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The Capacity Development Results Framework

A strategic and results-oriented approach to learning for capacity development

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Samuel Otoo, Natalia Agapitova and Joy Behrens

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Abstract

The Capacity Development Results Framework (CDRF or the Framework) is a powerful new approach to the design, implementation, monitoring, management, and evaluation of development programs. Originally conceived to address well-documented problems in the narrow field of capacity development, the Framework can be profitably applied to assess the feasibility and coherence of proposed development projects, to monitor projects during implementation (with a view to taking corrective action), or to assess the results, or even the design, of completed projects.

The Framework can also be used as a step-by-step guide to the planning, implementation, and evaluation of projects and programs designed to build capacity for development at a national or sub-national level. That is how it is illustrated here. We chose this approach because such a guide was sorely needed, and because it allowed us to illustrate the full set of tools and processes provided by the Framework.

The CDRF ties together various strands of change theory, capacity economics, pedagogical science, project management, and monitoring and evaluation practice to provide a rigorous yet practical instrument. A key feature of the Framework is its focus on capacity factors that impede the achievement of development goals, and on how learning interventions can be designed to improve the "development-friendliness" of capacity factors by supporting locally driven change.

As noted, the CDRF addresses several long-standing criticisms of capacity development work, including the lack of clear definitions, coherent conceptual frameworks, and effective monitoring of results. It also promotes a common, systematic approach to capacity development. Such an approach can greatly enhance the scope for learning about what happens in different contexts by improving comparability across programs and easing the administrative burden on developing-country partners by harmonizing donors' project specifications and the way they measure results.

The CDRF can help to clarify objectives, assess prevailing capacity factors, identify appropriate agents of change and change processes, and guide the design of effective learning activities. The Framework encourages articulation of a complete results chain that bridges the gap often found between broad overall objectives and specific learning activities. The CDRF requires stakeholders and practitioners to think through and trace out the relationship of a defined set of variables to any development goal in a given context, and to model explicitly the change process that is expected to be facilitated by learning. This explicit modeling does not necessarily imply detailed blueprints and plans.

The Framework is compatible with a broad range of situations and approaches to change management. But in all cases key actors in the change process must be identified and offered the knowledge and tools that they need to produce change in the direction of the desired goals. Critical points in the change path must be identified. At each such point, new information and experience must be assessed to guide subsequent decisions. Building capacity, driving change, and achieving development goals will typically be iterative processes.

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Part 1 - Why do we need the Capacity Development Results Framework?

Each year, aid donors spend more than $20 billion on products and activities designed to enhance the capacity of developing countries to make and carry out development plans. That level of commitment reflects donors' belief that their aid mission will not succeed unless recipients improve their ability to use the assistance that donors provide, as well as the other resources at their disposal. Limited capacity to set development goals, to prioritize among them, and to revise plans and programs in response to results achieved is a major constraint on the development process in many countries. The Paris Declaration on Aid Effectiveness, signed by more than 100 multilateral and bilateral donors and developing countries, states that the "capacity to plan, manage, implement, and account for results ... is critical for achieving development objectives." The declaration urges developing countries to make capacity development a key goal of their national development strategies. Donors understand that capacity cannot be imported as a turnkey operation. Instead, it must be developed from within, with donors and their experts acting as catalysts, facilitators, and brokers of knowledge and technique.

Despite widespread agreement on these general principles, the results of efforts to develop capacity have persistently fallen short of expectations (OECD 2005; OECD 2006a; World Bank 2007). Why?

The problem begins with a lack of consensus about the operational definition of capacity development and the results that can be expected from capacity development efforts. Most official definitions of capacity and capacity development are very broad.[1] This lack of clarity makes it extremely difficult to evaluate the outcome of such work and to understand its impact (see, for example, World Bank 2005a).

Most critical reviews of capacity development practice also find that many programs are poorly grounded in theory and lack consistent conceptual frameworks (see, for example, Taylor and Clarke 2008). The approaches to capacity development are many, and most are characterized by vague and inconsistent concepts and lack of a common terminology. The processes by which change occurs are not well understood, the importance of strategy is often overlooked, and the links between outcomes of capacity development efforts and development goals are poorly articulated (World Bank 2006).

The World Bank Institute (2006) has summed up the problem in practical terms:

> Most efforts at capacity development remain fragmented, making it difficult to capture cross-sectoral influences and to draw general conclusions. Many capacity development activities are not founded on rigorous needs assessments and do not include appropriate sequencing of measures aimed at institutional or organizational change and individual skill building. What is needed is a more comprehensive and sustained approach, one that builds a permanent capacity to manage sectors and deliver services. Finally, better tools are needed to track, monitor, and evaluate capacity development efforts.

[1] For instance, "*Capacity' is understood as the ability of people, organizations and society as a whole to manage their affairs successfully. … 'Capacity development' is understood as the process whereby people, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time."* (OECD, 2006b)

Inattention to measuring the results of capacity development work, and the common failure to build monitoring of capacity development outcomes and impact into project monitoring and evaluation systems, means that it has been challenging to compare results across programs and to identify good practices for replication. Insufficient evidence of what actually takes place in different contexts and little accountability about results of capacity development mean that unproven assumptions and potentially inappropriate interventions persist (DFID 2006; Taylor and Clarke 2008; World Bank 2005a; World Bank 2006; World Bank 2007). Strategically important questions are also often overlooked, which results in a failure to explicitly link capacity development efforts to local priorities, and conduct joint evaluation with partners.

The Capacity Development Results Framework, developed over the past 3 years by the World Bank Institute, addresses the above issues and promotes a common and systematic approach to the identification, design, and monitoring and evaluation of learning for capacity development. The Framework and associated standardized indicators presented here hold out the promise of raising the effectiveness of resources devoted to capacity development by revealing clearly what works and what does not work. It is hoped that this guide will be used not just by the World Bank and other multilateral and bilateral providers of development assistance, but also by national and sub-national teams responsible for setting and implementing development goals. Our objective is to promote experimentation and learning that would promote harmonization in managing capacity development results, a stated goal of the Paris Declaration on Aid Effectiveness.[2]

The Capacity Development Results Framework was developed by a team led by Samuel Otoo and comprising Natalia Agapitova, Joy Behrens, Chirine Alameddine, Violaine Le Rouzic, and Zhengfang Shi. Comments and other contributions were provided by Andrew Follmer, Han Fraeters, Jenny Gold, Nidhi Khattri, Bruno Laporte, Brian Levy, Nadim Matta, Maurya West Meiers Sanjay Pradhan, and Gail Richardson. Editorial assistance was provided by Steven Kennedy, Diane Ullius, Sharon Fisher, and Pamela Cubberly. The Framework was the subject of two videoconference consultations, in which senior practitioners from capacity development programs in Ethiopia, Ghana and Uganda as well as international, national, and regional learning-focused capacity development organizations provided feedback. In addition, the Framework was presented for comments during the international forum, "Improving the Results of Learning for Capacity Building," which took place in Washington, DC in June 2009. The forum discussants were Adeboye Adeyemu, Jennifer Colville, and Gisu Mohadjer.

The Framework remains a work in progress. The authors invite inquiries and feedback on the Framework itself and on the tools offered in the annexes, which are designed for use in implementing the Framework.

[2] The donor signatories to the Paris Declaration agreed to align their analytical and financial support with the capacity objectives and strategies articulated by aid recipients. They also agreed to harmonize their approach to capacity development around a study of good practices prepared by the Development Assistance Committee of the Organisation for Economic Co-operation and Development (OECD). See OECD 2006b.

Two essential definitions

As a first step in addressing the deficiencies noted above we will propose two operational definitions—first of *capacity for development* and then of *capacity development* (or capacity building).

> ***Capacity for development*** **is the availability of resources and the efficiency and effectiveness with which societies deploy those resources to identify and pursue their development goals on a sustainable basis.**

This definition relies on three subsidiary definitions:

- *The availability of resources* (human, financial, technical) is a necessary but not sufficient condition for achieving the development goals of a society or an administrative entity.
- *The effectiveness and efficiency* with which resources are acquired and used depend on specific configurations of sociopolitical, policy-related (institutional), and organizational factors that condition the behavior of political and economic actors.
- Social and economic development is *sustainable* when results and performance are locally owned and can be replicated and scaled up by local actors.

The availability of resources is an ongoing challenge for development. National resource endowments are a complex mix of renewable and nonrenewable goods that respond variably to changes in the less tangible components of capacity for development. But resources endowments, and particularly endowments of natural resources, are not our focus here, for it is typically deficiencies in intangible sociopolitical, policy-related, and organizational factors—hereafter referred to as capacity factors—that constrain performance and results. Those intangibles affect the extent to which development goals are locally embraced or owned—and thus how vigorously they are pursued. They also determine the efficiency and effectiveness with which available resources are used to achieve goals (World Bank 2002).

Increasing the capacity for development, by extension, is a process of sociopolitical, policy-related, and organizational *change*. The Capacity Development Results Framework posits that this process is driven primarily by changes in how knowledge and information are applied at various levels of a society—that is, by learning. This brings us to our second definition.

> ***Capacity development*** **is a locally driven process of learning by leaders, coalitions and other agents of change that brings about changes in sociopolitical, policy-related, and organizational factors to enhance local ownership for and the effectiveness and efficiency of efforts to achieve a development goal.**

This change hypothesis, rooted in the institutional economic literature, and the related definition of learning as a strategic instrument of economic and social change, are the foundational concepts of the Framework.

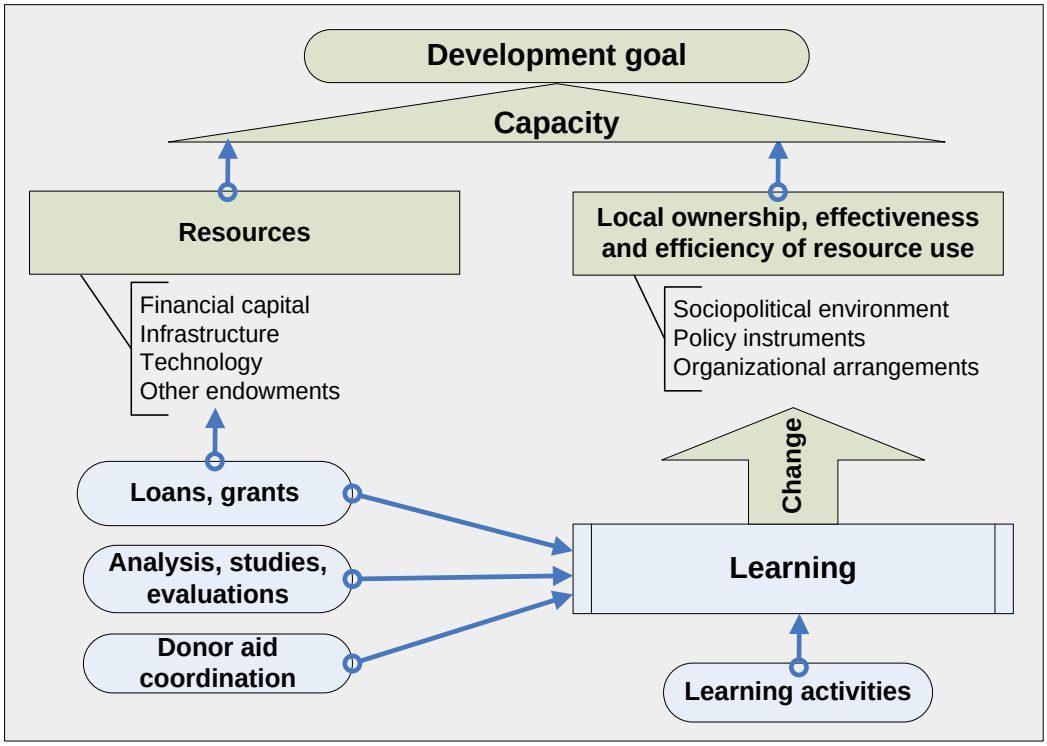
The Framework's key features

In operation, the Framework is applied to the design and implementation of transformational learning interventions to bring about locally owned changes in sociopolitical, policy-related, and organizational factors to advance particular development goals. Individuals and groups of individuals are seen as *agents of change* who act on those sociopolitical, policy-related, and organizational factors.

Many different instruments can be marshaled to support the identified change processes. Examples include policy-based loans, investment projects, analytical studies, impact and other evaluations, technical assistance, and external training. All have a potentially transformational role. The key is to design and implement the embedded learning interventions strategically to engage with and help drive local change processes. To do this, capacity development practitioners must understand the potential of targeted individuals or groups to bring about favorable change.

Capacity development efforts—whether stand-alone programs (with complementary resource inputs made available separately if needed) or contained in lending projects—are just a part of the larger process of development, as shown in figure 1.1.

Figure 1.1 Capacity development as a part of the development process



The main technical features of the CDRF include a standard set of indicators of capacity factors that can be enhanced through learning to favor the achievement of development goals. These "capacity" indicators may be customized to particular situations but should always remain measurable. The indicators express:

- *The conduciveness of the sociopolitical environment* to achievement of the goals
- *The efficiency of the policy instruments and other formal means* by which the society guides action to achieve the goals
- *The effectiveness of the organizational arrangements* that stakeholders in government and outside government adopt to achieve the goals.

The capacity indicators specified by the Framework can be used as the basic units of analysis for assessments of capacity needs in a broad range of strategy and operational contexts, and to guide the definition and measurement of the impact of capacity development programs across countries or in various economic sectors and thematic areas.

The Framework also provides a typology of learning outcomes (outlined in part 2) that can be used to guide the design of capacity development programs and to capture the more immediate results of program activities. Like the capacity indicators, the learning outcomes may be customized to fit specific programs but should always remain measurable.

To sum up, the key features of the CDRF include the following:

- Emphasis on changes in the use of knowledge and information that empower local agents
- Focus on change efforts targeting institutional and policy-related constraints and opportunities
- Use of standardized indicators for needs assessment and results measurement
- Integration of M&E at all stages of capacity development programs to promote adaptive management

Multiple uses of the Framework

The CDRF can improve capacity development strategies and programs at various stages and in various ways (box 1.1). For example, it can be used to plan and design programs at various levels (both stand-alone programs and components of larger development strategies), to manage programs that are under way, and to evaluate completed programs. It can also provide a logical structure for collaborative use of diverse learning and change management tools and techniques.

Box 1.1 Seven uses for the Capacity Development Results Framework …

- To guide capacity needs assessments and identify capacity constraints
- To engage stakeholders in the entire program cycle and ensure local ownership
- To define capacity development strategies to apply at community, regional, or country levels
- To build indicators into program design to track progress and, when necessary, adjust program for improved adaptive management
- To assess program results achieved, as well as results-orientation of program design and actual implementation
- To communicate meaningful results to diverse stakeholders, other practitioners, and donors
- To compare programs and determine what does and does not work to advance practice

Strategic planning and communication. The CDRF can be applied to clarify development objectives, assess prevailing capacity factors, identify appropriate agents of change and change processes, and design effective capacity development strategies and programs. By focusing attention on change in sociopolitical, policy-related, and organizational factors, the CDRF requires stakeholders and practitioners to think through and trace out the relationships between a defined set of variables and a given development goal—in context—and to map out the change processes that are to be facilitated by learning. The Framework emphasizes country ownership by anchoring the capacity development effort in a specific development goal and encouraging analysis and open discussion among stakeholders about sociopolitical forces and

incentives. It also provides a common vocabulary for communicating information about the goals, objectives, and achievements of a capacity development program in various contexts and situations. The benefits of this improved clarity cannot be overemphasized. Without communication, consensus is likely to remain elusive. Without consensus, sustainable change is unlikely to occur.

Program design and adaptive management. The CDRF articulates a complete results chain that bridges the gap often found between broad overall objectives and the design of specific capacity development activities. It does this by focusing attention on characteristics of the capacity context that can be altered by agents of change empowered by learning, and by setting targets and providing indicators for measuring progress—*at any time during the program*. The Framework encourages inclusive engagement of local stakeholders throughout the program cycle, helping to promote consensus and ensure country ownership of the capacity development program. It also provides a logic within which capacity factors can be assessed in light of measurable evidence, with particular attention to how learning can be designed to make the capacity factors more favorable to specific development goals.

An important contribution of the Framework is that the benchmarks or measures developed for such assessments can—and should!—be mined regularly during implementation for information on how the program is performing. Practitioners can use information gleaned from such assessments to manage adaptively and make mid-course changes.

Monitoring and evaluation. The standardized sets of measurable capacity indicators and learning outcomes offered by the CDRF can improve capacity development practice by facilitating:

- The identification of indicators of program outcomes at various levels and the benchmarking of those indicators
- The harmonization of practices used to monitor and evaluate capacity development programs, thus reducing the cost of monitoring and evaluation and permitting comparisons across programs and sectors
- Improved understanding of the effectiveness of various capacity development strategies and instruments.

The CDRF can help address a persistent problem in the assessment of the results of capacity development programs—that impacts and outcomes are difficult to measure. Using the CDRF, program teams can convert qualitative descriptions into quantitative information. Attention to indicators is built into program design under the CDRF, and evaluation techniques that enable the conversion of qualitative to quantitative data are incorporated more easily at the design stage than at later stages. Examples of techniques that can be used include surveys, beneficiary assessments, rapid appraisals, and focus group interviews with structured questions. The information gained through these techniques may be used to calculate nominal measures, rank orderings of categories, and frequency distributions

As illustrated in this guide, where the CDRF is applied to the full cycle of a capacity development program, the Framework emphasizes a multi-step iterative process of monitoring and evaluation focusing on learning outcomes and changes in indicators of capacity. This process is designed to ensure continuous and careful attention to results, along with flexibility to accommodate new information or circumstances during design or implementation. At completion, for the majority of programs the CDRF relies on a self-

assessment model for evaluation of the complete chain of results using externally verifiable evidence of achievement of learning outcomes and changes in capacity indicators. Self-assessment should be complemented by independent evaluation, including impact evaluation, in the case of high-value programs. For high value programs, the evaluation design and data collection arrangements for subsequent impact evaluation need to be put in place at the beginning of the program. Application of the Framework also encourages strengthening of the monitoring and evaluation capabilities of partners and a culture of managing for results.

Reading and applying this guide

The Framework can be used in various circumstances and at different levels: from designing a national strategy for capacity development, to ex-post evaluation of programs or program components. This guide demonstrates one of the applications of the CDRF; the complete cycle of a capacity development program from needs assessment stage to design, monitoring and evaluation, and reporting of final results. Not all applications of the Framework will involve all of the cycle stages or steps presented here, or in the same sequence. If the Framework were used to design a national strategy for capacity development, for example, or to evaluate a completed program, only some of the steps would be relevant.

Part 2 of this guide reviews the conceptual foundations of the CDRF, applied to a hypothetical capacity development program. Part 3 then describes the step-by-step application of the CDRF over the entire cycle of another hypothetical capacity development program—from identification and design of the program, through implementation and monitoring, to completion and follow-up. The two hypothetical cases are just two of the many possible projects to which the Framework might be applied.

The annexes offer stand-alone tools and resource materials that have been developed to facilitate the application of CDRF to the various stages of capacity development programs.

- Annex 1: Comparison of a CDRF Program Cycle with a Program Logic Model outlines the correspondence between the CDRF and the standard logical framework (log-frame) used in project management.
- Annex 2: Steps for Design, Monitoring, and Evaluation of Capacity Development Programs is an expanded version of the steps described in part 3 of the main text.
- Annex 3: Template for a Program Logic Document provides a set of step-by-step guidelines for the application of the CDRF and suggests questions that the program team and stakeholders should address at various stages of the program cycle..
- Annex 4: Indicators of Capacity for Development presents the definitions of the capacity factors and their indicators, as well as examples of indicators, measures, and tools for data collection.
- Annex 5: Learning Outcomes, Models, Methods, and Tools describes the six learning outcomes and suggested generic indicators, models, methods, and tools for evaluating these outcomes.

These materials will be refined based on feedback from ongoing application efforts and from planned consultations with other stakeholders, including sector-specific experts, about their tools and practices.

Early applications of the CDRF also point to the need to identify additional resources, including indicators and cross-cutting know-how about managing change processes.

The CDRF has recently been adopted by the World Bank Institute as the overarching construct for defining and assessing the results of its capacity development programs. The Framework has already led, within the World Bank, to the redesign of approaches to programming, planning, and reporting on external training and technical assistance. The redesigned approaches include new planning tools and internal reporting formats for external training and technical assistance within the World Bank Institute and new draft Bankwide guidelines for external training. Efforts are ongoing to test additional uses of the CDRF concept in World Bank operations, notably in the knowledge services. Outside the World Bank, there is also considerable interest in the CDRF among institutions devoted to development learning. This is a critical partner group for consultation about the Framework as the World Bank Institute seeks to promote a common and systematic approach to the specification, design, and monitoring and evaluation of capacity development programs.

The CDRF is being applied in a number of programs, including investment projects, technical assistance, and multiyear training programs. Among the thematic areas covered are public financial management, trade and customs, corporate financial reporting, health systems, road transport, municipal management, regulatory reform,. The various applications emphasize different uses of the CDRF—for strategic planning and program design; for monitoring of program implementation; and for evaluation of results. The lessons from these applications are critical, and will be documented in the coming year.

Part 2 - Basic principles of the Capacity Development Results Framework

As suggested in part 1, a capacity development program is any coherent set of learning activities that is intended to facilitate locally owned sociopolitical, policy-related, and organizational change in pursuit of a specific development goal. The Capacity Development Results Framework (CDRF or the Framework) offers a structure within which to connect such programs to observable results. The main elements of the framework, illustrated in figure 2.1, are:

- *A clearly specified development goal* or set of goals that motivates the capacity development effort
- *Three capacity factors* that determine the extent of local ownership of the effort to achieve the stated development goal(s), as well as the efficiency and effectiveness of that effort. The three capacity factors are:
    - *Conduciveness of the sociopolitical environment*
    - *Efficiency of policy instruments*
    - *Effectiveness of the organizational arrangements*
- *A change process* that leads to improvements in the targeted capacity factors at the hands of *agents of change empowered through learning*
- *Activities and instruments* designed to achieve the necessary *learning outcomes* for the agents of change.

The Framework takes as its point of departure this assumption: The likelihood that a development goal will be achieved, given a specific set of capacity factors, can be assessed in terms of particular indicators of those factors. These "capacity indicators" are therefore the primary operational targets of any capacity development program. The capacity indicators are measurable, so as to permit analysis and benchmarking. The capacity indicators (which are described more fully below) have been defined in terms that allow their application in a broad range of situations. Specific measures of the indicators need to be customized to the particular context.

