

Document: EB 2017/LOT/G.9  
Date: 7 November 2017  
Distribution: Public  
Original: English

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President's report on a proposed grant under  
the global grants window to Oxfam Novib to  
Scale up Empowerment through Household  
Methodologies: from Thousands to Millions

Note to Executive Board representatives

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For: Approval

## Recommendation for approval

The Executive Board is invited to approve the recommendation for the proposed grant as contained in paragraph 22.

## President's report on a proposed grant under the global grants window to Oxfam Novib to Scale up Empowerment through Household Methodologies: from Thousands to Millions

### I. Background and compliance with IFAD Policy for Grant Financing

1. IFAD is the leading United Nations agency and international financial institution innovating through household methodologies (HHMs). HHMs effectively reach poor households and improve intrahousehold gender relations. After several years piloting diverse HHMs, the Forum on Empowerment through Household Methodologies (Rome, June 2016) concluded that demand for these methodologies had reached unprecedented levels, based on the positive results achieved in pilots and roll-out in selected countries. Previous IFAD grant support to Oxfam Novib had resulted in the development of HHMs and a focus on gender, value chain development and outreach to francophone Africa. One of the most innovative, cost-effective and successful HHMs is the Gender Action Learning System (GALS), a community-led empowerment methodology that can be adapted to different cultural and organizational contexts.
2. These innovative pro-poor approaches empower women, men and their families and communities. They enable the most vulnerable populations to set objectives, monitor their expenses, investments and production, and make effective use of their rights, including access to land and natural resources. HHMs can in particular lead to more effective and pro-poor impact, including in value chain development. When accompanied by better access to markets, credit and services, household members can change behaviour thanks to HHMs. This leads to sustainable poverty reduction and it allows households to not only be lifted out of poverty but to remain out of poverty.
3. Since 2007, Oxfam Novib has been the main organization investing in development, testing and piloting of GALS, with experts<sup>1</sup> and partners in various countries, and promoting the approach widely with local and international actors. The use of GALS in value chains was first piloted by Oxfam Novib and partners in Uganda through a small IFAD grant. After an impact study, since 2011 the approach has been rolled out by Oxfam Novib with local partners in Nigeria, Rwanda and Uganda with the support of a large IFAD grant. That Oxfam Novib grant was assessed in almost all performance indicators as one of the best-performing Policy and Technical Advisory Division (PTA) managed programmes in 2013 and 2014. The PTA gender desk organized a "writeshop" in Uganda in 2013, resulting in a "How To Do Note" on HHMs. In order to develop experiences and materials in French-speaking countries, a following grant focused on Burundi, the Democratic Republic of the Congo and Rwanda. The development organization Hivos has been applying HHMs/GALS in East Africa since 2012, in the Coffee Partnership for Tanzania, and subsequently, since 2013, in Sustainable and Secure Smallholder Systems at Scale in Kenya and Uganda.

<sup>1</sup> Linda Mayoux, independent consultant at GAMEchange Network, has been developing GALS with IFAD, Oxfam, Hivos and others since 2005.

4. HHMs have attracted the attention of governments, private-sector companies, financial service providers and local economic actors. Local and national governments are increasingly seeing the possibilities for and benefits of change, and the way these tools ensure rural inclusiveness and promote the democratic process.
5. Currently, more than 40 IFAD loan-financed operations have included HHMs in design as an approach to empowering rural women and men and promoting gender equality and social inclusion. With this unprecedented interest and request for support, new ways of support and self-management of training facilitation need to be explored.
6. The proposed programme is in line with the goal and objectives of the IFAD Policy for Grant Financing (2015), promoting innovative, pro-poor approaches and technologies with the potential to be scaled up for greater impact. Overall, the grant will contribute to IFAD's overarching goal that "poor rural people overcome poverty and achieve food security through remunerative, sustainable and resilient livelihoods". Specifically, it will contribute to thematic cluster 1 (rural inclusiveness) and priority area 1 (rights and access of most vulnerable populations to resources).

