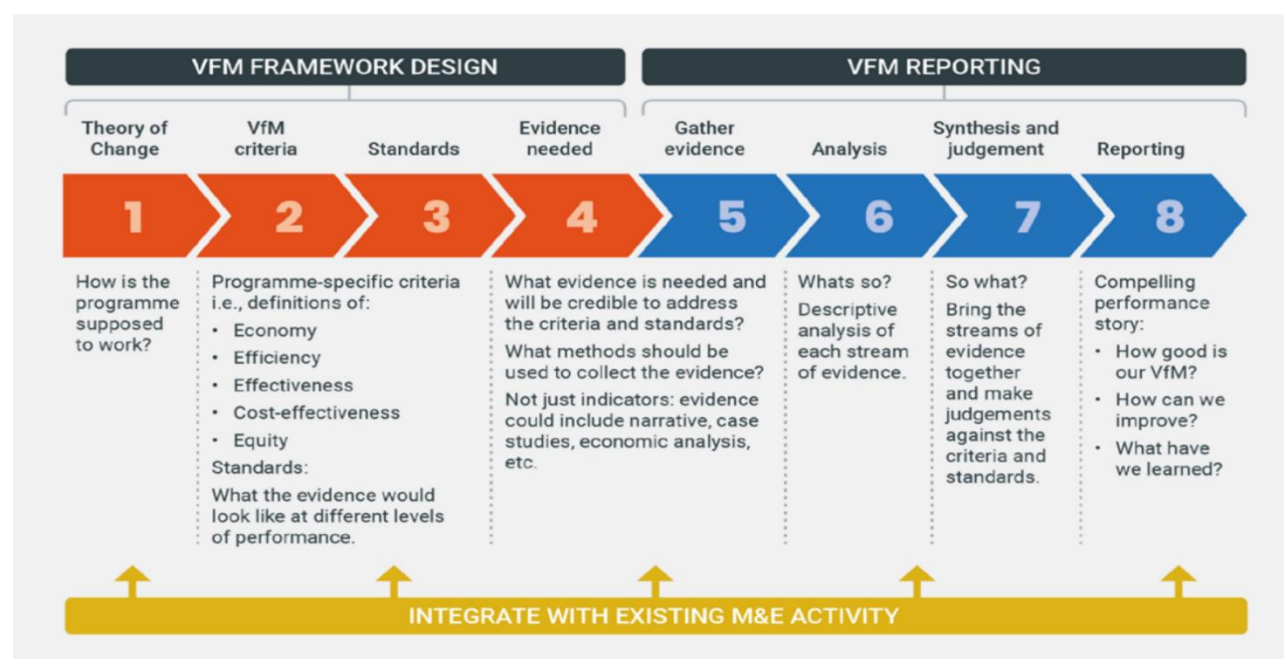
¹ OPM’s Framework for VfM Assessment makes a clear distinction between *inputs*, *outputs*, *outcomes*, and *impacts*, which should be clearly identifiable from the programme’s ToC. ‘Economy’ is assessed on the basis of *inputs* being acquired at the right quality and price. ‘Efficiency’ looks at the aggregate cost of inputs that are transformed by sets of activities into valued *outputs*. *Outputs*, examined under ‘Efficiency’, are those products or services delivered directly by the programme and fully within their control. ‘Effectiveness’ is the achievement of *outcomes* and *impacts*, which involve some action or behaviour on the part of an external stakeholder, and is within the influence (but not under the direct control) of the programme. The comparison of *outcomes* or *impacts* to costs is examined under ‘Cost-Effectiveness’. ‘Equity’, given its cross-cutting nature, is concerned with *outputs*, *outcomes*, or *impacts* that refer to the targeting of the programme resources and results.

² King & OPM (2018). *OPM’s Approach to Assessing Value for Money: A Guide*. Oxford: Oxford Policy Management Ltd.

2.1 Methodology

Our framework takes an evaluative approach to VfM, assessing how well resources are used and whether they are being used well enough to justify the investment. This approach involves defining what would constitute poor, adequate, good, or excellent VfM. These definitions enable greater transparency in the assessment and reporting of VfM. In practice, this involves a series of steps to design and implement the VfM framework. As shown in **Error! Reference source not found.**, Steps 1–4 cover framework design, and Steps 5–8 cover evaluation and reporting.

Figure 2: Our step-by-step VfM approach



Source: King and OPM (2018)

In April 2021, SWAN VfM draft criteria and standards were developed and shared with FCDO and SWAN for sign-off. Criteria (aspects of VfM) are SWAN's specific definitions of economy, efficiency, effectiveness, equity, and cost-effectiveness. They include subcriteria—the dimensions of each 'E' to be examined when assessing VfM of SWAN—aligned with SWAN's ToC (*SWAN Consortium ToC, March 2021*). Standards (levels of VfM) provide definitions of excellent, good, adequate, and poor performance. For the purposes of this framework, 'adequate' is considered just good enough in terms of VfM, while 'poor' performance represents a 'fail' in terms of VfM. Subcriteria and standards are summarised in rubrics. Each 'E' has its rubric.

2.2 How we make and report judgements against the 'E's

This approach to VfM Assessment involves making transparent, evaluative judgements about performance and VfM. The rubrics set out an agreed basis for interpreting the

evidence. This process, called *evaluative reasoning*, is core to good evaluation practice (King 2017)³.

Judgements are made holistically based on all the evidence presented for the set of subcriteria under each criterion (the 'Es'). The VfM rubrics set out in the agreed framework provide a guide for making evaluative judgements and promoting transparency about how judgements are made. We review the evidence for each subcriterion against the standards in the relevant rubric. In principle, subcriteria are cumulative, so (for example) all criteria should be met at adequate and good levels to reach a judgement of 'good'. However, exceptions may be made based on the professional judgement of the evaluators. Where this is the case, the rationale is clearly explained.

The following section provides VfM findings for economy, efficiency, effectiveness, equity, and cost-effectiveness. Each subsection starts by setting out a project-specific definition, a rubric setting out subcriteria (dimensions of performance), and standards (levels of performance). The last column in each rubric shows which standards the project has met and which standards it has not met to aid transparency. After the rubric, a table is provided that summarises the evidence and the standard met for each subcriterion. We then present a more detailed account of the evidence leading to the judgement. All sources of detailed evidence are presented in Annex A.

2.3 Limitations to the assessment

The following limitations should be taken into consideration when reading the VfM assessment report

- From the VfM framework, we noted that we will consider the cost per output subcriterion under efficiency if SWAN was collecting and reporting on this data. It became apparent that SWAN does not monitor this information and therefore this sub criterion has been excluded from the VfM assessment.
- Under the allocative efficiency, the evaluation team had intended to assess proportionate spending by project locations (regions) against the estimates in the grant agreement. However, the team was not able to access financial data disaggregated to this level of granularity thus limiting the level to which this aspect could be explored.
- Lack of trend data to facilitate timeliness response analysis overtime. SWAN is not tracking timeliness/time-savings data whatsoever. Inference on timeliness is made based on project progress reviews and PDMs, which do not disaggregate data to facilitate a nuanced assessment of timeliness of a response either at the onset of the emergency or following submission of requests to SWAN; or even over the different phases of the project.

³ J. King (2017) 'Using economic methods evaluatively', *American Journal of Evaluation*.

3 VfM findings

3.1 Economy

According to FCDO/the UK Department for International Development (DFID) (2011)⁴, *economy* is concerned with the cost and value of inputs:

Are we or our agents buying inputs of the appropriate quality at the right price? (inputs include things such as staff, consultants, raw materials and capital that are used to produce outputs) (DFID, 2011, p. 4).

The following **definition of economy** was used in the SWAN VfM Assessment:





SWAN manages project resources economically by recruiting appropriate quality staff at the right price and securing significant value through sound procurement and pre-positioning.

The VfM Assessment looks for value maximisation rather than a bias toward cost-cutting. Buying inputs cheaply does not necessarily lead to good VfM. For example, using lower-cost staff or consultants may result in economy savings at the input level, but could potentially lead to losses in efficiency and effectiveness if, for example, those members of staff provide lower quality outputs in the available time. Value maximisation means buying the right inputs, of the right quality, at the right time and price, to maximise outcomes and impacts. Potentially, this includes identifying opportunities to invest a little more in order to achieve a disproportionately greater gain in VfM. For this reason, we will balance analysis of costs with the assessment of the programme's efforts to maximise value through good cost management and other acceptable practices, and we will place cost analysis in context, with qualitative explanation of variation in costs against benchmarks.

The **economy rubric** was defined as follows (Table 1). It comprises four levels of performance and a set of subcriteria for each level. By convention, the rubric is presented with 'excellent' performance defined at the top of the rubric and 'poor' performance defined at the bottom. Each level is cumulative from adequate upwards, and includes the criteria from lower levels. A third column has been added to the rubric to indicate whether standards are met, partially met, or not met. Further details of evaluative judgements are summarised in Section 3.1.1.

⁴ FCDO (2011). *DFID's Approach to Value for Money (VfM)*. Department for International Development, UK.

Table 1: Economy rubric for the SWAN VfM Assessment

Standard	Definition	Standard met?
 Excellent	<ul style="list-style-type: none"> Examples of SWAN securing significant⁵ operational cost-savings due to early procurement, transport and logistics, pre-positioning, and the ability to plan and operationalise response pre-crisis And meets all the conditions for 'good' performance 	Partially met
 Good	<ul style="list-style-type: none"> SWAN can demonstrate that VfM is integrated into its procurement practices by using a range of sources to establish benchmarks, using multiple selection criteria beyond price alone and committee reviews of procurement over established thresholds Personnel fees as a percentage of total project costs <i>generally at or below</i> internal benchmarks And meets all conditions for 'adequate' performance 	Met Met
 Adequate	<ul style="list-style-type: none"> Policies and procedures for awarding contracts and for procurement of goods and services are in place and present the principles of highest quality, transparency, economy, and efficiency, and are adhered to Staff recruitment policies and guidelines are in place and adhered to Personnel fees as a percentage of total project costs <i>generally near</i> internal benchmark 	Met Met Met
 Poor	<ul style="list-style-type: none"> Conditions for 'adequate' not met 	

3.1.1 Economy judgement and summary of evidence

Overall, SWAN manages project resources economically by recruiting appropriate staff at the right price. However, SWAN's evidence of value secured through sound procurement and pre-positioning is not materially significant⁶. Thus, the economy judgement is rated 'good', meeting standards for:

- personnel fees as a percentage of the total project cost are generally at the appropriate benchmark;
- adherence to staff recruitment policies and guidelines;
- adherence to policies and procedures for procurement; and
- VfM integration in procurement practices.

Examples provided of operational cost-saving secured by SWAN due to early procurement and pre-positioning were not substantial enough to rate SWAN's economy as 'excellent'. To

⁵ Significant value must be justified with a supporting rationale, such as where the value secured is substantial in proportion to the project's overall budget, or where it leads directly to substantial gains in efficiency, effectiveness, or higher levels of the results chain.

⁶ Materially significant means of "great/very much/huge substance". In this case, the claimed value secured through procurement and prepositioning could not be assessed as of great substance. For example, claimed savings could not be quantified to be assessed as significant in relation to project budget. See page 17 for full evidence.

achieve this rating in future VfM Assessments, SWAN has to demonstrate significant tangible time-saving and cost-saving due to early procurement, transport and logistics, pre-positioning, and the ability to plan and operationalise response pre-crisis. SWAN should devise ways to measure and track time-saving and cost-saving to facilitate transparent evidence against this subcriterion.

Economy judgement	Good
Subcriteria	Summary evidence
Subcriterion 1: Staff recruitment	<p>Personnel fees as percentage of total programme cost—Met at a good level: From the available evidence, SWAN’s personnel fees remained within budget</p> <p>Existence of staff recruitment policies (policy and practice): SCI adheres to its recruitment policies and guidelines for its staff and follows good practices to attract the right skills and experience at the right prices</p>
Subcriterion 2: Procurement	<p>Existence of policies and procedures for awarding contracts and for procurement of goods (policy and practice)—Met at an adequate level: Procurement of humanitarian supplies in SWAN is designated to respective consortium members with NRC in charge of procuring ES/NFI items; WVI is responsible for procuring WASH NFI items and the United Nations (UN) Office for Project Services (UNOPS) is responsible for procuring health supplies on behalf of SCI. All the organisations have well-established policies for procuring goods and awarding contracts. Available evidence shows that the designated organisations follow due processes during the procurement of SWAN humanitarian supplies</p> <p>VfM being integrated into procurement practices—Met at a good level: There is evidence that VfM was integrated into procurement processes. Overall, supplier selection was a combination of technical and financial considerations such as price, delivery, quality, and past experience. Measures to mitigate cost increases associated with fluctuating prices and exchange rates were clearly articulated in Framework Agreements. Penalties and consequences for the provision of defected or damaged items were part and parcel of the signed Framework Agreements. WVI demonstrated the ability to effectively renegotiate contractually agreed on prices with suppliers</p> <p>SWAN securing significant operational cost-saving through early procurement and pre-positioning—Forms the definition of excellent economy and is partially met: SWAN provided some examples of value secured due to pre-positioning. These specifically stemmed from SWAN’s ability to use existing structures, such as staff and Field Offices of consortium partner members. On the other hand, expected value secured as a result of early procurement for international supplies did not materialise</p>

3.1.2 Detailed evidence of economy

Subcriterion 1.1: Project staff recruitment

- **Personnel fees as a percentage of total project cost**

Table 2 shows the proportion of personnel fees as a percentage of the project budget. This is calculated as the amount spent on project personnel divided by the total project cost.

From the table, the project budget allowed for US\$ 404,189 in personnel fees (4.5% of the entire project cost). In absolute terms, US\$ 399,397 out of US\$ 404,189 (99%) of the budgeted amount was spent on personnel fees. However, in relative terms, actual spend on

personnel fees amounted to 4.7% of the total project spend (0.2% more than the intended proportionate spend). This result is driven by lower spending in supplies (Table 10) relative to total project spending and not related to personnel fees. Overall, total personnel fees remained within budget.

Table 2: Personnel fees as a percentage of project costs, March 2019–August 2020

	Budget (US\$)	Actual (US\$)
Personnel fees	404,189	399,297
Total project spend	9,000,004	8,514,017
Personnel fees as a percentage of project costs	4.5%	4.7%

Source: SWAN Finance, May 2021

- **Existence of staff recruitment policies and guidelines and adherence to the same (policy and practice)**

Members of the consortium have their respective recruitment policies and processes. As a result, project staff with specific expertise are recruited according to individual organisation recruitment processes. However, in this VfM Assessment, we focus on the project staff recruitment through the consortium lead, i.e. SCI.

SCI has a human resources manual, mainly for recruiting long-term staff. The manual provides guidelines on how vacancies should be placed and on how applicants should be screened, selected, and contracted. The manual also provides exceptions for non-competitive recruitment (*SCI Human Resource Policies and Procedures Manual, March 2021*). On the other hand, SCI has a Temporary Recruitment Guideline used to recruit temporary staff for a term of fewer than six months (*Temporary Recruitment Guideline, 2018, p. 2*).

All vacancies of at least three months and above are openly advertised in a local job board called Ethiojobs.⁷ Vacancy announcements may not be necessary for short-term temporary employment. In such cases, other methods (such as head-hunting, referral of ex-employees with commendable performance records, and recommendations) are applied. The recruitment approach allows SWAN to access the right skills and attract the right talent within the local market.

SCI's recruitment process is competitive. SCI's primary objective of recruitment is to secure high standards of competence by providing equal employment opportunities for all applicants. Recruitment is only done for vacant posts with an approved budget. To provide SCI with high-calibre and experienced staff to meet the objectives of the organisation, recruitment is always based on a competitive basis with a minimum of four candidates shortlisted for a vacant post. Gender equality issues are embedded in the recruitment processes, from job description design to shortlisting and assessment. Gender-affirmative and equal employment opportunities statements are often included in job advertisements. Gender-affirmative actions are also taken at the shortlisting, written exam, and final interview stages. Preference for national or international candidates is also included in the job descriptions. Overall, SCI follows competency-based assessments in its selection

⁷ www.ethiojobs.net/

processes. Interviews are structured to test the behavioural or situational attitudes of candidates, making sure that skills or competencies and overall knowledge of the role are thoroughly tested to ensure the appropriate staff are recruited.

The SWAN Evaluation findings show that the project lacked the dedicated staff to work exclusively on the project activities. For example, there were no dedicated members of staff who could hold shelter/NFI posts within SWAN during early operations. This hampered sequential project activities, such as procurement in the shelter/NFI sector. Consortium members used staff from existing projects and occasionally recruited additional short-term staff as needed to help deliver NFIs. According to a validation meeting with SWAN, the use of existing Field Office structures, including staff, was an inherent design feature of the SWAN project. It was a mechanism employed to manage project costs more efficiently. The SWAN rapid response mechanism (RRM) was designed to span Ethiopia as a whole, so it was not cost-effective to have independent staff specifically recruited for SWAN all over the country. The most cost-efficient method of implementing the SWAN RRM across the country, therefore, was to use the existing consortium office structures. As a result, because staff tend to work on different programmes and projects, there was a shortage of time to engage fully in SWAN activities.

SWAN also acknowledged a slight staff turnover rate among the consortium staff, especially in the shelter cluster, which at times affected the project's delivery. However, it is vital to note that SWAN is a pilot project initially intended for one year. As the project became more extensive, internal assessments revealed gaps requiring improvement, including staffing. For example, SWAN did not have a dedicated health specialist at the outset. As the project expanded, SWAN realised it could not use the existing SCI members of staff and therefore recruited for the position. SWAN also did not have a pharmaceutical coordinator and was using existing staff at the country level, but this was not enough, so SWAN recruited for the role. The project has, therefore, continuously identified staffing gaps and taken the necessary actions. To date, SWAN has dedicated staff at the country level and project focal points for each consortium member, providing coordination and technical guidance. Project implementation still sits with the Field Office staff.

Subcriterion 1.2: Procurement of supplies

- **Evidence on the existence of policies and procedures for awarding contracts and for procurement of goods and services and adherence to the same (policy and practice)**

SWAN has an Operations Manual outlining the minimum standards for procuring supplies for health, WASH, and ES/NFIs. Guiding principles around accountability, transparency, equal treatment, and proportionality in procurement are provided to ensure that high-quality goods and services are procured at the best possible price, in a timely and transparent manner, and in line with the policies of respective organisations (*SWAN Operations Manual, 2019*).

As a consortium, NRC is responsible for the procurement of ES/NFIs, WVI is responsible for procuring WASH NFIs, and UNOPS is responsible for procuring health supplies on behalf of SCI. As such, procurement follows each organisation's procurement guidelines and processes, which are very consistent with SWAN's Procurement Manual.

Procurement of ES/NFIs (NRC)

According to the purchase orders from the SWAN procurement stock portal, the top five items with the biggest influence on unit prices for procured items under ES/NFIs are plastic sheets (4 x 5 metres), tarpaulins, woven plastic (4 x 6 metres), cooking pots (7 litres), mosquito nets, and blankets (150 x 200 cm, polyester) (*SWAN Stock Portal, June 2021*).

NRC follows due processes in procuring the above items while ensuring the three main principles outlined in the essential humanitarian supply standard operating procedures (SOP): segregation of duties, due diligence, and procurement plans. The procurement of ES/NFIs supplies follows the procurement plans submitted to the Consortium Supply Manager, and any deviation from the original plans is shared with the Consortium Supply Chain Manager.

NRC follows its Logistics Handbook, in which Chapter 3 outlines minimum regulations and absolute mandatory rules for all procurement, aimed at ensuring proper standards of confidentiality, integrity, accountability, transparency, VfM, and control (*Logistics Handbook v. 3, January 2020*). The handbook sets procurement thresholds depending on the expected value of individual purchase distribution. Table 3 shows the recapitulative threshold table for the procurement of goods.