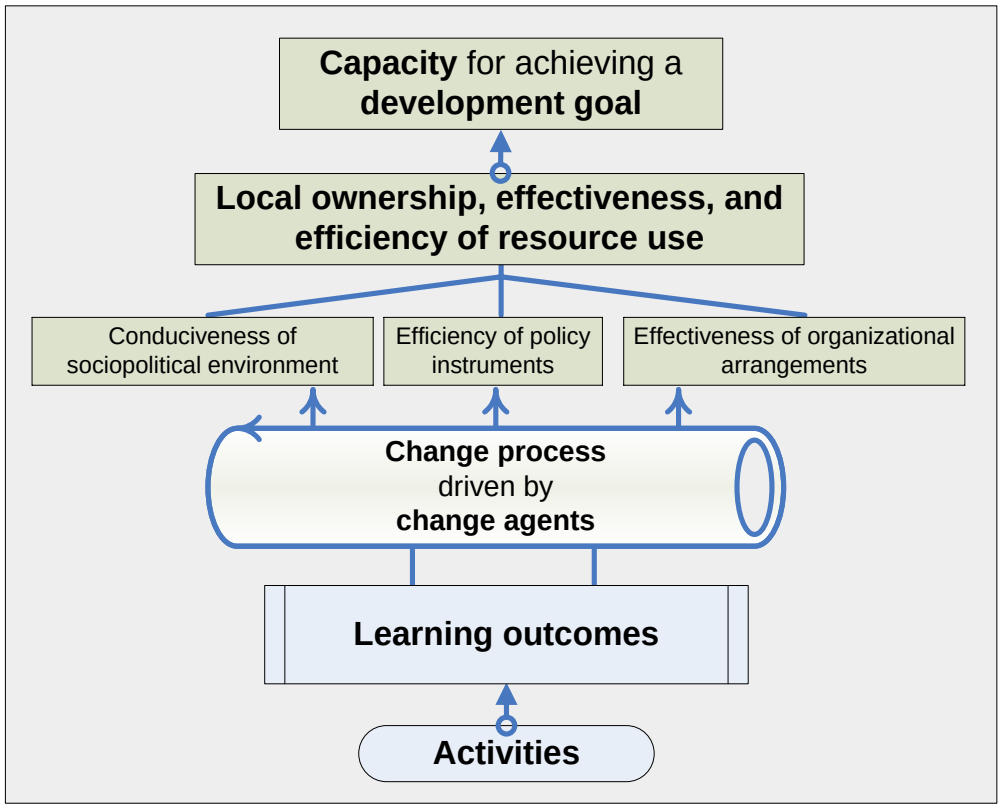
Through these measurable capacity factors and capacity indicators, the CDRF provides a common framework for:

- Analyzing capacity constraints and opportunities with respect to any development goal in a country or local context
- Understanding the need for capacity development
- Communicating about the results of capacity development efforts.

The CDRF also offers a typology of six learning outcomes to capture the immediate results of capacity development efforts as reflected in the behavior of agents of change. By linking program activities to development goals through capacity indicators and learning outcomes, the CDRF provides a structured change-process logic. This approach provides concrete evidence of the results of capacity development efforts. It also makes it possible to design and manage capacity development programs adaptively—and to monitor, evaluate, and learn from results.

- *Learning outcomes measure change at the level of the agent (whether individual or group of individuals).*
- *Capacity indicators measure whether the actions taken by the agent of change after learning have a favorable impact on the larger system that conditions the achievement of the development goal.*

Figure 2.1 Principal elements of the Capacity Development Results Framework



To begin—a specific goal on which all can agree

Capacity development efforts should be aimed at a specific goal marked by strong consensus among stakeholders and "owned" by national leaders (or the leaders of whatever administrative entity is responsible for the project). A local champion should set the goal and assume responsibility for its

attainment. This underlying goal should be well defined, and its economic and social value clearly articulated, because it determines the purpose and direction of capacity development efforts.

In conjunction with stakeholders, the capacity development program team should review and validate (or embrace) the development goal, agreeing on a specific definition and target. The team should identify the primary stakeholders interested in the goal and understand how the goal is observed and measured by those stakeholders. The goal should derive from a broader long-term development strategy (sector, country, or regional) that establishes the priority and compatibility of the goal with other development priorities. Examples include national development strategies, five-year plans, and visions for the future. Other examples of such strategies include the country assistance strategies and poverty reduction strategies worked out between the World Bank and its member borrowers.

Three factors determine capacity to achieve development goals

Human and financial capital, natural resources, and other endowments can influence whether a development goal can be achieved in a given timeframe, but depending on the three capacity factors mentioned above, and elaborated below, achievement may be delayed or blocked altogether.

The three capacity factors that affect the achievement of development goals are:

- *Conduciveness of the sociopolitical environment,* made up of the political and social forces that determine the priority given to the development goal by the government, the private sector, and civil society.
- *Efficiency of policy instruments,* or the formal mechanisms to be used to guide stakeholder actions toward achievement of the development goal. Those formal mechanisms include administrative rules, laws, regulations, and standards.
- *Effectiveness of organizational arrangements,* or the systems, rules of action, processes, personnel, and other resources that government and non-government stakeholders bring together to achieve development goals.

The three capacity factors are, of course, interdependent, but separating them as proposed in the Framework allows practitioners to identify and act on opportunities and constraints to the achievement of a given development goal more precisely. In particular, it allows for clearer identification of issues related to political and social priorities and decisions, as distinct from more technical issues such as decisions about policy instruments to guide behavior toward achievement of the goal. Any assessment of the capacity factors, however, would be highly subjective and difficult to translate into operational solutions without standardized indicators that break the factors down into observable and measurable units.

Standard indicators for each capacity factor, adaptable to contexts

The CDRF draws on various strands of economic literature to define a standard set of generic indicators of the conduciveness of the sociopolitical environment, the efficiency of policy instruments, and the effectiveness of the organizational arrangements implicated in the achievement of development

goals (table 2.1).[3] The indicators are broadly defined under the CDRF to provide a comprehensive list for review during capacity needs assessment and to facilitate the measurement of progress and final evaluation of results. In every case, specific capacity development indicators will be devised, based on the generic indicators but containing case-specific information about the development goal, involved stakeholders, and other particularities of the context of the capacity development effort.

Just as the configuration of sociopolitical, policy-related, and organizational factors relevant to the achievement of a given development goal is context-specific, so the indicators of those factors must be customized to their setting. Thus the CDRF does not assume that one technology or a single set of predetermined functions is required to achieve all development goals or a given development goal across all countries. An important part of the setup of a program under CDRF is to define which of the capacity indicators would be relevant for a particular development goal, how these indicators would be made operational for the particular environment in which a program operates, and what kind of externally verifiable information would be collected about each of the relevant indicators.

In practice, one or more of these capacity indicators, which are presented in more detail in table 2.1, will be selected to measure positive change in each capacity factor. The selection will be based on the particular development goal and the country or local context, as explored in the next section. The indicators are defined so that the greater the amount or extent of the indicator, the more favorable the capacity factor will be to achieving the development goal. Annex 4 provides a detailed example of how capacity factors and their indicators can be measured in specific contexts.

Table 2.1 Standard indicators for the three capacity factors

Indicators	Description of indicators
2.1a Standard indicators of the conduciveness of the sociopolitical environment	
Commitment of leaders to the development goal (DG)	Social and political leaders consistently and frequently make statements or take leadership actions and decisions supporting the DG.
Compatibility of the DG with social norms and values	Social norms and beliefs that underpin the behavior of stakeholders are compatible with the development goal.
Stakeholder participation in decisions about the DG	Decision-making processes about the DG consider all stakeholder opinions, and government and other organs of the state are responsive to the views of civil society and the private sector.
Stakeholder voice in decisions about the DG	Stakeholders know their rights related to the DG, claim those rights, and communicate their grievances and proposals for change to the government and legislature.
Accountability of public service providers for achieving the DG	Government and other public service entities take account of and responsibility for the appropriateness of their policies and actions in relation to the DG. If public officials and other public service providers fail to meet expectations about achievement of the DG, stakeholders hold them accountable for their conduct and performance.
Transparency of information to stakeholders about the DG:	Government and other public service entities provide accurate, relevant, verifiable, and timely information about the DG and explain actions concerning the DG in terms that stakeholders and other stakeholders can use to make decisions

[3] Examples of that literature include Acemoglu, Johnson, Robinson, and Thaicharoen (2002), Finsterbusch (2006), Harrison (2005), Hoff (2003), North (1990 and 2005), and World Bank (2002 and 2004a).

Indicators	Description of indicators
2.1b Standard indicators of the efficiency of policy instruments	
Clarity of the policy instrument in defining DG and the related rights and responsibilities of stakeholders	The rights and responsibilities of stakeholders related to the DG are clearly defined and specified. Stakeholders have a common understanding of the policy goal and the targets of any specified regulations. The authorities and processes concerning the policy instrument are clear. Policy instruments related to the DG are consistent with each other.
Consistency of the policy instrument that defines the DG with policy instruments for other DGs	Policy instruments related to the DG are consistent with policy instruments for other DGs. Stakeholders have a common understanding of the policy goal and the targets of any specified regulations.
Legitimacy of the policy instrument	Processes for decisions about policy instrument are informed, transparent, participatory, and deliberate. Policy instrument is perceived as desirable and appropriate within the local system of norms, values, beliefs, and definitions. The actions and sanctions prescribed by the policy are perceived as fair by stakeholders. Rights to appeal are assured.
Incentives for compliance provided by the policy instrument	The policy instrument imposes low transaction costs for compliance and facilitates desired economic and social exchange activities related to the DG by reducing uncertainty and other costs to the participants in these transactions.
Administrative ease of implementing the policy instrument	Duty bearers specified by the policy instrument are able to execute their responsibilities readily and effectively, and without undue costs in terms of time and resources.
Freedom of policy instrument from unintended negative consequences	The policy instrument minimizes unintended negative impacts in DG-related transactions.
Flexibility of the policy instrument in addressing varying DG situations	Policy instruments are predictably flexible in addressing varying situations. Policy instruments allow for timely revision when the underlying social and political circumstances have changed.
Resistance of policy instrument to corruption, rent seeking, and regulatory capture	Policy instruments minimize opportunities for corruption, include mechanisms to monitor and report corruption, and provide credible and enforceable penalties for corrupt behavior. Policy instruments do not reflect the efforts of vested interests to manipulate the economic and/or legal environment to secure undue privileges or compensation at the expense of the greater public good
2.1c Standard indicators of the effectiveness of organizational arrangements	
Clarity of mission with respect to the DG	The vision and mission of the organization are strongly aligned with the DG and clearly articulated, and provide its members with clear points of reference for making decisions and gaining commitment from management, staff, and other stakeholders to work toward the DG. The mandate of the organization is recognized by relevant stakeholders.
Achievement of outcomes that lead directly to attainment of the DG	The organization consistently achieves outcomes that lead directly to the DG expressed in its mission statement. [a] [a.] Although goal attainment is concerned with outcomes, the next indicator, operational efficiency, focuses on output.
Operational efficiency in producing DG-related outputs	The strategies, inputs, processes, and technology of the organization are managed to optimize the quantity and quality of output relative to the cost of accomplishing its DG-related goals.
Financial viability and probity	The organization sustainably secures the funds needed to cover its operating costs. Sound financial management, including reporting of externally verified accounts, helps to ensure that the resources of the organization are allocated effectively to achieve its goals.
Supportiveness of stakeholders	The organization seeks the support of stakeholders for its DG-related work. Organizational decision-making and operational processes involve consultations with appropriate stakeholders.
Adaptability in anticipating and responding to change:	The organization regularly monitors its internal and external environment for information relevant to the DG and is proactive in adapting its strategy accordingly. The organization encourages innovation, manages knowledge, and creates and/or adapts to new technologies.

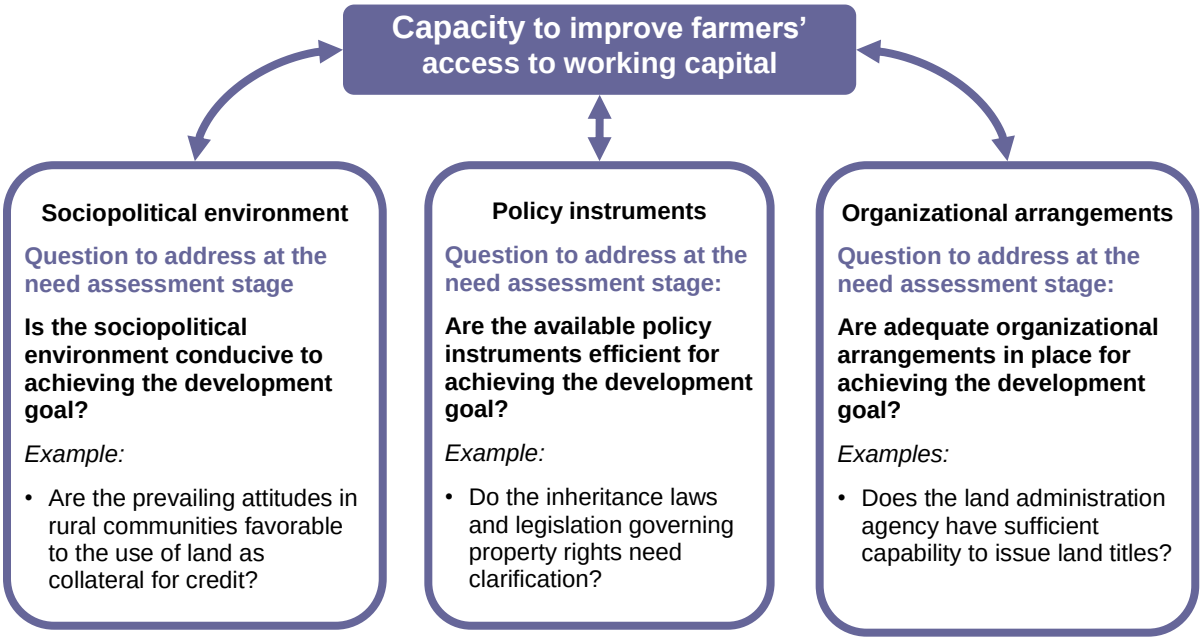
Assessing capacity factors with reference to a hypothetical case

To better illustrate the following points, a hypothetical case of a developing country is presented below, where agricultural income has been decreasing year by year due to deteriorating production levels, aggravating poverty in rural areas. Increasing agricultural productivity becomes one of the priority areas for the Government. After due consultations and deliberations, the government sets a "stretch" goal of increasing farmer's access to working capital through private finance by 75 percent in five years. To help farmers obtain loans, the government intends to establish a land-titling system that will facilitate landowners pledging their farms as collateral. The government also conducts an integrated assessment of capacity factors related to the situation in order to devise a strategy for realizing this goal.

The assessment raises issues affecting all three capacity factors (figure 2.2), suggesting some of the indicators presented in table 2.2.

- *Sociopolitical environment.* It may be necessary to address the reluctance of rural communities to use land as collateral for credit because of their belief that doing so is equivalent to selling the land outright. (Indicator: compatibility of the development goal with social norms.)
- *Policy instruments.* Contradictory and complex administrative regulations will have to be simplified and processes streamlined to lower the cost to farmers of obtaining land titles. Inheritance laws and legislation governing property rights may need clarification. (Indicators: incentives for compliance, low administrative burden, and low negative externalities.)
- *Organizational arrangements*. The ability of the land administration agency to process and issue land titles must be strengthened, for example through training in modern techniques and use of technology. (Indicator: operational efficiency in producing outputs related to the development goal.)

Figure 2.2 Framing context-specific questions to probe the capacity factors relevant to a particular development goal



Once formulated, the chosen capacity indicators will guide the identification of specific measures for assessing the process of change toward greater capacity to achieve the development goal. The examples in table 2.2 illustrate this logic for each capacity factor.

Table 2.2 From goal to data: generic and specific indicators and measures of three capacity factors with reference to a hypothetical development goal

Development goal	Improve farmers' access to working capital through increase in formal lending from private investors by 75% in five years		
Capacity factors	Conducive sociopolitical environment	Efficient policy instruments	Effective organizational arrangements
Related issues	Resistance of rural communities to use of land as collateral for credit because of the belief that doing so is equivalent to selling the land outright	Complex administrative regulations impose high costs of registration of land titles	Land-administration agency has a backlog of registration applications
Generic capacity development indicators	Compatibility of the DG with social norms and values	High incentives provided by the policy instrument for compliance	Operational efficiency in producing DG-related outputs
Specific capacity development indicators (specific to this development goal)	Share of farmers who believe that pledging land as collateral does not equate with selling, and that the land title will increase the value of their land. Communal leaders are supportive of the use of formal credit	Cost of land registration	Land administration issues the titles within the established timeframe
Measures	Percentage of survey respondents that believe that pledging land as collateral does not equate with selling Percentage of survey respondents that believe that the land title will increase the value of their land	Cost for farmers in their dealings with government authorities to obtain land titles	Percentage of land titles issued on time according to administrative procedures
Tools for data collection	Population-based survey	Surveys/interviews of farmers who received land titles about costs of dealing with land authorities	Statistics from land administration database

The change process: improving capacity factors by empowering agents of change with knowledge and information

The central thesis of the CDRF is that through the acquisition of new knowledge and information—that is, through learning—agents of change can enhance the conduciveness of the sociopolitical environment, the efficiency of policy instruments, and the effectiveness of organizational arrangements and so contribute to the achievement of development goals (North 2005).

New knowledge and information can shift the power balance and relationship among elements of society (state, civil society, etc.), possibly leading to alteration of the society's decision-making framework or belief systems. For instance, a skill-building program for parliamentarians and their staffs may result in improved budgetary oversight and enhanced political accountability. Knowledge and information can improve stakeholders' understanding of a given situation or context, including how institutions can affect behaviors. Placing knowledge and information in the hands of new or different stakeholders can even change power relations and the dynamics of decision-making.

Learning can lead to changes in the efficiency of policy and other formal incentive instruments, improving their clarity, legitimacy, resistance to corruption, and freedom from negative externalities. New knowledge about a given situation or how policy instruments alter stakeholders' behavior can lead to revision of those instruments (and thus changes in behavior). For instance, an awareness-raising workshop for a new inter-ministerial committee may increase the consistency of policy proposals from different ministries.

Learning can also lead to changes in the effectiveness of organizational arrangements, such as in operational efficiency or responsiveness to stakeholders. Such adaptation or innovation on the part of organizations or groups within a given sociopolitical and policy context can be triggered in response to new information or new requirements imposed by the external environment. For instance, following a series of South-South peer exchanges, a public sector agency may develop a new scheme for improving local service delivery that is mainstreamed through online training.

The potential complexity of these change processes indicates that it is useful to trace results at two levels: the immediate result or "learning outcome," defined as enduring changes in behavior or cognition of agents of change (Ormrod 1995; Nemeth 1997); and the subsequent impact reflected in a change in capacity factors.

For example, in the context of our hypothetical development goal of expanding farmers' access to working capital, five agents of change might be empowered through learning to support various change processes:

1. Farmers, who need to feel empowered to access credit
2. Media that can broadcast information about the use of land titles as collateral, the procedures for obtaining the title, and success stories from farmers who have used the title to gain to access additional capital
3. Local community leaders who have strong influence on farmers' behavior
4. Policymakers who are responsible for revisions and rationalization of land regulation requirements
5. Land administration staff responsible for implementing new land-registration procedures.

Learning outcomes and the results chain

The literature on adult learning and action learning allows us to identify two basic types of learning outcomes that represent enacted knowledge and information (Desjardins and Tuijnman 2005):

- Changes that occur in an individual or a group of individuals, such as improvements in knowledge and skills, or changes in motivation and attitude with respect to a particular issue
- Changes that occur in the interactions among individuals and groups, and thus in the broader organizational or social environment, which are embodied in improved processes or in new products and services.

In the development context, it is useful to break these down further into six learning outcomes (figure 2.4).

These six learning outcomes lie at the heart of the change theory posited for any capacity development effort and form the basic building blocks of the associated change process. For each capacity development intervention, the set of learning outcomes and their sequence is tailored to the capacity factors that are to be improved (sociopolitical environment, policy instruments, or organizational arrangements), to the agents of change who are to make those improvements, and to the envisioned change process.

With reference to the hypothetical development goal of widening farmers' access to working capital, we identified five sets of agents of change. Appropriate learning outcomes for each are shown in table 2.3.

Figure 2.4 Six learning outcomes essential to all capacity development efforts

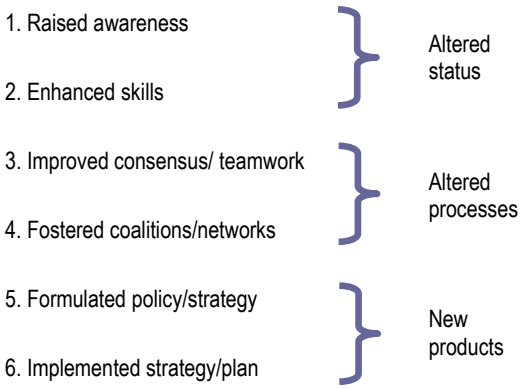


Table 2.3 Example of learning outcomes tailored to agents of change in a hypothetical case

Agent of change	Learning outcome	Related capacity indicator (see table 2.1)
Farmers	Greater awareness about the concept of collateral and its utility in raising working capital	Compatibility with social norms; transparency of information to stakeholders; stakeholder voice
Media	Increased awareness that audiences might be interested in information about the use of land titles as collateral and success stories from farmers who used land titles to access additional capital	Compatibility with social norms
Local community leaders	Increased understanding that the use of land title as collateral is not equivalent to sale of the land Increased understanding of the process of obtaining land titles	Compatibility with social norms
Policymakers	Formulation and adoption of a strategy for simplifying land title registration Introduction of a single-window system to simplify land registration	Incentives for compliance; administrative ease and simplicity
Land administration staff	Enhanced skills for registering and issuing land titles New land resources database is established and used easily and regularly by local land registry staff	Operational efficiency of organizational arrangements

From learning outcomes to learning activities via learning objectives

A capacity development practitioner moves from learning outcomes to learning activities through the articulation of learning objectives. The immediate *objective* of any specific learning activity or event is determined based on the expected contribution of that activity to the targeted learning outcome. In other words, a learning objective may be thought of as an indicator of achievement of the outcome. For example, to obtain the outcome of raising awareness about the benefits of formal land titles, a capacity development program might involve a series of awareness-raising activities that separately strengthen the confidence of farmers in using collateral for bank credit and improve the understanding of the heads of rural communities about the compatibility of formal titles with traditional land-tenure arrangements. Table 2.4 illustrates the relationship between the six learning outcomes introduced in table 2.3 and various generic learning objectives.