## II. The proposed programme

7. The overall goal of the programme is to contribute to gender equality and sustainable livelihoods for marginalized rural women, men and youth in 15 countries in Africa. The objective is to increase knowledge, skills and expertise among stakeholders at local, national, regional and global levels to support, implement and scale up HHMs to empower women, men and youth for rural inclusiveness.
8. The programme contributes to IFAD's overall strategic vision for inclusive and sustainable rural transformation, and particularly to strategic objective 1 (SO1) (increase poor rural people's productive capacities) and its area of thematic focus (access to natural resources, technologies and production services; inclusive financial services and nutrition) and SO2 (increase poor rural people's benefits from market participation) and its area of thematic focus (diversified rural enterprise and employment opportunities). It also creates conditions for poor rural people's resilience to climate shocks and encourages sustainable use of natural resources (SO3). The programme is in line with IFAD's efforts to move beyond gender mainstreaming to achieve transformative gender impact and address the root causes of gender inequalities.
9. The target group will consist of 20,500 rural households in marginalized communities (of which 17,000 are linked to Empowerment Learning Centres [ELCs]), and at least 3,500 rural households that are part of IFAD-supported projects. These include poor women, men and youth that are involved in micro or small-scale economic activities. Indirectly, an estimated 1.5 million beneficiaries targeted by the grant will ultimately benefit from the programme. These include beneficiaries of IFAD-supported programmes in 15 countries, targeted because they include HHMs/GALS in their design.
10. The programme will be implemented over four years (1 January 2018 – 31 December 2021) and will have the following components:
  - (i) Creation and reinforcement of local/national learning centres;
  - (ii) Development of regional hubs, networking, knowledge-sharing and monitoring;
  - (iii) Elaboration of specific approaches to thematic areas and particular target groups; and
  - (iv) Grant coordination, management and scaling up.

### III. Expected outcomes/outputs

11. Programme outcomes have been defined as follows:
  - (i) A network of local/national ELCs for quality-assured capacity development services in HHMs established and functioning;
  - (ii) Regional hubs for networking, sharing knowledge and monitoring the use of HHMs set up and effectively used;
  - (iii) Increased availability of new approaches for HHMs/GALS for specific thematic areas and particular target groups, such as youth and indigenous peoples; and
  - (iv) Increased global coherence of HHMs implementation.
12. The programme will facilitate the professionalization and institutionalization of ELCs, so that these are recognized as sources of HHM experience and services. Learning centres will cover both practitioners and people from the communities, who according to their level of experience will become champions/front-runners. ELCs will be linked in a network for mutual support, quality assurance and profiling, so that IFAD-loan-financed programmes and other actors can access their services through partnerships.
13. The programme will establish regional hubs, which will serve as focal groups for exchange of knowledge, support, and development of ideas and mechanisms for scaling up HHMs. In the framework of this grant-financed programme, regional hubs will be established in West and Central Africa (Nigeria) and East and Southern Africa (Kenya).
14. New approaches are needed to scaling up HHMs and to integrating specific themes and outreach to particular target groups. Building on the existing experience of Oxfam Novib, Hivos and partners, the programme will develop these approaches and tailor them to the needs of IFAD-loan-financed programmes and others. Proposed topics will include:
  - (i) Targeting young women and men in various cultural contexts;
  - (ii) Rural finance; and
  - (iii) Global value chain development.
15. To increase global coherence of HHM implementation, the programme will establish a global vision journey network to improve networking among all countries and organizations that apply HHMs/GALS and to foster peer-to-peer collaboration. It will promote best practice and support innovation, learning, accountability and communications; facilitate the development and implementation of a code of conduct for the network; support programme development and fundraising; and take on quality assurance.
16. Oxfam Novib and Hivos – with their vast experience, expertise, track records and networks on empowerment through HHMs in a range of thematic areas – are well positioned to partner with IFAD in this scaling up initiative. Both organizations have a strong track record in management of multi-donor and multi-country programmes, while Hivos also has a key strength in knowledge management. Main lessons learned from past experiences and previous IFAD grants will support achievement of the expected goals and outcomes as follows:
  - (i) Commitment and uptake of HHMs by IFAD-loan-financed programmes depend on targeted, regular communication and follow-up with management and implementing staff. Designated counterparts within IFAD at headquarter, regional and country levels will be a condition for the success of this programme. They will be mandated to create linkages between the grant-financed activities and the IFAD-loan-financed operations.

- (ii) Risk analysis, fall-back positions and alternative plans are necessary, particularly when the programme is being implemented in (post-)conflict countries or fragile situations.