Sample evidence provided by NRC shows that the organisation adheres to its Procurement Policies and guidelines. In April 2019, NRC issued an international invitation to tender (ITT)⁸ for the supply of NFI kits in line with high-value contracts (US\$ 300,001 and above). The ITT was issued from 29 April 2019 to 31 May 2019 (over 30 days), allowing ample time for both international and local suppliers to compete openly in a free market.

A Bids Analysis Committee was set up, which convened and discussed the tender evaluation criteria before the tender opening. NRC received 19 bids in response to the ITT, of which seven were rejected due to ineligibility and regret letters with a justification for the rejection were provided. The ITT was based on 12 lots, and applicants were free to apply for all lots.

To avoid monopolistic risks associated with only one supplier, two local suppliers were awarded contracts in addition to any international supplier who won a lot. Successful primary suppliers awarded contracts were not always the ones with the least unit price for the items in question, as the evaluation criteria also considered the quality and delivery time of the items.

Primary suppliers signed a Framework Agreement valid for two years to ensure sustainable supplies. Secondary and tertiary suppliers (where applicable) were also recommended to sign LTAs for two years to secure a sufficient number of suppliers. Overall, NRC's procurement process is assessed as open, fair, and transparent (*NFI Final Selection Minutes; NFI Pre-Bidding Minutes; Logistics Handbook; sample Framework Agreements*).

⁸ www.nrc.no/globalassets/pdf/tenders/ethiopia/nrc-ethiopia-tender-for-supply-of-components-for-non-food-item-kits-nfi-kits/itb---nfi-fwa-tender---supply-of-components-for-non-food-item-kits-nfi-kits.pdf.

Table 3: NRC's thresholds for the procurement of goods

Threshold in US\$	Purchase requisition	Quotations	Bids analysis	Bids Analysis Committee	Feedback to supplier	COTER vetting process	Purchasing order contract/ Framework Agreement	Supplier invoice	Goods receipt note	Payment method
0–500	NO	NO	NO	NO	NO	NO	NO (purchase order to be used if payment is not using cash box)	YES	Only for assets	Direct purchase using cash box or as per finance regulation
501–1,000	YES	NO	NO	NO	NO	NO	Purchase order	YES	YES	As per finance regulation
1,001–10,000	YES	YES (Solicit at least three suppliers)	YES	NO	NO	NO	Purchase order or Framework Agreement	YES	YES	As per finance regulation
10,001–50,000				NO	NO	YES	Purchase order or Framework Agreement	YES	YES	As per finance regulation
50,001–100,000				YES	NO	YES	Contract or Framework Agreement	YES	YES	As per finance regulation
100,001–300,000	YES	YES: open national tender, publication (web, local media, NRC website), calendar days delay for submission of quotations	YES	YES	YES	YES	Contract or Framework Agreement	YES	YES	As per finance regulation
300,001 and above	YES	Open international tender, international media (see comment), calendar days delay for submission of quotations	YES	YES	YES	YES	Contract or Framework Agreement	YES	YES	As per finance regulations

Source: Logistics Handbook v. 3, January 2020, p. 27

Procurement of WASH NFIs (World Vision International)

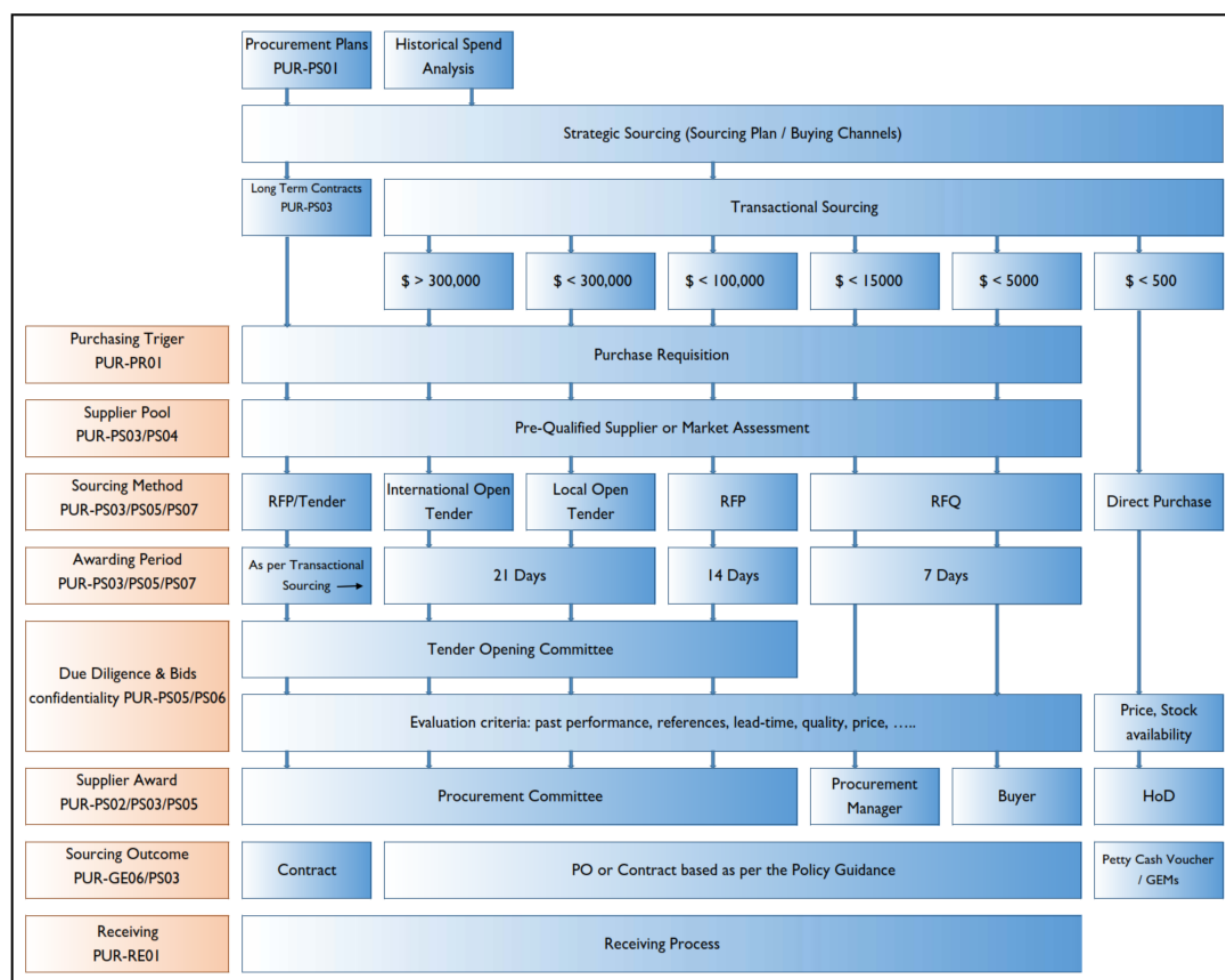
WVI follows their own internal procurement policies and procedures, while also ensuring the principles relating to segregation of duties, due diligence, and procurement plans (*Procurement Policies v. 2, December 2018*). The procurement of supplies follows the submitted procurement plans to the Consortium Supply Manager, and any deviation from the original plans is immediately shared with the Consortium Supply Chain Manager. According to WVI, the following are the three largest influences on unit cost:

1. bathing soap (250 g/multi-purpose soap, with cover);
2. laundry soap (250 g, with cover); and
3. jerrycans (20 litre plastic jerrycan weighing 1100 g+ - 50g, with outer and inner cap).

WVI procures the above items following its sourcing framework (Figure 3) and methodology clearly described in the organisation's Procurement Manual. In December 2018, WVI issued a Terms of Reference (ToR) for LTA NFIs Materials Suppliers for the Provision of NFIs. Based on the ToR, an open invitation to bid (ITB) was advertised through the local newspaper (*Daily Monitor*) between 03 December and 12 December 2018 to attract potential suppliers/manufacturers to supply NFIs. The sourcing method was consistent with the sourcing framework for value contracts less than US\$ 300,000. In response to the ITB, nine bidders submitted their technical and financial proposals to the WVI's Procurement Unit.

According to the ToR, technical proposals were to be evaluated first; for those bidders found technically competent, financial proposals would then be opened. However, during the opening of the bids, the Bids Analysis Committee acknowledged that, given the nature of the business, the technical evaluation of the bids was not relevant. As a result, potential suppliers were only assessed based on their financial proposals. Financial proposals showed the unit prices offered for a predefined list of items provided by WVI.

Bidders were invited to provide sample items to the WVI's Procurement Unit to facilitate the evaluation of price quotations in relation to the quality of the items. Following the evaluation process, seven out of nine suppliers were approved to provide NFIs. Successful bidders signed contracts valid for two years and were invited to supply items only through formal purchase orders issued by WVI throughout the agreement period. Overall, WVI adheres to its procurement guidelines through the procurement process and the process of sourcing and selecting supplies is considered open, competitive, and fair (*ToR for LTA NFIs Materials Suppliers for the Provision of NFIs, December 2018; Bid Committee Minutes; sample Framework Agreements*).

Figure 3: WVI sourcing framework

Source: Procurement Policies v. 2, December 2018

Procurement of health supplies (UNOPS on behalf of SCI)

To ensure timely response in the provision of drugs and medical supplies under the EHF project, Save the Children Ethiopia (SCI-ETH) entered into an agreement with UNOPS to handle the importation of drugs and medical supplies. As a result, UNOPS handled the procurement of the medical items, particularly pharmaceutical items, drugs, medical kits, and medical equipment or other medical supplies. The responsibility of UNOPS was limited to this area of procurement, and items were handed over to SWAN for warehousing and distribution. Having UNOPS handle this part of the procurement was intended to increase the timeliness of the response, but this was not the case (as explained in Subcriterion 2.1: Technical efficiency: Reduction in procurement time).

UNOPS follows appropriate procurement steps and procedures as per the Procurement Policy stated in its Procurement Manual.⁹ According to the Procurement Manual, the guiding principle of procurement is based on the concept of stewardship—that is, the careful and responsible management of something entrusted to someone's care. Under this principle,

⁹ https://content.unops.org/service-Line-Documents/Procurement/UNOPS-Procurement-Manual-2019_EN.pdf.

UNOPS strives to use entrusted resources in the most efficient, effective, and transparent and accountable manner (*UNOPS Procurement Manual, p. 13*).

UNOPS ensures that the following principles set in the programme's Procurement Manual are followed.

- Various individuals are involved in a given procurement process to adhere to the segregation of duties principle. Personnel involved include a project manager, a procurement official handling the procurement process, an evaluation team composed of at least three individuals (including a procurement official, chair, and technical expert), a procurement reviewer, and a Contract and Proprietary Committee who review the overall process and approve recommended vendors, among others.
- Due diligence is conducted before entering into a contract with a supplier in order to ensure the supplier is eligible for the award and has the capability and capacity to perform the contract satisfactorily.
- Procurement plans showing the timelines required to perform each step of the procurement process per the identified solicitation method, contract type, and type of competition are prepared before any procurement activity. The procurement plans also show the budget required and the responsible individuals involved in the process.

UNOPS Financial Regulation 18.02¹⁰ requires that best VfM, fairness, integrity and transparency, effective competition, and the best interest of UNOPS and its partners should be given due consideration when undertaking all procurement activities. These principles were considered in the SWAN procurement processes for health items. The suppliers contracted by UNOPS to deliver SWAN health items were the World Health Organization (WHO)'s approved international suppliers. These were prequalified and selected after rigorous and transparent bid processes as described on WHO's website¹¹ and finally issued LTAs for use by any UN agency, including UNOPS. For the SWAN project procurement, UNOPS approached some of these potential suppliers and awarded contracts to those suppliers that offered the least price for the requested items and who could deliver the items within a reasonable time. Thus, suppliers were selected through appropriate and transparent processes and signed LTAs with UNOPS. In addition, for delivery of the items for the SWAN project, UNOPS used its international freight forwarders (to pick up the items from the suppliers' free carrier location and carry them to the SWAN project warehouse in Addis Ababa).

- **Evidence of VfM being integrated into procurement practices (e.g. agreed benchmarks used for procurement, multiple selection criteria, scoring sheets, and documentation of how decisions are reached)**

According to the SWAN Operations Manual, VfM in the procurement processes is defined as the optimum combination of total costs of ownership and fitness for purpose in response to

¹⁰ <https://content.unops.org/documents/libraries/policies-2020/executive-office-directives-and-instructions/financial-regulations-and-rules/en/EOD.ED-Financial-Regulations-and-Rules.pdf?mtime=20200306112014>.

¹¹ www.who.int/about/accountability/procurement/become-a-supplier.

the established requirements. VfM is not a function of costs only; rather, it is a function of quality, total price, timeframe, and quantity (*SWAN Operations Manual*, p. 13).

VfM in NRC procurement processes

The Pre-Bidding and Selection Minutes, plus the sample of the Framework Agreement provided by NRC, shows that VfM was integrated into the procurement of NFI kits.

- The evaluation criteria were not price based only. They comprised of past experience, quality checks, and delivery time.
- NRC required a sample of procured items to ensure procurement decisions were clearly justified and documented and that items conformed to the specified requirements. The Selection Minutes show that some sample items were provided and physically inspected during the selection process.
- The Framework Agreements clearly indicate that the vendor was expected to keep the unit prices of the individual items fixed for the duration of the contract.
- Price changes to exchange rate fluctuations were limited to instances where the exchange rate between Ethiopian Birr and United States dollars (US\$) exceeded 10% for at least a three-month period. Revisions due to exchange rates required mutual agreement, and price changes were subject to signed amendments to the contract.
- NRC had a right to reject the goods or services or any part thereof if they did not conform to the agreed specifications, and the vendor would be held responsible for any costs associated with rejected items. The vendor would also be responsible for dispatching replacement items within a week of being informed of the rejected items.

VfM in WVI procurement processes

Sample documents provided by WVI—such as the Bid Committee Minutes, Framework Agreements, and purchase orders—show that VfM was integrated into the procurement of WASH NFIs.

- Selection of suppliers was not based on price alone, but rather on a combination of financial and technical such as price, deliverability (capacity to respond to orders), transportation capacity and willingness to deliver items to WVI, timeliness (average delivery time for ordered items), and experience.
- Unit prices for items were fixed for a period of two years. Additionally, contract agreements did not consider exchange rates, except in situations of a nationwide currency devaluation.
- A full manufacturer's warranty was included in the price of all goods supplied, implying the willingness of manufactures/suppliers to take responsibility for any faulty or defective items.
- For purchase orders issued (especially those involving bulk procurement), WVI renegotiated unit prices with its prequalified suppliers and managed to secure reasonable discount rates for the supply of NFIs.
- WVI had a right to refuse or reject any goods that did not conform to the required specifications, and the seller was responsible for any additional costs associated with the rejected goods.

VfM in UNOPS procurement processes

The use of internationally established suppliers avoided duplication of effort and considered a VfM strategy to ensure the procurement of health supplies.

- **Evidence of SWAN securing significant operational cost-saving through early procurement and pre-positioning**

It is generally argued that early procurement and pre-positioning of humanitarian supplies in predictable and regular rapid-onset events such as those that occur in Ethiopia can bring about cost-efficiency benefits, with the magnitude of savings likely to be highest for operational, staff, and administrative costs. SWAN provided some examples of how it has secured savings as a result of early procurement and pre-positioning. However, these could not be quantified and could therefore not be assessed as significant in relation to the project budget.

- SWAN used the existing structures of its consortium members, such as country-level and Field Office staff and facilities to procure, store, and distribute pre-positioned items. The use of existing staff implied a reduction in staff costs, as the project did not have to recruit new staff to undertake project activities.
- Due to the use of the existing warehousing facilities of consortium members, SWAN alleges it saved significant costs relating to expenses regarding warehousing personnel and rent. Also, administrative costs relating to warehouse management were greatly reduced through this approach.
- SWAN took advantage of the geographical presence of its consortium partners and pre-positioned items in the northern, southern, and western regions of Ethiopia. This mechanism minimised costs relating to transporting supplies from Addis Ababa to affected populations.
- Pre-positioning items in the different parts of the country also meant SWAN was very close to the affected persons, and thus the timeliness of response was greatly improved in cases of conflict-related disasters where access to affected populations can be a huge challenge.

Significant time-saving and cost-saving due to early procurement was expected, mainly for international procurement. However, this did not materialise during the assessment period. In fact, procurement for internationally sourced supplies took much longer than expected. Global procurement was also budget-based—that is, items were procured based on the approved budget. This implies that SWAN risks similar challenges in international procurement with new approved budgets in its subsequent phases, as opposed to having rotation procurement procedures in place. On the other hand, there is no evidence that the unit cost of procured items was reduced due to early procurement.

3.2 Efficiency

FCDO/DFID's definition of *efficiency* is focused on the relationship between inputs and outputs (i.e. 'technical efficiency'):

How well do we or our agents convert inputs into outputs? (DFID, 2011, p. 4)

FCDO/DFID's definition of efficiency is aligned with the concept of *technical efficiency* (maximising the delivery of output for a given level of input/resources). This is one important aspect of using resources efficiently, but we might also consider *allocative efficiency* (the right mix of inputs) and *dynamic efficiency* or *adaptive management* (reallocating resources to reflect evolving circumstances and opportunities).



The following **definition of efficiency** was used in the VfM Assessment of SWAN:

SWAN delivers the intended quality and quantity of outputs,¹² aligned with beneficiary needs, on time, and within the available resources.



In keeping with good monitoring and evaluation practice, the efficiency level of this VfM Assessment focuses on what SWAN delivers (i.e. what is within the control of SWAN). Higher levels of the VfM framework, including effectiveness, equity, and cost-effectiveness, consider outcomes (within the influence of SWAN, but beyond its direct control) and are covered in Subsections 3.3, 3.4, and 0 respectively. The assessment of efficiency tracks delivery against the implementation plan, together with additional contextual information.

The **efficiency rubric** was defined as follows (Table 4).

Table 4: Efficiency rubric for the SWAN VfM Assessment

Standard	Definition	Standard met?
 Excellent	<ul style="list-style-type: none"> SWAN project outputs <i>substantially exceeded</i> required quality, quantity, and timeliness within allocated budget and provided extra deliverables beyond workplan, allowing for reasonable exceptions 	Not met
	<ul style="list-style-type: none"> SWAN can demonstrate efficient delivery and distribution of NFIs, i.e. significant reduction in time lag between the onset of an emergency and the delivery of the response 	Not met
	<ul style="list-style-type: none"> And meets all conditions under 'good' performance 	
 Good	<ul style="list-style-type: none"> SWAN project outputs delivered and exceeded required quality, quantity, and timeliness within allocated budget, allowing for reasonable exceptions 	Partially met for outputs exceeding targets (not met for timeliness)
	<ul style="list-style-type: none"> SWAN can demonstrate some examples of project performance enhanced by adaptive programming by using insights and learning generated from the MEAL system 	Partially met
	<ul style="list-style-type: none"> Costs per output (WASH, ES/NFIs/health) are similar to suitable benchmarks after taking contextual factors into account 	Not applicable
	<ul style="list-style-type: none"> Actual delivery and spend are aligned with workplans and budget allocations by output area (allowing for timing) 	Met
	<ul style="list-style-type: none"> And meets all conditions under 'adequate' performance 	

¹² SWAN is in direct control of project outputs.

Standard	Definition	Standard met?
 Adequate	<ul style="list-style-type: none"> SWAN conducts emergency assessment needs in a timely manner 	Met
	<ul style="list-style-type: none"> SWAN project outputs <i>generally delivered</i> to the required quality, quantity, timeframe, and budget, allowing for reasonable exceptions 	Met
	<ul style="list-style-type: none"> Costs per output (WASH, ES/NFIs/health) <i>are not substantially higher than</i> suitable benchmarks after taking contextual factors into account 	Not applicable
	<ul style="list-style-type: none"> Sound processes to capture and use insights from the MEAL system for adaptive programming are in place 	Met
	<ul style="list-style-type: none"> Risk mitigation strategies in place and being implemented 	Partially met
 Poor	<ul style="list-style-type: none"> Conditions for 'adequate' not met 	

3.2.1 Efficiency judgement and summary of evidence

Efficiency is judged to be adequate overall. Most project output targets are met or exceeded and generally delivered to the intended quality and quantity, aligned with beneficiary needs and within budget, allowing for reasonable exceptions. However, SWAN did not meet expectations regarding the timeliness of the response due to the lack of timely procurement of global supplies and the lack of timely response to beneficiaries needs.