Table 2.4 The six learning outcomes and associated generic learning objectives

Learning outcomes	Generic learning objectives
1. Raised awareness	Participant understanding of an issue or situation improved Participant attitude improved Participant confidence improved Participant motivation improved
2. Enhanced skills	New skills/knowledge acquired New skills/knowledge applied
3. Improved consensus/teamwork	Discussion initiated/resumed/activated Participatory process initiated/expanded Consensus reached Action steps/plan formulated/improved Collaboration increased/improved
4. Fostered coalitions/networks	Discussion initiated/resumed/activated Participatory process initiated/improved Informal network(s) created/expanded Formal partnerships or coalitions created/expanded
5. Formulated policy/ strategy	Stakeholders involved in process Policy/strategy needs assessment completed Stakeholder agreement reached Action steps/plan formulated Monitoring and evaluation plan designed Policy/reform/strategy/law proposed to decision-makers
6. Implemented strategy/plan	Implementation steps formulated Monitoring and evaluation initiated Implementation steps initiated Implementation know-how improved

Note: Generic learning objectives are defined under the CDRF to facilitate identification of program objectives and their indicators. The list is non-exhaustive, and other learning objectives may be formulated by the program team. When used in specific program contexts, the generic objectives should be adapted to reflect the particularities of the case (audience, nature of learning process, etc.).

To achieve the learning outcome of raised awareness, a set of learning activities could be designed around the following learning objectives, as shown in table 2.5.

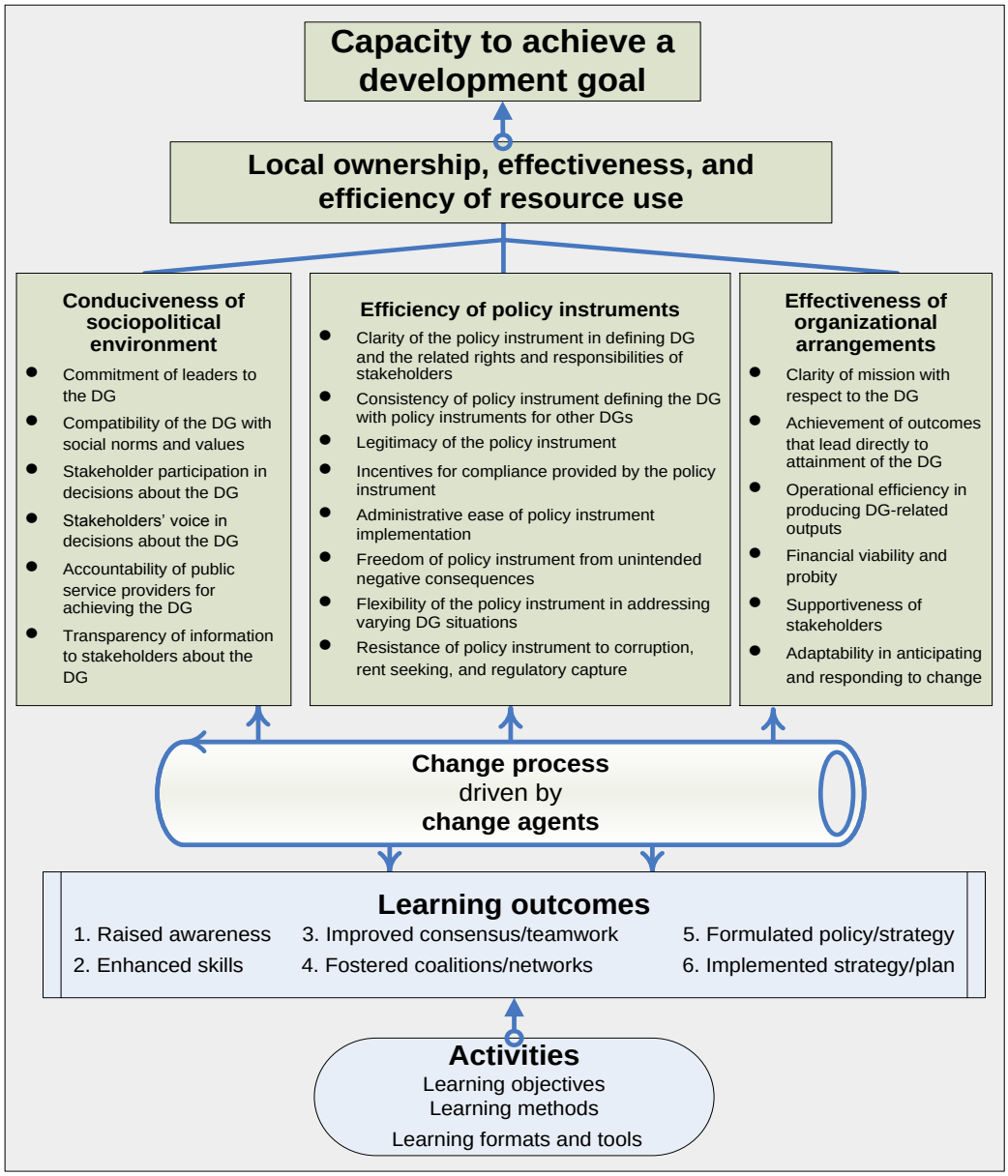
Table 2.5 Matching learning activities to learning objectives: an example

Learning objective	Learning activities
Communal leaders have a more favorable attitude about holding and using land titles for collateral	Case studies demonstrating the advantages of using land titles for farmers and their communities. Case studies about successful use of formal land titling and credit to increase incomes and community welfare could be delivered using video clips at town-hall meetings. Such meetings could be facilitated by farmers and communal leaders from the case-study areas.
Farmers have increased understanding about the use of family land holdings as collateral	Radio talk-show program about the benefits of formal land titling and the potential productivity and income gains from farmers' enhanced access to formal credit for working capital.

Pulling it all together: a logic model for a capacity development program under the CDRF

The preceding sections outlined and illustrated the main elements of the CDRF and its logical structure. (Those elements and their relationship are summarized in figure 2.5.) Applying that structure to actual capacity development programs, however, requires more detailed articulation of the logical links among the development goal, capacity factors and their indicators, agents of change and the learning outcomes designed for them, and program instruments, as well as the flow of information from one element to the next.

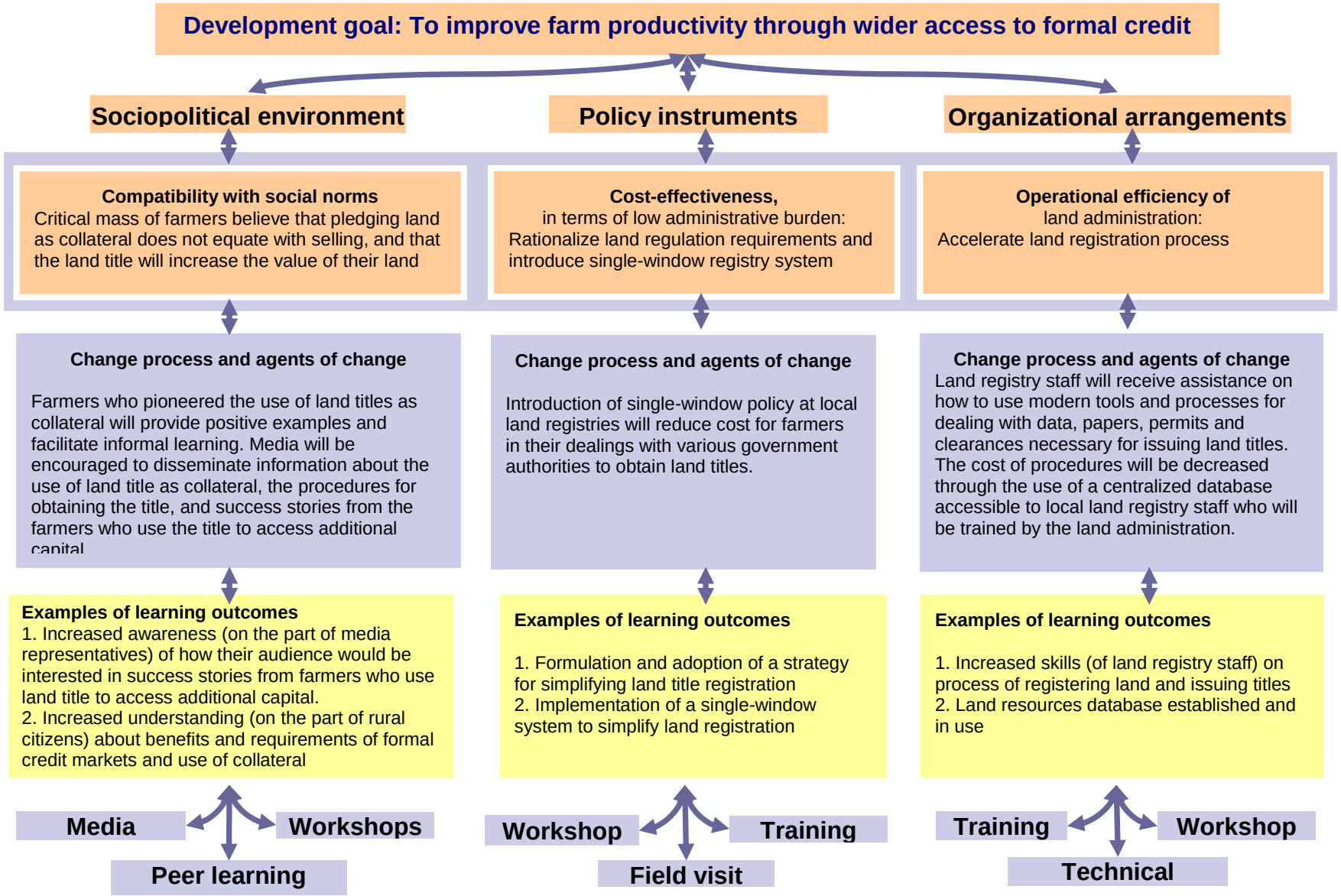
Figure 2.5 The main elements of the CDRF and their relationships



Careful attention to specifying and tracking the intermediate outcomes that drive the change process is needed to fill in the "missing middle," a fatal flaw of many capacity development programs (World Bank 2006). Thus the CDRF requires users to articulate and test their theories and assumptions about what will lead to a desired change in capacity and to the achievement of a particular development goal. The Framework's program logic model is consistent with the results chains and logical frameworks used by many capacity development practitioners (see annex 1).

Figure 2.6 provides an illustration of the CDRF logic model applied to our hypothetical development goal of increasing farm productivity through greater access to formal credit. In the example, achievement of the development goal requires changes in all three capacity factors—the sociopolitical environment, policy instruments, and organizational arrangements. These changes imply several separate change processes and potentially several sets of agents of change. The capacity development program that is designed to meet the development goal will have to be carefully sequenced to ensure that the learning outcomes for each component of the program reinforce each other.

Figure 2.6 Logic model for a capacity development program designed to achieve a hypothetical development goal



Part 3 - An application of the Capacity Development Results Framework—capacity development program cycle

This part of the paper comprises four sections that describe the four essential stages in any capacity development program cycle, whether it draws on outside consultants or representatives of donor organizations or is entirely home grown. As presented here, each stage consists of a set of steps. Although the steps are described as a sequence, those responsible for capacity development programs should tailor the steps to the circumstances they face. In many cases, some of the stages and steps described here will unfold in parallel or iteratively. In our treatment of each step, we cite key documents or data that may be used to help demonstrate results. Additional resources can be found in annex 2.

Stage 1: Identification and needs assessment. At the outset, the development goal to which the capacity development program will contribute is articulated or, if previously set, then reviewed and validated. Constraints to achieving it are identified in the course of assessing the capacity factors (sociopolitical, policy-related, and organizational) relevant to the goal. Measurable indicators for each factor are identified, along with changes in those indicators that can be facilitated by learning.

The needs assessment should highlight risks from factors outside the program (such as equipment and financing) that are important to achieving both the specific change in capacity targeted by the capacity development effort and the larger development goal to be advanced.

Stage 2: Program design. In this stage, the change process is plotted out in detail. Agents of change are identified. The learning outcomes that will enable the agents of change to bring about improvements in the capacity factors specified in the previous stage are determined, together with related indicators. Activities are designed to deliver the learning outcomes. The program design must take into account risks and uncertainties. In many cases, some iteration between design and implementation is to be expected, as not all learning activities can be specified in advance. It may even be necessary to revisit the targeted learning outcomes as implementation progresses.

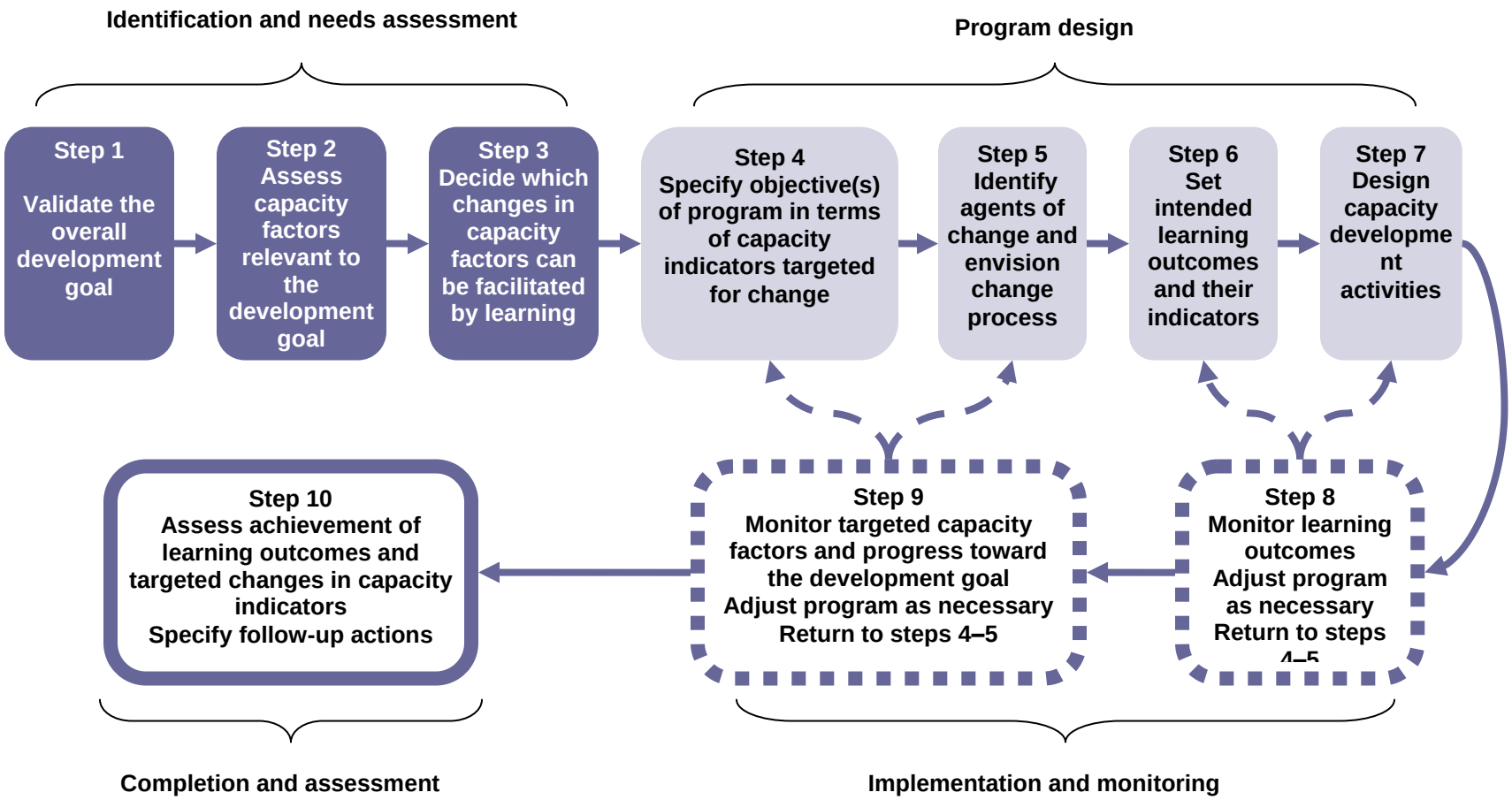
Stage 3: Implementation and monitoring. The focus during this stage is the extent to which the intended learning outcomes are achieved and to which they remain likely to catalyze change in capacity indicators. Periodic review of capacity factors based on the capacity indicators defined in previous stages is also important. The key is to provide for active monitoring of learning outcomes and capacity indicators, so that the program can be adjusted as needed—and promptly. Precise requirements in this regard will depend on the scale of the program and the extent of uncertainties and other risk factors. High-stakes programs justify even more assiduous monitoring.

Stage 4: Completion and assessment. In this stage, the degree of achievement of the intended learning outcomes, related changes in targeted capacity indicators, and progress toward the development goal are assessed and presented. The assessment makes use of information from a chain of indicators to draw conclusions about the impact and utility of the capacity development program.

Mapping the logic of the capacity development program helps program teams define and organize program information, making it easier for all involved to know what they are to do at a given point in the program cycle and how to measure success. The program logic map clarifies relationships among the development goal(s), the related objective(s) of the capacity development program (as specified in the chosen capacity indicators), the agents of change who will affect those indicators, the learning those agents will undergo, and the activities set up to ensure that learning. It also relates the capacity development program to complementary programs or project components. The stages and steps of the program logic are summarized in figure 3.1. Annex 3 offers a detailed template that can be used to produce a program logic map for any capacity development program.

In this part of the guide, we will apply the CDRF to a hypothetical capacity development program designed to support a national growth and competitiveness agenda by improving the business climate. The context is as follows: Developing countries that strive to achieve sustainable economic growth often strive to expand their private sector so as to increase competitiveness and create new jobs. Central to this agenda is a favorable environment for investment, commerce, and trade, one in which pervasive, confusing, conflicting, and unpredictable business regulations do not impose high costs on businesses. International experience suggests that the network of government bodies exercising control over the business environment is often extensive and complex. Agencies' responsibilities are often vaguely defined and overlapping; sometimes they are contradictory.

Figure 3.1 The CDRF program cycle: a step-by-step view



Stage 1: Identification and needs assessment

The CDRF is intended to promote a common and systematic approach to conducting needs assessments related to capacity development in any development context. It provides for program design rooted in context and informed by analysis of a particular country or subnational environment, with attention to the status of capacity factors in that environment. By focusing attention on indicators of the three capacity factors, the CDRF requires the program team and stakeholders to think through and trace out the relationship of a defined set of variables to any development goal in a given context, and to model explicitly the change process that is expected to be facilitated by learning. Client consultations and active participation are absolutely essential to application of the CDRF, both for proper understanding of local institutions and context, and to ensure local ownership of the change process to be supported by the capacity development program.

Step 1: Validate the development goal

The importance of this step cannot be overemphasized as it establishes the priority and feasibility of any program of interventions. Capacity development program teams often find themselves entering a development program or project after the strategic planning around the development goal has taken place. Regardless, the capacity development team should always try to validate with stakeholders any analysis or strategic planning work done previously around the development goal. The program team and stakeholders should also agree on indicators of the current development situation and the envisioned development goal. This validation is essential because, in order for capacity development to be successful, the program team needs to understand how the development goal underpinning the proposed capacity development intervention is observed and measured by stakeholders, as well as the priority attached by stakeholders to the goal and their commitment to the changes that the capacity development effort would support (figure 3.1, step 1).

During validation of the development goal, the program team and stakeholders should focus on addressing the following questions:

- What are the perspectives of the government and other stakeholders (civic society, donors, and partners)?
    - What is the development goal of the potential capacity development program or project component?
    - How is progress with the development goal observed and measured?
- What other development efforts or activities are ongoing or planned related to the development goal?
    - What is the government currently doing?
    - What are other stakeholders currently doing?
    - What is the government planning for the future?
    - What are other stakeholders planning for the future?

We will use our hypothetical regulatory reform program for illustrating this step. A government has concluded that creating a friendly business environment is critical for developing a vibrant private sector. A number of investment operations have been prepared to improve electricity access and improve skills of local labor. But despite everything that has been done, results have not been commensurate with expectations and private investment rates remained low. The government established a task force that has concluded, after consultation with local business representatives and foreign investors, that the following development goal should be pursued:

Reduce the cost of business by clarifying and simplifying the system of business regulations.

The task force has determined that this goal can be measured using the country rating on the "ease of doing business," an indicator collected and benchmarked for 181 economies by the Doing Business initiative of the World Bank. The task force recommends that the country should strive to move from the third tier of countries to the first tier to successfully compete for private investment with other economies.

Step 2: Assess capacity factors relevant to the development goal

The program team should identify relevant capacity factors as they relate to the development goal. The team should also establish if achieving the development goal requires change and, if so, which capacity factors and capacity indicators are involved. The current status of capacity indicators that need to change in order to achieve the development goal should be specified, as well as the desired status of those capacity indicators. Complementary factors important to the achievement of the development goal, e.g. financial resources, should also be identified and the feasibility of addressing them assessed.

The program team should select indicators and measures of the capacity indicators in a manner that highlights how the capacity indicators relate to the development goal. In practice, the availability of information is likely to vary considerably, and pragmatic decisions have to be made regarding the cost-benefit of further analysis. The capacity factors should be evaluated in relation to each other, as well as to the development goal. Annex 4 provides definitions of the indicators of a conducive sociopolitical environment, efficient policy instruments, and effective organizational arrangements, as well as an illustrative list of indicator sources and databases that can be used for their assessment. Some of the readily available indicator data are aggregated, and efforts may be needed to adapt existing indicators or measures to use in actual practice.

The assessment of capacity factors might raise the following issues, expressed in terms of the hypothetical development goal of reducing the cost of business by clarifying and simplifying the system of business regulations:

- In terms of the *sociopolitical environment* (in particular, stakeholder participation in decisions about the development goal), efforts are needed to involve private sector representatives in a dialogue with the Government about reform of business legislation.
- In terms of *policy instruments* (in particular, low incidence of negative unintended consequences from the policy), new government regulations often create barriers to business entry and increase transactions costs for investors, especially small businesses.

- In terms of effective *organizational arrangements* (in particular, extent of goal attainment), the regulatory reform commission and in all relevant ministries lack capacity to implement reforms, due to the lack of skills and experience.