#### IV. Implementation arrangements

17. Oxfam Novib, the recipient of the grant, was selected through an open call for proposals and a competitive selection process. The programme will be implemented by a consortium formed by Oxfam Novib and Hivos. The governance structure will have two levels of management and decision-making, and will include an advisory board for strategic purposes:
- (i) The steering committee will be set up for strategic decisions, external knowledge input and supervision/oversight;
  - (ii) Programme management unit (PMU); and
  - (iii) The advisory board will guide development of local/national learning centres, regional hubs and establishment of a global network, and scaling up.
18. Programme management will be undertaken by a PMU based in The Hague, consisting of a programme manager, programme finance officer and thematic staff contracted by Oxfam Novib, and a knowledge management advisor and monitoring and evaluation advisor contracted by Hivos.
19. The PMU will be assisted by offices in Oxfam Novib, The Hague; Oxfam Uganda; Oxfam Nigeria; Hivos, The Hague; Hivos Kenya; and local partners. All implementing units and partners will report directly to the PMU.
20. There are no deviations from the standard procedures for financial reporting and audits.

#### V. Indicative programme costs and financing

21. The total cost of the programme is US\$2,734,000, with proposed IFAD grant financing of US\$2,250,000, and cofinancing for a total of US\$484,000.

Table 1  
**Costs by component and financier**  
 (Thousands of United States dollars)

<i>Component</i>	<i>IFAD</i>	<i>Cofinancing</i>		<i>Total</i>
		<i>Oxfam</i>	<i>Novib/Hivos</i>	
1. Creation and reinforcement of local/national learning centres	647	75		722
2. Development of regional hubs, networking, knowledge-sharing and monitoring	598	235		833
3. Elaboration of specific approaches to thematic areas and particular target groups	329	71		400
4. Grant coordination, management and scaling up	509	101		610
Overheads	167	-		167
<b>Total</b>	<b>2 250</b>	<b>484</b>		<b>2 734</b>

Table 2  
**Costs by expenditure category and financier**  
 (Thousands of United States dollars)

<i>Expenditure category</i>	<i>IFAD</i>	<i>Cofinancing</i>		<i>Total</i>
		<i>Novib/Hivos</i>	<i>Oxfam</i>	
1. Salaries and allowances	665	328		993
2. Operating costs	146	-		146
3. Consultancies	290	-		290
4. Travel and allowances	72	56		128
5. Goods (including equipment), services and inputs	278	24		302
6. Workshops	563	61		624
7. Training	69	15		84
8. Administrative costs (overhead/management costs)	167	-		167
<b>Total</b>	<b>2 250</b>	<b>484</b>		<b>2 734</b>

## VI. Recommendation

22. I recommend that the Executive Board approve the proposed grant in terms of the following resolution:

RESOLVED: that the Fund, in order to finance, in part, the programme to Scale up Empowerment through Household Methodologies: from Thousands to Millions, shall provide a grant of two million two hundred fifty thousand United States dollars (US\$2,250,000) to Oxfam Novib for four years upon such terms and conditions as shall be substantially in accordance with the terms and conditions presented to the Executive Board herein.