Overall, SWAN fell short in responding to requests in a timely manner during the assessment period. On the other hand, delivery and spending across outputs was generally proportional to budget allocations and workplans during the assessment period. There were also sound processes to support adaptive programming, with a view to improving efficiency over time.

The programme also has a risk matrix with recommended mitigation risk measures centred around cash interventions, which form 30% of project activities. The risk matrix is silent about risks relating to the procurement, pre-positioning, and distribution of NFIs, which forms the largest percentage of project operations. There is no evidence that the project's risk register is regularly updated from the available project documentation, nor is there evidence of how the project actively works to mitigate these risks. The project works in a high-risk environment, so SWAN should step up its risk management processes to cover all project activities comprehensively. Stringent interpretation of the efficiency rubric would demand a poor rating for efficiency performance overall on the grounds that risk mitigation strategies are not monitored or updated regularly. However, this is the only aspect that does not meet the adequate requirement and, considering SWAN's significant progress in delivering project outputs, an adequate rating for efficiency overall is appropriate.

To achieve higher efficiency ratings in future VfM Assessments, SWAN has to substantially deliver its outputs to the required quality and quantity and at the right time. In addition, the project must demonstrate efficient delivery and distribution of NFIs through a significant reduction in the time lag between the onset of an emergency and the delivery of the response. The project must also demonstrate how adaptive programming has significantly enhanced project performance, and should improve its risk management strategies.

Efficiency judgement	Adequate
Subcriteria	Summary evidence
<p>Subcriterion 1: Technical efficiency</p>	<p>Achievement of outputs in line with workplans and budget—Partially met at a good level: Most SWAN project output targets were either met or exceeded and generally delivered within budget. However, in relation to the timeliness, procurement and pre-positioning of items did not meet expected timelines mainly due to exogenous factors. Also, delivery to beneficiaries was mostly late, although the distribution of items was fairly fast when items were available. Overall, SWAN fell short in responding to responses in a timely manner. Post-distribution monitoring (PDM) was dependent on the distribution of items and, when conducted, it was considered of acceptable quality</p> <p>Efficient delivery and distribution of NFIs—Forms part of the excellent definition of efficiency and was not met: There is evidence that local procurement was faster. However, lead times in global procurement were much higher than expected. SWAN alleges that, due to its use of consortium partner warehouses, there was a reduction in logistical and administrative processes associated with warehousing modalities. There was also a reduction in bureaucracy and costs in the management and supply of NFIs due to using the online supply management portal. Generally, there was an improved time in the distribution of NFIs due to SWAN's ability to pre-position stock. The major impeding factor to efficient delivery and distribution during the assessment period was the lack of timely procurement of humanitarian supplies sourced internationally, which partly resulted in delivery and distribution delays. Sample PDMs within the assessment period show large proportions of beneficiaries receiving NFI items 60 days after the emergency</p> <p>Faster and proactive needs assessments and decision making process—Met at an adequate level: SWAN's needs assessments are considered fast. SWAN either utilises needs assessments from other humanitarian actors to prepare response plans, or rapidly conducts needs assessments through its Field Offices. Early implementation experienced delays in decision making processes due to lengthy approval processes. By integrating the clusters and Inter-Cluster Coordination Group (ICCG) in the response loop, decision making processes and responses to requests have improved over time</p> <p>Enhance content and quality of NFI kits—Met at an adequate level: The quality of internally displaced persons (IDP) kits is considered good generally, with a few exceptions. Medical items had a short shelf-life. Some shelter items, such as tarpaulins, were judged to be non-durable. In some instances, SWAN also supplied incomplete kits during the assessment period; in other cases beneficiaries considered supplies to be insufficient</p>
<p>Subcriterion 2: Allocative efficiency</p>	<p>Proportionate spend—Met at a good level: Overall, bearing in mind the slow spend in supplies, actual delivery and spend across outputs, by budget line and workstreams, is proportionally aligned with budget allocations and workplans</p>
<p>Subcriterion 3: Dynamic efficiency</p>	<p>Sound process to capture and use insights from the MEAL system to inform decision making and project improvements—Met at an adequate level: SWAN has systems in place to capture and enable the use of insights from the MEAL system. The project has a MEAL system intended for effective coordination and monitoring of the project activities. MEAL monitoring modalities include regular reporting, field visits, review meetings, document review and verification, learning, beneficiary accountability, PDM, and targeting</p>

Efficiency judgement	Adequate
	Examples in which adaptive programming enhanced project improvements—Partially met at a good level: SWAN provided examples of changes to project approach as a result of learning generated by the MEAL systems. At this pilot stage of SWAN, there is limited evidence of adaptive programming enhancing project performance during the assessment period
Subcriterion 4: Risk management	Risk management strategies and their implementation—Partially met at an adequate level: SWAN has a risk matrix and recommended mitigation measures, mainly centred around cash interventions. The risk matrix is silent about risks related to the procurement, pre-positioning and distribution of NFIs, which forms the largest percentage of project operations. There is no evidence that the project updates its risk register or of how it actively works to mitigate these risks

3.2.2 Detailed evidence of efficiency

Subcriterion 2.1: Technical efficiency

- **Achievement of expected outputs within budget, on time (SOI1.1.1, SOI1.1.3, SOI1.2.3, SOI2.1.1, SOI2.1.3, SOI3.1.1, SOI3.1.2, SOI3.1.4), for quantity and quality (see p.31 of this report)**

The outputs considered to be within SWAN's direct control (and therefore within the scope of technical efficiency assessment) include SOI1.1.1, SOI1.1.3, SOI1.2.3, SOI2.1.1, SOI2.1.3, SOI3.1.1, SOI3.1.2, and SOI3.1.4 as defined in SWAN's MEAL framework (Annex B). Table 5 shows expected versus achieved project outputs up to July 2020.

Table 5: Expected versus achieved outputs, March 2019–July 2020

Sector	Output no.	Output description	Target (for Aug 2020)	July 2019	July 2020	% achieved (July 2020)
				Achieved	Achieved	
WASH	1.1.1	No. of hygiene kits (WASH NFIs distributed)	73,000	0	77,909	107%
	1.1.3	No. of joint end-use PDMs conducted	6	0	6	100%
	1.2.3	No. of litres of water delivered per person/day	5	0	6.65	133%
ES	2.1.1	No. of ES/NFI kits procured, distributed, and pre-positioned	12,800	0	17,393	136%
	2.1.3	No. of joint end-use/PDMs conducted	6	0	6	100%
HEALTH	3.1.1	No. of kits procured and distributed	1,192	0	1,192	100%
	3.1.2	No. of kits pre-positioned	238	0	238	100%

Sector	Output no.	Output description	Target (for Aug 2020)	July 2019	July 2020	% achieved (July 2020)
				Achieved	Achieved	
	3.1.4	No. of partner and MoH meetings held	24	0	16	67%

Source: UN OCHA Field Monitoring Report, July 2019; SWAN MEAL Framework

According to the UN OCHA Field Monitoring Report, by July 2019, SWAN had made no progress in achieving its outputs for acceptable reasons. International and local procurement of WASH, ES/NFIs, and medical supplies was initiated in a timely manner. However, international procurement and shipping processes, especially for health items and ES/NFIs, took longer than expected. Some items were also missing on the local market. In addition, security problems and the change of focus from IDPs to returnees also hindered timely targeting and distribution, thus causing a delay in response (*UN OCHA Field Monitoring Report, July 2019*).

In contrast, by July 2020, SWAN had achieved or exceeded all its output targets except for the partner meetings with MoH. The project had made significant progress in the achievement of project outputs despite significant delays during early implementation. The procurement and pre-positioning of WASH, ES/NFIs, and health items had been completed by July 2020, and distribution was completed with targets either met or exceeded. Twelve joint end-use PDMs had been conducted (six in WASH and six in ES/NFIs). The quality of PDMs was generally acceptable, although (from the SWAN Evaluation findings) clusters cited that SWAN needs to improve the quality of its PDMs and its dissemination. On the other hand, 16 out of 24 meetings between SWAN and MoH had taken place.

Delivery within budget

Table 6 shows that during the assessment period, i.e. between March 2019 and August 2020, SWAN had spent 95% of its budget. Major cost drivers were transfers and grants and supplies. The supplies budget line had the highest amount underspend due to non-supplied stock at the end of the assessment period. Leftover supplies implied less transportation costs and thus the underspend in the budget line. The 7% overspend in operational costs was within the budget flexibility, set at 15%. Travel and equipment were the least drivers of project costs, and their slight overspend is assessed as having no significant effects on the overall budget. Additionally, SWAN monitors project workplans and regularly monitors its budgets through interim financial reports to track positive or negative variance in spend and delivery.

Table 6: SWAN programme expenditure, March 2019–August 2020

Budget line item	March 2019–August 2020		
	Budget (US\$)	Expenditure (US\$)	% spent
Transfers and grants to implementing Partners	4,295,099	4,262,103	99%
Supplies	3,614,697	3,190,984	88%
Personnel costs	404,189	399,297	99%

Budget line item	March 2019–August 2020		
	Budget (US\$)	Expenditure (US\$)	% spent
Indirect costs	588,785	556,992	95%
Operating costs	68,518	73,525	107%
Travel	27,115	29,319	108%
Equipment	1,600	1,796	112%
Total fund project cost	9,000,004	8,514,017	95%

Source: SWAN Finance, May 2021

Timely delivery/timeliness of response

During the SWAN project progress review in November 2019, participants noted the delay in responding and delivering items rapidly and in a timely manner to the requests coming from stakeholders. It was indicated that exogenous factors—such as delayed procurement processes, road blockages, security problems, and limited access to intervention areas, among others—had contributed to not being able to provide an immediate, timely, and effective response to requests. The time taken to do field-level assessments and prepare response plans was indicated as another contributing element to a slow response.

According to Table 7, a sample of PDM Reports within the assessment period show that the timeliness of the response to the beneficiaries was mostly late (delivered 60 days after displacement).

Table 7: When did you receive the assistance?

	Within 10 days	10–30 days	30–60 days	After 60 days	3 months+
WASH PDM East Wolega Zone, November 2019 (n¹³=102)				100%	
WASH PDM West Wolega Zone, December 2019 (n=51)				100%	
ES CASH PDM West Guji and Gedeo Zones, March 2020 (n=335)					100%
WASH PDM Borena, August 2020 (n=NA¹⁴)	2%	38%	11%	49%	

Source: Project PDMs

Table 8 shows that, when asked whether beneficiaries received the assistance at the right time during the PDM surveys, respondents in East Wolega Zone reported that assistance arrived too late. In contrast, the majority of respondents from West Wolega Zone and West Guji and Gedeo Zones responded that they received the assistance at the right time, even though assistance arrived after 60 days and over three months respectively. The indication of beneficiaries that they received assistance at a particular time is not necessarily related to

¹³ The number of respondents (households) is extracted from relevant PDMs.

¹⁴ The number of respondents is not available from the relevant PDM.

SWAN's faster response following the crisis, but is rather a subjective response, relative to their own needs and ability to cope with the disaster.

Table 8: Did you receive the assistance at the right time?

	Yes, at right time	Delayed	Too late
WASH PDM East Wolega Zone, November 2019 (n=102)	2%	1%	97%
WASH PDM West Wolega Zone, December 2019 (n=51)	71%	8%	21%
ES CASH PDM West Guji and Gedeo Zones, March 2020 (n=335)	72%		28%
WASH PDM Borena, August 2020 (n=NA)	52%	15%	33%

Source: Project PDMs

The UN OCHA reports provide the following examples of delayed response.

- Somali Region: WASH and ES/NFI items were distributed to flood-affected communities in the Shebelle Zone between December 2019 and late February 2020. There was a one-month time lag between the request and the actual delivery of the materials. Request for assistance from the Shebelle Zone Disaster Risk Management Office was submitted to SWAN in November 2019. The requested items were delivered to the targeted woredas in December 2019 (*UN OCHA Field Monitoring Report, June 2020*).
- Southern Nations, Nationalities, and Peoples (SNNP) Region: NRC provided in-kind and cash-based shelter support for returnees in Gedeo Zone of SNNP between September and December 2019. Beneficiaries received cash vouchers on 09 August 2019 and they received the items after three months, in November 2019 (*UN OCHA Field Monitoring Report, June 2020*).
- Oromia: WASH NFIs were distributed to flood-affected communities in Abaya Woreda. The request for flood response was submitted to SWAN in April 2020, and items arrived in targeted woredas in May 2020.

However, findings from the SWAN Evaluation show that, even with the above limitations in the timely delivery of NFIs to beneficiaries, SWAN is still seen as an improvement to the emergency response mechanisms in Ethiopia. This is mainly due to its ability to pre-position stock of critical supplies considered appropriate for the type of emergencies in specific areas, thus allowing a quicker response; in addition, SWAN's close collaboration with the cluster system mitigates duplication and ensures efficiency.

- **Cost per output (SOI1.1.1, SOI1.1.3, SOI1.2.3, SOI2.1.1, SOI2.1.3, SOI3.1.1, SOI3.1.2, SOI3.1.4)**

According to the agreed VfM framework in April 2021, this subcriterion was to be considered conditional to SWAN's provision of cost per output data. From the available evidence, SWAN does not compile cost per output data; as a result, this subcriterion has not been considered as part of this VfM Assessment.

- **Evidence of efficient delivery and distribution of NFIs (e.g. significant examples of reduction in procurement time; reduction in time-consuming logistical and administrative processes associated with warehousing and distribution)**

modalities; reduced bureaucracy and costs in the management and supply of NFIs; and improved time in the distribution of NFIs for IDPs, either at collective centres or in host communities) (GA, pp. 12–13)

One of SWAN's unique features embedded in its design is the ability to pre-position for NFI kits and execute early procurement of such items for storage at a central warehousing, such that, in case of any emergency, NFI kits are quickly distributed and delivered to host communities in an efficient manner. This design feature was intended to reduce procurement time, avoiding time-consuming logistical and administrative processes associated with warehousing and distribution modalities, bureaucracy, and costs in the management and supply of NFIs and improving time in distributing NFIs, thus allowing a quick response.

- o Reduction in procurement time

Local pre-positioning was desirable to help bridge immediate supply gaps after an emergency and thus save significant time in emergency response. Conditional on stock availability in the country, SWAN managed to procure and pre-position WASH NFIs such as soap, washing basins, buckets, jerrycans, and water treatment chemicals within 15–20 days, because these were procured from the local market through Framework Agreements established with suppliers. Some items, such as buckets and jerrycans, took longer to be procured due to delayed production by the suppliers in a few instances. For ES/NFIs sector, some items could also be quickly procured locally, although there was less success in procuring those items faster compared to WASH items. Overall, local procurement was considered easier and faster, except when there was a high demand for NFI items due to multiple responses across Ethiopia.

On the other hand, international procurement was intended to contribute to significant time-saving, since some goods were not available on the local market and therefore had to be procured from international suppliers. However, there were significant delays (six months or more) when items were procured internationally. Specifically, there were delays in the procurement of medical equipment and essential drugs, as well as in the procurement of ES/NFIs such as tarpaulin, during Phase 1 of the project. The health kit procurement process took too long. Collecting the required kits from the international market took time, and clearance from Customs and MoH took much more time than expected. The establishment of Framework Agreements to manage lengthy procurement processes had not been as effective as anticipated. In fact, evidence from the literature shows that Framework Agreements or LTAs do not have a clear relationship with saving procurement time, as these heavily depend on operational and context-specific conditions (*Return on Investment for Emergency Preparedness Study, p. 27*). UN OCHA proposed that UNOPS should work with SWAN because it has experience in international procurement, and UNOPS has a duty-free licence from the Ethiopian government for procuring and importing medical items. However, collaboration with UNOPS did not make any significant difference because the project continued to face challenges associated with the government's bureaucracy in terms of Customs clearance.

During the November 2019 project progress review, SWAN consortium members and the lead agency acknowledged the lengthy processes and time taken in procuring health kits and ES/NFIs contrary to the need for the project response mechanisms to be rapid. The

main challenge arising from international procurement (for medical equipment and essential drugs) was bureaucracy in terms of Customs clearance and taxation. According to the SWAN Evaluation findings, the process is considered cumbersome and exhausting, and the clearance of goods for humanitarian work is not often a priority for the government. The SCI lead occasionally met with the government to resolve these issues. However, no agreement or solution has yet been reached to address the problem at the time of writing this report.

Challenges in international procurement in Ethiopia are not unique to SWAN. Findings from the SWAN Evaluation show other organisations have also experienced this issue, including UN agencies. However, SWAN was set up to overcome the well-known contextual challenges of procuring humanitarian supplies (Customs clearance, taxation, etc.) and to mitigate any related response delays. The fact the project still faced several challenges with international procurement with very long lead times shows it fell somewhat short of its design and did not achieve its full theoretical mandate. The third phase of SWAN will use SCI, the health cluster lead, for the procurement of medical supplies. The approach will test whether lead times in the procurement of medical items will improve through SCI's global Framework Agreement.

- Reduction in time-consuming logistical and administrative processes associated with warehousing and distribution modalities

The SWAN consortium has its own warehouses. Although SWAN needs prior approval from the clusters to dispatch items from the warehouse, the process is reported as being relatively easy.

- Reduced bureaucracy and costs in the management and supply of NFIs

SWAN stock management is generally good. SWAN has an online portal for stock management. The online portal improves the efficiency of response and contributes to quick reporting of stock when required by clusters. Additionally, it is effective to monitor the status and condition of stuff in the warehouse. This portal is managed by the SWAN Logistics Team.

- Improved time in the distribution of NFIs for IDPs, either at collective centres or in host communities

SWAN has a pre-positioned stock of items that allows a quick response. Since the project works very closely with the cluster system, it avoids all duplication, thus improving the distribution of NFIs to IDPs. SWAN has an increased number of warehouses at the regional level, closer to the potential response areas. This increases the timeliness of the response. According to the SWAN Evaluation, there are generally no significant challenges in the distribution of NFIs as SWAN has been very effective in their distribution. If there have been delays, the reasons have been outside SWAN's control (for example political instability and access and security issues). For example, the Tigray conflict affected the distribution of NFIs in the region because of the curfew and the limited transportation imposed by the government for safety reasons.

- **Narrative evidence of faster and proactive needs assessments and decision making processes**

Whenever there is an emergency, SWAN partners with the government, clusters, and other humanitarian actors in Ethiopia to conduct needs assessment in two different ways.

- i) Where needs assessments are conducted by national multi-agency groups such as UN OCHA/government/clusters, SWAN uses these assessments to avoid duplication of effort. Based on such needs assessments, SWAN focuses on preparing a response plan for approval by the clusters. This approach is considered faster as it saves time, energy, and money.
- ii) In cases where no prior needs assessment has been conducted, SWAN deploys field staff who are familiar with the affected areas to conduct needs assessments. Needs assessments are based on community needs and usually take two to three days depending on the situation at hand and also depending on whether they are sectoral or multisectoral. For multisectoral needs assessments, SWAN has a rapid multisectoral Needs Assessment Tool covering all the relevant sectors. It includes questions from all the technical areas where the project might respond in the first place—WASH, ES/NFIs, health—plus a section on markets and financial institutions, which is applicable to all sectors. Cross-cutting issues such as gender, protection, accountability, and community engagement are also considered throughout. The idea is to collect information on all of these areas, where possible, through key informants and quickly to gather just enough information to allow SWAN consortium partners to make informed decisions. The tool is integrated so that all sectors are covered, and so that provision of vital support is not missed where it is most needed (*SWAN Project Rapid Needs Assessment Guidance Notes; SWAN Project Rapid Emergency Needs Assessment Tool*).