Conventional methods, such as economic, sector, or social analysis, can be used to determine what capacity changes would advance a given development goal.[4] Experience- and discovery-based approaches, such as the rapid results approach, can also be used.[5]

During assessment of capacity factors relevant to the development goal, the program team and stakeholders should address the following questions:

- What does existing analysis say about capacity constraints to and opportunities for achievement of the development goal?
    - What does the situation look like now in terms of capacity factors—conduciveness of the sociopolitical environment, efficiency of the policy instruments, and effectiveness of the organizational arrangements? How can these capacity factors be defined in terms of capacity indicators? Which of the capacity indicators are particularly critical for achievement of the development goal?
- How would an impartial observer know what is the current situation with respect to the capacity factors? How has this been documented?
    - What needs to happen to enable achievement of the overall development goal?
    - Does it involve changes in the capacity factors?
    - What are the specific indicators of the capacity factors that need to change?
    - Does the existent data provide adequate information for assessing these capacity indicators?
- Who is/are interested and involved in the success of this achievement or improvement? (clients, partners, recipients, etc.)

Step 3: Decide which changes in capacity factors can be facilitated by learning

With information about the current status of the capacity factors in hand, it becomes possible to identify which changes in capacity indicators (from current status to desired status) can be facilitated by

[4] A variety of needs assessment approaches have been developed over the years, ranging from structured stakeholder consultations to detailed functional organizational assessments. UNDP (2005a) provides a review of some of the most popular capacity assessment tools; and DFID (2003) provides a description of general tools and techniques for assessing capacity and organizational capacity. More recent tools include the Capacity Enhancements Needs Assessment or CENA described in WBI (2006), the UNDP (2008a and 2008b) capacity assessment tools, and the Organizational Assessment Tool from CIDA (2006).

[5] The rapid results approach (RRA) is a set of results management tools and skills that empower teams to achieve results quickly, thereby prompting spontaneous organizational change. RRA methodologies are typically used to support implementation in the field, using participatory approaches to rally stakeholders around common priorities and strategic goals. See, for example, the materials on RRA at http://go.worldbank.org/AKLPXUJJK0. The emphasis on monitoring and evaluation in RRA initiatives means that they can also serve as diagnostic tools that shed light on capacity constraints to achieving results.

learning alone or by learning in conjunction with circumstances that will likely occur (box 3.1). The program team also determines whether the change envisioned could be externally facilitated, and it establishes priorities. During selection of capacity indicators to be targeted, stakeholders and the program team also takes into account the availability and suitability of envisioned *agents of change*.

Box 3.1 Determining which changes in capacity factors can be facilitated by learning

Limitations imposed by some of the capacity factors can be addressed only by increasing the supply of resources; some through facilitation of learning processes and locally driven change:

- International experience suggested that to improve participation of the private sector in decisions about reform of business legislation, business leaders should be involved at all stages of policy formulation that can be achieved through learning—from problem identification and definition to assessment of policy options and ex-post assessment of reforms.
- Consultations with stakeholders concluded that to minimize negative unintended consequences from new regulations, the government should have the ability to conduct cost-benefit analyses of the potential impact of regulation on the business environment—largely a learning issue. However, additional resources would be needed to support the policy reform that would enable the government to evaluate new legislation consistently, both ex ante and ex post. To supplement a planned program of capacity development, the government engaged in a dialogue with the World Bank to support their efforts through a loan to improve development policy.
- To enable the country's regulatory reform commission and relevant ministries to implement government reforms, important investments in institutional infrastructure are foreseen in the government budget. Learning processes will redress lagging skills and lack of experience among policy makers.

In other words, the assessment arising from the above analyses helps to determine the need for a capacity development program by identifying what capacity indicators of the three capacity factors to change and to what extent knowledge and information could help promote that change.

When deciding which changes in capacity factors can be facilitated by learning, the program team and stakeholders should address the following questions:

- Which required capacity indicators are to be changed through learning, and how?
    - How does the team envision that learning could lead to changes in these capacity indicators? (If possible, cite the examples, observations, or analyses that support the hypothesis or vision of how the change in capacity indicators would take place.)
    - How were the targeted capacity indicators selected?
    - If other stakeholders are working in this area, how will the team integrate its capacity-development efforts with their work?
    - Are there important deficiencies in capacity indicators that are not being addressed by the capacity development program?
- Who will be responsible for those changes in capacity indicators that need to be made to achieve the development goal but that are not targeted by the capacity development program? How will the progress on these capacity indicators be monitored? What are the risks for the capacity development program if the changes in these other capacity indicators are not achieved?

Stage 2: Program design

After the program identification and needs assessment processes described above, the CDRF can serve as a tool for the design and adaptive management of capacity development programs. During the design stage, the program team identifies objectives (figure 3.1, step 4), charts the change process and identifies agents of change (figure 3.1, step 5), determines the learning outcomes needed to accomplish the desired changes in capacity indicators (figure 3.1, step 6), and designs the specific capacity development activities to accomplish those learning outcomes (figure 3.1, step 7). During the design stage, the team also decides how periodic monitoring of the status of each learning outcome and capacity factor will feed back into the implementation and monitoring of the capacity development program. The team also analyzes partners' and stakeholders' regular reporting cycles and decides how CDRF monitoring should fit within those cycles.

During implementation, the program team will use those decisions to guide learning activities, monitor progress toward results (understood as learning outcomes and changes in capacity indicators), and take corrective action where warranted.

Step 4: Specify objective(s) of capacity development program in the form of capacity indicators targeted for change

Specifying the objective to be achieved by the capacity development program involves outlining the change envisaged in the targeted capacity indicators (figure 3.1, step 4). Wording is important; a powerful capacity development objective uses specific words that tell what the program will do, why, for whom, and how implementers and other stakeholders will know the program has succeeded (box 3.2).

Box 3.2 Specification of the objectives of a capacity development program in terms of capacity indicators targeted for change

A well-specified program development objective:

- Describes the effects that the changes in the targeted capacity factors are envisioned to have on the beneficiary individuals, organization, or community.
- Is measurable.
- Is attainable through learning outcomes.
- Is set so that the agents of change can influence its achievement.
- Establishes the strategic positioning of the capacity development program in relation to the broader development goals.
- Describes the indicators to be used to measure achievement.

The capacity development objective provides the basis for a logical flow that connects the objective to (a) the particular capacity factor indicator(s) to be improved, (b) a determination of the appropriate methodological approach for learning, and (c) the capacity development activities to be designed. A well-specified capacity development objective is measurable, tightly connected to the program logic, and reasonably attainable through capacity development interventions. The definition should include the indicators to be used in measuring achievement. The capacity development objective should be defined so

that the agents of change agree that they can influence its achievement. For a country-focused program, the objective should explicitly relate to at least one development goal specified in country's strategy documents. For smaller programs, the objective might be narrower in scope, but it should still be specific, measurable, and logically connected to a development goal. (See examples in box 3.3.)

Specification of the capacity development objective requires identifying suitable indicators of the targeted capacity indicators. The choice of indicators should take into account the following:

- The extent to which particular indicators are already in use in the country, region, or environment
- The program logic mapping out the development objective, the change process, the agents of change, and their roles.

These elements light the path toward change in the capacity factors. Scrutinizing this pathway for key decision points and thresholds highlights opportunities for defining indicators.

Box 3.3 Sample specification of the objectives of a capacity development program in terms of capacity indicators targeted for change

The project aims to promote a conducive business environment through the following capacity changes:

- Greater participation of the business community in preparing new regulations through public consultations during the period when problems are identified and defined, and then by participating in the assessment of policy options
- Reduction of unintended negative consequences from new government legislation through application of systematic and consistent analysis of how proposed laws and regulations will affect the business environment
- Improved support by the regulatory reform commission for regulatory impact analysis carried out by the ministries by providing assistance during public consultations, networking with stakeholders and international communities of practice in regulatory impact analysis, and reviewing for accuracy and quality the draft impact analyses submitted by ministries

It is important to ensure that the indicators used to define the capacity development objective are valid, reliable, and precise. Some indicators might be measured using program-specific data. In many situations, appropriate measures might also be found in existing data relevant to the particular sector and type of work being performed.

During this step, the program team and stakeholders should address the following questions:

- How will the team specify the program or project development objectives in terms of capacity indicators to be changed?
- With whom will the team partner (if needed)? How will the responsibilities be shared?
- How would an impartial observer know when progress occurs, or when the targeted state of the capacity indicators has been reached? How does the team plan to document it? What are the indicators? What measures will the team use for these indicators? What values of those measures will the team choose as baselines?
    - What is the program trying to achieve?

- How does the team measure what it is achieving?
- What types of indicators or measures already exist?
- What indicators or measures will the team develop?
- What is the current value of the chosen measures?
- What target values of the measures will the team use?

- Where do specific interventions need to happen? (The question "where" can apply to a physical location or to a specific part of an organization, a sector within society, etc.)
- What is the outlook for complementary factors (that is, the factors external to the capacity development program) that would influence the likelihood of achieving the transformation envisioned through the capacity development program?
- When would the team expect to see changes in the capacity indicators that could result from the capacity-development program?

Referring to the regulatory reform example, a sample reporting format for specification of the objectives of a learning program in terms of capacity indicators targeted for change is shown in table 3.1. The elements that make up this report are later reprised in the program completion report (table 3.5).

Table 3.1 Sample specification of program development objectives for a technical assistance project for regulatory reform

Development goal: Reduce the cost of doing business by clarifying and simplifying the system of business regulations				
Program Development Objectives (in terms of target capacity indicators)				
Generic PDO	Specific PDO	Indicator	Status at the starting point	Document or indicator that provides evidence of starting point
PDO 1: *Sociopolitical environment* Stakeholder participation and voice in decisions about the development goal	Increase participation of business community in policy-making processes through public consultations during problem identification and definition, and assessment of policy options	Business community provides inputs into policy formulation process	X% of respondents feel that new government regulations reflect the views of business community	Views of business community on policy formulation process from business survey at the beginning of the program
PDO 2: *Policy Instruments* Cost-effectiveness in terms of high incentives for compliance, low administrative burden and low negative externalities	Reduce unintended negative consequences of new government legislation by applying systematic and consistent cost-benefit analysis of potential impact on business environment arising from new government legislation	Regulatory burden on businesses	Y% of adopted regulations that had severe unintended negative consequences to businesses	Analysis by experts of costs and benefits of past regulations
PDO 3: *Organizational arrangements* Extent of goal-attainment	Strengthen the staff of the regulatory reform commission in its coordination and quality control of ex-ante and ex-post impact evaluations of legislation	Functioning ex-ante and ex-post evaluations	Z% of performed evaluations receive satisfactory review by external experts	Report by external experts

Step 5: Identify agents of change and envision change process

After or as part of the selection of key capacity indicators to be targeted for change by the program, the program team and stakeholders map out the change process and identify the agents of change (figure 3.1, step 5). The program logic document should provide space to describe the results of the change process and suitable indicators of those results (Annex3). A change process is more likely to succeed if it is envisioned, recorded, and communicated. The critical action at this stage is to specify how the envisioned interventions would lead to that change.

Defining the change process also involves specifying the time frame expected for the envisioned causes and effects in the program logic to play out. In particular, designers should plan when to expect completion of activities, achievement of learning outcomes, measurement of changes in capacity indicators, assessment of changes in capacity factors, and achievement of the ultimate development goal.

Agents of change play a critical role in the goal-oriented process of planned change. They initiate and manage the change process. The program team and stakeholder(s) should identify the agents best placed and best qualified to initiate and manage the change process. Agents of change often can be significant individuals, groups (particularly when change targets the sociopolitical environment), or teams.

Strengthening agents of change themselves might be an important component of a capacity development strategy. Further, multiple agents of change could be necessary to build enough critical mass to make a change process sustainable.

The agents of change relevant to a particular program might or might not be the same as the organization(s) targeted for change. For example, if the goal is to improve parliamentary oversight, the agents of change could include the following:

- Parliament itself (or particular employees or groups of employees), in which case the agent of change would also be part of the targeted capacity factor (that is, the organizational arrangements)
- Outside parties, for example, (a) civil society or media organizations that put pressure on Parliament for better accountability and (b) capacity-building organizations that help to enhance skills of parliamentary staff to improve the oversight function
- Composite groups that include both Parliament and outside parties.

Usually, it is not possible to specify in advance all the elements of the change process. Also, new agents might become relevant as the process unfolds. Unknown elements of and risks to the change process should be clearly identified, with suitable provision for monitoring and adaptation.

When identifying the agents of change and the change process, the program team and stakeholders should address the following questions:

- What is the envisioned chain of causes and effects?
    - How do the team and stakeholders envision the chain of cause and effect that will lead from changes in targeted capacity indicators to progress on the development goal? (If possible, cite the examples, observations, or analyses that support the hypothesis or vision of causal relation between the targeted indicator and the development goal.)

    - How does the team envision that learning by agents of change could lead to the desired capacity changes?
- Are there parts of the change process that cannot be foreseen at the design stage?
- How will any gaps in the logic model be addressed?
- Who can make the envisioned changes happen? Are different agents of change needed for different capacity indicators? To specify agents of change, it is important to specify not only the organization(s) involved, but also the particular group(s) within the organization, and the particular individuals within the group(s).
- How will the team ensure that the environment of the agents of change is favorable to act on their learning?

Key documents to include in the explanation of the change process and agents of change are the program logic document, illustrations of time frames, and memoranda of understanding with agents of change and other stakeholders.

Step 6: Set intended learning outcomes and their indicators

Having clearly specified the desired changes in capacity indicators and the envisioned change process, the next step is to determine which learning outcomes would best enable the agents of change to advance or complete the change process (figure 3.1, step 6). The learning outcomes can be thought of as the active ingredients that create favorable conditions for agents of change and thus catalyze change processes in specific contexts.

Because the program team is accountable for achievement of the learning outcomes, a key step in determining the learning outcomes is to identify how the team will assess whether each outcome has been achieved and what evidence will be used to support that assessment. Referring to our example of regulatory reform, table 3.2 offers examples of indicators and measures for the six learning outcomes introduced in part 2. Note that evidence can take the form of planned measurement or opportunistic data gathering. Generic indicators, models, methods, and tools that can be used to assess the results of individual learning activities are presented and discussed in annex 5.

When setting intended learning outcomes and their indicators, the program team and stakeholders should address the following questions:

- What learning outcome(s) are needed for each targeted capacity indicator or capacity development objective? Which learning outcome(s) will the program target?
- How will the team define each learning outcome specifically in the context of the program? How will an impartial observer know when the learning outcome has been achieved? How will the team document it?
- What is the sequence in which learning outcomes need to be achieved?
    - How will the learning outcomes activate/facilitate the change process of each targeted indicator?

- What is the program timeline?
- What are the program milestones?
- What is the critical path?
- How does the team envisage the reporting cycle?

- To what extent do the required learning outcomes have to be achieved to make the targeted progress on the capacity indicators and factors? How will the team measure this?

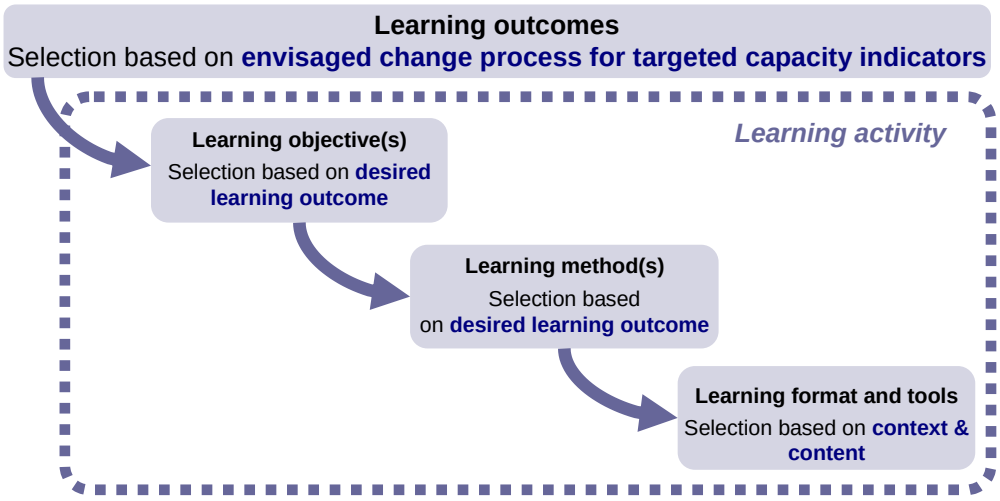
Table 3.2 Examples of indicators and measures for six learning outcomes

Learning outcomes	Generic results indicator	Specific results indicator	Measures of indicators	Evidence
Raised awareness	Participants' motivation increased	Private sector representatives are motivated to participate more actively in the dialogue with the government	Number of participant private sector representatives who report increased motivation	Feedback from participants, website forum
Enhanced skills	New skills/ knowledge used	Trained reform commission staff use new skills to perform their regulatory impact evaluations responsibilities	Share of trained staff who use new skills to assist Ministries with evaluations and ensure quality control	Statistics from the regulatory reform commission
Improved consensus/teamwork	Reach stakeholder agreement	Improved consensus among stakeholders during regulatory impact evaluation process	Share of respondent stakeholders who agree with conclusions of published regulatory impact evaluation	Web-based survey of stakeholders involved in regulatory impact evaluation
Fostered coalitions/networks	Formal partnership created	Created informal knowledge-sharing networks between national and international community of regulatory practitioners	Share of respondent regulatory practitioners report receiving help/advice through the network	Responses to survey of regulatory practitioners
Formulated policy/strategy	Strategy proposed to decision-makers	Regulatory Reform Strategy proposed to the Parliament	Official strategy document submitted by the regulatory reform commission to the Parliament	Information from the Parliament
Implemented strategy/plan	Client implemented new strategy or plan	Implement impact evaluation action plan for public consultations with the stakeholders	Consultation process established and functioning	Information from the ministries on the number of consultations held

Step 7: Design activities

Having defined the learning outcomes and their indicators, the program team now moves to designing the activities that will lead to achievement of the learning outcomes (figure 3.1, step 7). The two most basic elements of learning design are specifying the objective of the learning activity and selecting the learning method to be used. A learning objective refers to the observable attributes that participants or groups of participants will have after successfully completing a learning activity. A learning method refers to the way a particular set of skills or knowledge is transferred or change in attitude fostered. Other design questions involve selecting participants, specifying the delivery format and tools, sequencing, and describing any quality assessment or follow-up (see figure 3.2).

Figure 3.2 Learning outcomes drive activity design



It is important to map out how learning activities are expected to contribute to learning outcomes and the envisaged change process. However, the relationship between learning outcomes and individual activities can be complex. Some learning outcomes might be achieved through one-time activities. Other learning outcomes might involve multiple activities to ensure that the learning outcomes will be achieved and will be likely to transform the capacity indicators targeted by the larger program. A particular learning outcome might be achieved through a series of learning activities that use different learning methods and delivery formats. In some cases, one learning activity might contribute to achievement of several learning outcomes. Identifying results indicators for the learning outcomes can greatly simplify the task of defining these learning activity objectives (see annex 5).

Having specified the learning objective, the program team determines an appropriate learning method. Bear in mind that the CDRF addresses "learning" in a very broad way; thus, some learning methods might constitute traditional training; others might be quite different. For example, in addition to training there could be media campaigns, town-hall-style meetings, problem-solving workshops, and more. Some learning methods require little interaction, such as lectures and presentations, reading materials, even expert panels and demonstrations. Others are more complex and interactive, such as problem-solving workshops and public meetings, group discussions of any size, experimentation, simulation, and more. Not to be forgotten are highly involved and collaborative knowledge-sharing activities and communities of practice.

The question is when to use which learning method. Decisions about learning methods need to be informed by the desired learning outcomes (and the change process envisioned). For instance, if the learning outcome requires only that participants understand new concepts, then a lecture or presentation—possibly followed by a discussion or a question-and-answer session—could be appropriate. In contrast, if the learning outcome requires participants to apply new skills, then a simulation or role-playing approach of some kind would probably be more effective. In many circumstances, learning through on-the-job experience or self-guided discovery may be appropriate, but mechanisms must be devised to support this learning. Regardless of the learning method, during the design phase the team must also consider how the

learning can be measured, or at least observed: How will we know, how will participants know, what learning has occurred?

The next decision is how participants will interact with the selected learning methods, that is, through which learning formats and tools (also known as delivery modes). For example, a lecture or presentation can be delivered in person, electronically (circumstances permitting), or both; audiences can be large or small. If application is required, nearly always there needs to be some human interaction—even if at a distance—for guidance and feedback. In this case, groups need to be kept small enough to allow a useful level of feedback. For knowledge-sharing and communities of practice, technology can be very helpful; however, the technology must be appropriate and nonintrusive, for truly the people are the key component. Some of these types of interchanges are quite informal and intuitive; others require that someone "own" the task of facilitating the exchange.

The choice among delivery formats and tools can also depend on physical constraints, financial constraints, or specific audience characteristics, among other contextual factors. It also depends importantly on the nature of the content.

Learning content can be predominantly codifiable or tacit.

- Codifiable content is knowledge and content that can be presented in a standardized format to make it easy and cost-effective to reuse and customize, while maintaining control of the quality. One of the key tasks, therefore, is to identify and decide how to present any such codifiable knowledge in the learning content.
- Tacit knowledge is the knowledge that people carry in their minds. It can be difficult to access, but it plays a crucial role in collaborative learning settings. Effective transfer of tacit knowledge requires personal interaction and trust.

Some methods are better suited to convey codified knowledge (presentations, reading materials, or simulations, for example) and others to convey tacit knowledge (guided discussions, facilitated workshops, or online collaborative tools, to name a few).

While designing learning activities, the program team outlines a detailed work plan including timelines, responsibilities, and monitoring indicators (box 3.4). To guide their work in the design stage, the program team and stakeholders should address the following questions:

- What decisions will be made regarding learning design and participant group composition? (Consider instrument choices: activity types and objectives, for whom, in what order, with what contextual incentives for participation and for applying learning.)
    - How can the learning outcomes be broken down into specific learning objectives?
    - How will the exact composition of the participant group(s) be determined? Reference the assumptions made about the agents of change in step 5.
    - Which learning methods will be most effective in achieving the stated learning objectives and learning outcomes?
    - How will the learning content for each objective be identified or created?

- What is the most appropriate blend of delivery modes for the audience and the type of learning content?

- How will the stated learning objectives and their corresponding learning content and participants be grouped into program activities (e.g., course, workshop, field visit, conference, etc.)? How will the program activities be sequenced in time so that the entire program is most likely to achieve the desired outcomes according to the plan and under given time and other constraints?
    - What will be accomplished by the end of each activity (e.g., action plans, acquired skills, other indicators of output)?
    - How is it envisioned that participants will use the learning after each activity (indicators of contribution to learning outcomes)?

Box 3.4 Input and output indicators for monitoring learning activity

For monitoring purposes, a learning activity is considered as an action taken or work performed by which inputs are converted into specific outputs. Learning activities, such as providing training, conducting a workshop, etc. are designed to deliver outputs that allow achieving learning objectives.