Gilbert F. Houngbo  
 President

## Results-based logical framework

Results hierarchy		Indicators	Baseline	End Target	Means of verification	Assumptions	
Sphere of interest	Goal	Contribution to gender equality and sustainable livelihoods for marginalised rural women, men and youth in 15 countries in Africa as a result of more inclusive and gender equitable programmes for rural transformation	<ul style="list-style-type: none"> <li>number of programmes for rural transformation have mainstreamed gender equality and social inclusion in their interventions</li> <li>number of rural women, men and youth targeted by these programmes perceive that they benefit more from sustainable economic development</li> <li>percentage of rural women who increased their participation in decision-making processes at various levels</li> </ul>	0	20 1,5 million 70	<ul style="list-style-type: none"> <li>-Country portfolio reviews</li> <li>-Design Documents and AWPBs of IFAD loan-financed projects</li> <li>-Evaluations</li> </ul>	-The 15 targeted countries remain politically and economically stable
	Sphere of influence	Objectives	Increased knowledge, skills and expertise among stakeholders at local, national, regional and global levels to support, implement and upscale household methodologies to empower women, men and youth for rural inclusiveness.	<ul style="list-style-type: none"> <li>Number of IFAD-supported programmes in at least 15 countries demonstrate readiness for integrating HHMs/GALS</li> </ul>	0	20	<ul style="list-style-type: none"> <li>• Baseline, endline, reviews, external evaluation report</li> <li>• Project reports</li> <li>• Press releases</li> </ul>
Sphere of control	Outcome 1	Outcome 1. A network of local/national Empowerment Learning Centres (ELC) for quality assured capacity development services on HHMs established and functioning	<ul style="list-style-type: none"> <li>number of graduated ELC in Uganda, Nigeria and Kenya able and equipped to deliver quality-assured CD trajectories</li> <li>number of potential ELC from at least two regions networked for peer to peer capacity development with graduated ELC</li> </ul>	0	6 12	<ul style="list-style-type: none"> <li>Evaluation reports, project reports, Certificates for ELC</li> </ul>	-CSOs and community HHMs practitioners want to organise as professional ELC to share their real-life cases with clients
		Output 1.1 Strengthened capacity on HHMs support services of 6 ELC involved in the project	<ul style="list-style-type: none"> <li>Professionalization trajectories carried out with number of ELC</li> </ul>	0	6	Project reports	-Rural women, men and youth want to participate in a learning centre
		Output 1.2 Strengthened viability of ELCs beyond the project timeframe	<ul style="list-style-type: none"> <li>Business model tested by ELC in number of countries and shared with other potential ELC</li> </ul>	0	3	Project reports, online platform	<ul style="list-style-type: none"> <li>-ELC willingness to provide services using a business approach</li> <li>-IFAD programmes willing and able to pay for services by ELC</li> </ul>

Outcome 2	Outcome 2. Regional hubs for networking, knowledge sharing and monitoring the use of HHMs set up and effectively used	<ul style="list-style-type: none"> <li>Public recognition of number of regional hubs as key resource for HHMs/GALS</li> </ul>	0	2	Evaluation reports, project documents, Online platform	-HHMs practitioners, experts, supporters and researchers willing to share knowledge
	Output 2.1 Two regional hubs established for networking, knowledge sharing and monitoring the use of HHMs	<ul style="list-style-type: none"> <li>number of hubs developed with back offices, members and profiles of ELC for linking with clients of HHMs support services</li> </ul>	0	2	Online platform	-Members of the hubs willing to share information and experiences
	Output 2.2 Mechanisms for quality assurance of service delivery by ELCs and Knowledge Management developed	<ul style="list-style-type: none"> <li>number of hubs with developed graduation and certification mechanisms for ELC and clients</li> <li>number of hubs with developed and implemented Knowledge Management and Sharing Plans</li> </ul>	0	2	-Protocol for certification of clients -Online platform	-Both clients and ELC require certification as an external incentive
Outcome 3	Outcome 3. Increased availability of new approaches for HHMs/GALS for specific thematic areas and to reach particular target groups, such as youth and indigenous people	<ul style="list-style-type: none"> <li>number of new specific HHMs approaches designed, tested, piloted, validated by potential clients, documented and shared</li> </ul>	0	3	-Evaluation reports, project documents, -New HHMs approaches on online platform	New specific approaches stimulate wider interest and buy-in for HHMs
	Output 3.1 Identified which new specific approaches for HHMs/GALS are needed	<ul style="list-style-type: none"> <li>number of expert groups for new specific HHMs approaches established based on a needs assessment</li> </ul>	0	3	-Needs assessment report -Minutes of expert group meetings	-Within IFAD-supported programmes there is demand for specific approaches
	Output 3.2 New HHMs approaches piloted, documented and evaluated	<ul style="list-style-type: none"> <li>number of pilots of new HHMs approaches carried out</li> </ul>	0	3	Partner reports Evaluation reports	
Outcome 4	Outcome 4. Increased global coherence of HHMs implementation	<ul style="list-style-type: none"> <li>Universal principles and best practices of HHMs/GALS clarified and strategic support made accessible to number of practitioners</li> </ul>	0	500	Online platform	-Willingness of HHMs/GALS practitioners not directly involved in the project to share their experience
	Output 4.1 Mechanism for global knowledge sharing established	<ul style="list-style-type: none"> <li>Global platform available online with a code of conduct/ethics developed for HHMs/GALS practitioners worldwide</li> </ul>	0	1	Online platform Code of conduct/ethics	-Code of conduct/ethics promotes equal voice among network stakeholders