The SWAN Evaluation findings show SWAN's rapid needs assessments are considered good. SWAN has the competency to conduct needs assessments and has the ability to manage joint assessments well while adhering to assessment plans and following cluster guidance. The needs assessment report is prepared and submitted to SWAN's Technical Review Team. Based on the technical review, the report is submitted to clusters for review and approval. Based on cluster recommendations, a good response plan proposal is developed, either by SWAN or by any other actor, and shared with all clusters for execution.

During Phase 1, there were delays in the immediate approval of support requests from consortium members and other partners. Regarding these concerns, SWAN emphasised reducing the lengthy processes and time taken for the approval, as well as delays in responding to requests by non-consortium member partners. Since the SWAN project is designed to provide swift and first-line response both in terms of the multisectoral and sectoral integrated type of approach within the cluster system, it was crucial to have approval by clusters for any response requests from different levels. As such, clusters were recommended to have simple templates for immediate approval of response requests and were encouraged to include ICCG in the communications loop. Sectoral working groups were also encouraged to check with cluster coordinators on the submitted requests through mobile text messages as a quicker means of follow-up. Evidence from the validation meeting with SWAN shows that approval processes have improved over time. With the cluster and ICCG as part of the response plan, approvals and decisions are now made within the course of a day (*SWAN Project Progress Review, November 2019; SWAN Evaluation Report, July 2021; Validation meeting with SWAN, June 2021*).

- **Narrative evidence of enhanced content and quality of the IDP kits (GA, pp. 12–13)**

Invitations to tender include detailed quality specifications for NFI items to be procured. Framework Agreements are signed with suppliers whose sample items conform to the specific quality requirements provided during the procurement processes. Framework Agreements also have penalty clauses for suppliers who fail to meet the required standards or who for some reason change the expected standard (*SWAN Framework Agreements*).

With these quality control procedures in place, a sample of project PDMs shows that most beneficiaries are satisfied with the quality of NFI items provided, rating the quality of items as either excellent or good (Table 9).

Table 9: Quality of items

PDM	Excellent	Good	Average	Bad
WASH PDM East Wolega Zone, November 2019 (n=102)	73.8%	24.9%	1.0%	0.3%
WASH PDM West Wolega Zone, December 2019 (n=51)	66.7%	18.6%	8.3%	6.4%
WASH PDM Borena, August 2020 (n=NA)		100.0%		

Source: Project PDMs

However, in a few instances, monitoring results show poor quality items being distributed. For example, the UN OCHA Field Monitoring Report in June 2020 revealed that poor quality items—that is, 20-litre jerrycans and plates—were distributed to beneficiaries in Somali Region. Medical items procured were also discovered to have a shelf-life of less than two years; some health items were less than three months from their expiry date (as most of the procured kits were 2017 batches).

The SWAN Evaluation findings also show there were complaints about some ES/NFI support. Some beneficiaries complained that tarpaulins degraded rapidly due to exposure to the elements, that water cleaning kits did not work or failed to improve water quality, or that plastic sheets tore and were unusable.

Regarding the content of IDP kits, sometimes SWAN distributed partial ES/NFI kits as a result of delayed procurement. For example, in Somali and SNNP Regions, ropes—which were supposed to be distributed together with the plastic sheets for damaged roofs and walls—were missing. Plastic sheets and cash allocated to returnees (for example) in SNNP Region were insufficient. In some cases, kits were missing some critical items, such as cooking sets or tarpaulin (*UN OCHA Field Monitoring Report, June 2020*).

Subcriterion 2.2: Allocative efficiency

• Proportionate spend

This subcriterion assesses whether actual delivery and spend across outputs is aligned with workplans and budget allocations by output area.

○ By budget line

Table 10 shows the level of spending versus budget allocations. This is calculated as the amount budgeted or spent on each budget line divided by the total project cost. Overall, and bearing in mind the slow spend in supplies, actual spend across budget lines is within intended proportionate spending.

Table 10: Proportional spending by budget line, March 2019–August 2020

Budget line item	Budget (US\$)	Proportion of budget	Actual expenditure (US\$)	Proportion of actual expenditure
Transfers and grants to implementing Partners	4,295,099	48%	4,262,103	50%
Supplies	3,614,697	40%	3,190,984	37%
Indirect costs	588,785	7%	556,992	7%
Personnel costs	404,189	4%	399,297	5%
Operating costs	68,518	1%	73,525	1%
Travel	27,115	<1%	29,319	<1%
Equipment	1,600	<1%	1,796	<1%
Total fund project cost	9,000,004	100%	8,514,017	100%

Source: SWAN Finance, June 2021

- o By workstream

Table 11 shows that, from the GA, the total project budget was proportionally distributed as 39%, 33%, and 28% for ES/NFIs, WASH, and health respectively for supplies through both in-kind and cash modalities. Allocations per sector were based on cluster guidance and needs as deemed by SWAN at the time. Actual spend by sector generally aligns with the intended proportionate spending, with the largest proportion of the budget being spent on ES/NFIs (41%), followed by WASH (34%) and health (25%).

Table 11: Proportionate spending by sector

Expenditure by cluster	Budget	Actuals
NFI and ES	39%	41%
WASH	33%	34%
Health	28%	25%
Total	100%	100%

Source: GA, SWAN Finance, June 2021

- o By project locations

Several attempts were made to assess proportionate spend by project location (region) as presented in the GA (p.34). However, SWAN's response was that the project is designed to be flexible enough to respond in any part of the country based on cluster and ICCG approval. Hence, the response per location varies depending on the actual need on the ground.

Subcriterion 2.3: Dynamic efficiency

- Sound processes to capture and use insights from the MEAL system to inform decision making and project improvements

SWAN conducts regular field monitoring visits. The project provided sample field visit monitoring and spot-check reports. These documents show that the project is intentional in capturing gaps in project activities, with relevant Action Points required to improve project performance (*Field Visit Monitoring Report, East Wolega Zone; Report on the Joint Supportive Monitoring Visit, Shabelle Zone; Recommendations and Action Points from EHF spot-check*).

Part of the MEAL system is the agenda for learning, intended for regularly documenting and sharing project lessons and experiences so as to improve the implementation modalities and outcomes of the project. Learning was intended to be continuous, taking place and focusing on using information from the monitoring system to improve programme delivery. The project holds zonal and woreda-level quarterly and biannual project review meetings to connect reporting, feedback, evaluation, and learning to assess the performance of the project. The meetings bring the project's Technical Teams together with government line departments, woreda offices, community representatives, and Addis-based project staff from consortium member organisations. For example, in November 2019, the consortium organised a project progress review and lessons learned documentation workshop in Addis Ababa. The workshop was attended by 29 people, including two female representatives from UN OCHA/EHF and representatives from national clusters (WASH, health, ES/NFIs) and SWAN consortium partners (NRC, WVI, AAH, SCI). Government signatories were invited too, but were not present.

Additionally, SWAN has an Action Tracker to capture progress on indicators and points for action, adaptation, and learning throughout the project cycle. This acts both as an accountability tool and as a feed learning tool (*MEAL SOP, p. 11; SWAN Project Progress Review, November 2019; Action Points Tracker from Project Review and Learning Workshop*).

The MEAL system also comprises of the beneficiary accountability system, and is intended to be functional, responsive, and context-based. Through community consultations, the project established context-based accountability systems that fit communities or beneficiaries (Subcriterion 4.2: Output equity). Complaints and feedback are raised by beneficiaries and relevant parties using CFRMs established through the consultation process and are logged into a CFRM database. The database includes complaints/feedback disaggregated by collection method, sex, and age, and categorises of feedback (e.g. general feedback, requests for information/assistance, minor or major dissatisfaction with activities, breaches of the SCI code of conduct/Child Safeguarding Policy, and allegations of child abuse or the sexual exploitation of beneficiaries by SCI staff).

There is evidence that SWAN reviews and responds to feedback/complaints from communities (*SWAN Project Feedback and Response Mechanisms Database, September 2019–March 2020*).

PDM is a monitoring tool that helps assess a beneficiary's satisfaction level with the service provided by the project. SWAN conducts PDMs within one month of distribution to check/ascertain the effectiveness of the service distributed to vulnerable households affected by internal displacement, and to assess the satisfaction level of beneficiaries in terms of the targeting, timeliness, quality, and quantity of the support. During PDMs, SWAN

identifies gaps and uses PDM findings as an input for program improvement in subsequent responses.

PDM findings are sometimes discussed with consortium members or with the concerned communities, and the results are shared with the Country Management Team for consideration in the following subsequent response.

- **Examples of adaptive programming enhancing project improvements (e.g. changes to the approach and/or design of the project and workstreams in response to learning generated by the MEAL system)**

SWAN has consistently identified gaps and captured insights from its monitoring modalities, as presented in the section above. Recommendations to improve performance from the above monitoring tools have also been documented. Although some issues have been responded to, it is hard to tell from the available documentation whether SWAN has used monitoring findings to inform and adapt project strategy and targets and consequently enhance programme performance during the assessment period. This finding is consistent with the overall Evaluation Report, which notes that it was not clear how learning from monitoring modalities such as field monitoring and PDMs was responded to and taken into account in SWAN's response.

In contrast to the above finding, during a validation meeting with the SWAN MEAL Team, SWAN provided the following examples of how the project was using learning from its monitoring modalities to adapt programme operations.

- In response to learnings from early procurement on how to improve the lead times in the supply of medical supplies procurement, SWAN initiated discussions with UNOPS to use SCI as the health lead of the SWAN project to procure health supplies through its global Framework Agreement. The proposal was intended to test whether procurement times would be much shorter going down that route. After several discussions, this approach was agreed upon and is being considered as the procurement modality for health supplies during the third phase of the SWAN project.
- Based on needs and market feasibility assessments and discussions with beneficiaries in the West Guji Zone, SWAN understood that the cash programme in NFI is not feasible in relation to the market. SWAN therefore communicated with the national cluster and changed the support to an in-kind type of support.
- During field monitoring visits in the West Guji Zone, some of the informants, especially women and girls, requested that SWAN add protection as an intervention/sector in its implementation, especially in conflict-prone areas. SWAN considered this request and mainstreamed protection in its third and fourth stages of implementation to protect the affected population from sexual exploitation and abuse and to ensure SWAN's assessments and delivery are consistent with protection principles. From PDM assessments, there was also minor dissatisfaction regarding the distribution sites. Beneficiaries preferred that protection of mainly women and girls from abuse and any form of exploitation is considered. As a result, SWAN communicated with all consortium partner field staff to distribute items at IDP sites near communities where girls and women would feel more secure.

- In relation to complaints raised against the quality of some NFI items (such as plates and jerrycans) during the PDM and field monitoring visit in Somali Region, SWAN worked to exchange similar items in the warehouses. SWAN, through its ES/NFIs lead, communicated with the supplier and the items were replaced.
- From different MEAL communities of practice, there was an information gap and poor communication and integration with target beneficiaries during early distributions. SWAN worked to strengthen information provision mechanisms, as beneficiaries had a right of access to information regarding their entitlement, the staff code of conduct, beneficiary selection and targeting, and the project as a whole.

Subcriterion 2.4: Risk mitigation strategies

SWAN has a risk matrix (Annex C) containing project risks and corresponding mitigation measures. Risks are mainly identified for cash-related activities, which form only 30% of the project interventions. Risks are categorised as General, Acceptance/perceptions (Gov. or comm.), Financial (diversion of funds), Financial (donor compliance), Legal, Operational, Security, and Markets, with corresponding risk mitigation measures. The risk matrix is silent about risks relating to the procurement, pre-positioning, and distribution of NFIs, which forms the largest percentage of project operations.

Through project implementation, substantial risks associated with the procurement and distribution of NFI kits—such as long lead times, scarcity of NFI items on the local market, security, and access to distribution sites—have been identified as impeding the efficient delivery of the project. However, there is no evidence that these risks have been added to the risk matrix, or that it is updated regularly with corresponding mitigation measures. SWAN should consider having a comprehensive risk register that is regularly updated and clearly documented (*Risk Matrix and Mitigation Measures*).

3.3 Effectiveness

In FCDO/DFID's approach to VfM, *effectiveness* is the achievement of outcomes:

How well are the outputs from an intervention achieving the desired outcome on poverty reduction? (Note that in contrast to outputs, we or our agents do not exercise direct control over outcomes). (DFID, 2011, p. 4)

The following **definition of effectiveness** was used in the VfM Assessment:

SWAN contributes to increased access to safe water, protection, shelter, and health services; to beneficiary utilisation of increased knowledge and awareness of hygiene, safety, and health practices for improved wellness; and to MoH's capability to respond more efficiently and effectively to health emergencies.





This level of VfM Assessment involves changes in behaviour or actions on the part of external stakeholders after programme delivery. Thus, effectiveness is within the programme's influence but not within its entire control. The effectiveness assessment examines whether the SWAN programme achieved its intended outcomes within each intervention pathways—increased access to WASH, ES/NFIs, and health services; beneficiary utilisation of knowledge and awareness of hygiene, safety, and health practices;

and an increase in MoH's capacity to respond to health emergencies—to the extent that evidence is available and whether there have been any unintended consequences of the programme interventions.

This section provides evidence relating to the SWAN VfM Framework (April 2021). The evaluation findings on effectiveness discussed in the SWAN Evaluation Report give more insights into the achievements of project outputs and outcomes and provides detailed information on constraints.

The **effectiveness rubric** was defined as follows (Table 12).

Table 12: Effectiveness rubric for the SWAN VfM Assessment

Standard	Definition	Standard met
 Excellent	<ul style="list-style-type: none"> SWAN <i>met or exceeded</i> all intended project outcomes in all three workstreams (e.g. meeting or exceeding logframe milestones and other relevant expectations, allowing for reasonable exceptions, and/or generating additional unplanned positive outcomes); <i>and</i> The project has increased MoH's capacity to respond to health emergencies 	Met Partially met
 Good	<ul style="list-style-type: none"> SWAN <i>generally met</i> its intended project outcomes in all three workstreams (e.g. generally meeting or close to meeting logframe milestones and/or other expectations, allowing for reasonable exceptions) Beneficiaries utilise knowledge and awareness of hygiene, safety, and health practices for improved wellness¹⁵ 	Met Met
 Adequate	<ul style="list-style-type: none"> SWAN can demonstrate <i>some</i> progress towards achieving the intended project outcomes (e.g. not meeting logframe milestones or other targets but sufficiently on track not to be deemed an outright failure) 	Met
 Poor	<ul style="list-style-type: none"> Conditions for 'adequate' not met 	

3.3.1 Effectiveness judgement and summary of evidence

Generally, SWAN has contributed to increased access to water, protection, shelter, and health services for communities in need. SWAN met and exceeded its logframe milestones for outcome indicators relating to increased access to safe water, protection, shelter, and health services. Also, increased knowledge received by beneficiaries from information and awareness sessions provided by SWAN has been utilised by beneficiaries and has improved their hygiene practices and health wellbeing overall. SWAN also generated additional unplanned positive outcomes, such as strengthening partnerships and reducing competition among humanitarian actors in Ethiopia, and using surplus stock for other country emergencies.

¹⁵ Performance definition is added to reflect achievement of the reconstructed ToC outcomes. It was not part of the agreed VfM framework (April 2021).

With the exception of Outcome 3 of the reconstructed ToC, SWAN would have achieved an ‘excellent’ rating on effectiveness. However, there is limited evidence that MoH’s capacity to efficiently and effectively respond to health emergencies has increased, although SWAN’s capacity building support to MoH has helped reduce lives lost and increase treatment quality. Achievement of Outcome 3 forms part of the ‘excellent’ definition of the effectiveness rubric. As a result, SWAN’s effectiveness performance is rated as ‘good’.

Effectiveness judgement	Good
Subcriteria	Summary evidence
Subcriterion 1: Achievement of outcome indicator 1—WASH	Met at an excellent level: During the assessment period, a total of 461,324 beneficiaries had increased access to safe drinking water and safe hygiene practice through the provision of WASH supplies in items or cash. This result is 17% more than initially intended. The access of beneficiaries to WASH services contributed to their health by preventing waterborne diseases and any other issues that may have resulted from the lack of such services
Subcriterion 2: Achievement of outcome indicator 2—ES/NFIs	Met at an excellent level: A total of 174,872 beneficiaries (out of 110,000, i.e. 59% more) had increased access to basic ES/NFIs during the assessment period. Access to essential ES/NFIs improved the living standards, wellbeing, and dignity of beneficiaries
Subcriterion 3: Achievement of outcome indicator 3—Health	Met at an excellent level: Through the provision of essential life-saving medicines by SWAN, 718,448 beneficiaries had access to basic preventative and curative healthcare services by July 2020. The achieved number exceeded the target by 15 percentage points, showing SWAN’s significant contribution to beneficiaries access to basic healthcare services
Subcriterion 4: Beneficiary communities utilising their increased knowledge and awareness of hygiene, safety, and health practices for promoting improved wellness	Met at a good level: Available evidence shows that increased knowledge received by beneficiaries from information and awareness sessions provided by SWAN has been utilised by beneficiaries and has improved their hygiene practices and health wellbeing overall
Subcriterion 5: MoH’s increased capacity in responding to health emergencies	Forms part of the excellent definition and not met: Available evidence shows that SWAN’s technical skills offered through its capacity building support to MoH were helpful and consequential in reducing lives lost and increasing treatment quality. However, there is limited evidence to claim that the Government of Ethiopia MoH capacity to efficiently and effectively respond to health emergencies has increased
Subcriterion 6: Unintended positive/negative outcomes generated by the project	Met at an excellent level: The project has generated positive unintended outcomes, such as strengthening partnerships and reducing competition among humanitarian actors in Ethiopia; encouraging the use of surplus stock for other emergencies in-country; and improving the dignity and wellbeing of displacement-affected persons

3.3.2 Detailed evidence of effectiveness

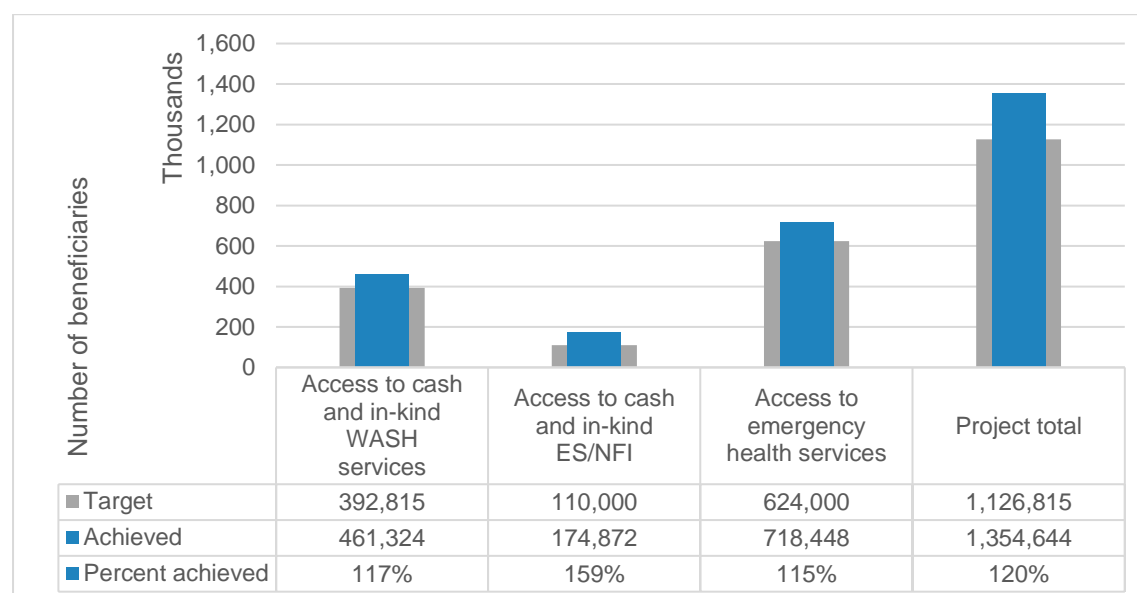
- Achievement of project outcomes**

Some of the results presented in the paragraphs below are framed according to the project’s logframe, which can be found in Annex B of this report. The logframe only consists of outcome indicators related to Outcome 1 (access to WASH, ES/NFIs, and health services)

of the reconstructed ToC.¹⁶ For the latter two outcomes, we draw from the SWAN Evaluation Report to assess whether they have been achieved.