Inputs are the financial, human, and other resources mobilized to support activities undertaken by a capacity development program.

Input indicators would measure the quantity (and sometimes the quality) of resources provided for program activities. In a context of a capacity development program, these can include:

- Funding (counterpart funds, co-financing, grants)
- Human resources (number of person-years for client/partner agencies, consultants, and technical advisers)
- Equipment, materials, and supplies, or recurrent costs of these items—for example, textbooks, classroom facilities.

Outputs are the products and services resulting from a learning activity that is designed to generate learning outcomes. The key distinction between outputs (specific goods or services) and learning outcomes is that an output typically takes the form of an increase in supply of knowledge and information, while learning outcomes reflect behavioral changes resulting from the use and application of acquired knowledge and information.

Output indicators would measure the quantity (and sometimes the quality) of the goods or services created or provided through the use of inputs. Using a capacity development program as an illustration, these might include the number of people trained, the number of new courses offered, and the number of new consultations conducted.

After the activities have been designed, they should be recorded in the program logic document. The learning activities in our example of a capacity development program would include content, learning method, participant selection, sequencing of activities, anticipated quality assessment—for example, expert review or end-of-activity assessment by participants—and follow-up assessment of how useful and effective the activity was.

In many instances, it will not be possible to design all of the program activities at the inception of the project. Subsequent rounds of design effort might be needed as implementation proceeds (see figure 3.1, steps 6, 7, and 8).

Stage 3: Implementation and monitoring

After program identification and activity design, the next step is to implement the capacity development activities (see figure 3.1, steps 7 and 8), using the CDRF to stay aware of the context in which the program operates. As implementation proceeds, the CDRF provides a flexible program logic and structure that allows the team periodically to assess how well the capacity development program has achieved the outcomes envisioned. This information on progress feeds into timely revisions of the program design and implementation. In this way, the CDRF helps program teams, agents of change, and stakeholders to monitor progress toward achieving different levels of results and, when necessary, to adjust the program or inform decisions about the design of subsequent program activities.

Program monitoring under CDRF is intended to be continuous and flexible, to support adaptive management by allowing program teams to adjust as needs and priorities change or simply as the understanding of the situation evolves. Program modifications may occur as part of monitoring exercises or in between monitoring points. They may be reported on when the modifications involve changes to the program logic or to the learning outcomes to be achieved.

To report on learning outcomes as accurately and demonstrably as possible, supporting evidence is required as well as a description of the particular program-specific outcome achieved. In the design phase, the program team will have selected the type(s) of evidence expected to be most useful for measuring the progress of the selected indicators; the program team may also identify additional types of evidence as the program is implemented.

Step 8: Monitor learning outcomes; adjust program as necessary

As implementation proceeds, the CDRF and the information gathered using the program logic document provide structures for reporting on progress toward program objectives (figure 3.1, step 8). If the program team collected baseline data as part of program design, these baseline data are used in reporting. The generic learning outcome indicators provided in the CDRF may be used to measure the extent to which the learning outcomes are achieved. The specific learning outcome indicators used are based on those selected by the program team in the design phase, although new indicators could be added subsequently. Based on these assessments, the capacity development program team determines the extent to which the targeted learning outcomes have been achieved by the program's activities since the previous monitoring stage.

Also, the program team and stakeholders should address the following questions:

- Do monitoring arrangements provide adequate and timely information on implementation progress relative to plans?
- Does information from periodic monitoring indicate that the envisioned learning outcomes are being achieved for the agents of change?
- Do the program instruments (activities) need to be revisited?

A sample format for a monitoring report on the interim status of targeted learning outcomes appears in table 3.3.

Table 3.3 A sample format for a monitoring report on the interim status of targeted learning outcomes

Learning outcome	Results indicator	Planned evidence	Status at the interim point	Interim evidence
Formulated policy/strategy	Action steps/plan formulated	A copy of the policy or strategy developed by the client	Stakeholder group is studying policy options	List of stakeholder group members; list of policy options being studied
Enhanced skills	Participant knowledge/skills enhanced	Communication from participant indicating how her knowledge/skills improved	Skill-building activity in progress	Agenda of skill-building activity
Improved consensus/teamwork	Discussion initiated/resumed/activated	Memo or other records indicating that discussion resumed in an area in which negotiation had stalled	Initial conversation with one party	Notes on initial conversation

Note: Elements in the first three columns are defined during design.

Step 9: Monitor targeted capacity indicators and the progress toward the development goal, and adjust program as necessary

Program implementation under the CDRF requires regular monitoring of the status of capacity indicators (figure 3.1, step 9), as well as the progress toward the development goal (3.1, step 8). If necessary, the team revisits the targeted capacity indicators. To assess the status of the capacity indicators at an interim point, it is important to use the same indicators and methodology used at the starting point.

The program team also periodically assesses the progress towards the development goal, as well as the continued priority of the development goal to the stakeholders, and revises the program if necessary.

Evidence from indicators might suggest a need to reassess the relevant capacity indicators and the overall program strategy. If this occurs, the program team in effect revisits the design phase and rearticulates the changed program logic, determines new or additional target capacity indicators, specifies possible revisions of the development objective (e.g., scaling up), and describes the next round of program activities based on the new indicators. Revisions to the learning outcomes, the program objectives, and the learning instruments (activities) might also be required, as described in the preceding section. When monitoring the status of capacity factors, the program team and stakeholders should address the following questions:

- Does information from periodic monitoring indicate that the envisioned changes in capacity indicators are occurring? (If new indicators have become available since the program was designed, they can be used as well; however, comparisons across time must use consistent indicators.)
- Does the capacity development objective (see step 4) or the program instruments need to be revisited?

A monitoring report on the interim status of capacity indicators targeted for a capacity development project on regulatory reform might take the form shown in table 3.4.

Table 3.4 Sample format for a monitoring report on the interim status of capacity indicators targeted for a capacity development project on regulatory reform

Target capacity indicators specific to the program's development goal	Indicator	Status at the starting point	Status at the interim point	Document or indicator that provides evidence of interim point
Increase participation of business community in policy-making processes through public consultations during problem identification and definition, and assessment of policy options	Business community provides inputs into policy formulation process	X% of respondents feel that new government regulations reflect the views of business community	XX% of respondents feel that new government regulations reflect the views of business community	Interviews, survey of participants of public discussions, feedback from business organizations
Reduce unintended negative consequences of new government legislation by applying systematic and consistent cost-benefit analysis of potential impact on business environment arising from new government legislation	Regulatory burden on businesses	Y% of adopted regulations that had unintended negative consequences to businesses	YY% of adopted regulations that had unintended negative consequences to businesses	M&E systems used by the ministries for cost-benefit analysis process, data and indicators from ex ante and ex post evaluations
Strengthen the staff of the regulatory reform commission in its coordination and quality control of regulatory impact evaluation	Functioning regulatory impact evaluation process	Z% of performed evaluations receive satisfactory review by an external expert	ZZ% of performed evaluations receive satisfactory review by external expert	Report by external expert

Note: Elements in the first three columns are defined during design.

Stage 4: Completion and assessment

The capacity development program should build a body of evidence allowing independent judgment of how much success the program achieved in accomplishing the learning outcomes (figure 3.1, step 9). The evidence built up would also point to changes in the capacity indicators.

At completion, the program team assesses the achievement of learning outcomes and the status of the capacity indicators, using the criteria and timeline established when the change process was defined. It also determines whether to provide for follow-up assessment of capacity indicators.

Step 10: Assess achievement of learning outcomes and targeted changes in capacity indicators, and specify follow-up actions

As part of completion of a capacity development program, the program team should prepare and submit a program completion package within a specific timeframe (e.g., within six months of delivery of the last program activity). This program completion package should contain assessments of the extent of achievement of learning outcomes, the status of the targeted capacity indicators, and progress toward the development goal. In some cases, these assessments might be followed by a long-term assessment of capacity indicators. The following paragraphs summarize these three processes.

Using the indicators specified during design or during any program redesign that might have occurred along the way, and using the monitoring data on learning outcomes, the program team performs a last assessment of the status of learning outcomes and their contribution to achievement of the development

goal (table 3.5). Evidence gathered should support the assessments and conclusions on the degree of success in achieving the learning outcomes targeted.

Under the CDRF, the capacity development program was designed to improve a particular set of capacity indicators that relate to a particular development goal. It is important, therefore, to assess those capacity indicators at the end of program to identify any changes that might shed light on achievement of the capacity development objective. It is important to use the same existing indicators and assessment methodology employed at the starting and interim points. This assessment should include a forecast of the ultimate impact of the program and of other interventions related to the initial (or revised) development goal and targeted capacity indicators. Any such assessment will have to take into account possible problems with attribution of causes and effects inherent in comparisons across time without experimental controls built into the design.

Some changes in capacity indicators, or other forms of development results, may be expected to occur well after completion of the program activities. For this reason, a medium- to long-term assessment of results may be needed to measure changes in the capacity indicators and to assess the capacity factors. The timeframe for expected changes would have been specified initially as part of the definition of the change process. In some cases, changes in capacity indicators might be measurable at the time of program completion or shortly thereafter. In other cases, however, the envisioned change process catalyzed by the program will extend well beyond the capacity development program activities themselves. In such a case, the program team will submit a follow-up monitoring plan or an impact evaluation plan, based on the program design, together with the program completion package.

When assessing capacity indicators, the program team and stakeholders should measure the status of capacity indicators, using the indicators defined in the design stage. If new indicators have become available since the program was designed, they can be used as well. However, comparisons across time must use consistent indicators.

During completion and self-evaluation, the program team and stakeholders should address the following questions:

- What are the overall learning outcomes that were achieved by program activities? Use indicators defined in the design stage.
- What are the overall changes in the targeted capacity indicators that were achieved during the program? Use indicators defined in the design stage.
- Was progress made toward the development goal? Can that progress be plausibly related to the change process supported by the learning outcomes? Does the success or failure of any of the program activities suggest other steps that might be taken to achieve the development goal more efficiently or effectively?
- Are there any changes in capacity factors that are anticipated to occur in part as a result of the program after program completion? If yes, establish a timeline for follow-up assessment of capacity factors.

Table 3.5 Sample format for a completion report for a hypothetical capacity development program on regulatory reform using information collected on the targeted capacity indicators during the program cycle

Development Goal: Reduce the cost of business by clarifying and simplifying the system of business regulations.								
Program development objectives (in terms of target capacity indicators)		**Indicator**	**Status at the starting point**	**Document or indicator that provides evidence of starting point**	**Status at interim point**	**Document or indicator with evidence of interim point**	**Status at completion**	**Final evidence**
Generic PDO	Specific PDO							
PDO 1: *Sociopolitical environment:* Stakeholder participation and voice in decisions about the development goal	Increase participation of business community in policy-making processes through public consultations during problem identification and definition, and assessment of policy options	Business community provides inputs into policy formulation process	X% of respondents feel that new government regulations reflect the views of business community	Views of business community on policy formulation process from business survey at the beginning of the program	XX% of respondents feel that new government regulations reflect the views of business community	Interviews, survey of participants of public discussions, feedback from business organizations	XXX% of respondents feel that new government regulations reflect the views of business community	Responses to questions about regulatory burden, from business surveys at completion or at a later date
PDO 2: *Policy Instruments*: Cost-effectiveness in terms of high incentives for compliance, low administrative burden and low negative externalities	Reduce unintended negative consequences of new government legislation by applying systematic and consistent cost-benefit analysis of potential impact on business environment arising from new government legislation	Regulatory burden on businesses	Y% of adopted regulations that had unintended negative consequences to businesses	Comparison of the actual outcomes of regulations ex post and their predicted counterparts in the ex-ante evaluations	YY% of adopted regulations that had unintended negative consequences to businesses	M&E systems used by the ministries for regulatory evaluations process, data and indicators from ex ante and ex post evaluations	YYY% of adopted regulations that had unintended negative consequences to businesses	Comparison of ex ante and ex post evaluations performed during the project cycle and at later stages
PDO 3: *Organizational Arrangements:* Extent of goal-attainment	Strengthen the staff of the regulatory reform commission in its coordination and quality control of regulatory impact evaluations	Functioning regulatory evaluation process	Z% of performed evaluations receive satisfactory review by external expert	Report by external expert	ZZ% of evaluations performed receive satisfactory review by an external expert	Report by external expert	ZZZ% of evaluations performed receive satisfactory review by an external expert	Report by an external expert

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Annex 1. Comparison of CDRF with a Generic Program Logic Model

This annex presents a comparison between the elements of the CDRF with a standard program logic model approach, as defined below.[6]

A logic model is a succinct description of the essential elements of a program. It shows how the elements are interconnected and what causal links lead from the initial state (before a program is implemented) to the desired end state. Logic models, sometimes referred to as results chains, serve as key reference documents throughout the life cycle of the program. A careful assessment of the program logic model (or results chain) involves clarifying the causal model behind a policy, program, or project. Such an assessment helps to ensure that the theories of causes and effects that underlie program structure are sound, that the program structure is logical, and that the program itself will be strong and effective in achieving its objectives. In addition, the logic model highlights key points in the flow of a program that can help to define outputs, objectives, and results, as well as indicators that will help program implementers and stakeholders assess progress and achievement of goals.

As a logic model, the CDRF addresses the deployment and sequencing of the activities, resources, or policy initiatives that can cause the desired change in an existing condition. The assessment of the program logic model would address the plausibility of achieving the desired change, based on the history of similar efforts and on the research literature. The intention of is to identify weaknesses in the program logic or in the underlying theories of how the program will work and address those weaknesses before program implementation. By providing an opportunity to address weaknesses in program logic early, the CDRF can help to avoid failure from a weak program design.

Figure A1.1 is a schematic view of how elements of the CDRF (in the right-hand column) correspond to elements of a generic program logic model (in the left-hand column). Table A1.1 explains each element in the two models.

[6] An example can be found in the World Bank 2005b.

Figure A1.1 Schematic comparison of standard program logic model and CDRF

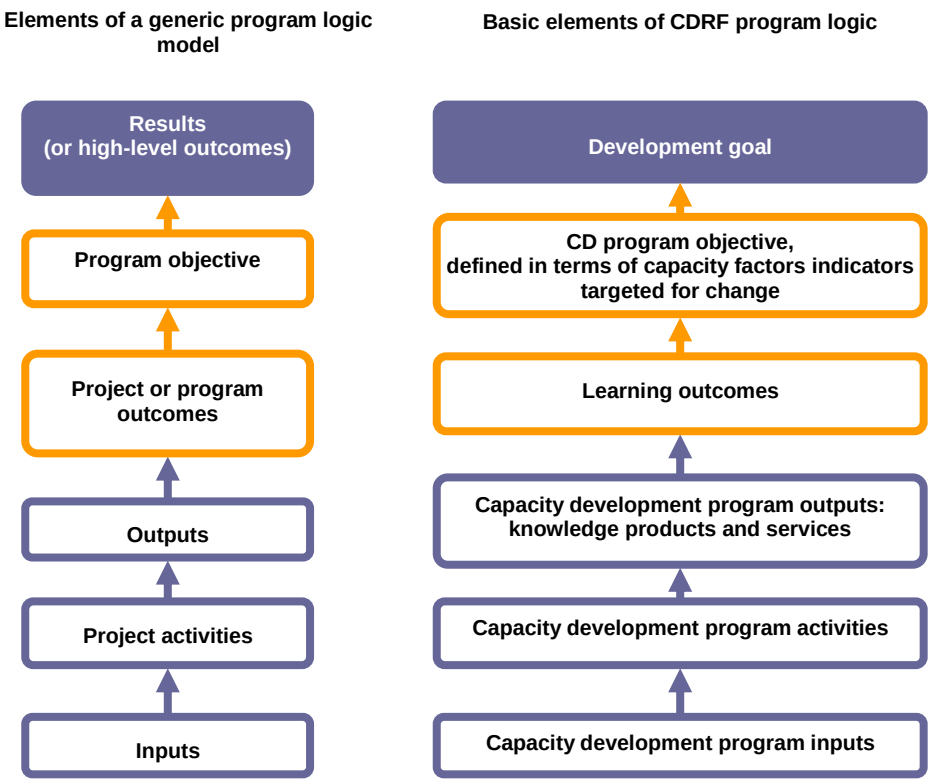


Table A1.1 Explanation of corresponding elements in CDRF and program logic model

CDRF elements	Elements of a generic program logic model
Development goal high-level country development goal or sectoral development goal	High-level outcomes/impact. The long-term effects near or at the top of the results chain in terms of improved social or economic conditions. Achievement of higher level outcomes is generally beyond the scope of a stand-alone operation. Nevertheless, it is important that a project/program identify the high-level outcome it seeks to influence, that is, the country development goal that the project expects to influence, possibly with contributions from other development efforts.
Objective of capacity development program The targeted characteristic(s) of one or more of the three institutional factors	The program or project development objective (PDO) describes the intended benefits to a specific community, group of people or organization that are to be realized through one or more development interventions. The intended benefits should be measurable and specific. By reading a PDO, one should be able to determine which group is being targeted directly by the project (e.g., students or farmers) and what they will be doing better or differently as a result of the project interventions (e.g., farmers adopting new techniques). The nature of the outcome described in the PDO should be based on a realistic (and evidence-based) assessment of what effect can be achieved with the available resources during the relevant period using the approach being pursued.
Learning outcomes (intermediate and final)	A program/project outcome describes behavior change among users of outputs that demonstrates the uptake, adoption, or use of project outputs by the project beneficiaries. An intermediate outcome is sometimes used to specify a result proximate to an intended final outcome, but more measurable and achievable in the lifetime of a project than the intended final outcome. Example: Teachers use the new teaching methods (output/intermediate outcome) to improve learning among students (final outcome).
Capacity program output Knowledge products and services	Outputs are the supply-side deliverables, including the events, products, or services that result from a development intervention. The key distinction between an output (a specific good or service) and an outcome is that an output typically is a change in the supply of goods and services (supply side), whereas an outcome reflects changes in the utilization of goods and services (demand side).
Capacity program activity	An activity is an action taken or work performed through which inputs are converted into specific outputs.
Capacity program inputs	Inputs are the financial, human, and other resources mobilized to support activities undertaken by a project.

Annex 2. Steps for Design, Monitoring, and Evaluation of Capacity Development Programs

Summary of the steps

Step 1. Validate the development goal that underpins the capacity development effort

Step 2. Assess capacity factors relevant to the development goal

Step 3. Decide which changes in capacity factors can be facilitated by learning

Step 4. Specify objective(s) of the capacity development program in terms of capacity indicators targeted for change

Step 5. Identify agents of change and envision the change process

Step 6. Set intended learning outcomes and their indicators

Step 7. Design activities

Step 8. Monitor learning outcomes; adjust program as necessary

Step 9. Monitor targeted capacity factors and progress toward the development goal; adjust program as necessary

Step 10. At completion, assess achievement of learning outcomes and targeted changes in capacity indicators, and specify follow-up actions

Detailed description

Step 1. Validate the development goal that underpins the capacity development effort

- What are the perspectives of the government and other stakeholders (civic society, donors, and partners)?
    - What is the higher-order development goal of the potential capacity development program or project component?
    - How to observe progress with the development goal?
- What other development efforts or activities are ongoing or planned related to the development goal?
    - What is the government currently doing?
    - What are other stakeholders currently doing?
    - What is the government planning for the future?
    - What are other stakeholders planning for the future?

Step 2. Assess capacity factors relevant to the development goal

- What does existing analysis say about institutional constraints to and opportunities for achievement of the development goal?
    - What does the situation look like now in terms of capacity factors – conduciveness of the sociopolitical environment (SE), efficiency of the policy instruments (PI), and effectiveness

of the organizational arrangements (OA)? How can these capacity factors be defined in terms of capacity indicators (reference to annex 2)? Which of the capacity indicators are particularly critical for achievement of the development goal?

  - How would an impartial observer know what is the current situation with respect to the capacity factors? How has this been documented?

- What needs to happen to enable achievement of the overall development goal?
  - Does it involve changes in the capacity factors?
  - What are the specific indicators of the capacity factors that need to change?
  - Does the existent data provide adequate information for assessing these capacity indicators?
- Who is/are interested and involved in the success of this achievement or improvement? (clients, partners, recipients, etc.)

Step 3. Decide which changes in capacity factors can be facilitated by learning

- Which required capacity indicators are to be changed through learning, and how?
  - How does the team envision that learning could lead to changes in these capacity indicators? (If possible, cite the examples, observations, or analyses that support the hypothesis or vision of how the change in capacity indicators would take place.)
  - How were the targeted indicators selected?
  - If other stakeholders are working in this area, how will the team integrate its capacity-development efforts with their work?
  - Are there important deficiencies in capacity indicators that are not being addressed by the capacity development program?
- Who will be responsible for changes in capacity indicators that need to be changed in order to achieve the development goal, but are not targeted by the capacity development program? How will the progress on these capacity indicators be monitored? What are the risks for the capacity development program if the changes in these other indicators are not achieved?

Step 4. Specify objective(s) of the learning program in terms of capacity indicators targeted for change

- How will the team specify the program or project development objectives in terms of capacity indicators to be changed?
- With whom will the team partner (if needed)? How will the responsibilities be shared?
- How would an impartial observer know when progress occurs, or when the targeted state of the capacity indicators has been reached? How does the team plan to document it? What are the indicators? What measures will the team use for these indicators? What values of those measures will the team choose as baselines?
  - What is the program trying to achieve?

- How does the team measure what it is achieving?
- What types of indicators or measures already exist?
- What indicators or measures will the team develop?
- What is the current value of the chosen measures?
- What target values of the measures will the team use?

- Where do specific interventions need to happen? (The question "where" can apply to a physical location or to a specific part of an organization, a sector within society, etc.)
- What is the outlook for complementary factors (that is, the factors external to the learning program) that would influence the likelihood of achieving the transformation envisioned through the learning program?
- When would the team expect to see changes in the capacity indicators that could result from the capacity-development program?

Step 5. Identify agents of change and envision the change process

- What is the envisioned chain of causes and effects?
  - How do the team and stakeholders envision the chain of cause and effect that will lead from changes in targeted capacity indicators to progress on the development goal? (If possible, cite the examples, observations, or analyses that support the hypothesis or vision of causal relation between the targeted indicator and the development goal)
  - How does the team envision that learning by agents of change could lead to the desired institutional changes?
- Are there parts of the change process that cannot be foreseen at the design stage?
- Who can make these changes happen? Are different agents of change needed for different capacity indicators? To specify agents of change, it is important to specify not only the organization(s) involved, but also the particular group(s) within the organization, and the particular individuals within the group(s).
- How will the team ensure that the environment of the agents of change is favorable to act on their learning?

Step 6. Set intended learning outcomes and their indicators

- What learning outcome(s) are needed for each targeted capacity indicator or capacity development objective (CDO)? Which learning outcome(s) will the program target?
- How will the team define each learning outcome specifically in the context of the program? How will an impartial observer know when the learning outcome has been achieved? How will the team document it?
- What is the sequence in which learning outcomes need to be achieved?

- How will the learning outcomes activate/facilitate the change process of each targeted indicator?
- What is the program timeline?
- What are the program milestones?
- What is the critical path?
- How does the team envisage the reporting cycle?

- To what extent do the required learning outcomes have to be achieved to make the targeted progress on the capacity indicators and factors? How would you measure this?

Step 7. Design activities

- What decisions will be made regarding learning design and participant group composition? (Consider instrument choices: activity types and objectives, for whom, in what order, with what contextual incentives for participation and for applying learning?)
  - How can the learning outcomes be broken down into specific learning objectives?
  - How will the exact composition of the participant group(s) be determined? Reference the assumptions made about the agents of change in step 5.
  - Which learning methods will be most effective in achieving the stated learning objectives and learning outcomes (examples of learning methods include simulation, discussion forum, demonstration, expert speaker, brainstorming, expert panel, project-based learning, case-based learning, and interview)?
  - How will the learning content for each objective be identified or created?
  - What is the most appropriate blend of delivery modes for the audience and the type of learning content?
- How will the stated learning objectives and their corresponding learning content and participants be grouped into program activities (e.g., course, workshop, field visit, conference, etc.)? How will the program activities be sequenced in time so that the entire program is most likely to achieve the desired outcomes according to the plan and under given time and other constraints?
  - What will be accomplished by the end of each activity (e.g., action plans, acquired skills, other indicators of output)?
  - How is it envisioned that participants will use the learning after each activity? (indicators of contribution to learning outcomes)

Step 8. Monitor learning outcomes; adjust program as necessary

- Do monitoring arrangements provide adequate and timely information on implementation progress relative to plans?
- Does information from periodic monitoring indicate that the envisioned learning outcomes are being achieved for the agents of change?

- Do the program instruments (activities) need to be revisited?

Step 9. Monitor targeted capacity factors and progress toward the development goal; adjust program as necessary

- Does information from periodic monitoring indicate that the envisioned changes in capacity indicators are occurring? (If new indicators have become available since the program was designed, they can be used as well; however, comparisons across time must use consistent indicators.)
- Does the capacity development objective need to be revisited or the program instruments?

Step 10. At completion, assess achievement of learning outcomes and targeted changes in capacity indicators, and specify follow-up actions

- What are the overall learning outcomes that were achieved by program activities? Use indicators defined in the design stage.
- What are the overall changes in the targeted capacity indicators that were achieved during the program? Use indicators defined in the design stage.
- Are there changes in the development goal? Can any changes in the development goal be plausibly related to the change process supported by the learning outcomes?
- Are there any changes in capacity factors that are anticipated to occur in part as a result of the program after program completion? If yes, establish a timeline for follow-up assessment of capacity factors.

Annex 3. Template for a Program Logic Document

The Capacity for Development Results Framework (CDRF) offers a structure within which to relate capacity development efforts with observable results. We define capacity as *the effectiveness and efficiency with which resources are deployed to define and pursue specific development goals on a sustainable basis*. And we define capacity development as intentional learning to promote such effectiveness and efficiency, that is, *learning for institutional change.*

This definition of capacity development highlights the importance of institutional factors to the achievement of development goals, the dynamics of institutional change in specific contexts, and the potential role of learning in empowering agents of change to catalyze or facilitate the institutional change processes.

As a logical/results framework, CDRF can serve three purposes:

- *Strategic planning and communication.* By focusing on institutional change, the CDRF requires stakeholders to model explicitly the change process to be facilitated by learning. The CDRF also provides a common vocabulary for communicating about CD program goals, objectives, and achievements.
- *Program management.* CDRF provides a logic within which institutional capacity factors can be assessed, with particular attention to how purposeful learning can make the institutional factors more favorable to development goals. The benchmarks or measures developed during the planning stage can be used during implementation for periodic assessments of the quality and results of a CD program. Managers can use information from periodic assessments to revise CD interventions.
- *Learning about program effectiveness.* By providing a standard set of measurable capacity indicators and learning outcomes, the CDRF helps to determine what works and what does not. Application of the framework also encourages strengthening of partners' capabilities regarding monitoring and evaluation, and helps strengthen a culture of managing for results among practitioners.

The logic of the CDRF can be summarized as follows:

- Validate the development goal (DG) that underpins the capacity development effort.
- Assess capacity factors relevant to the development goal—conduciveness of the sociopolitical environment, efficiency of the policy instruments, and effectiveness of the organizational arrangements—and relevant capacity factor indicators.
- Decide which changes in capacity factors can be facilitated by learning.
- Specify objective(s) of the learning program in terms of capacity indicators targeted for change.
- Identify agents of change and envision the change process.

- Set intended learning outcomes and their indicators.
- Design capacity development activities.
- Monitor learning outcomes and adjust program as necessary.
- Monitor targeted capacity factors and progress toward the development goal. Adjust program as necessary.
- At completion, assess achievement of learning outcomes.
- At completion, assess the targeted capacity indicators.
- If needed, specify follow-up assessment of capacity factors.

The logic and principles of the CDRF can be applied to overall CD strategies or, more narrowly, to individual CD programs. In this document, we present the main program steps under CDRF.

Program Logic Document

(Fill in the shaded fields.)

Overall development goal Goal statement reflects what the CD team has found during their process of validating the overall development goal that will be furthered if the CD program is successful.	
Context Summary of situation as it would relate to CD. Includes information about the perspectives of government and other stakeholders (civil society, donors, and partners)	
Reference material Links to statements of the overall development goal (e.g., in the CAS, in regional strategy documents, in country strategy documents) Links to other information used as part of validation of the overall development goal • documentation of program information • documentation of indicators • other documentation	

Assessment of Capacity Factors

Questions to consider:
- What needs to happen to enable achievement of the overall development goal?
- Does it involve changes in the capacity factors?
- What are the specific aspects or characteristics of the capacity factors that need to change?
- Does the existing data provide adequate information for assessing these capacity indicators?
- Who is/are interested and involved in the success of this achievement or improvement? (clients, partners, recipients, etc.)
- Which required capacity indicators are susceptible to change through learning, and how?

	Capacity factor Choose the relevant capacity factor (from the CDRF list) and type or paste it below.	**Capacity factor indicator** Choose the relevant capacity factor indicator (from the CDRF list) and type or paste it below	**Capacity factor and indicator—in terms particular to this situation**	**Changed through learning?** Indicate whether this capacity factor indicator is susceptible to change through learning. (Capacity factor indicators that can be changed through learning will become part of the change process envisioned below.)
1				☐ Would be **changed through learning** ☐ Would **not** be changed through learning
	Links and reference material supporting the assessment of this capacity factor indicator:			

	Capacity factor	**Capacity factor indicator**	**Capacity factor and indicator—in terms particular to this situation**	**Changed through learning?**
2				☐ Would be **changed through learning** ☐ Would **not** be changed through learning
	Links and reference material supporting the assessment of this capacity factor indicator:			

	Capacity factor	**Capacity factor indicator**	**Capacity factor and indicator—in terms particular to this situation**	**Changed through learning?**
3				☐ Would be **changed through learning** ☐ Would **not** be changed through learning
	Links and reference material supporting the assessment of this capacity factor indicator:			

For additional capacity factors or indicators, add rows as needed.

Statement of the CD Program Development Objective (PDO)

For each of the capacity factors and indicators listed above *that are susceptible to change through learning*, state the objective of the capacity development program. During implementation and monitoring, update the information. Add rows and columns as necessary.

PDO 1	Before implementation					
Specific statement of the PDO (from the table above, capacity factor and indicator in terms particular to this situation)						
Summary of how learning would lead to changes in this capacity indicator						
Status of this capacity indicator before CD						
Expected status of this capacity indicator after						
Indicator of change						
Measure						
Evidence—planned (links, reference material, documentation)						
	Before implementation	During implementation (monitoring 1)	During implementation (monitoring 2)	At completion	After completion (follow-up 1)	After completion (follow-up 2)
Actual status of this capacity factor indicator						
Status of indicator before (with predictions, if applicable)						
Status of measure before (with predictions, if applicable)						
Status of this indicator at interim point (with predictions, if applicable)						
Status of this measure at interim point (with revised predictions, if applicable)						
Status of this indicator after						
Status of this measure after						
Evidence—actual (links, reference material, documentation)						

PDO 2	Before implementation
Specific statement of the PDO (from the table above, capacity factor and indicator in terms particular to this situation)	
Summary of how learning would lead to changes in this capacity indicator	
Status of this capacity indicator before CD	
Expected status of this capacity indicator after	
Indicator of change	
Measure	
Evidence—planned (links, reference material, documentation)	

	Before implementation	During implementation (monitoring 1)	During implementation (monitoring 2)	At completion	After completion (follow-up 1)	After completion (follow-up 2)
Actual status of this capacity factor indicator						
Status of indicator before (with predictions, if applicable)						
Status of measure before (with predictions, if applicable)						
Status of this indicator at interim point (with predictions, if applicable)						
Status of this measure at interim point (with revised predictions, if applicable)						
Status of this indicator after						
Status of this measure after						
Evidence—actual (links, reference material, documentation)						

PDO 3	Before implementation
Specific statement of the PDO (from the table above, capacity factor and indicator in terms particular to this situation)	
Summary of how learning would lead to changes in this capacity indicator	
Status of this capacity indicator before CD	
Expected status of this capacity indicator after	
Indicator of change	
Measure	
Evidence—planned (links, reference material, documentation)	

	Before implementation	During implementation (monitoring 1)	During implementation (monitoring 2)	At completion	After completion (follow-up 1)	After completion (follow-up 2)
Actual status of this capacity factor indicator						
Status of indicator before (with predictions, if applicable)						
Status of measure before (with predictions, if applicable)						
Status of this indicator at interim point (with predictions, if applicable)						
Status of this measure at interim point (with revised predictions, if applicable)						
Status of this indicator after						
Status of this measure after						
Evidence—actual (links, reference material, documentation)						

CD program development objectives—Notes and questions to consider

Desirable characteristics of CD a program development objective:

- Describes the effects that the changes in targeted capacity factors are envisioned to have on the beneficiary individuals, organization, or community.
- Is measurable.
- Is attainable through learning outcomes.
- Is set so that the change agents can influence its achievement.
- Establishes the strategic positioning of the CD program in relation to the broader development goals.
- Describes the indicators to be used to measure achievement.

Specification of the PDO requires identifying suitable indicators of the targeted capacity indicators. The choice of indicators would take into account the following:

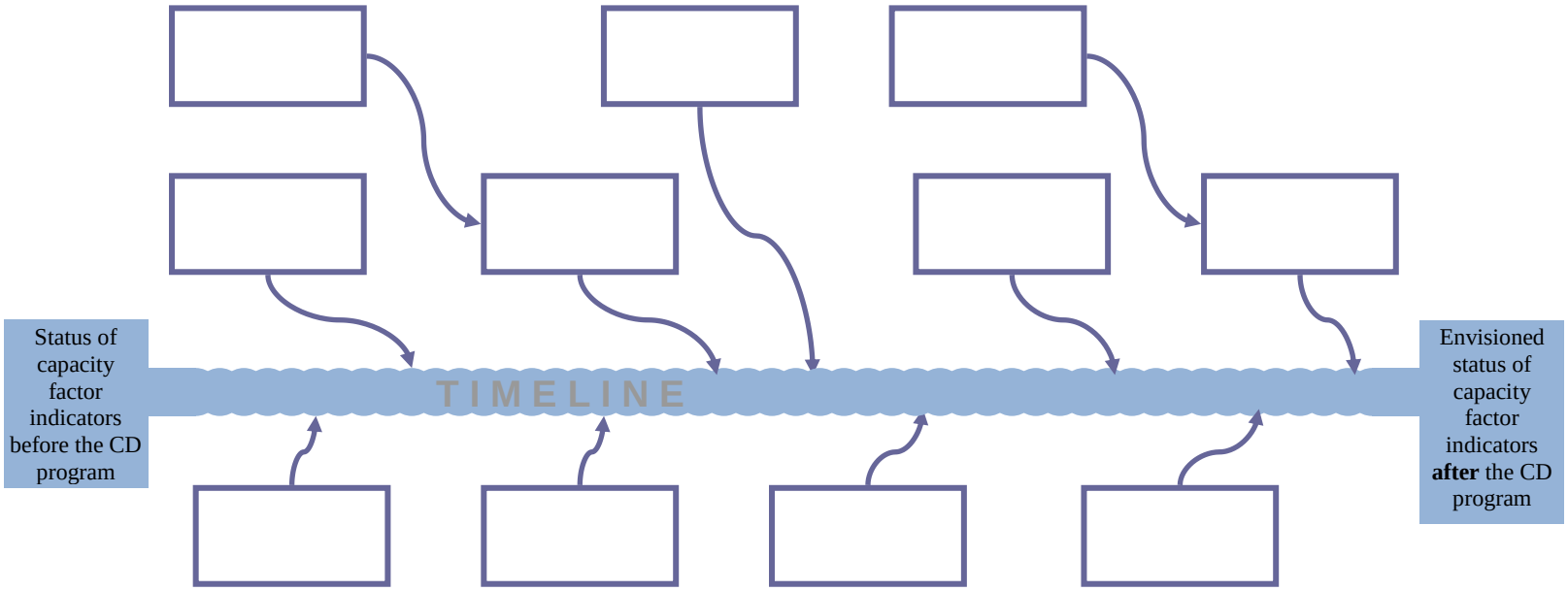
- The extent to which particular indicators were already in use in a particular country, region, or environment.
- The program logic mapping out the development objective, the change process, the agents of change, and their roles.

Questions:

- How will the team specify the program or project development objectives in terms of capacity indicators to be changed?
- With whom will the team partner (if needed)? How will the responsibilities be shared?
- How would an impartial observer know when progress occurs, or when the targeted state of the capacity indicators has been reached? How does the team plan to document it? What are the indicators? What measures will the team use for these indicators? What values of those measures will the team choose as baselines?
    - What is the program trying to achieve?
    - How does the team measure what it is achieving?
    - What types of indicators or measures already exist?
    - What indicators or measures will the team develop?
    - What is the current value of the chosen measures?
    - What target values will the team use?
- Where do specific interventions need to happen? (The question “where” can apply to a physical location or to a specific part of an organization, a sector within society, etc.)
- What is the outlook for complementary factors (that is, the factors external to the learning program) that would influence the likelihood of achieving the transformation envisioned through the learning program?

When would the team expect to see changes in the capacity indicators that could result from the capacity-development program?

Envisioned change process



Based on the conceptual format of an Ishikawa diagram (also known as fishbone diagram), each rectangle above can be used to describe an action that a change agent or group would takes to help achieve the changes envisioned. Arrows indicate at what point in time the action occurs. Use this template to create a visualization of the change process for your program by specifying the change agent and the action within each box, and then arranging the boxes along the timeline. Or, create an alternate depiction of the change process you envision.

Envisioned change process: Questions to consider

Incorporate information suggested by the questions below into the change process diagram above or the change process description below.

- How would the capacity indicators be changed through learning?
    - How does the team envision that learning could lead to changes in these capacity indicators? (If possible, cite the examples, observations, or analyses that support the hypothesis or vision of how the change in capacity indicators would take place.)
    - How were the targeted indicators selected?
    - If other stakeholders are working in this area, how will the team integrate its capacity-development efforts with their work?
    - Are there important deficiencies in capacity indicators that are not being addressed?
- Who will be responsible for changes in capacity indicators that need to be changed in order to achieve the development goal, but are not targeted by the capacity development program?
- How will the progress on these capacity indicators be monitored?
- What are the risks involved for the capacity development program if the changes in these indicators are not achieved?
- What is the outlook for complementary factors that would influence the likelihood of achieving the transformation envisioned through the capacity development program?
- What is the envisioned chain of causes and effects?
    - How do the team and stakeholders envision the chain of cause and effect that will lead from changes in targeted capacity indicators to progress on the development goal? (If possible, cite the examples, observations, or analyses that support the hypothesis or vision of causal relation between the targeted indicator and the development goal)
    - How does the team envision that learning by agents of change could lead to institutional change?
- Are there parts of the change process that cannot be foreseen at the design stage?
- What are the milestones to be achieved in order to finalize the program design?
- Who can make these changes happen? To specify agents of change, it is important to specify not only the organization(s) involved, but also the particular group(s) within the organization, and the particular individuals within the group(s) who need particular learning outcomes.
- How will the team ensure that the environment of participants is favorable to application of learning?

Envisioned change process: Narrative	
Use this space to describe the change process depicted in the diagram.	
Attachments or links Program logic model Memoranda of understanding with the change agents and other stakeholders Relevant strategy documents	

Learning outcomes and indicators						
For each CD program development objective above, define the *learning outcomes* that would lead to change in the capacity factor and related indicator. During implementation and monitoring, update the information. Add tables, rows, and columns as necessary.						
PDO 1	**Learning outcome and indicator 1**					
Specific statement of the PDO (from the table above, capacity factor and indicator in terms particular to this situation)						
		Generic (select from CDRF list)		Specific (state in terms relevant to this program)		
Learning outcome						
Results indicator						
	Status of results indicator before					
Expected status of results indicator after						
	Measure					
	Evidence—planned (links, reference material, documentation)					
		Before learning	During learning	Immediately after learning	After learning (follow-up 1)	After learning (follow-up 2)
	Status of measure before (with predictions, if applicable)					
	Status of this measure at interim point (with revised predictions, if applicable)					
	Status of this measure after					
	Evidence—actual (links, reference material, documentation)					

PDO 1	**Learning outcome and indicator 2**					
Specific statement of the PDO (from the table above, capacity factor and indicator in terms particular to this situation)						
		Generic (select from CDRF list)		Specific (state in terms relevant to this program)		
Learning outcome						
Results indicator						
	Status of results indicator before					
Expected status of results indicator after						
	Measure					
	Evidence—planned (links, reference material, documentation)					
		Before learning	During learning	Immediately after learning	After learning (follow-up 1)	After learning (follow-up 2)
	Status of measure before (with predictions, if applicable)					
	Status of this measure at interim point (with revised predictions, if applicable)					
	Status of this measure after					
	Evidence—actual (links, reference material, documentation)					

PDO 1	**Learning outcome and indicator 3**					
Specific statement of the PDO (from the table above, capacity factor and indicator in terms particular to this situation)						
		Generic (select from CDRF list)		Specific (state in terms relevant to this program)		
Learning outcome						
Results indicator						
	Status of results indicator before					
Expected status of results indicator after						
	Measure					
	Evidence—planned (links, reference material, documentation)					
		Before learning	During learning	Immediately after learning	After learning (follow-up 1)	After learning (follow-up 2)
	Status of measure before (with predictions, if applicable)					
	Status of this measure at interim point (with revised predictions, if applicable)					
	Status of this measure after					
	Evidence—actual (links, reference material, documentation)					

PDO 2	**Learning outcome and indicator 1**					
Specific statement of the PDO (from the table above, capacity factor and indicator in terms particular to this situation)						
		Generic (select from CDRF list)		Specific (state in terms relevant to this program)		
Learning outcome						
Results indicator						
	Status of results indicator before					
Expected status of results indicator after						
	Measure					
	Evidence—planned (links, reference material, documentation)					
		Before learning	During learning	Immediately after learning	After learning (follow-up 1)	After learning (follow-up 2)
	Status of measure before (with predictions, if applicable)					
	Status of this measure at interim point (with revised predictions, if applicable)					
	Status of this measure after					
	Evidence—actual (links, reference material, documentation)					

PDO 2	**Learning outcome and indicator 2**					
Specific statement of the PDO (from the table above, capacity factor and indicator in terms particular to this situation)						
		Generic (select from CDRF list)		Specific (state in terms relevant to this program)		
Learning outcome						
Results indicator						
	Status of results indicator before					
Expected status of results indicator after						
	Measure					
	Evidence—planned (links, reference material, documentation)					
		Before learning	During learning	Immediately after learning	After learning (follow-up 1)	After learning (follow-up 2)
	Status of measure before (with predictions, if applicable)					
	Status of this measure at interim point (with revised predictions, if applicable)					
	Status of this measure after					
	Evidence—actual (links, reference material, documentation)					

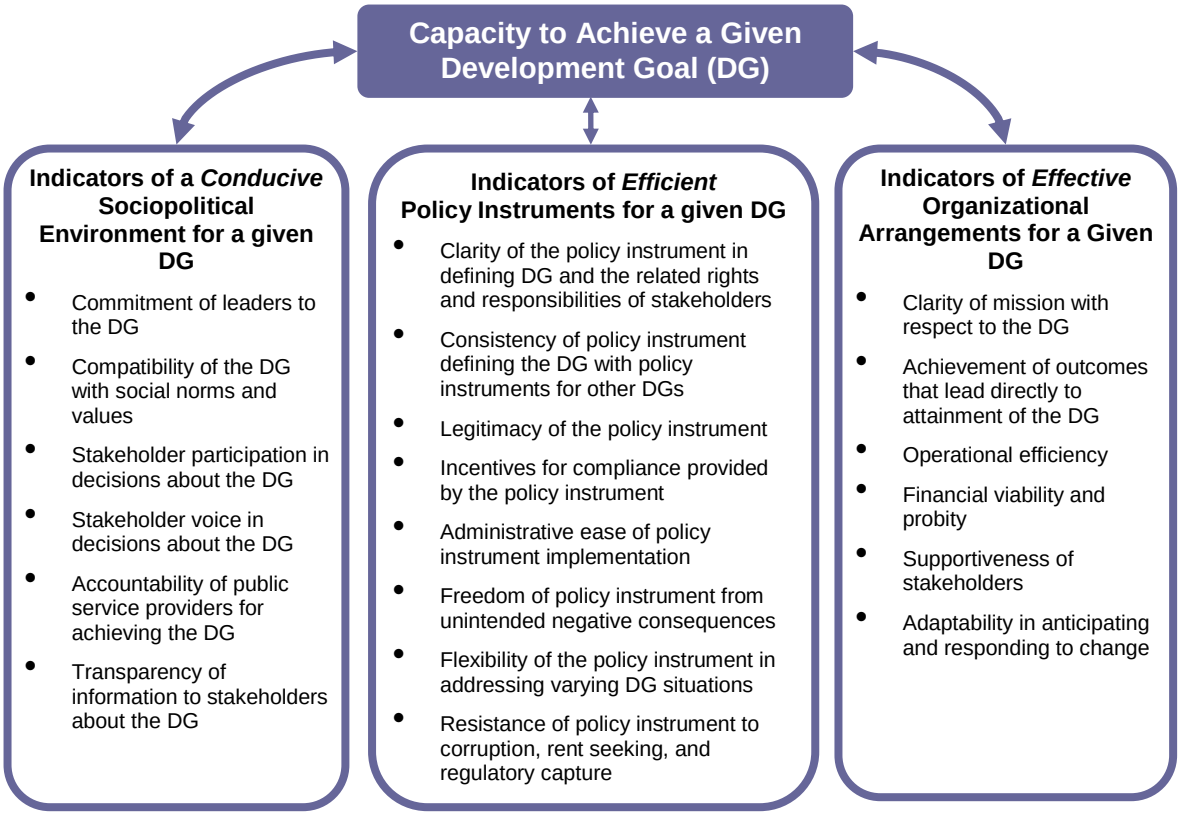
PDO 2	**Learning outcome and indicator 3**					
Specific statement of the PDO (from the table above, capacity factor and indicator in terms particular to this situation)						
		Generic (select from CDRF list)		Specific (state in terms relevant to this program)		
Learning outcome						
Results indicator						
	Status of results indicator before					
Expected status of results indicator after						
	Measure					
	Evidence—planned (links, reference material, documentation)					
		Before learning	During learning	Immediately after learning	After learning (follow-up 1)	After learning (follow-up 2)
	Status of measure before (with predictions, if applicable)					
	Status of this measure at interim point (with revised predictions, if applicable)					
	Status of this measure after					
	Evidence—actual (links, reference material, documentation)					