Figure 4 and Figure 5 depict Outcome 1 of the project (access to WASH, ES/NFIs, and health services).

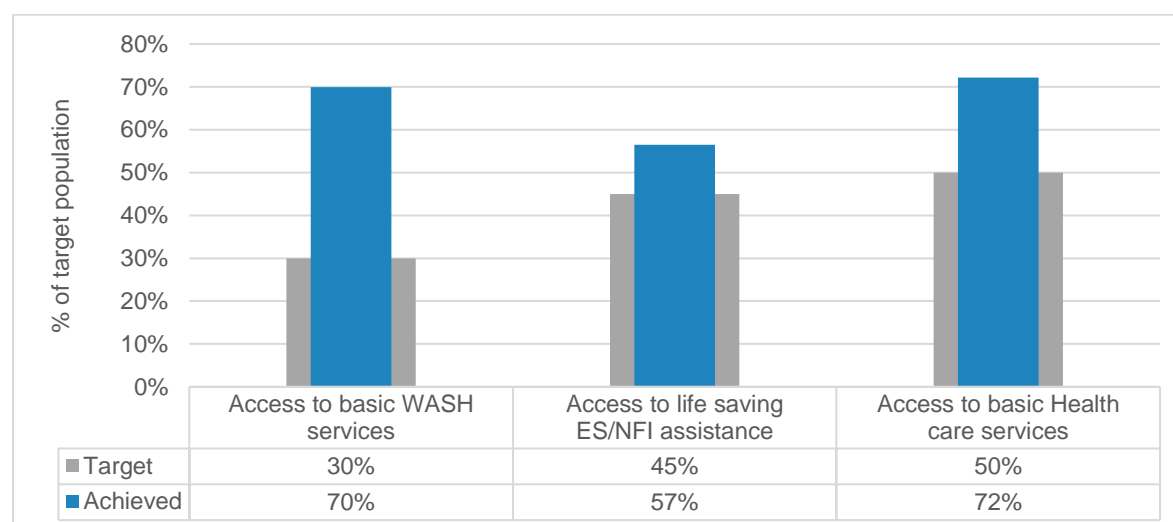
Figure 4: Targeted versus achieved number of beneficiaries having access to WASH, ES/NFIs, and health services, March 2019–July 2020



Overall, SWAN's project data show that all milestones for Outcome 1 were exceeded for the assessment period (Figure 4). By July 2020, a total of 1,354,644 beneficiaries had increased access to safe drinking water, promotion of safe hygiene practices, basic ES/NFIs, and preventative and curative healthcare services, which was 20% more than the targeted number (i.e. 1,126,815). Also, based on SWAN's Endline Survey Report (May 2020), SWAN had surpassed its intended proportions of target populations with access to basic WASH, ES/NFIs, and health services (Figure 5).

¹⁶ The logframe did not include outcome indicators for SWAN's capacity building support to the Government of Ethiopia for responding to health emergencies nor for beneficiary communities making use of knowledge and awareness for improved wellbeing. These were identified as pertinent outcome areas in the theory of change reconstruction undertaken during the evaluation's inception phase, but are absent from SWAN's logframe.

Figure 5: Target versus achieved proportion of target population with access to WASH, ES/NFIs, and health services, March 2019–March 2020



Subcriterion 3.1: WASH—the extent to which SWAN contributes to increased access to safe drinking water and safe hygiene practice through the provision of WASH supplies in items or cash

SWAN’s provision of water, including water cleaning assistance such as chlorine, jerrycans, buckets, and water basins, were instrumental in providing communities with better access to clean, healthy, and safe water. By July 2020, a total of 461,324 beneficiaries had increased access to safe drinking water and safe hygiene practice through the provision of WASH supplies in items or cash. The achieved number exceeded the target by 17 percentage points. The use by beneficiaries of these WASH services contributed to their health by preventing waterborne diseases and any other issues that may have resulted from the lack of such services.

Subcriterion 3.2: The extent to which SWAN contributes to access to basic NFIs and improved physical protection, privacy, and safety, in either in-kind or cash-based assistance

SWAN provided improved shelter services to beneficiaries, which improved their living standards, wellbeing, and dignity. By July 2020, a total of 174,872 (. 59% more than the target) had increased access to basic NFIs and improved physical protection, privacy, and safety in either in-kind or cash-based assistance. The improved shelter and use of latrines also contributed to improved health for the IDPs and enabled them to be kept clean and dry, thus contributing to the reduction of communicable diseases within the communities.

Subcriterion 3.3: The extent to which SWAN contributes to access to basic preventative and curative healthcare services through the provision of essential life-saving medicines

Through the provision of essential life-saving medicines by SWAN, 718,448 beneficiaries had access to basic preventative and curative healthcare services by July 2020. The achieved number exceeded the target by 15 percentage points, showing SWAN’s ability to contribute greatly to access to basic healthcare services.

Subcriterion 3.4: Outcome 2—beneficiary communities utilising their increased knowledge and awareness of hygiene, safety, and health practices for promoting improved wellness

The second outcome in SWAN's reconstructed ToC is that *beneficiary communities utilise increased knowledge and awareness of hygiene, safety, and health practices for improved wellness through SWAN's provision of awareness-raising sessions on WASH, health, and shelter to beneficiary communities*. SWAN provided information and awareness around hygiene safety and health practices to promote improved wellness. The SWAN Evaluation findings show that beneficiary communities embraced the awareness sessions and utilised the provided knowledge in their day-to-day hygiene practices.

- In SNNP, the education of beneficiaries on the use of water treatment chemicals and the use of soap and water after going to the toilet are practices that many beneficiaries apply and will continue to apply in their hygiene even when SWAN support ceases.
- In Somali, beneficiaries reported having acquired skills, such as building a shelter following instructions and information provided together with the support material. Beneficiaries also benefited from hygiene and sanitation awareness-raising and committed to using latrines instead of open toilets.
- In Oromia, beneficiaries used the health awareness knowledge in their hygiene by keeping their surroundings clean, using water treatments for safe drinking, and washing their hands after using toilets.

In general, increased knowledge received by beneficiaries from information and awareness sessions provided by SWAN has been utilised by beneficiaries and has improved their hygiene practices and health wellbeing overall.

Subcriterion 3.5: Outcome 3—MoH's increased capacity in responding to health emergencies

SWAN's third outcome area is that *MoH in Ethiopia responds more efficiently and effectively to health emergencies*. Evidence from the SWAN Evaluation shows that the technical skills offered by SWAN through its capacity building support to MoH were helpful and consequential in reducing lives lost and increased treatment quality. However, there is limited evidence to claim that the Government of Ethiopia MoH's capacity to respond to health emergencies efficiently and effectively has increased. SWAN's capacity building support to MoH staff contributed to better supply distribution and technical capacity among the staff, especially for health-related emergency responses such as cholera outbreaks, that are always implemented through MoH. However, MoH staff noted they still lacked the necessary skills to mobilise resources and to coordinate and respond to emergencies.

Training health officials to effectively respond to health emergencies, specifically in coordinating and delivering health supplies, is an essential measure in Ethiopia, given the frequent occurrence of health-related emergencies such as flooding, disease outbreaks like cholera, ethnic violence, and war. SWAN's capacity building efforts in supply distribution have modelled an essential element in emergency response, which is to empower local actors to take the lead in humanitarian response. Therefore, it is recommended that this outcome should be continually mainstreamed in the project operations.

Subcriterion 3.6: Unintended/positive or negative consequences

The SWAN Evaluation findings show that the project generated some outcomes that were not initially intended. Positive unintended results include:

- the allocation of surplus items to other needs or emergencies, such as COVID-19, in communities;
- strengthened partnerships among the SWAN consortium and the Ethiopian cluster system, which is currently seen as more functional and efficient;
- reduced competitiveness and better collaboration and partnership among some humanitarian NGOs in Ethiopia;
- improved dignity for persons who lived in dire conditions prior to the emergencies that led to their access to shelter, water hygiene, and sanitation services; and
- SWAN activities contributing to far-reaching outcomes such as physical healing from trauma and hardships experienced by beneficiaries, thus offering an enabling environment for continuity to life.

On the other hand, some negative consequences as a result of the SWAN project include:

- overreliance and dependence on SWAN for addressing emergency needs, along with the risk that SWAN will become the default RRM mechanism in Ethiopia as clusters appear to respond more rapidly to SWAN requests than to similar requests by other RRMs; and
- the fear that SWAN is pooled into many support directions, leading to reduced ability to respond well to emergencies—for example, the capacity building activities of SWAN were perceived as running the risk of detracting SWAN from its mandate, which is responding to emergencies.

Overall, the positive unintended benefits brought about as a result of SWAN's activities outweigh the negative consequences.

3.4 Equity

FCDO/DFID (2011) does not define equity directly, but does acknowledge the importance of distributive fairness as a dimension of VfM:

When we make judgements on the effectiveness of an intervention, we need to consider issues of equity. This includes making sure our development results are targeted at the poorest and include sufficient targeting of women and girls. (DFID, 2011, p.3)

In the updated FCDO's VfM guidance, equity is about ensuring that benefits are fairly distributed:





How fairly are the benefits distributed? To what extent will we reach marginalised groups? (FCDO, 2020, p. 3¹⁷)

The following **definition of equity** was used in the SWAN VfM Assessment:

SWAN seeks to ensure equality, AAP, and the participation and empowerment of its beneficiaries, and reaches the most vulnerable groups effectively.

The **equity rubric** was defined as follows (Table 13).

Table 13: Equity rubric for the SWAN VfM Assessment

Standard	Definition	Standard met?
 Excellent	<ul style="list-style-type: none"> The most vulnerable women, girls, boys, and men have equal access to emergency NFIs (outcome equity) 	Met
	<ul style="list-style-type: none"> Notable examples of how the staff of consortium members actively work towards minimising unintended negative consequences and are committed to 'do no harm' (output equity) 	Met
	<ul style="list-style-type: none"> Notable examples of how suggestions/complaints of project beneficiaries are incorporated into project reviews and how their suggestions are taken on board (output equity) 	Partially met (due to limited evidence)
 Good	<ul style="list-style-type: none"> SWAN implements specific measures explicitly aimed at enhancing equality, AAP, and the participation and empowerment of beneficiaries to promote equitable and meaningful participation in the project beneficiaries in project activities (output equity) 	Met
	<ul style="list-style-type: none"> Equity issues (equality, AAP, and the participation and empowerment of beneficiaries) are monitored in PDM reports, with relevant questions included in SWAN monitoring tools (output equity) 	Met
 Adequate	<ul style="list-style-type: none"> Equity considerations are visible in SWAN project planning and design (design equity) 	Met
	<ul style="list-style-type: none"> A gender-sensitive CFM with multiple channels is established and functional (output equity) 	Met
 Poor	<ul style="list-style-type: none"> None of the adequate criteria met 	

3.4.1 Equity judgement and summary of evidence

Equity is rated as 'good'. SWAN seeks to ensure the equality, AAP, and the participation of its beneficiaries, and reaches the most vulnerable groups effectively. Equity considerations are visible in SWAN project planning and design, during project operations equity issues are monitored by including relevant questions in project monitoring tools and project reporting. SWAN implements explicit strategies to enhance AAP and the participation and protection of affected populations, and there is pretty equal access to emergency supplies by women,

¹⁷ FCDO (2020). DFID's Approach to Value for Money – Guidance to external partners. Department for International Development, UK.

girls, men, and boys. SWAN staff are committed to do-no-harm principles and work towards minimising unintended negative consequences to programme beneficiaries by adhering to the project's code of conduct and project policies intended to minimise harm to affected populations.

SWAN has a gender-sensitive CFM. However, how SWAN takes on board and uses project beneficiary complaints and feedback to adapt project policies and strategies cannot be transparently evidenced from available project documentation. To facilitate a higher rating on equity in future VfM Assessments, SWAN should clearly document how what is learned from complaints mechanisms is used to adapt project operations and enhance project performance and how what is learned will be incorporated into future planning. This aspect forms part of the definition of 'excellent' equity and was not fully met, hence the 'good' rating.

Equity judgement	Good
Subcriteria	Summary evidence
Subcriterion 1: Design equity	<p>Evidence of the inclusion of equity considerations into project design—Met at an adequate level: The project was intended to reach IDPs, returnees, and host communities, specifically women and men affected by displacement and epidemics. SWAN considered cross-cutting issues such as gender and diversity, protection and safeguarding, inclusion, and AAP in its design. AAP, participation, and empowerment were mainstreamed into SWAN's Project Proposal narrative and project planning. The project clearly outlined its approach for the involvement of the affected people, AAP, protection, and gender-based violence (GBV). Project policies such as the safeguarding policy clearly show the equity intent in project design. Project tools such as monitoring templates and questionnaires were designed with equity considerations in mind</p>
Subcriterion 2: Output equity	<p>Strategies implemented by SWAN, explicitly aimed at enhancing equality, AAP, and the participation and empowerment of beneficiaries—Met at a good level: Strategies aimed at enhancing equality, AAP, and the participation and empowerment of beneficiaries were well implemented to a greater extent. There is evidence that affected populations were involved in the different stages of the project management cycle: needs assessments, project design, and implementation. The concerns of men and women or girls and boys identified through needs analyses were addressed through specific actions or activities. There was adequate information sharing and communication to affected populations, and mechanisms were put in place to enable affected populations to provide feedback and complaints. Protection principles were integrated into project operations. Gender and inclusion were embedded within AAP, participation, and protection principles. Project output and outcome data, activities, and information on beneficiaries were disaggregated by age and sex according to the targets in the Project Proposal, and equity considerations were regularly monitored in PDMs and joint supervision</p> <p>Consortium staff actively work towards minimising unintended negative consequences and are committed to 'do no harm'—Met at an excellent level: SWAN staff are committed to do-no-harm principles and work towards minimising unintended negative consequences to programme beneficiaries by adhering to the project's code of conduct and project policies intended to minimise harm to affected populations</p> <p>A functional gender-sensitive CFM—Met at an adequate level: SWAN has a functional gender-sensitive CFM in that the procedure is non-threatening and communities have knowledge of it; there are clear parameters regarding what kinds of complaint are received; complaints are recorded and transmitted without changes made to the content; complainants are given acknowledgement of receipt of their complaints and assured a response within</p>

Equity judgement	Good
	<p>a specified time limit; and all complaints are dealt with confidentially. People have knowledge of the procedure and easy physical access to the CFM</p> <p>Suggestions/complaints of project beneficiaries are taken on board—Partially met at an excellent level: SWAN provided a couple of examples of how beneficiary complaints and feedback were taken on board and contributed to a change in programme operations</p>
<p>Subcriterion 3: Outcome equity</p>	<p>Met at an excellent level: Overall, outcome gains in equity are visible in SWAN results. The project reached 52% women and girls and 48% men and boys. The project also exceeded the intended number of female beneficiaries by almost 60%. Overall, there is equal access to basic WASH, ES/NFIs, and emergency healthcare among all gender groups, with women having more access to emergency health services compared to other groups</p>

3.4.2 Detailed evidence of equity

Subcriterion 4.1: Design equity

- Narrative evidence of the inclusion of equity considerations into project design**

Participation of affected people: To understand the situation and needs of the target populations, the project outlined how IDPs/returnees, women, children, and other at-risk groups would be engaged in multisector rapid needs and market feasibility assessments. SWAN intentionally committed to engaging displacement-affected people in life-saving WASH, ES/NFIs, and health assistances through facilitating meaningful participation opportunities to influence decisions and effectively use local opportunities. For example, active engagement and consultation with key vulnerable groups such as women and other at-risk groups was anticipated to help in the prioritisation of interventions and to ensure assistance reaches those groups. Women and other at-risk groups were foreseen to be involved and consulted in the beneficiary selection and verification processes to ensure fair and appropriate targeting. Target Committees were also expected to represent IDPs/returnees (of different age groups and genders), kebele administrations, and woreda officers, among others. In addition, SWAN considered adopting the SCI Child Safeguarding Policy, intended to minimise the risk of children from abuse and exploitation and to ensure children’s participation by making them aware of acceptable and unacceptable behaviour and practice (*SWAN Project Proposal; SCI-ETH Child Safeguarding Policy, 2016*).

AAP: SWAN committed to developing a robust accountability system that enables children, adults, and vulnerable groups to provide continuous feedback in a safe and accessible way, where the feedback is acted upon to improve the project’s quality. ‘SWAN partners will put in place and inform entry points for complaints handling such as SCI toll-free hotline number of 6,163163, dedicated staff phone number, community meetings, Feedback Committee members, and other appropriate channels to collect, manage and close the feedback loop. The registered and managed feedback with age and gender-specific feedback from the beneficiaries will be used for project monitoring, decision making and ensure the appropriateness, effectiveness, quality and accountability’ (*SWAN Project Proposal*). The project also committed to providing accessible, timely, and relevant information to the people they are aiming to assist. This would include information relating to partner organisations and the consortium background, partner codes of conduct, an overview of the project, types

of assistance and their purpose, entitlements, and feedback and response mechanisms and procedures, through both verbal and written forms of communication.

Protection mainstreaming and GBV: Initially, protection was not mainstreamed in the SWAN proposal. However, SWAN's safeguarding policies show evidence on an intention to protect children from any form of abuse and exploitation. Contractually, SWAN was also obliged to protect vulnerable population groups against abuse, misconduct, and exploitation of any sort (*SCI-ETH Child Safeguarding Policy, 2016; SWAN GA*).

There is also evidence that project planning considered equity elements.

- Guidelines for Needs-Based Targeting were anchored on the principles of: i) AAP ii) a needs-based approach iii) do-no-harm principles iv) non-discrimination and v) participation (*Operational Guidelines for Needs-Based Targeting of Displacement-Affected Populations in Ethiopia, November 2020*).
- Guidance Notes established for the distribution of shelter and ES/NFIs included safeguarding and protection principles (i.e. to avoid causing harm and prioritise safety and dignity). All partners were encouraged to include protection of the displacement-affected population in all distribution activities to avoid causing harm and to prioritise safety and dignity. Guidelines for Needs-Based Targeting also considered protection during the targeting process, ensuring that people of concern are not put at greater risk of harm (*Guidance for Distribution of Shelter and NFIs, pp. 4–6; Guidelines for Needs-Based Targeting, p. 3–4*).
- Project tools such as the complaint feedback form were designed to capture the gender and age of the complainant, allowing for accountability to all age groups. Issues around breaching the Child Safeguarding Policy or allegations of child abuse and sexual exploitation of beneficiaries are some of the categories of complaints that can be raised by the target populations. PDM templates also have sections on protection and AAP (information provisions/sharing, participation, and CFM) (*PDM ESNFI survey template*).
- The MEAL SOP defined the focal persons responsible for beneficiary selection criteria, beneficiary selection verification, and beneficiary data entry, analysis, and documentation. The SOP also defined focal persons for identifying and installing context-based accountability systems as per the community consultations, as well as for complaints and feedback collection, data entry, analysis, and reporting (*MEAL SOP, p. 7*).

Subcriterion 4.2: Output equity

- **Evidence of strategies implemented by SWAN explicitly aimed at enhancing equality, AAP, and the participation and empowerment of beneficiaries (e.g. community awareness sessions; beneficiaries involved in needs and risk assessments)**

Participation in project implementation: SWAN prominently featured the participation element in the needs assessment and response plan. SWAN listened and involved women, children, IDP representatives, and other vulnerable groups during the needs assessments. SWAN also adopted a targeting approach that ensured assistance was prioritised to the most vulnerable and urgent cases.

Beneficiary and registration criteria followed the international standards of impartiality and prioritisation of the most vulnerable, including at-risk elders, female-headed households, child-headed households, pregnant and lactating mothers, and disability groups.

Table 14 shows that SWAN and its partner organisations strived to promote and maximise the participation of beneficiaries and representatives in project decisions and sought their informed consent and feedback. From a sample of PDMs, early responses saw kebele-level authorities taking the lead in making decisions for beneficiary targeting and registration. However, in the later responses, SWAN partners paid due attention to the engagement of IDP representatives in project activities such as beneficiary targeting, registration, selection, verification, information provision, and complaints handling practices, through the use of Target Committees or through a mix of Target Committees and kebele representatives and SWAN staff.

Registration Committee members were selected based on preidentified criteria, for example the most respected traditional community leaders (men and women), beneficiary representatives from all groups (women, youth, etc.), and kebele administration and SWAN staff.

The SWAN Evaluation findings also show that beneficiaries reported being members of different committees with a role in identifying the needs and organising distribution for IDPs and returnees. Targeting and registration of beneficiaries was usually participatory, and the final list of beneficiaries was agreed upon among the affected population (including representatives of vulnerable groups) and other appropriate actors (*Complaint Feedback Committee Training Report, December 2020; Project PDMs; MEAL SOP, p. 16; SWAN Evaluation Report, July 2021*).

Table 14: Who did the targeting?

Sample PDM	Kebele-level authorities	Mixed (kebele, Target Committee, SWAN staff)	Target Committee	SWAN staff/other
WASH PDM East Wolega Zone, November 2019 (n=102)	87%	0%	11%	2%
WASH PDM West Wolega Zone, December 2019 (n=51)	71%	29%	0%	0%
WASH Shabelle Zone, July 2020 (n=250)	1%	98%	0%	1%
ES Cash PDM Shabelle Zone, July 2020 (n=244)	0%	98%	0%	2%
WASH PDM Borena, August 2020 (n=NA)	46%	0%	52%	2%

Source: Project PDMs

Accountability in implementation: During targeting and distribution, SWAN provided both written and verbal explanations about the project, beneficiary entitlements, and the right of beneficiaries to complain or provide feedback, as well as information on the demonstration and utilisation of kits (Table 15).

Table 15: Access to adequate information

Sample PDM	Yes	No	Partially yes
WASH PDM East Wolega Zone, November 2019 (n=102)	94%	6%	
WASH PDM West Wolega Zone, December 2019 (n=51)	96%		4%
ES CASH PDM West Guji and Gedeo Zones, March 2020 (n=334)	62%	38%	
ES cash PDM Shabelle Zone, July 2020 (n=244)	98%	2%	
WASH PDM Borena, August 2020 (n=NA)	77%		23%

Source: Project PDMs

SWAN also established best-of-fit CFMs and Appeal Committees to facilitate complaints and feedback from the beneficiaries in project implementation sites. During the early phases of project implementation, a project review revealed that communities were less aware of existing complaint mechanisms.

Also, collected complaints were not well compiled and reported from the Field Team to the country offices. SWAN was recommended to improve its accountability mechanisms based on beneficiary preferences.

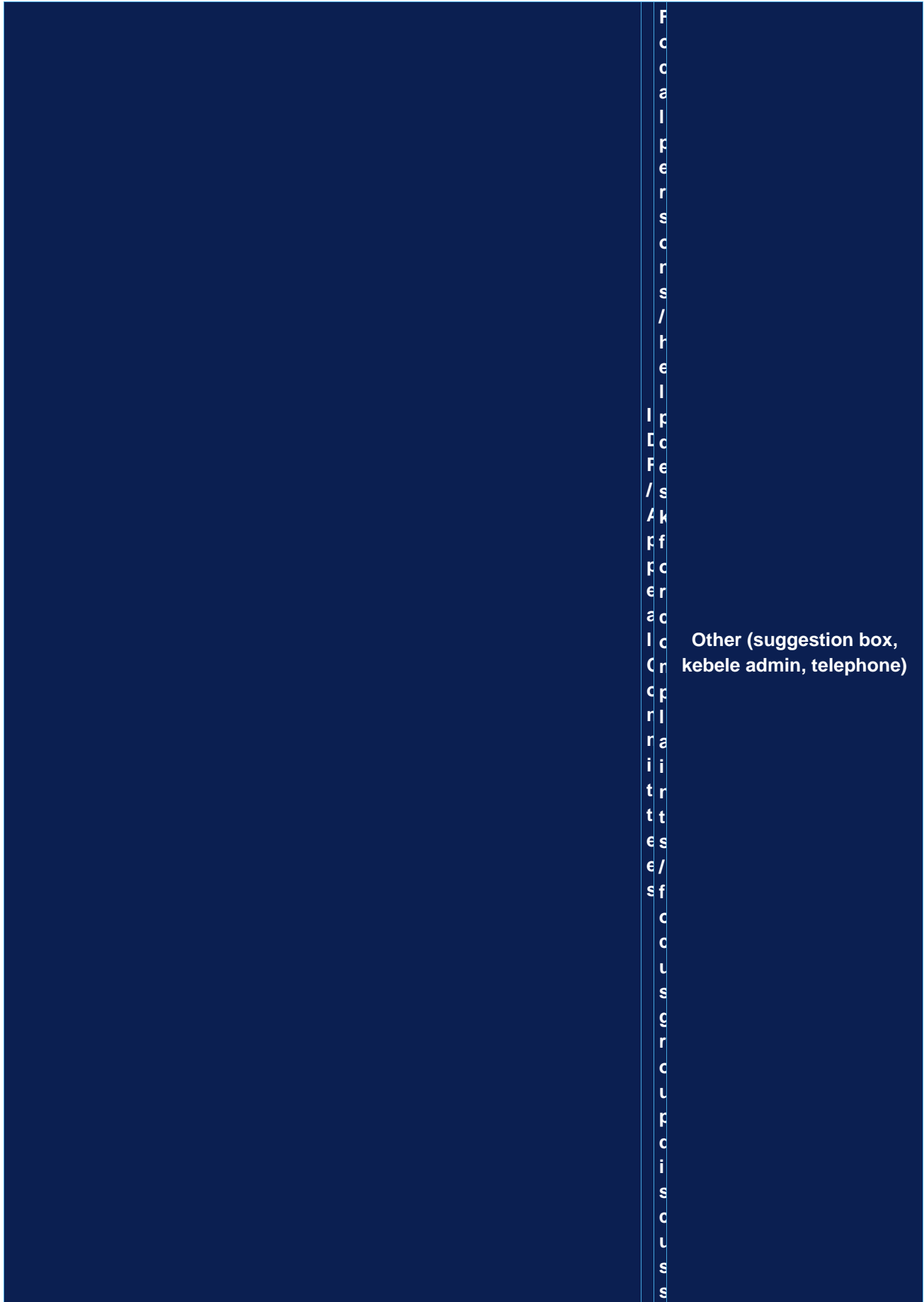
Table 16: Knowledge of existence of CFM

Sample PDM	Yes	No	Don't know
WASH PDM East Wolega Zone, November 2019 (n=102)	16%	82%	2%
WASH PDM West Wolega Zone, December 2019 (n=51)	76%	24%	
ES CASH PDM Shabelle Zone, July 2020 (n=165)	66%	34%	
ES CASH PDM West Guji and Gedeo Zones, March 2020 (n=354)	51%	49%	
WASH PDM Shabelle Zone, July 2020 (n=250)	90%	10%	
WASH PDM Borena, August 2020 (n=NA)	93%		7%

Source: Project PDMs

Table 16 shows that community awareness of CFMs has increased, based on the 2020 PDMs, indicating SWAN's consideration of the recommendations of the project review. The SWAN Evaluation findings also show that local officials addressed beneficiaries complaints and that solutions were provided following investigations. Common types of CFM included IDP/Appeal Committees or focal persons/helpdesks for complaints/focus group discussions (Table 17) (SWAN Project Progress Review, November 2019; SWAN Evaluation Report, July 2021).

Table 17: Type of CFM



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Other (suggestion box, kebele admin, telephone)

	Percentage	Percentage
WASH PDM East Wolega Zone, November 2019 (n=102)	54 04 %	6%
WASH PDM West Wolega Zone, December 2019 (n=51)	45 91 %	
ES CASH PDM Shabelle Zone, July 2020 (n=165)	45 21 %	7%
ES CASH PDM West Guji and Gedeo Zones, March 2020 (n=108)	8 0 %	20%
WASH PDM Shabelle Zone, July 2020 (n=250)	63 44 %	2%

Source: Project PDMs

Protection in project implementation: Although protection was not initially mainstreamed in SWAN's proposal, the project endeavoured to integrate protection principles in its three sectors of operation, starting from the rapid needs assessment. The project adhered to its safeguarding policies and code of conduct, where protection of beneficiaries from any exploitation such as sexual exploitation and abuse is a prerequisite.

The review of early implementation in November 2019 revealed gender and child protection issues were mainstreamed within SWAN project activities, and that these were monitored by including relevant questions during PDM and field monitoring. The SWAN Evaluation findings also show that SWAN increasingly included protection principles in its implementation. For example, beneficiaries were educated about exploitation and abuse and about mechanisms for reporting such cases.

A sample of PDMs show that protection was mainly considered from the perspective of personal protection and safety, recognising particular vulnerability during and after distribution mainly in the WASH and ES NFI sectors. Table 18 shows beneficiaries were monitored about whether they felt safe travelling to and from the distribution sites, and the majority of them felt safe. According to the SWAN Evaluation findings, beneficiaries also felt safe during distribution, citing examples of authorities or security guards being present at that time (*Project PDMs; SWAN Evaluation Report, July 2021*).

Table 18: Did you feel safe on your way to and from the distribution site?

	Yes	No
WASH PDM East Wolega Zone, November 2019 (n=102)	96%	4%
WASH PDM West Wolega Zone, December 2019 (n=51)	88%	12%
WASH PDM Borena, August 2020 (n=NA)	95%	5%

Source: Project PDMs

Gender and inclusion: Overall, gender is embedded into AAP, participation, and protection principles. For example, women were consulted during the needs assessments. During beneficiary selection, preference was given to IDPs who were single mothers, widowed women whose husbands had passed away as a result of conflict, single-women households, and women and children living with HIV and Aids, along with pregnant and breastfeeding mothers, children, and elders.

Also, during the distribution of NFIs, priority and first service was given to vulnerable groups, including breastfeeding and pregnant mothers and single-headed householders and widows. The SWAN Evaluation findings also reveal that assistance included gender-specific items (such as sanitary napkins for girls and women) (*SWAN Evaluation Report, July 2021*). Project output data, activities, and information on beneficiaries are disaggregated by age and sex and regularly monitored through PDMs and joint supervision. Overall, equity considerations are integrated into SWAN's monitoring activities. These are monitored by including key questions during PDM and field monitoring.

- **Examples of how the staff of consortium members actively work towards minimising unintended negative consequences and are committed to 'do no harm'**

SWAN institutionalised the do-no-harm principles in its implementation. SCI's agreement with consortium partners required policies such as the Child Safeguarding Policy, as well as protection from harassment, sexuality, and exploitation and protection from corruption and bribery, to be part of contractual agreements. These policies reflect a commitment to the protection of vulnerable people and allowed consortium partners to cascade the do-no-harm principles to their staff, especially staff with direct engagement with vulnerable groups.

SWAN ensured that all staff understand their responsibilities. Consortium partner codes of conduct make clear what practices are forbidden, and staff are formally required to agree to these codes of conduct and made aware of any penalties in case of violation. Induction and training on expected standards of behaviour are also provided to staff.

SWAN staff are also trained on AAP protection and do-no-harm principles and are required to formally agree to such policies. SWAN educates and provides protection information to its staff and beneficiaries. SCI also organises joint induction/training sessions for all members of staff involved in the CFM before implementation to ensure a harmonised approach on the ground. The training includes, at minimum, a thorough briefing on humanitarian and protection principles (including GBV), data protection, protection from sexual exploitation and abuse, and ways to confidentially and respectfully seek (and communicate with) the targeted and non-targeted communities (*Validation meeting with SWAN, June 2021*).

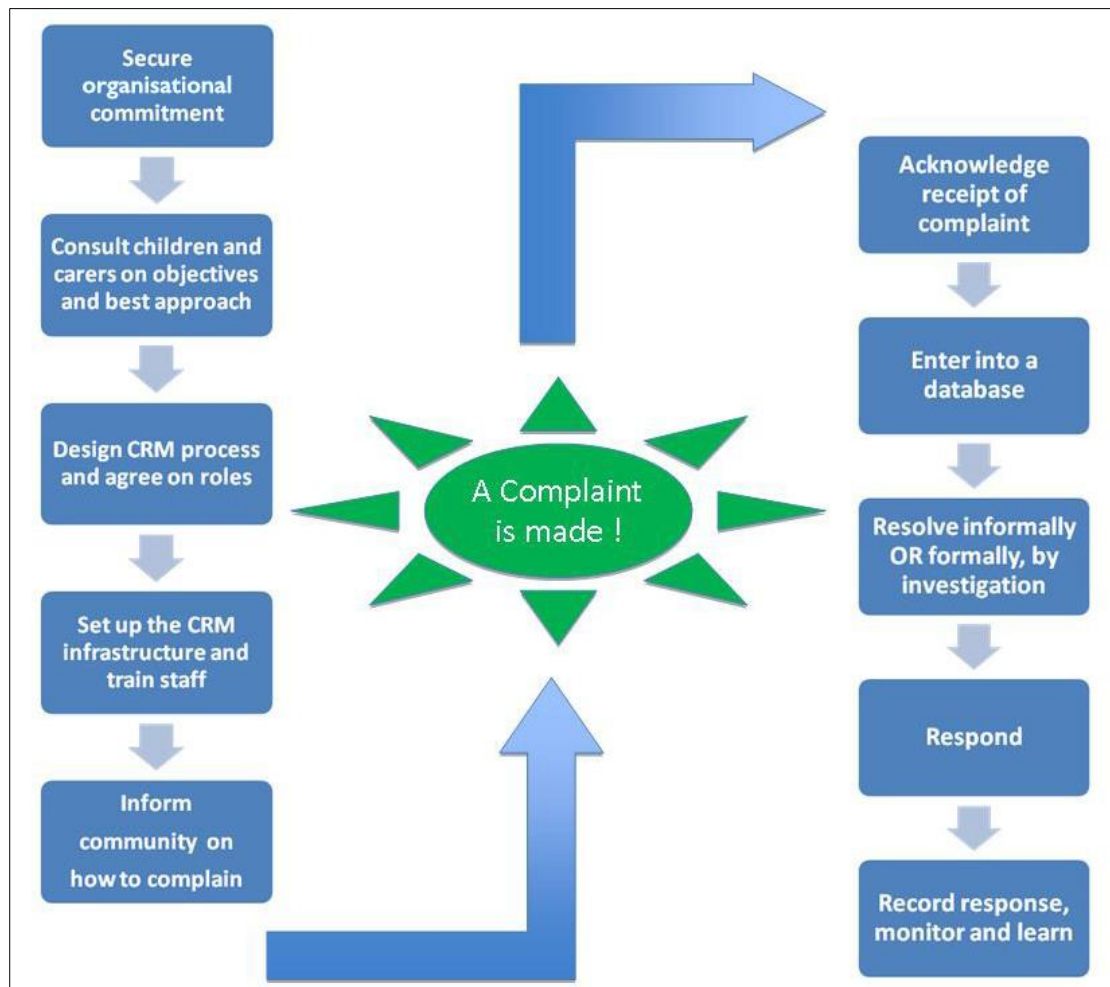
SWAN additionally promotes staff competency and attitude to accountability through:

- conducting formal training on accountability systems and mechanisms, especially for MEAL and programme staff;
- ensuring that all complaints and responses are handled with a positive attitude, while ensuring confidentiality;
- integrating accountability responsibilities in staff job descriptions;

- including accountability in the MEAL and other programme-level orientation for new members of staff; and
- providing proven training for the Community Reference Group (CoRG) and Child Led Group (CLG) on CFRM.

- **Evidence of a functional gender-sensitive CFM**

SWAN followed the SCI guide on establishing the CFRM. SWAN set up a CFRM procedure

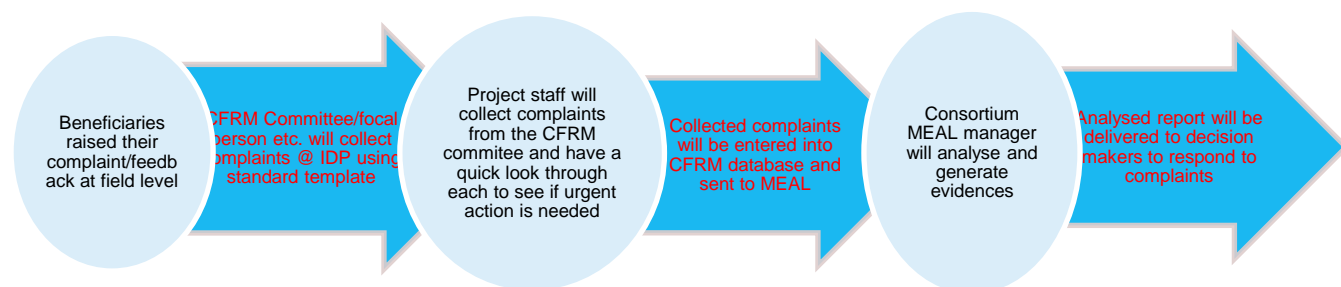


as represented in Figure 6.

Figure 6: CFRM procedure

Source: MEAL SOP

Ideally, complaints or feedback are raised by beneficiaries, and the process of CFRM data collection and analysis follows the steps below.



SWAN conducted accountability assessments for each project site to assess possible ways of sharing information, establishing complaint mechanisms and analysing how information flow and responses are handled. Following accountability assessments, SWAN shared information in local languages about the project to help beneficiaries complain and provide feedback. Information about SWAN was shared in the form of posters, meetings at woreda-level or at community-level, and focus group discussions, among others. SWAN then established functional systems to get complaints and feedback from the community. These included focus group discussions, community conversations and dialogues, face-face meetings, installation of information desks, complaint handlers, review meetings, suggestion boxes, mobile hotlines, and registration books. SWAN then set up a CFRM database that recorded complaints and feedback, together with their Action Tracker. All information is kept confidential, and complainants are protected from any potential risks. SWAN ensures that all complaints are responded to following the procedure below:

- project-specific complaints that fall between Category 1 and Category 4¹⁸ are responded to through project staff within the agreed timeframe; and
- response to Categories 5 and 6¹⁹ is provided by the child safeguarding focal person as per the case management (investigation) result.

The system is gender-sensitive in that either the CoRG²⁰ or the child-led group²¹ is in charge of receiving and providing complaint response), which encourages the participation and involvement of both male and female representatives. For example, one of the principles for CoRG formulation is gender, in which women's representation in the group is mandatory, and women constitute 40% of members of the CoRG at a minimum. Focus group discussions also encourage a 50–50 gender mix from different community groups such as children, women, men, and other groups relevant to the project objectives and location (*Guide on Establishing Community-Based Accountability and Complaint Response Mechanism, 2017*).

- **Examples of how suggestions/complaints of project beneficiaries are incorporated into project reviews and how their suggestions are taken on board**

¹⁸ Category 1: request for information; Category 2: request for assistance; Category 3: minor dissatisfaction with activities; Category 4: major dissatisfaction with activities.

¹⁹ Category 5: breaches of SCI code of conduct/child safeguarding policy; Category 6: allegations of child abuse or sexual exploitation.

²⁰ A CoRG is a group of individuals at community level who volunteer to work in a coordinated manner towards receiving and providing complaint response mechanisms. It represents different groups of people within the community.

²¹ A children's representative that allows them to voice their concerns and enhance their participation.

From project documentation, it is a challenge to tell whether SWAN has considered suggestions and complaints and used them to enhance project performance during the assessment period. However, during a validation meeting with the SWAN MEAL Team, SWAN mentioned the following suggestions from project beneficiaries had been taken on board and contributed to a change in programme operations.