Learning Activities				
For each learning outcome above, design the learning activities that will lead to change in the capacity factor and related indicator. Use the table below if applicable, or another design structure. After the activity, complete the "Actual" information.				
Learning Outcome 1, Learning Activity 1				
	Envisioned		**Actual**	
	Description or summary	Attachments, links, supporting documentation	Description or summary	Attachments, links, supporting documentation
Learning Objective (the objective of a learning activity is given by the specific results indicator for the learning outcome) (from the table above)				
Content				
Audience (profiles, roles)				
Learning needs assessment				
Use of learning by participants				
Pedagogical method				
Participant selection				
Learning format and tools				
Sequencing of activities				
Quality assessment				
Follow-up assessment				

Learning Outcome 1, Learning Activity 2				
	Envisioned		**Actual**	
	Description or summary	Attachments, links, supporting documentation	Description or summary	Attachments, links, supporting documentation
Learning Objective (the objective of a learning activity is given by the specific results indicator for the learning outcome) (from the table above)				
Content				
Audience (profiles, roles)				
Learning needs assessment				
Use of learning by participants				
Pedagogical method				
Participant selection				
Learning format and tools				
Sequencing of activities				
Quality assessment				
Follow-up assessment				

Learning Outcome 1, Learning Activity 3				
	Envisioned		Actual	
	Description or summary	Attachments, links, supporting documentation	Description or summary	Attachments, links, supporting documentation
Learning Objective (the objective of a learning activity is given by the specific results indicator for the learning outcome) (from the table above)				
Content				
Audience (profiles, roles)				
Learning needs assessment				
Use of learning by participants				
Pedagogical method				
Participant selection				
Learning format and tools				
Sequencing of activities				
Quality assessment				
Follow-up assessment				

Annex 4. Indicators of Capacity for Development



Each measure below would need to be defined in specific terms as early as possible in the CD program cycle. Information such as the baseline value of the measure, the intended direction of movement, the source of data, and the approach to data collection and analysis, would be part of this definition.

Indicators and measures of conduciveness of sociopolitical environment

Commitment of leaders to the development goal (DG)

Social and political leaders consistently and frequently make statements or take leadership actions and decisions supporting the DG.

Possible measures include:

- Share of statements supporting the DG out of all statements related to the DG by the final decision-maker
- Number of parliamentarians expressing public support for the DG out of all parliamentarians

- Share of parliamentarians' total votes that represent votes in support of the DG
- Number of demonstrations supporting the DG organized by community leaders' per month
- Number of leaders signing a petition in support of the DG
- Adoption of legislation supporting the DG
- Public statements and official decisions of social and political leaders in support of the DG
- Public actions of social leaders in support of the DG
- Public actions of political leaders in support of the DG
- Proportion of social leaders who spend significant time or funds to achieve the DG
- Proportion of political leaders who spend significant time or funds to achieve the DG

Compatibility of social norms and values with the DG

Social norms and beliefs that underpin the behavior of stakeholders are compatible with the development goal.

Possible measures include:

- Extent of public debate around the DG violating social norms and values
- Values and norms espoused by stakeholders are compatible with the DG
- Behavior of stakeholders is compatible with the DG
- Proportion of stakeholders who express support for the DG

Stakeholder participation in decisions about the DG

Decision-making processes about the DG consider all stakeholder opinions, and government and other organs of the state are responsive to the views of civil society and the private sector.

Possible measures include:

- Existence of a formal consultative process for decisions about the DG
- Number of stakeholder groups claiming not to have been included in the decision-making process (target is none)
- Number of stakeholder groups who boycotted the decision-making process by the end of the process (target is none)
- Accounts that the draft decision evolved over time
- Number of stakeholder groups whose views were partially or totally reflected in the final decision
- Number of people represented by the stakeholder groups who have seen some of their views included in the final decision
- Extent to which government engages in dialogue with stakeholders about the DG
- Extent to which government decisions can be traced to consultation with stakeholders

- Extent of official responses to stakeholders' communications about the DG
- Quality of official responses to stakeholders' communications about the DG

Stakeholder voice in decisions about the DG

Stakeholders know their rights related to the DG, claim those rights, and communicate their grievances and proposals for change to the government and legislature.

Possible measures include:

- Share of stakeholder survey respondents who accurately responded to questions on their rights with respect to the DG
- Share of stakeholder respondents to a confidential survey, who report being free to express their views with respect to the DG
- Number of public gathering related to the DG per year
- Number of people attending public gatherings related to the DG per year
- Number of signatories to petitions related to the DG
- Extent to which stakeholders know their rights with respect to the DG
- Existence of a formal appeal process
- Extent of communication from stakeholders about their experiences concerning the DG
- Quality of communication from stakeholders about their experiences concerning the DG

Accountability of public service providers for achieving the DG

Government and other public service entities take account of and responsibility for the appropriateness of their policies and actions in relation to the DG. If public officials and other public service providers fail to meet expectations about achievement of the DG, stakeholders hold them accountable for their conduct and performance.

Possible measures include:

- Existence of functioning instruments of accountability, e.g. government scorecard information is available to the public
- Number of instances of stakeholders holding government officials and other service providers accountable for the DG-related policies and actions, either through use of the defined accountability instruments or in other ways
- Share of stakeholder respondents to a confidential survey, who believed that public officials and other public service providers would be held accountable for meeting obligations related to achievement of the DG
- Frequency of examples of stakeholders holding government officials and other service providers accountable for the DG-related policies and actions

- Stakeholders' perception about likelihood that public officials and other public service providers will experience negative consequences if they fail to meet obligations related to achievement of the DG

Transparency of information regarding the DG

Government and other public service entities provide accurate, relevant, verifiable, and timely information about the DG and explain actions concerning the DG in terms that stakeholders and other stakeholders can use to make decisions.

Possible measures include:

- Frequency of government communications related to the DG
- Percentage of government communications related to the DG whose content agrees with information provided by independent sources
- Share of stakeholder survey respondents who reported receiving government communications related to the DG
- Share of stakeholder survey respondents who were satisfied with the information provided by the government about the DG
- Frequency of government communications related to the DG
- Existence of an information source related to the DG that stakeholders can consult on a right-to-know basis
- Extent to which stakeholders are aware of government communications related to the DG
- Extent to which stakeholders find that information provided by the government about the DG is satisfactory

Indicators and measures of efficiency of policy instruments

Clarity of the policy instrument in defining DG and the related rights and responsibilities of stakeholders

The rights and responsibilities of stakeholders related to the DG are clearly defined and communicated. Stakeholders have a common understanding of the policy goal and the targets of any specified regulations. The authorities and processes concerning the policy instrument are clear. Policy instruments related to the DG are consistent with each other.

Possible measures include:

- Share of stakeholders who find DG and objectives of the policy instrument are clearly specified
- Formulation, application, revision, appeal, monitoring and enforcement authorities and processes concerning the policy instrument are specified
- Number of announcements, articles, documents, etc. in which the policy instrument is described for stakeholders

- Development and execution of a communication plan for the policy instrument and proactive assessment of outcomes of communication efforts
- Share of stakeholders who report that information about the policy instrument was communicated to them
- Share of surveyed stakeholders who responded accurately to questions about their rights and responsibilities with respect to the DG
- Policy instruments related to the DG are consistent with each other
- Adherence of policy instrument to internationally recognized standards

Consistency of policy instrument defining the DG with policy instruments for other DGs

Policy instruments related to the DG are consistent with policy instruments for other DGs. Stakeholders have a common understanding of the policy goal and the targets of any specified regulations.

Possible measures include:

- Share of surveyed stakeholders who report that the development policy defining the various DGs is coherent, consistent, and predictable
- Number of instances of rights and responsibilities conferred by different policies conflicting with each other (target is zero)
- Independent review by experts familiar with the country situation finds that DGs are mutually reinforcing

Legitimacy of policy instrument in relation to the DG

Processes for decisions about policy instrument are informed, transparent, participatory, and deliberate. Policy instrument is perceived as desirable and appropriate within the local system of norms, values, beliefs, and definitions. The actions and sanctions prescribed by the policy are perceived as fair by stakeholders. Rights to appeal are assured.

Possible measures include:

- Share of stakeholder survey respondents who feel that the policy instrument related to the DG is desirable and appropriate within local system of norms and values
- Share of stakeholder survey respondents who believe that the sanctions and incentives specified by policy instrument are consistent with its declared goal
- Stakeholders' rights to appeal are assured by the policy instrument
- Share of regulated stakeholders responding in surveys that the policy instrument is fair

Incentives for compliance provided by the policy instrument

The policy instrument imposes low transaction costs for compliance, facilitates desired economic and social exchange activities related to the DG by reducing uncertainty and other costs to the participants in these transactions, and provides sanctions for non-compliance.

Possible measures include:

- Time and information costs of compliance with the policy instrument (target is low or zero)
- Time and information costs associated with DG-related transactions (target is low or zero)
- Credible individual incentives for compliance and sanctions for non-compliance with policy instrument as determined in stakeholder consultations

Administrative ease of policy instrument implementation

Possible measures include:

- Cost of implementing the policy instrument (target is low)
- Cost of monitoring and evaluating effectiveness of the policy instrument
- Extent to which duty bearers are able to easily administer the policy instrument within the existing or expected socio-political, policy and organizational context

Freedom of policy instrument from unintended negative consequences

The policy instrument minimizes unintended negative impacts in DG-related transactions.

Possible measures include:

- Incidence of unintended negative externalities on targeted beneficiaries
- Number and scope of unintended negative externalities on non-beneficiaries
- Number and scope of unintended negative externalities on non-regulated stakeholders

Flexibility of the policy instrument in addressing varying DG situations

Policy instruments are predictably flexible in addressing varying situations. Policy instruments allow for timely revision when the underlying social and political circumstances have changed.

Possible measures include:

- Share of surveyed stakeholders affected by the policy instrument that express confidence that policy covers relevant contingencies in a predictable manner and is suitably flexible in addressing changes in DG context
- Number of instances in which policies are revised in a timely manner when there are changes in social and political circumstances underlying the DG

Resistance of policy instrument to corruption, rent seeking, and regulatory capture

Policy instruments minimize opportunities for corruption, include mechanisms to monitor and report corruption, and provide credible and enforceable penalties for corrupt behavior. Policy instruments do not reflect the efforts of vested interests to manipulate the economic and/or legal environment to secure undue privileges or compensation at the expense of the greater public good.

Possible measures include:

- Number of instances of rent-seeking, state capture, or corruption in DG-related transactions (target is zero)
- Policy instrument contains provisions for effective monitoring and reporting on corruption in DG-related transactions
- In a confidential survey, officials whose position might allow opportunities for corrupt behavior indicate that one reason for refraining is that the policy instrument provides for credible and enforceable punishment/penalty for corrupt behavior related to the DG

Indicators and measures of effectiveness of organizational arrangements

Clarity of mission about the development goal

The vision and mission of the organization are strongly aligned with the DG and clearly articulated, and provide its members with clear points of reference for formulating strategy, making decisions and gaining commitment from management, staff, and other stakeholders to work toward the DG. The mandate of the organization is recognized by relevant stakeholders.

Possible measures include:

- Explicit statement of the organization's vision and mission with respect to the DG
- Internal stakeholders surveyed accurately describe the organizational goals with respect to the DG that have been communicated to them.
- External stakeholders surveyed accurately describe the organizational goals with respect to the DG that have been communicated to them.

Achievement of outcomes that lead directly to goal attainment

The organization consistently achieves outcomes that lead directly to the DG expressed in its mission statement.[7]

Possible measures include:

- Organization's self-assessments of its achievement of the DG
- Stakeholder assessment of organization's contribution to the achievement of the DG
- Independent external assessment of the organization's contribution to the achievement of the DG

Operational efficiency in producing goal-related outputs

The strategies, inputs, processes, and technology of the organization are managed to optimize the quantity and quality of output relative to the cost of accomplishing its DG-related goals.

Possible measures include:

- Quantity of output[8]

[7] Although *goal attainment* is concerned with outcomes, the next indicator, *operational efficiency*, focuses on output.

[8] Quantity describes the number of units of output the organization delivers during a given period of time. The form of output varies substantially across organizations. It is generally either a product (e.g., assessment toolkit) or a service (e.g., training).

- Quality of output[9]
- Timeliness of product/service delivery[10]
- Unit cost[11]

Sub-measures for each of the above:

- Quantity of output
    - Review of records of the organization (e.g., output volumes compared with performance benchmarks)
- Quality of output
    - Review of documents of the organization (e.g., decision rules meet certain performance benchmarks or criteria)
    - Analysis of records of the organization (e.g., calculate average score on the exam)
    - Internal or external random testing (e.g., compute estimates for error rates)
    - Customer satisfaction surveys (ones that ask for the quality of, e.g., the service delivered)
    - Publicly available indices (e.g., index on the quality of products)
- Timeliness
    - Review of records of the organization (e.g., toolkit delivered at the specified date)
    - Analysis of records of the organization (e.g., calculate average delivery time)
    - Customer surveys/interviews (ones that ask how long, e.g., the product took to be delivered)
- Unit cost
    - Review of records of the organization (e.g., total expenses for developing a toolkit)
    - Analysis of records of the organization (e.g., calculation of cost per student)

Financial viability and probity

The organization sustainably secures the funds needed to cover its operating costs. Sound financial management, including reporting of externally verified accounts, helps to ensure that the resources of the organization are allocated effectively to achieve its goals.

Possible measures include:

[9] Quality describes the conformance of the product or service delivered to its requirements, as deduced from the goals of the organization. In an organization for which decision-making forms part of its core activities, two kinds of quality improvements may be distinguished. In one case, the prevailing decision rules are applied more accurately (e.g., by employing better-skilled labor), in the other, new decision rules that are superior to the old ones are introduced (e.g., by using better processes).

[10] Timeliness describes the period within which the organization processes the products or services it delivers. Whether a certain delivery date is met may (case [a]) or may not (case [b]) affect the organization's customers directly. An example for case (a) would be the timely sending out of social grants to beneficiaries. An example for case (b) would be the performing of impact analysis for newly proposed regulation without unnecessary delay.

[11] Unit cost describes the average cost for the product or service the organization delivers. This change indicator should be constructed in a way so that it includes all expenses incurred for the provision of one unit of output.

- Adequacy of financial resources
- Transparent allocation of funds
- Funds are allocated only in accordance with business needs
- Internal and external auditing of the financial management process

Supportiveness of stakeholders on goal-related activities

The organization seeks the support of stakeholders for its DG-related work. Organizational decision-making and operational processes involve consultations with appropriate stakeholders.

Possible measures include:

- Frequency with which the organization provides stakeholders with relevant and timely information concerning its DG-related performance (target is quarterly)
- Existence of a mechanism for stakeholder involvement in organizational decisions and frequency of its use
- Accounts that feedback from stakeholders was included in operational processes
- Actions taken by stakeholders support organizational activities that contribute to achievement of the DG

Adaptability in anticipating and responding to change

The organization regularly monitors its internal and external environment for information relevant to the DG and is proactive in adapting its strategy accordingly. The organization encourages innovation, manages knowledge, and creates and/or adapts to new technologies.

Possible measures include:

- Organization proactively scans its internal and external environments for relevant innovations to improve its processes, products and strategies
- Organization periodically revisits its strategy, processes and results related to achievement of the DG
- Existence of formal structures and processes that support organizational learning
- Use of organizational knowledge repositories
- Instances of collaboration between teams
- Instances of participation in communities of practices

Annex 5. Learning Outcomes: Models, Methods, and Tools

The CDRF is concerned with the purposeful use of knowledge and information (i.e., learning outcomes) to enhance the *conduciveness* of the sociopolitical environment, *efficiency* of policy instruments, and *effectiveness* of organizational arrangements for reaching a development goal. The literature on adult learning and action learning indicates that six basic types of learning outcomes are relevant to the institutional change context:

- Raised awareness
- Enhanced skills
- Improved consensus and teamwork
- Fostered networks
- Formulated policy/strategy
- Implemented strategy/plan.

Learning outcomes are drivers for change. They activate or accelerate the change processes affecting capacity factors and their indicators by producing:

- Altered status ("raised awareness/motivation" and "enhanced skills")
- New or altered processes ("improved consensus and teamwork" and "fostered networks")
- New or improved products ("formulated policy/strategy" and "implemented strategy/plan").

Under the CDRF, the degree of achievement of learning outcomes is a critical part of the results of capacity development efforts. In demonstrating this achievement, it is important and necessary to go beyond description of the learning outcomes and to collect evidence of achievement of the learning outcomes.

Table A5.1 provides a list of generic indicators for the six categories of learning outcomes, as well as examples of evidence that could be used to assess those indicators.

Tables A5.2 and A5.3 provide examples of models, frameworks, and tools that a program leader could use to gather information that would provide evidence of achieving the selected learning outcomes. Please note that this table provides only a sample of the many available models, tools, and methods for collecting data for use in demonstrating results. Table 2 and the footnotes provide links to other sources and more detailed information on developing and implementing these and other instruments.

Table A5.1 Learning outcomes, results indicators, and evidence methods

Learning outcome	Generic results indicator	Weaker evidence methods	Stronger evidence methods
1. Raised awareness	Participants' understanding improved	Survey question asking participants about change in awareness; could be at the end of the activity (level 1) or some time after the activity[12] Rapid appraisal methods (focus groups and community group interviews) that ask about participant change in awareness Notes from conversation discussing how participant awareness was raised	Memo(s) from participants giving examples of how their awareness was raised Survey question or interview question asking participants' managers, clients, or other stakeholders about change in participant awareness
	Participants' attitude improved	Survey question asking participants about change in attitude; could be at the end of the activity (level 1) or some time after the activity	Observations of participants' working interactions before and after Survey question or interview question asking participants' managers, clients, or other stakeholders about change in participant attitude
	Participants' confidence improved	Survey question asking participants whether confidence improved; could be at the end of the activity (level 1) or some time after the activity Rapid appraisal methods (key informant interviews, focus groups, and community group interviews) that ask about improvement in participants' confidence Memo(s) from participants describing how their confidence was improved Notes from conversation discussing how participants' confidence was improved	Survey or interview questions asking participants' managers, clients, or other stakeholders about change in participant confidence Survey question asking participants at the end of their activity about improved confidence, triangulated with information gained through rapid appraisal methods about improvement in participant confidence
	Participants' motivation increased	Survey question asking participants whether confidence improved; could be at the end of the activity (level 1) or some time after the activity Rapid appraisal methods (key informant interviews, focus groups, and community group interviews) that ask about improvement in participants' confidence Memo(s) from participants describing how their confidence was improved Notes from conversation discussing how participants' confidence was improved	Survey question or interview question asking participants' managers, clients, or other stakeholders about change in participant motivation Observed pattern of improvement in participant job performance ratings, combined with information from focus groups or interviews that connects improved job performance with increased motivation due to capacity development activities

[12] See table 3 for an explanation of levels 1 and 2 in this table.