- During field monitoring visits in the West Guji Zone, some of the informants, especially women and girls, requested that SWAN should add protection as an intervention/sector in its implementation, especially in conflict-prone areas. SWAN considered this request and mainstreamed protection in its third and fourth stages of implementation to protect the affected population from sexual exploitation and abuse and ensure SWAN's assessments and delivery are consistent with protection principles. Also, from PDM assessments, there was minor dissatisfaction regarding the distribution sites. Beneficiaries preferred that protection of mainly women and girls from abuse and any form of exploitation is considered. As a result, SWAN communicated with all consortium partner field staff to distribute items at IDP sites near communities where girls and women would feel more secure.
- In relation to the complaints raised against the quality of some NFI items (such as plates and jerrycans) during the PDM and field monitoring visit in Somali Region, SWAN worked to exchange similar items in the warehouses. SWAN, through its ES/NFIs lead, communicated with the supplier and the items were replaced.

Subcriterion 4.3: Outcome equity

Table 19 shows the number of project beneficiaries targeted and achieved, disaggregated by sex. As noted in the effectiveness section, SWAN exceeded its total targets for assistance to its beneficiaries. However, disaggregation by sex shows that SWAN reached more women (~60% more) and girls (13% more) than it had initially intended as compared to men (11% more) and boys (6% more).

Table 19: Total project beneficiaries, disaggregated by sex

	Men	Women	Boys	Girls	Total
Targeted no. of beneficiaries	247,899	236,631	349,313	292,972	1,126,815
Achieved no. of beneficiaries	276,337	377,037	369,244	332,026	1,354,644
Percentage achieved	111%	159%	106%	113%	120%

Source: SWAN MEAL Framework

Table 20 also shows there was pretty equal access of beneficiaries to WASH, ES/NFIs, and healthcare services among all groups. Interestingly, the proportion of women with access to emergency healthcare services is notably higher than that of the other groups. Overall, of the total project beneficiaries, 52%²² were women and girls, while 48% were men and boys.

²² Figures may differ from those in the table due to rounding off.

Table 20: Number and proportion on beneficiaries disaggregated by sex

	Men	Women	Boys	Girls	Total
Number of beneficiaries					
Access to cash and in-kind WASH services	97,980	100,945	133,823	128,576	461,324
Access to cash and in-kind ES/NFIs	42,368	40,404	48,939	43,161	174,872
Access to emergency health services	135,989	235,688	186,482	160,289	718,448
Project total	276,337	377,037	369,244	332,026	1,354,644
Percentage of beneficiaries					
Access to basic WASH services	21%	22%	29%	28%	100%
Access to cash and in-kind ES/NFIs	24%	23%	28%	25%	100%
Access to emergency health services	19%	33%	26%	22%	100%
Project total	20%	28%	27%	25%	100%

Source: SWAN MEAL Framework

3.5 Cost-effectiveness

FCDO/DFID's approach to VfM (2011) defines cost-effectiveness in terms of the following question:

How much impact on poverty reduction does an intervention achieve relative to the inputs that we or our agents invest in it? (DFID, 2011, p. 4)

This use of the term 'cost-effectiveness' relates to a general concept of comparing inputs to impact (King and Allan, 2018)²³, which aligns with the principle that a programme should create at least as much value as it consumes. This framing of cost-effectiveness is appropriate to VfM Assessments across a diverse range of FCDO-funded programmes because it does not specify the methods or metrics that should be used.

The following **definition of cost-effectiveness**²⁴ was used in the SWAN VfM Assessment:

SWAN outcomes are commensurate to the level of investment, and programme expectations are met for the level of funding allocated.

We used the following **cost-effectiveness assessment rubric** (Table 21) to qualitatively assess whether SWAN's expectations were met for the funding allocated. Most of the evidence underpinning the cost-effectiveness rubric has already been presented in various sections of this VfM Assessment and in the SWAN Evaluation Report. To avoid duplication,

²³ King, J., Allan, S. (2018) 'Evaluating Value for Money in International Development: Pakistan SubNational Governance Programme'

²⁴ The term 'cost-effectiveness' is also used to refer to a specific form of economic analysis that measures the ratio between a single, measurable outcome indicator, measured in natural or physical units (e.g. life-years saved), with monetary programme costs. This is a specific approach to measuring efficiency and the Assessment Team does not intend to perform this form of analysis. Cost-effectiveness will follow a more qualitative assessment.

we have summarised the evidence and reference relevant sections from both documents for further reference.





Table 21: Cost-effectiveness assessment rubric

Performance	Relevance	Timeliness	Magnitude of results/outcomes	Equity	Expected sustainability
Very high	Project is very well aligned with all five EHF objectives; project activities (rapid assessments and emergency response) respond to needs and priorities that are critically important to the affected people	Emergency response always rolled out on the ground after 72 hours (three days) of the emergency (following appropriate approvals)	The project has had profound results/outcomes in addressing the needs of affected people	Equity, protection, and do-no-harm principles are purposively tied to the project objectives and the project consistently applies equity considerations throughout the project cycle	All project results are expected to be sustained and continue to grow beyond project funding
High	The project is reasonably well aligned with two or more EHF objectives Project activities (rapid assessments and emergency response) respond to needs and priorities that are important to the affected people	Emergency response sometimes rolled out after 72 hours but not more than 120 hours (5 days) of the emergency (following appropriate approvals)	The project has had fairly significant results/outcomes in addressing the needs of the affected people	Equity, protection, and do-no-harm principles are well tied to the project objectives and the project inconsistently applies equity considerations throughout the project cycle	Most important project results are expected to be sustained beyond project funding although they may not continue to grow
Medium	The project is tangentially but defensibly aligned with EHF objective; project activities (rapid assessments and emergency response) respond to needs and priorities that are reasonably important to the affected people	Emergency response rolled out after 168 hours (one week) of the emergency (following appropriate approvals)	The project has had modest but worthwhile results/outcomes in addressing the needs of the affected people	Equity, protection, and do-no-harm principles complement some aspects of the project but remain on the periphery; equity considerations are rarely applied throughout the project cycle	Some elements of project results are expected to be sustained beyond project funding

Performance	Relevance	Timeliness	Magnitude of results/outcomes	Equity	Expected sustainability
Low	The project is poorly aligned or not aligned with EHF objectives; project activities (rapid assessments and emergency response) do not respond to the needs and priorities of the affected people	Emergency response rolled more than one week of the emergency (following appropriate approvals)	The project has had <i>little results/outcomes in addressing</i> the needs of the affected people	There is no <i>explicit</i> attention to equity, protection, and do-no-harm principles; equity considerations are <i>not</i> applied throughout the project cycle	It is unclear if and how results will be sustained beyond project funding

The **cost-effectiveness performance rubric** was defined as follows.

Table 22: Cost-effectiveness performance standards

Performance	Subcriteria
 Excellent	Meeting all reasonable expectations and substantively exceeding some of these
 Good	Generally meeting reasonable expectations, allowing for a few minor exceptions
 Adequate	Though not meeting all expectations, fulfils minimum 'bottom-line' requirements
 Poor	<i>Not</i> fulfilling minimum 'bottom-line' requirements

3.5.1 Cost-effectiveness judgement and summary of evidence

SWAN's cost-effectiveness is judged as 'good'. SWAN's outcomes are commensurate to the level of investment, and most project expectations were met for the level of funding allocated. With a total investment of US\$ 8.51 million between March 2019 and July 2020, SWAN's relevance is considered high.

SWAN aligns well with EHF objectives and responds to most needs and priorities that are critically important to the affected people, with the exception of food items. The magnitude of results in addressing the needs of affected people is great. Equity and protection principles are well tied to the project objectives and consistently applied throughout the project cycle.

Also, some elements of the SWAN project are expected to be sustained beyond project funding. The limiting factor to the cost-effectiveness of the SWAN project is timeliness. According to the rubric, timeliness was defined at a very high level as responding to emergency responses within 72 hours of the emergency (following appropriate approvals), which was not realised within the assessment period.

Although there could be many factors affecting timeliness—such as lengthy procurement processes, beneficiary selection and targeting, security, and access to affected populations—SWAN should have mitigation measures in place for these well-known issues

and should significantly improve its timeliness in responding to emergency needs for a higher rating on cost-effectiveness.

Judgement	Good
Evidence	Summary of evidence
Relevance (high)	<p>SWAN is overall aligned with all five EHF objectives.²⁵ SWAN's evaluation findings show that project activities (rapid assessments and emergency response) are critically important to the affected populations. SWAN is demand-driven and therefore responds to needs for emergencies prioritised and approved by the humanitarian clusters in Ethiopia. For approved emergencies, rapid multisectoral needs assessments are conducted by SWAN to determine the exact needs within the context of the emergency. Response plans are prepared in line with the findings of the needs assessments, and SWAN responds accordingly. Water, shelter, health services, and food were some of the critical needs identified by the beneficiaries displaced due to conflicts and natural disasters such as floods. Project beneficiaries strongly affirmed receiving items that matched their needs: specifically, tarpaulin and corrugated sheets to build shelters, jerrycans, buckets, water treatment tablets, soap, blankets, spades, and instruments to dig and build shelters were some of the items reportedly received. Therefore, SWAN was very responsive in meeting some of the critical needs of beneficiaries.</p> <p>However, there were instances when SWAN's response did not fully align with beneficiary needs, particularly relating to food. Food provision is a gap in the support SWAN provides, yet beneficiaries frequently mentioned it as a priority need. As a result, SWAN might consider food distribution in its future responses to be highly relevant to beneficiary needs (<i>SWAN Evaluation Report, July 2021, Section 4.1</i>)</p>
Timeliness (low)	<p>From the available evidence, emergency response was mostly rolled out more than a week following necessary approvals (<i>Subcriterion 2.1: Technical efficiency</i>)</p>
Magnitude of results (very high)	<p>The project has indeed had profound results in addressing the needs of the affected people. Project milestones for increased access of beneficiaries to safe water, protection, shelter, and health services were met and exceedingly surpassed (<i>Subsection 3.3: Effectiveness; SWAN Evaluation Report, July 2021, Subsection 4.4</i>)</p>
Equity (very high)	<p>Equity, protection, and do-no-harm principles are <i>purposively</i> tied to the project objectives, and the project consistently applies equity considerations throughout the project cycle. Equity considerations are visible in SWAN's design, and there are equity gains on project outputs and outcomes for the target groups (<i>Subsection 3.4: Equity</i>)</p>
Sustainability of expected results (medium)	<p>SWAN, as an RRM, was intended to provide life-saving assistance to affected communities rather than to achieve longer-term sustainable development. However, to some extent, some project results are expected to be sustained beyond project funding—for example, SWAN's water scheme rehabilitation and behavioural change communication activities for hygiene promotion. However, many beneficiaries were unsure of how they would cope with some of their challenges once the support ended. Thus the extent to which SWAN support can exceed just immediate needs is limited. Also, some of the SWAN capacity</p>

²⁵ EHF's main objectives are to support adequate, timely, flexible, and effective humanitarian financing; to promote needs-based assistance in accordance with humanitarian principles; to strengthen coordination and leadership, primarily through the function of the Humanitarian Coordinator and the cluster system; to improve the relevance and coherence of humanitarian response by strategically funding priorities as identified under the Humanitarian Requirements Document and emerging unforeseen needs; and to improve partnerships between the UN and non-UN actors.

Judgement	Good
	building activities have the potential for sustainability. SWAN conducted numerous capacity building activities for health workers, health extension workers, and volunteers related to community mobilisation, campaigns for raising IDP awareness, and case management. This capacity building for health workers and health centres may enhance the government's responses to emergencies in the future if other factors are kept constant (i.e. with the availability of resources to deliver an emergency response and minimised government staff turnover) (SWAN Evaluation Report, July 2021, Subsection 6.1)

3.6 Conclusions and recommendations

Overall, based on the indicators of economy, efficiency, effectiveness, equity, and cost-effectiveness during SWAN's one-and-a-half years of implementation, the VfM assessment indicates 'good' performance. SWAN is generating learning that is expected to contribute to its improved VfM overall during its subsequent implementation phases.

3.6.1 Recommendations to improve VfM

Assessment of economy, efficiency, effectiveness, equity, and cost-effectiveness performance against the agreed criteria, together with a wider consideration of relevant evidence and context, reveals the following areas where VfM could be improved.

Economy

- **Staff requirement:** SWAN and its consortium partners should ensure that their staff, especially the field staff, have sufficient time to administer project activities—that is, staff should be flexible enough to free up time to attend to project requirements. SWAN should also consider having pre-trained staff on rosters for quick deployment.
- **Time-saving and cost-saving:** SWAN should evaluate, document, and track its cost-saving and time-saving potential (for example, if SWAN did not have early procurement and pre-positioned items, SWAN would have spent US\$ x as opposed to US\$ y amount, thus delivering a cost-saving of US\$ z for delivered outputs). A similar analogy could be used for savings in transportation, storage, and salaries to justify efficiency gains across a range of inputs and outputs. SWAN should also document any time-saving as a result of early procurement and preparedness, e.g. time-saving in procurement, reduced delivery lead times by being close to potential affected areas, etc.

Efficiency

- **Beneficiary delivery time:** SWAN should significantly reduce the time from when it is identified that beneficiaries need goods to when the beneficiaries actually receive them. SWAN was set up to mitigate human suffering through faster relief operations and should therefore strive to achieve its mandate.
- **Reduce delays in international procurement:** SWAN should continually strengthen its links with the national agencies entrusted with coordinating relief efforts. Negotiations for mutual cooperation agreements for emergency situations such as priority treatment at Customs or provision of tax-exempt status to humanitarian supplies, and so on, should

continually take place to deal with restrictions imposed through tariff and non-tariff barriers restraining the importation of relief supplies.

- **Use of learning for adaptation:** SWAN should strengthen the documentation of how lessons identified and learned through the MEAL systems are incorporated into project management to facilitate adaptive programming and to enhance VfM. SWAN has captured a lot of gaps and areas requiring improvement through its monitoring modalities, but there is very limited evidence of how the project has acted on that learning and how actioned learning has improved project performance or will improve project performance and thus VfM.
- **Risk management:** SWAN should develop a critical risk management process for risk identification, risk profiling, risk assessment, risk mitigation, and risk management. The current risk assessment matrix is inadequate and does not facilitate comprehensive risk monitoring, performance review, reporting, and risk management processes.

Effectiveness

- **MoH capacity:** SWAN capacity building activities align with the global agenda in funding and delivering humanitarian response—that is, localising humanitarian response in order to better address the needs of affected populations and to prepare national actors for future humanitarian response. SWAN should therefore strengthen its monitoring activities of the capacity building component of the programme. Outputs and intended outcomes of this pathway should be integrated into the monitoring framework and reported on regularly to assess progress towards efficient and effective response by local actors.

Equity

- SWAN should document and disseminate its learning from CFRMs to relevant stakeholders for consideration during subsequent humanitarian response and demonstrate how beneficiary complaints and feedback from its CFRMs are taken on board and used to enhance project performance.

Cost-effectiveness

- **Relevance:** SWAN should consider distributing food items as part of its response to be highly relevant to the critical needs of its beneficiaries.
- **Timeliness:** SWAN should significantly improve its timeliness in responding to emergency needs for a higher rating on cost-effectiveness.

List of documents reviewed

Action Points Tracker from Project Review and Learning Workshop

Complaint Feedback Committee Training Report, December 2020

Field Visit Monitoring Report, East Wolega Zone

Guidance for Distribution of Shelter and NFIs

Guidance of Establishing Community-Based Accountability and Compliance Response Mechanism, 2017

Guidelines for Needs-Based Targeting

MEAL SOP

NRC Logistics Handbook

NRC, NFI Final Selection Minutes

NRC, NFI Pre-Bidding Minutes

NRC, sample Framework Agreements

Operational Guidelines for Needs-Based Targeting of Displacement-Affected Populations in Ethiopia, November 2020

PDM survey templates

Project PDM Reports up to August 2020

Project Progress Review Report, November 2019

Recommendations and Action Points from EHF spot-check

Report on the Joint Supportive Monitoring Visit, Shabelle Zone

Risk Matrix and Mitigation Measures

SCI-ETH Child Safeguarding Policy, 2016

SCI Human Resource Policies and Procedures Manual, March 2021

SWAN Endline Survey Report, May 2020

SWAN Evaluation Report, July 2021

SWAN GA

SWAN MEAL Framework

SWAN MEAL PLAN and Monitoring and Reporting Plan

SWAN Operations Manual

SWAN Project Feedback and Response Mechanism Database, September 2019–March 2020

SWAN Project Finance Reports

SWAN Project Proposal

SWAN Project Rapid Emergency Needs Assessment Tool

SWAN Project Rapid Needs Assessment Guidance Notes

Temporary Recruitment Guideline, 2018

UN OCHA Field Monitoring Reports, July 2019 and June 2020

UNOPS Procurement Manual

UNOPS sample Framework Agreements

WVI, Bid Committee Minutes

WVI, sample Framework Agreements

WVI, ToR for LTA NFI Materials Suppliers for the Provision of NFIs, December 2018

WVI Procurement Polices v. 2, December 2018

Annex A SWAN VfM sources of evidence

VfM Criteria/Subcriteria	Type of indicator; measurement approach	Source(s) of evidence
Economy		
Subcriterion 1		
Personnel fees as percentage of total programme cost	Monetary (ratio); benchmark against Grant Agreement (GA)	SWAN financial data; GA
Narrative evidence on existence of Staff recruitment policies and guidelines and adherence to the same (policy and practice)	Qual.; standalone	SCI HR Policy; SCI Temporary Recruitment Guide; SWAN Evaluation Report; validation meeting with SWAN
Subcriterion 2		
Narrative evidence on the existence of policies and procedures for awarding contracts and for procurement of goods and services and adherence to the same (policy and practice) (e.g. procurement guidelines, procurement notices or request for proposal, procurement plans and adherence to the same, proportionality in procurement, due diligence of suppliers)	Qual.; standalone	SWAN Operations Manual; SWAN Stock Portal; NRC Logistics Handbook; NRC Pre-Bidding and Selection Minutes; NRC Framework Agreements; WVI Procurement Policies; WVI ToR for Long-Term Agreement (LTA) NFIs; WVI Bid Committee Minutes; WVI Framework Agreements; UNOPS Procurement Manual
Narrative evidence of VfM being integrated into procurement practices (e.g. agreed benchmarks used for procurement, multiple selection criteria, scoring sheets, and documentation of how decisions are reached)	Qual.; standalone	SWAN Operations Manual; SWAN Stock Portal; NRC Logistics Handbook; NRC Pre-Bidding and Selection Minutes; NRC Framework Agreements; WVI Procurement Policies; WVI ToR for LTA NFIs; WVI Bid Committee Minutes; WVI Framework Agreements; UNOPS Procurement Manual
Narrative evidence of SWAN securing significant operational cost-saving through early procurement and pre-positioning	Monetary, Qual.; standalone	Validation meeting with SWAN
Efficiency		
Subcriterion 1		

Comparison between expected and achieved outputs (SOI1.1.1, SOI1.1.3, SOI1.2.3, SOI2.1.1, SOI2.1.3, SOI3.1.1, SOI3.1.2, SOI3.1.4)	Quant. and Qual.; Target: logframe; Actuals: Action Tracker	UN Office for the Coordination of Humanitarian Affairs (OCHA) Monitoring Reports; SWAN MEAL
Cost per output (SOI1.1.1, SOI1.1.3, SOI1.2.3, SOI2.1.1, SOI2.1.3, SOI3.1.1, SOI3.1.2, SOI3.1.4)	Monetary (ratio); compare with suitable benchmarks	N/A
Narrative evidence of efficient delivery and distribution of NFIs For example, significant examples of: i) reduction in procurement time; ii) reduction in time-consuming logistical and administrative processes associated with warehousing and distribution modalities; iii) reduced bureaucracy and costs in the management and supply of NFIs; and iv) improved time in the distribution of NFIs for IDPs either at collective centres or in host communities (GA, pp. 12–13)	Qual.; standalone	SWAN Evaluation Report; Validation meeting with SWAN; PDM Reports; Project Progress Review Reports; SWAN Rapid Needs Assessment Guidance and Tools; SWAN Framework Agreements
Narrative evidence of faster and proactive needs assessments and decision making processes	Qual.; standalone	
Narrative evidence of enhanced content and quality of the IDP kits (GA, pp. 12–13)	Qual.; standalone	
Subcriterion 2		
Expenditure budgets by: i) workstreams; and ii) project locations	Monetary; benchmark against actual expenditure	SWAN financial data
Actual expenditures by: i) workstreams; and ii) project locations	Monetary; benchmark against actual expenditure	SWAN financial data
Subcriterion 3		