Learning outcome	Generic results indicator	Weaker evidence methods	Stronger evidence methods
2. Enhanced skills	New skills/knowledge learned	Survey question or interview question asking participants whether knowledge/skills were enhanced; could be at the end of the activity (level 1) or some time after the activity Memo(s) from participants describing how their knowledge/skills were enhanced Notes from conversation discussing how participants learned new knowledge/skills	Level 2 evaluation (i.e., comparison of average results from pre- and post-tests of knowledge imparted during the activity). Survey question or interview question asking participants' managers, clients, or other stakeholders about participant improvement in knowledge/skills
	New skills/knowledge used	Survey question or interview question asking participants about likelihood of using new knowledge/skills at the end of the activity (level 1) Memo(s) from participants describing how they intend to use their enhanced knowledge/skills Notes from conversation discussing how participants intend to use new knowledge/skills	Survey question or interview question asking participants about use of new knowledge/skills as part of their work, asked some time after the activity (level 3) Survey question or interview question asking participants' managers, clients, or other stakeholders about participants' demonstration of use of new knowledge/skills through work activities Memo(s) from participants describing how their knowledge/skills were enhanced and including examples of work products generated before and after capacity development
3. Improved consensus/ teamwork	Discussion initiated/ resumed/ activated	Rapid appraisal methods (e.g., direct observation and key informant interviews) Memo(s) or other communication from participants or other stakeholders stating that the discussion was initiated/resumed/activated	Detailed observation of interactions among stakeholders before and after capacity development activities, with ethnographic or other analyses of the quality of discussions. Memo(s) or other communications from participants or other stakeholders describing how the discussion was initiated/resumed/activated and making specific causal connections to the capacity development activities.
	Participatory process initiated/ expanded	Rapid appraisal methods (e.g., direct observation) Memo(s) or other communication from participants and/or other stakeholders stating that the participatory process was initiated/expanded	Surveys or interviews with stakeholders asking for examples of improvements in the participatory process Detailed observation of interactions among stakeholders before and after capacity development activities, with ethnographic or other analyses of the degree of participation by varying stakeholders and the quality of participation Memo(s) or other communication from participants or other stakeholders giving verifiable examples of improvements in the participatory process and making specific causal connections to the capacity development activities
	Consensus reached	Memo(s) or other communications from participants or other stakeholders stating that consensus was reached.	Documentation of what participants completed, e.g., a copy of joint action plan, memoranda, or other records of consensus Memo(s) or other communication from participants or other stakeholders describing how consensus was reached and providing verifiable evidence that the consensus can be maintained

Learning outcome	Generic results indicator	Weaker evidence methods	Stronger evidence methods
	New/improved action steps/plan formulated	Survey or interview questions asking participants or other stakeholders about new plan or initiative that grew out of discussion or process	Documentation, e.g., copy of new/improved action steps or action plan
	Collaboration increased/ improved	Rapid appraisal methods that ask about increase or improvement in collaboration, e.g., mini-surveys, key informant interviews, and focus group interviews Memo(s) or other communication from participants or other stakeholders describing how collaboration has increased or improved Survey or interview questions asking participants or other stakeholders about increase or improvement in collaboration	Memo(s) or other communication from counterparts of participants or other stakeholders giving verifiable examples of how collaboration has increased or improved Detailed observation of interactions among stakeholders before and after capacity development activities, with ethnographic or other analyses of collaborative behavior
4. Fostered Networks	Discussion initiated/ resumed/ activated	Rapid appraisal methods (e.g., direct observation and key informant interviews) Memo(s) or other communication from participants or other stakeholders stating that the discussion was initiated/resumed/activated	Detailed observation of interactions among stakeholders before and after capacity development activities, with ethnographic or other analyses of the quality of discussions Memo(s) or other communication from participants or other stakeholders describing how the discussion was initiated/resumed/activated and making specific causal connections to the capacity development activities
	Participatory process initiated/ improved	Rapid appraisal methods (e.g., direct observation) Memo(s) or other communication from participants and/or other stakeholders stating that the participatory process was initiated/expanded	Surveys or interviews with stakeholders asking for examples of improvements in the participatory process Detailed observation of interactions among stakeholders before and after capacity development activities, with ethnographic or other analyses of the degree of participation by varying stakeholders and the quality of participation Memo(s) or other communication from participants or other stakeholders giving verifiable examples of improvements in the participatory process and making specific causal connections to the capacity development activities
	Informal network(s) created/ expanded	Notes or other documents created through rapid appraisal methods (e.g., direct observation) Memo(s) or other communication from participants and/or other stakeholders describing how the creation or expansion of informal networks occurred Survey question or interview question asking participants or other stakeholders about creation or expansion of informal network(s)	Systematic collection of stories from practitioners about value created through network activity; would rely on practitioners to provide standard information elements for stories, causal links, and connections to documents and quantitative indicators
	Formal partnerships or coalitions created/ expanded	Notes from conversation with stakeholders discussing the partnerships or coalitions created or expanded Notes from meeting during which new partners or coalition members transacted business together	Documentation of partnerships or coalitions, e.g., memoranda of understanding or partnership agreement Documentation of actions taken by new partnerships or coalitions

Learning outcome	Generic results indicator	Weaker evidence methods	Stronger evidence methods
5. Formulated policy/ strategy	Civil society/private sector involved in process	Rapid appraisal methods assessing extent of involvement of civil society/private sector (e.g., direct observation, and focus groups) Memo(s) or other communication from participants or other stakeholders describing involvement of civil society or private sector Notes from conversation with stakeholders discussing involvement of civil society or private sector	Memo(s) or other communications from participants or other stakeholders providing verifiable evidence of involvement of civil society or private sector before and after the capacity development intervention.
	Policy/strategy needs assessment completed	Documents or other evidence collected through participatory tools Reports, notes, or other evidence collected through focus groups Memo(s) or other communication from participants or other stakeholders detailing the needs assessment	Documentation of needs assessment, e.g., needs assessment report
	Stakeholder agreement reached	Reports or documents created through use of participatory tools or rapid appraisal methods Notes from sessions during which agreement was reached	Documentation of stakeholder agreement, e.g., memorandum of understanding
	Action steps/plan formulated	Notes from sessions during which the steps/plan were formulated	Documentation of the steps/plan formulated, e.g., a copy of the action plan/strategy created by participant(s)
	Monitoring and evaluation plan designed	Notes on the process of designing the monitoring and evaluation plan	Documentation of the monitoring and evaluation plan designed, e.g., a copy of the monitoring plan created by participant(s)
	Policy/reform/ strategy/law proposed to decision-makers	Documentation indicating that the policy/reform/strategy was proposed to decision-makers, e.g., a copy of the policy/reform/strategy created by participants with notes on how the proposal to decision-makers was received	Documentation of initial reactions of decision-makers to the proposal and analysis of the initial reactions indicating that decision makers' understanding of the proposal agrees with the proposal authors' understanding of the proposed policy/reform/strategy/law
6. Implemented strategy/plan	Implementation steps formulated	Notes or other documents created through use of rapid appraisal methods (e.g., direct observation) Notes from conversation with stakeholders discussing the implementation steps or plan	Documentation, e.g., a copy of the implementation plan Documentation from a meeting during which participant(s) presented implementation plan to other stakeholders
	Monitoring and evaluation initiated	Communications from stakeholders indicating that monitoring has begun	Evidence of action taken to begin monitoring and evaluation activities according to the M&E plan
	Implementation steps initiated	Notes or other documents created through use of rapid appraisal methods (e.g., direct observation) Memo(s) or other communication from participants or other stakeholders detailing the implementation steps that have occurred	Documentation indicating that implementation steps have begun, e.g., copies of output particular to the implementation steps Memo(s) or other communication from participants or other stakeholders providing verifiable evidence of the implementation steps that have occurred
	Client's	Interview question or survey question some time after the activity asking	Participants provide examples of work products before and after the capacity

Learning outcome	Generic results indicator	Weaker evidence methods	Stronger evidence methods
	implementation know-how improved	participants whether and how their implementation know-how has improved (level 3) Memo(s) from participants describing how their implementation know-how has improved Notes from conversation discussing how participants used their knowledge/skills Notes or other documents created through use of participatory tools (e.g., beneficiary assessment), etc.	development intervention and attribute changes in the quality of work products to the capacity development intervention; external analysis of the work products indicates that the clients' know-how improved. Survey question or interview question asking participants' managers, clients, or other stakeholders for examples of improved implementation know-how of participants

Table A5.2 Notes on evaluation models, methods, and tools useful to capacity development program leaders

MODEL: IMPACT EVALUATION (Box A5.1)	
What is it?	Impact evaluation is the systematic identification of the effects—positive or negative, intended or not—on individual households, institutions, and the environment caused by a given development activity, such as a program or project. In the context of capacity development, impact evaluation can look at the extent to which new knowledge gets used and the effects that use of new knowledge has on the broader organizational, sociopolitical, or policy environment.
What can we use it for?	Impact evaluations can be used to measure outcomes and impacts of an activity and distinguish these from the influence of other external factors.
Advantages	Provides estimates of the magnitude of outcomes and impacts for different demographic groups or regions, or across time Provides answers to some of the most central development questions: To what extent are we making a difference? What are the results on the ground? How can we do better? Systematic analysis and rigor can give managers and policy makers added confidence in decision making.
Disadvantages	Some approaches are very expensive and time consuming, although faster and more economical approaches are also used (Bamberger, M., J, Rugh, and L. Mabry 2006). Reduced utility when decision makers need information quickly Difficulties in identifying an appropriate counter-factual
Cost	A number of World Bank impact evaluations have ranged from $200,000 to $900,000, depending on program size, complexity, and data collection. Simpler and rapid impact evaluations can be conducted for significantly less than $100,000 and, in some cases, for as little as $10,000–$20,000.
Skills required	Strong technical skills in social science research design, management, analysis, and reporting; a balance of quantitative and qualitative research skills on the part of the evaluation team.
Time required	Depends on the time needed to achieve the expected outcomes of the program; can take as much as two years or more.
RAPID APPRAISAL METHODS (Box A5.2)	
What are they?	Rapid appraisal methods are quick, low-cost ways to gather the views and feedback of beneficiaries and other stakeholders to respond to decision makers' need for information.
What can we use them for?	Providing rapid information for management decision making, especially at the project or program level Providing qualitative understanding of complex socioeconomic changes, highly interactive social situations, or people's values, motivations, and reactions Providing context and interpretation for quantitative data collected by more formal methods
Advantages	Low cost, can be conducted quickly, and provides flexibility to explore new ideas
Disadvantages	Findings usually relate to specific communities or localities; thus, it is difficult to generalize from findings, and findings are less valid, reliable, and credible than findings from formal surveys.
Cost	Low to medium, depending on the scale of methods adopted
Skills required	Nondirective interviewing, group facilitation, field observation, note taking, and basic statistical skills
Time required	Four to six weeks, depending on the size and location of the population interviewed and the number of sites observed
DATA COLLECTION TOOL: FORMAL SURVEYS (Box A5.3)	
What are they?	Formal surveys can be used to collect standardized information from a carefully selected sample of people or households. Surveys often collect comparable information for a relatively large number of people in particular target groups.
What can we use them for?	Providing baseline data against which the performance of the strategy, program, or project can be compared Comparing different groups at a given point in time Comparing changes across time in the same group

	Comparing actual conditions with the targets established in a program design Describing conditions in a particular community or group Providing a key input to a formal evaluation of the impact of a program or project Assessing levels of poverty as a basis for preparation of *poverty reduction strategies*
Advantages	Findings from the sample of people interviewed can be applied to the wider target group or the population as a whole. Quantitative estimates can be made for the size and distribution of impacts.
Disadvantages	With the exception of a core welfare indicators questionnaire (CWIQ), results are often not available for a long period. The processing and analysis of data can be a major bottleneck for the larger surveys even when computers are available. The Bank's Living Standards and Measurement Study (LSMS) and household surveys are expensive and time consuming. Many kinds of information are difficult to obtain through formal interviews.
Cost	Ranges from roughly $30 to $60 a household for the CWIQ to $170 a household for the LSMS. Costs will be significantly higher if no master sampling frame exists for the country.
Skills required	Sound technical and analytical skills for sample and questionnaire design, data analysis, and processing
Time required	Depends on sample size and quality of contact information for prospective respondents. The CWIQ can be completed in two months. The LSMS generally requires 18 months to two years.

PARTICIPATORY METHODS (Box A5.4)

What are they?	Participatory methods provide active involvement in decision making for those with a stake in a project, program, or strategy and generate a sense of ownership in monitoring and evaluation results and recommendations.
What can we use them for?	Learning about local conditions and local people's perspectives and priorities to design more responsive and sustainable interventions Identifying problems and troubleshooting problems during implementation Evaluating a project, program, or policy Providing knowledge and skills to empower poor people
Advantages	Examines relevant issues by involving key players in the design process Establishes partnerships and local ownership of projects Enhances local learning, management capacity, and skills Provides timely, reliable information for management decision making
Disadvantages	Sometimes regarded as less objective than surveys or quantitative analysis of program data Time consuming if key stakeholders are involved in a meaningful way Potential for domination and misuse by some stakeholders to further their own interests
Cost	Low to medium; costs vary greatly, depending on scope and depth of application and on how local resource contributions are valued.
Skills required	A minimum of several days' training for facilitators
Time required	Varies greatly, depending on scope and depth of application

DATA COLLECTION TOOL: FOCUS GROUPS

What are they?	A focus group is a structured interview with a small group of respondents designed to answer specific research questions for scientific purposes. Focus group interviews involve a formal, rigorous approach to data collection.
What can we use them for?	The purpose of focus group research is to gather data, including opinions, perceptions, values, and ideas to make data-driven recommendations for programs and policies.
Advantages	Are useful in evaluating learning programs, because respondents gather in one place (actual or virtual) for a specified time, which simplifies recruitment. Can be used for mid-term review or program monitoring, enabling decision makers to make mid-course

	corrections. This is especially useful for long learning programs or for a series of related workshops. Afford depth and insight; responses can help contextualize quantitative data Allow the moderator or participants to pursue ideas generated by the group Generate insights through cross-fertilization of ideas in group interaction
Disadvantages	Can be difficult to organize unless incorporated into the learning program agenda Findings might be difficult to interpret if research design or recruitment is flawed. Can become politicized if local organizers or leaders choose the participants Produce distorted findings if moderator allows a few people to dominate the discussion Produce findings that cannot reliably be generalized beyond the participants because of the small numbers involved; participants cannot be expected to be statistically representative of the target population from which they are drawn.
Cost	May be less expensive than other methods, depending on the research setting
Skills required	Strong facilitation skills; ability of research team to analyze qualitative data
Time required	Depends on the sample size, the infrastructure situation in the country, the number of interviewers to be used, and the quality of data about contact information for prospective respondents

DATA COLLECTION TOOL: STRUCTURED INTERVIEWS

What are they?	An interview that uses data collection instruments to gather data, either by telephone or face to face; it is a structured interview, in which evaluators ask the same questions of numerous individuals or individuals representing numerous organizations in a precise manner, offering each interviewee the same set of possible responses.
What can we use them for?	Structured interviews are often used when the evaluation strategy calls for a sample survey and in field experiments when information must be obtained from program participants or members of a comparison group.
Advantages	In comparison with mail questionnaires, face-to-face and telephone interviews are much faster methods of gathering data.
Disadvantages	The need to train interviewers and time spent traveling and contacting and interviewing respondents make the face-to-face interview much more expensive than telephone interviews or mail or group questionnaires.
Cost	Telephone interview costs generally fall somewhere between lower mail survey costs and higher personal interviewing costs.
Skills required	Ability to design, pretest, and revise the structured interview (perhaps many times); ability to obtain expert review and properly analyzed data that will answer the evaluation questions
Time required	Depends on the sample size, the infrastructure situation in the country, the number of interviewers to be used, and the quality of data about contact information for prospective respondents

Source: World Bank 2004b.

Notes: For more models, methods, and tools, see "Evaluation Resources," available at: http://go.worldbank.org/AKJPBQFOD0. For more detailed information on conducting effective focus groups, see http://go.worldbank.org/43QSQLP020. For more detailed information on developing and conducting structured interviews, see General Accounting Office 1991. http://www.gao.gov/special.pubs/pe1015.pdf

Box A5.1 Four models of impact evaluation

Model	Design	Example	Indicative cost and time
1. Randomized pre-test post-test evaluation.	Subjects (families, schools, communities etc) are randomly assigned to project and control groups. Questionnaires or other data collection instruments (anthropometric measures, school performance tests, etc) are applied to both groups before and after the project intervention. Additional observations may also be made during project implementation.	Water supply and sanitation or the provision of other services such as housing, community infrastructure etc where the demand exceeds supply and beneficiaries are selected by lottery. Example: Bolivia Social Fund.	5 years depending on time which must elapse before impacts can be observed. Cost can range from $50,000 - $1million depending on the size and complexity of the program being studied.
2. Quasi-experimental design with before and after comparisons of project and control populations.	Where randomization is not possible, a control group is selected which matches the characteristics of the project group as closely as possible. Sometimes the types of communities from which project participants were drawn will be selected. Where projects are implemented in several phases, participants selected for subsequent phases can be used as the control for the first phase project group.	These models have been applied in World Bank low-cost housing programs in El Salvador, Zambia, Senegal and the Philippines.	Cost and timing similar to Model 1.
3. Ex-post comparison of project and non-equivalent control group.	Data are collected on project beneficiaries and a non-equivalent control group is selected as for Model 2. Data are only collected after the project has been implemented. Multivariate analysis is often used to statistically control for differences in the attributes of the two groups.	Assessing the impacts of micro-credit programs in Bangladesh. Villages where microcredit programs were operating were compared with similar villages without these credit programs	$50,000 upwards. The cost will usually be one third to one half of a comparable study using Models 1 or 2.
4. Rapid assessment ex-post impact evaluations.	Some evaluations only study groups affected by the project while others include matched control groups. Participatory methods can be used to allow groups to identify changes resulting from the project, who has benefited and who has not, and what were the project's strengths and weaknesses. Triangulation is used to compare the group information with the opinions of key informants and information available from secondary sources. Case studies on individuals or groups may be produced to provide more in-depth understanding of the processes of change.	Assessing community managed water supply projects in Indonesia	$25,000 upwards (the Indonesia study cost $150,000). Some studies are completed in 1-2 months; others take a year or longer.

Source: World Bank 2004b.

Box A5.2 Rapid appraisal methods

Key informant interview—a series of open-ended questions posed to individuals selected for their knowledge and experience in a topic of interest. Interviews are qualitative, in-depth, and semi-structured. They rely on interview guides that list topics or questions.

Focus group discussion—a facilitated discussion among 8–12 carefully selected participants with similar backgrounds. Participants might be beneficiaries or program staff, for example. The facilitator uses a discussion guide. Note-takers record comments and observations.

Community group interview—a series of questions and facilitated discussion in a meeting open to all community members. The interviewer follows a carefully prepared questionnaire.

Direct observation—use of a detailed observation form to record what is seen and heard at a program site. The information may be about ongoing activities, processes, discussions, social interactions, and observable results.

Mini-survey—a structured questionnaire with a limited number of closed-ended questions that is administered to 50–75 people. Selection of respondents may be random or 'purposive' (interviewing stakeholders at locations such as a clinic for a health care survey).

Source: World Bank 2004b.

Box A5.3 Some types of survey

Multi-Topic Household Survey (also known as Living Standards Measurement Survey—LSMS) is a multisubject integrated survey that provides a means to gather data on a number of aspects of living standards to inform policy. These surveys cover: spending, household composition, education, health, employment, fertility, nutrition, savings, agricultural activities, other sources of income. ***Single-topic household surveys*** cover a narrower range of issues in more depth.

Core Welfare Indicators Questionnaire (CWIQ) is a household survey that measures changes in social indicators for different population groups—specifically indicators of access, utilization, and satisfaction with social and economic services. It is a quick and effective tool for improving activity design, targeting services to the poor and, when repeated annually, for monitoring activity performance. Preliminary results can be obtained within 30 days of the CWIQ survey.

Client Satisfaction (or ***Service Delivery) Survey*** is used to assess the performance of government services based on client experience. The surveys shed light on the constraints clients face in accessing public services, their views about the quality and adequacy of services, and the responsiveness of government officials. These surveys are usually conducted by a government ministry or agency.

Citizen Report Cards have been conducted by NGOs and think-tanks in several countries. Similar to service delivery surveys, they have also investigated the extent of corruption encountered by ordinary citizens. A notable feature has been the widespread publication of the findings.

Source: World Bank 2004b.

Box A5.4 Commonly used participatory tools

Stakeholder analysis is the starting point of most participatory work and social assessments. It is used to develop an understanding of the power relationships, influence, and interests of the various people involved in an activity and to determine who should participate, and when.

Participatory rural appraisal is a planning approach focused on sharing learning between local people, both urban and rural, and outsiders. It enables development managers and local people to assess and plan appropriate interventions collaboratively often using visual techniques so that non-literate people can participate.

Beneficiary assessment involves systematic consultation with project beneficiaries and other stakeholders to identify and design development initiatives, signal constraints to participation, and provide feedback to improve services and activities.

Participatory monitoring and evaluation involves stakeholders at different levels working together to identify problems, collect and analyze information, and generate recommendations.

Source: World Bank 2004b.

Table A5.3 Framework for evaluation of learning: two "levels" from Kirkpatrick

Relevant links are provided in the notes to the table

PARTICIPANT FEEDBACK IMMEDIATELY AFTER AN ACTIVITY ("LEVEL 1")	
What is it?	The term "level 1 evaluation" comes from Donald Kirkpatrick's framework for evaluating learning, which divides learning (and the effects of learning) into four categories (called "levels") for evaluating learning. Level 1 measures participant opinion on and feedback about a learning activity, generally collected immediately after the activity has ended. Level 1 measures participants' immediate reactions, usually through responses to a questionnaire. Learning and transfer of learning are unlikely to occur unless participants have positive attitudes toward the training program.
What can we use it for?	To obtain information on participant opinions about the training or learning experience. Level 1 questions ask participants for opinions on the quality, relevance, usefulness of the experience; the degree participants think they have learned something; and the likelihood they will use what they learned. Open-ended level 1 questions may ask participants for concrete examples on how they plan to use what they learned to improve their work or for advice on improving future learning events.
Advantages	Evaluation results can help identify ways to improve offerings for future participants. Depending on the particular questions asked, participant responses can be used as a proxy measure to gauge the overall quality of the program.
Disadvantages	The level 1 evaluation alone can provide little information on actual learning or behavioral change, although level 1 questions can ask for participant opinions on what they learned and on intended behavioral change.
Cost	Not expensive to gather or to analyze
Skills required	Questionnaire development, data quality management, and descriptive statistical skills
Time required	Quick and easy to obtain, if questions are administered at the end of a capacity development activity in which participants are engaged.
ASSESSMENT OF LEARNING EXPERIENCED BY PARTICIPANTS ("LEVEL 2")	
What is it?	The term "level 2 evaluation" comes from Donald Kirkpatrick's framework for evaluating learning, which divides learning (and the effects of learning) into four categories (called "levels") for evaluating learning. In Kirkpatrick's framework, level 2 evaluation measures the change in participant knowledge or skills due to the learning activity. A level 2 evaluation generally involves testing participants on their knowledge or skills at the very beginning of a learning activity, testing them again in an equivalent test at the end of the learning activity, and computing the "learning gain" by deducting the average class pre-test score from the average class post-test score.
What can we use it for?	To determine whether the participants *learned* during the training event. Depending on how the pre- and post-tests are structured, they can also be used to determine what participants learned.
Advantages	Detailed level two evaluations can provide formative evaluation information that can be used to improve future versions of the training program (e.g., one may find learning objectives that are not being met).
Disadvantages	Level 2 evaluations do not provide information on behavioral changes as a result of new learning. Level 2 evaluations also cannot be used if the objective of the capacity development activity is something other than imparting knowledge or skills. For example, level 2 evaluations are not relevant to facilitating consensus and teamwork, formulating policies and strategies, implementing strategies/plans, or fostering networks.
Cost	Moderate
Skills required	The WBI Level 2 toolkit is designed for course providers who want to determine what their participants learned in a simple way, without becoming experts in measuring learning.
Time required	A level 2 evaluation requires about one week of course content experts' time and one week of assistants' time; therefore, it is recommended that a course team reserve the evaluation for the most important courses.

Source: Kirkpatrick 1998.

Level 1 Evaluation: http://go.worldbank.org/1GFTNYELA0; Level 2 Evaluation: http://go.worldbank.org/VUU5FL64S1; Level 2 Toolkit: http://go.worldbank.org/VUU5FL64S1

Note: Kirkpatrick's Level 3 and Level 4 address the use of learning and the effects of use of new knowledge on the broader environment. See "Impact Evaluation" in table A5.2.