Narrative evidence on processes to capture and use insights from the MEAL system to inform decision making and project improvements (evidence of a functional MEAL system, e.g. functional monitoring modalities, relevant evaluation considerations, appropriate learning agenda, and functional beneficiary accountability system, including the CFM) (MEAL SOP, p. 3)	Qual.; standalone	Field Visit Monitoring Reports; Report on the Joint Supportive Monitoring, Recommendations, and Action Points from EHF spot-check; MEAL SOP; Project Progress Review Report; Action Points Tracker from Project Review and Learning Workshop; SWAN Project Feedback and Response Mechanisms Database; MEAL PLAN Monitoring and Reporting Plan; PDM Reports
Narrative evidence on examples in which adaptive programming enhanced project improvements (e.g. how MEAL findings and lessons learned are documented and or shared and how they are used to adjust project activities, plans, and budgets to improve implementation modalities and outcomes of the project) (MEAL SOP, p. 3)	Qual.; standalone	SWAN Evaluation Findings; Validation meeting with SWAN
Subcriterion 4		
Narrative evidence on risk management strategies and their implementation	Qual.; standalone	MEAL PLAN; Risk Matrix and Mitigation Measures
Effectiveness		
Subcriteria 1, 2, 3		
Achievement of logframe outcome indicator targets (comparison between expected and achieved outcomes) and narrative evidence on achievement of outcomes in WASH, ES/NFIs, and health	Quant. and Qual.; compare with logframe milestones	SWAN MEAL Framework; SWAN Evaluation Report
Subcriterion 4		
Narrative evidence of beneficiary communities utilising their increased knowledge and awareness of hygiene, safety, and health practices for promoting improved wellness	Qual.; standalone	SWAN Evaluation Report
Subcriterion 5		
Narrative evidence of MoH's increased capacity in responding to health emergencies	Qual.; standalone	SWAN Evaluation Report
Subcriterion 6		
Narrative evidence of any unintended positive/negative outcomes generated by the project	Qual.; standalone	SWAN Evaluation Report
Equity		

Subcriterion 1		
Narrative evidence of the inclusion of equity considerations into project design	Qual.; standalone	SWAN Project Proposal; SCI–ETH Child Safeguarding Policy; SWAN GA; Operational Guidelines for Needs-Based Targeting of Displacement-Affected Populations in Ethiopia; Guidance for Distribution of Shelter and NFIs; Guidelines for Needs-Based Targeting; PDM ESNFI survey template; MEAL SOP
Subcriterion 2		
Narrative evidence of strategies implemented by SWAN, explicitly aimed at enhancing equality, AAP, and the participation and empowerment of beneficiaries (e.g. community awareness sessions; beneficiaries involved in needs and risk assessments)	Qual.; standalone	Complaint Feedback Committee Training Report; Project PDMs; MEAL SOP, p. 16; SWAN Evaluation Report; SWAN Project Progress Review Report; Validation meeting with SWAN; Guide on Establishing Community-Based Accountability and Complaint Response Mechanism
Examples of how the staff of consortium members actively work towards minimising unintended negative consequence and are committed to ‘do no harm’	Qual.; standalone	
Evidence of a functional gender-sensitive CFM	Qual.; standalone	
Examples of how suggestions/complaints of project beneficiaries are incorporated into project reviews and how their suggestions are taken on board	Qual.; standalone	
Subcriterion 3		
Percentage of target populations disaggregated by sex satisfied with the safety and accessibility of water through trucking	Quant.; compare with logframe milestone	SWAN MEAL Framework; SWAN Evaluation Report
Percentage of targeted population disaggregated by sex and age satisfied with the quantity and quality of ES/NFIs kits distributed in cash and in-kind forms	Quant.; compare with logframe milestone	
Number of targeted beneficiaries disaggregated by sex and age accessed to basic preventative and curative healthcare services through the provision of essential life-saving medicines	Quant.; compare with logframe milestone	
Narrative evidence of equal access to emergency NFIs	Qual.; standalone	

Annex B SWAN logical framework

	Objectives, results, activities	Key indicators
Overall objectives	To contribute towards saving lives, reducing suffering and morbidity, and increasing human dignity through increased access to safe drinking water, promotion of safe hygiene practices, basic NFIs, and preventative and curative healthcare services for people affected by displacement and crises in Ethiopia	
WASH Outcome 1	392,815 displacement-affected women, men, boys, and girls with increased access to safe drinking water and the promotion of safe hygiene practice through provision of WASH supplies in items or cash	<p>Percentage of targeted population and IDPs have access to basic WASH services (hygiene kits and safe and sufficient quantity of water for drinking, cooking, personal, and domestic hygiene practices)</p> <p>No. of displacement-affected population with access to safe drinking water and promotion of safe hygiene practices through provision of WASH supplies in items and cash</p>
Output 1.1	Affected IDPs have access to basic WASH NFIs	<p>SOI 1.1.1: No. of hygiene kits (WASH NFIs) distributed</p> <p>SOI 1.1.2: No. of households receiving hygiene kits through cash-based assistance</p> <p>SOI 1.1.3: No. of joint end-use PDMs conducted</p>
Output 1.2	Affected IDPs have access to safe drinking water	<p>SOI 1.2.1: No. of targeted beneficiaries who have received water treatment chemicals</p> <p>SOI 1.2.2: No. of woredas receiving HTH water disinfectant</p> <p>SOI 1.2.3: No. of litres of water delivered per person/day</p> <p>SOI 1.2.4: No. of people provided with sustained access to a safe water supply</p>
ES/NFI Outcome 2	110,000 women, men, boys, and girls of vulnerable displacement-affected people in Oromia, Somali, and SNNP Regions have access to basic NFIs and improved physical protection, privacy, and safety, in either in-kind or cash-based assistance	<p>No. of target beneficiaries, disaggregated by sex and age, accessing cash and in-kind ES/NFI kits</p> <p>Percentage of targeted population with access to life-saving ES/NFI assistances with improved physical protection, privacy, and safety</p>

Output 2.1	Life-saving ES/NFI assistance provided to 20,000 displaced households, representing 110,000 individuals	SOI 2.1.1: No. of ES/NFI kits procured, distributed, and pre-positioned for the affected population
		SOI 2.1.2: No. of households receiving ES/NFI cash-based assistance
		SOI 2.1.3: No. of joint end-use/PDMs conducted
Health Outcome 3	624,000 women, men, boys, and girls of vulnerable IDPs/returnees and host communities in Oromia, Guji, SNNP, and Somali Regions have access to basic preventative and curative healthcare services through the provision of essential life-saving medicines	No. of targeted beneficiaries, disaggregated by sex and age, accessing an emergency health service
		Percentage of targeted population and IDPs with access to basic primary healthcare and reproductive healthcare services, and served through basic medicines/medical supplies made available for rapid responses
Output 3.1	Sufficient stocks of basic and essential medicines and medical supplies made available for rapid response to IDPs	SOI 3.1.1: No. of kits procured and distributed
		SOI 3.1.2: No. of kits pre-positioned
		SOI 3.1.3: No. of beneficiaries served through drugs procured and distributed
		SOI 3.1.4: No. of partner and federal MoH meetings held

Annex C SWAN risk matrix

Category	Risk	Likelihood of event	Impact on programme	Risk level	Mitigation measures	
General	Inability of project to meet sphere standard in some districts regarding the distance of distribution points from beneficiaries location (3–5 km)			0	Financial Service Providers (FSPs) required to ensure agents are able to travel to allocated distribution points within the districts	
					Distribution points located at central community with the traditional ward level within the district. Kiosk can also be set up for visibility and identified in clusters	
					FSP should ensure agents are residents from the state, since they will be familiar with the terrain and support from the local communities. Also to ensure agent or vendors are registered	
					Framework Agreement with contracted FSPs to provide physical cash distributions in district communities without banking facilities (i.e. use of roving payment agents or vendors living in the community)	
	Lead times (contracting FSPs, registration of beneficiaries on FSP database, delivery, and training of beneficiaries) delays start-up of programme				0	Rapid staff needs recruitment and on-boarding
						Deployment of cash ops and FSL HSTs to support start-up
						Performing a formal CVA quotation process to potential FSPs and waiver agreed with SCI procurement
						Contract selected FSPs in advance of implementation after the project awarding process
						FSPs informed of short turnaround time and clear schedules, with deadlines planned in advance
						Raising of a CTA and seeking approval from SCI centre through the regional office
SOPs are clear and agreed by the SMT and Programme Team before implementation						
Roles and responsibilities of programme staff are stated and approved						

Category	Risk	Likelihood of event	Impact on programme	Risk level	Mitigation measures
	Project fails to provide evidence of electronic transfers feasible for direct cash operations			0	<p>Appropriate MEAL processes in place to learn from the programme outcomes (e.g. rapid assessment and PDM exercise carried out every quarter)</p> <p>SCI has established centralised toll-free hotlines in order to remove an economic barrier to registering complaints</p> <p>Robust accountability mechanism developed</p> <p>Report produced at close of project detailing the results and feasibility for scale-up</p> <p>Donor informed throughout programme with regular updates</p>
Acceptance/perceptions (gov. or comm.)	Community misunderstanding of the project (targeting, purpose)			0	<p>Engaging local leaders in planning and preparation (mostly traditional leaders/religious leaders)</p> <p>Programme has established strong state-level and district-level structures for local government to be involved with the programme</p> <p>Sensitisation on the well-defined entry and exit criteria to the communities; sensitise community leaders and other stakeholders on SCI principles and core humanitarian standards through a wide community forum</p> <p>Advocacy strategy has been developed and is being successfully rolled out in targeting</p> <p>Working closely with communities to clarify messaging of the project/programme</p>
	Lack of acceptance of modality used			0	<p>Clear sensitisation and training for beneficiaries and community leaders on what mechanisms are likely to be applied and in which areas and why</p> <p>Community groups consulted during FRA review</p>
	Questions and complaints arising from the confusion of the transfers having a negative impact on relations with the			0	<p>Inclusion of national and state-level decision makers and influencers in steering group to maintain good relationship; programme has established strong state-level and district-level structures for government to be involved with the programme (e.g. establishing a Technical Working Group or Reference Group)</p>

Category	Risk	Likelihood of event	Impact on programme	Risk level	Mitigation measures	
	government during pre-elections					
Financial (diversion of funds)	Loss or theft of ATM cards or ID and phones before distribution			0	Secure transport arrangement agreed with the FSP	
					Clear contracting arrangements with FSPs to state how long it will take to deactivate/activate and the costs involved once an issue is reported to them	
					FSP to provide focal point and contacts of who to direct such complaints	
	Theft of cash from agents and FSPs travelling to distribution site				0	Agent/FSP only carries cash for one distribution to minimise loss
						Responsibility for security of agents will be with corporate partner (to be negotiated in the contract)
						FSP should rotate agents on a monthly basis to prevent familiarisation
						FSP should also carry out security assessment on a monthly basis
						FSP agent does not travel alone and maintains a low profile during payment days
	Beneficiaries' cards or phones are stolen prior to, or after, withdrawal, or beneficiaries sharing phones among households do not receive the funds made available to them (intended)				0	Schedules of distributions are kept confidential until as near to the date as possible
FSP to ensure a cash in transit insurance for agents						
					Sensitisation sessions in local language cover security procedures and personal safety behaviours (PIN storage separate from phone)	
					Staff/volunteers available on site to report lost and stolen items	
					Complaints mechanism includes process for beneficiaries reports to SCI and FSP to be fed forward when necessary (e.g. for deactivation of lost/stolen accounts)	

Category	Risk	Likelihood of event	Impact on programme	Risk level	Mitigation measures	
	Beneficiaries sharing phones among households miss the funds sent to them (unintended)			0	Making sure there are multiple ways to inform and identify beneficiaries that the payments will be made	
					Contingency plans in case beneficiaries lose phones	
					Consider providing schedule of cash withdrawals with agents to cross-check	
	Beneficiaries' cash is stolen after withdrawal				0	Sensitisation sessions in local language cover security procedures and personal safety behaviours (PIN storage separate from phones)
						Staff/volunteers available on site to report lost and stolen items
						Complaints mechanism includes process for beneficiaries reports to SCI and FSP to be fed forward when necessary (e.g. for deactivation of lost/stolen accounts)
	Beneficiaries are pressured to redistribute the funds provided				0	Sensitisation sessions in local language cover criteria for project inclusion and exclusion
						Non-beneficiaries and local leaders to be sensitised on a regular basis
						Staff on site to monitor process and attend to unwarranted behaviour
						Complaints mechanism to include processes for beneficiaries complaints to SCI and FSP to be fed forward when necessary (e.g. for deactivation of lost/stolen/misused accounts)
	Diversion of funds by Save the Children Nigeria staff, FSP staff, or agents				0	Scheme of delegation and segregation of duties for releasing funds into accounts
						Random generation of PIN and account numbers (only beneficiary informed of these)
Staff anti-fraud training/refresher provided by cash ops HST; staff made aware of disciplinary measures in event of misconduct						
CRM includes (confidential) staff feedback process						
Ensure quarterly review by CO compliance (internal audit) on project activities by monitoring payment activities of programme processes						
Clear responsibilities laid out in SOPs with FSP and agents						

Category	Risk	Likelihood of event	Impact on programme	Risk level	Mitigation measures
Financial (donor compliance)	Failures in donor compliance			0	Detailed SOPs developed detailing required documentation and responsibilities (e.g. cash transfer authorisation prior to loading; card/phone/SIM issue note; distribution report with beneficiary/card number)
					Acknowledgement of receipt from beneficiaries and financial report from provider on withdrawal of balances
					Policies and procedures in place (including award management guidance, fraud policy, etc.)
					Incident escalation process in place between donor (European Union and SCI) by review of a donor reporting calendar
					Refresher training on European Union donor compliance required for SCI
					Awards Team informed of project and included in planning SOPs to determine donor requirements
Legal	Transfers are disallowed due to lack of compliance with national regulations			0	Tender bids ensure contracted FSPs are registered and comply with the Central Bank of Nigeria and Cooperate Affairs Commission
	Misappropriation of funds by illegal entities (money laundering, etc.)			0	KYC processes adhered to (vetting of suppliers and key staff)
					KYC through verification of beneficiaries by vulnerability criteria
FSPs comply with anti-money laundering policies and other international standards for financial management					
Operational	Beneficiaries lacking national ID cards for verification			0	Save the Children Nigeria provides beneficiary ID with photo
					Beneficiaries can nominate guardians or deputies ('next of kin') with national ID cards
				0	FSP to ensure CRM for beneficiaries to make enquiries for balances

Category	Risk	Likelihood of event	Impact on programme	Risk level	Mitigation measures
	Beneficiaries unable to charge phones to receive notification or check account balance				Save the Children Nigeria field staff to encourage local authorities to disseminate to the community once cash transfers have been effected
	Lack of beneficiary access to ATMs or agents (either due to transportation or to availability)			0	FSPs are encouraged to make services as localised as possible (within 3–5 km) In areas where FSPs cannot take agents, they can recommend a local payment partner from a nearby state (Borno, Bauchi Gombe, or Jigawa)
	Illiteracy or unfamiliarity of beneficiaries with using electronic transfers and financial literacy			0	Sensitisation sessions in local languages (Hausa and Kanuri) Staff on site to support (recommended—TBC based on staffing structure)
	Beneficiaries lose card, forget PIN, or damage fingerprint			0	Staff on site to support (recommended—TBC based on staffing structure) FSP to provide a hotline where such issues can be addressed by our preidentified project 'guardian'
	Agents visiting villages also engage in cash withdrawals for non-beneficiaries and run out of cash for beneficiary withdrawals			0	Staggered payment schedule drawn up monthly so that a limited number of beneficiaries are cashing out on any given day SCI and FSP should agree on an agent–beneficiary ratio (i.e. 1 : 200, or one agent servicing two hundred beneficiaries) Agents be informed in advance when we shall be doing transfers and the approximate total amount to pay out so they can prepare to withdraw for their transactions

Category	Risk	Likelihood of event	Impact on programme	Risk level	Mitigation measures
	Number and capacity of staff to deliver CVA			0	<p>Clear operational structure developed for staff at national, district, and location level to manage cash distribution activities</p> <p>Staff recruitment plans and training schedules shared and updated with Project Teams or partners to ensure implementation plan is on track</p> <p>Training provided to staff by either CVA in-country staff, cash ops HST and FSL HST</p>
	Movement of mobile agents to distribution site with cash at risk of theft			0	<p>Responsibility for security of agents will be with the FSP</p> <p>FSP agent does not travel alone and should also maintain a low profile</p> <p>Pre-/post-disbursement meeting between SCI and FSP agent to discuss the security situation in the community</p> <p>Increase security consciousness in communities through sensitisation</p> <p>Schedules of distributions are kept confidential until as near to the date as possible</p> <p>Agents only travel with cash for specific distributions to reduce loss</p>
Security	Data protection for beneficiaries is compromised by Save the Children Nigeria staff			0	<p>Staff contractually obliged to adhere to data protection protocol; SCI staff should complete their data protection awareness training course on LM</p> <p>Personal information is kept on a separate database and can only be accessed by authorised staff with a password</p>
	Data protection for beneficiaries is compromised by FSP			0	<p>Data protection policies have been requested from the main tender FSP, especially around field-level manual registers used to record transactions</p> <p>FSPs should sign up to SCI policies</p>
	Risk to staff from non-recipients (reprisals or threats for not being included)			0	<p>Engaging local leaders in planning and preparation</p> <p>Working closely with community forums to clarify messaging on who is eligible for the project</p> <p>Programme does not enter hostile and insecure locations; they will only enter once the security challenges have been resolved</p>

Category	Risk	Likelihood of event	Impact on programme	Risk level	Mitigation measures	
					Specific security protocols built into direct cash delivery contingency option	
					Clear CRM is set up and functioning	
	Violent crowds at distribution point				0	Careful consideration of the volumes of people for pay-outs per location
						Management of the distribution point—secure agent–beneficiary location, with clear entry and exit points
						Programme staff and agents should develop a first-come, first serve approach: i.e. beneficiaries should be provided numbers when they arrive on the payment site (exceptions should be given to beneficiaries with critical conditions)
						Agent beneficiaries ration should be adopted
	GBV issues increase if women are beneficiaries				0	Advise beneficiaries to come with friends/neighbours or next of kin (proxies) to accompany them on the return journey
						Sensitisation messages through local leaders and training
						Beneficiary partners need to be involved in the programme activities and get their buy-in
						Set up a Beneficiary Reference Group comprising of the husbands of households to share knowledge of the programme with their male friends
Markets	Inflation in the local market prevents the cash grant from meeting the project's objective			0	Confidential CRM in place for individuals to report issues	
					Market price monitoring to be put in place	
					Conduct an annual rapid market assessment or HEA to inform cash transfer values	
	Local branches or agents are unable to secure the required liquidities				0	Threshold agreed; in the event of significant inflation, switch modalities
						Number of beneficiaries to be withdrawing and dates per village to be provided in advance to service providers for communication with agents (coordination might happen at local level)
						Agree on an agent–beneficiary ratio with FSP

Category	Risk	Likelihood of event	Impact on programme	Risk level	Mitigation measures
	to ensure full distribution				Having enough funds in FSP accounts sufficiently prior to distribution ensuring funds are available for agents to withdraw on time (process to be outlined in SOPs)
	Required commodities of beneficiaries are not available in the local market			0	<p>The feasibility assessment highlighted that communities live far from main markets, but households manage their needs locally or determine when to travel to town</p> <p>Monitoring will show what beneficiaries are buying locally or travelling further afield for</p>