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Guide to Evaluating Capacity Development Results

A collection of guidance notes to help development practitioners and evaluators assess capacity development efforts

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World Bank Institute Capacity Development and Results

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Contents

Acronyms

CAE	Country Assistance Evaluation
CAS	Country Assistance Strategy
CDRF	Capacity Development and Results Framework
CPS	Country Partnership Strategy
CPSCR	Country Partnership Strategy Completion Report
ICO	Intermediate Capacity Outcome
ICR	Implementation Completion Report
IEG	World Bank Independent Evaluation Group
KDI	Korea Development Institute
KSP	Knowledge Sharing Program
M&E	Monitoring and Evaluation
OECD	Organisation for Economic Co-operation and Development
PAD	Project Appraisal Document
PDO	Project Development Objective
PRSP	Poverty Reduction Strategy Paper
TTL	Task Team Leader
WBI	World Bank Institute

Introduction

Background

Despite donor commitments of more than $30 billion per year on capacity development activities, donors lack consensus regarding what these activities include and what results should be expected. Conventional monitoring and evaluation (M&E) systems regularly fail to capture the impact of such activities. As a result, development practitioners are deprived of the opportunity to learn which capacity development interventions are most effective in different situations.

In its evaluation, *Capacity Building in Africa*, the World Bank Independent Evaluation Group critiqued the World Bank for not having "developed indicators to define capacity building outcomes" and, by extension, not having "developed a body of knowledge on what tools should be applied and how in different country and sector circumstances" (World Bank 2005:44). Other studies and reviews have reached similar conclusions, highlighting such overarching challenges as the absence of a conceptual framework and the poor articulation of a results chain related to capacity development (OECD 2005, 2006; World Bank 2006, 2008; Taylor and Clark 2008).

The World Bank Institute (WBI) developed the Capacity Development and Results Framework (CDRF) in response to these challenges, to provide a systematic approach and a set of tools for development practitioners to design a rigorous yet flexible capacity development strategy, or program logic, to monitor and adaptively manage their interventions and to evaluate their results (World Bank 2011). The CDRF focuses on capacity development as a process of empowering local agents to change

constraining or enabling characteristics of institutional conditions, that is, facilitating improvements in institutional capacity dynamics to advance reforms and development goals.

The focus on change and the definition of capacity development as the process whereby change is enabled allows practitioners to apply specialized knowledge to capacity development initiatives from across the spectrum of governance, political economy, social accountability and institutional development. This focus on change, and the intermediate outcomes that drive or facilitate change, also makes the challenge of monitoring and measuring results conceptually and operationally more tractable. The CDRF can be used to test program logic ex ante, and to measure and evaluate results ex post. This guide, which is based on the CDRF, aims to help practitioners to evaluate the ex post results of capacity development work.

Purpose

This set of guidance notes is designed to support practitioners and evaluators in conducting retrospective evaluations of a capacity development intervention or portfolio to assess and document results. Users will enhance their understanding of the capacity development process, of what works and what does not work in promoting change and to inform future programs.

The standard M&E approach for assessing capacity development results has not been sufficient. These guidance notes are designed to complement and supplement good M&E practice to more effectively identify capacity development results. Typically, results-based M&E emphasizes the assessment of outcomes and impacts while

also tracking inputs, activities and outputs to monitor implementation. A results chain or logic model is used to articulate the sequence from inputs to results.

For example, in World Bank lending operations, a project's results framework specifies the project development objective (PDO), higher-level outcomes that reflect the achievement of this objective, and intermediate outcomes that need to be in place to reach the desired results. M&E arrangements in the Bank's project documents usually specify key outputs and how to track them during project implementation.

The results chains for the capacity components of development projects often remain poorly defined for the following reasons:

- *The standard levels of indicators (such as PDO-level and intermediate outcomes) do not necessarily trace the achievement of capacity development objectives.* The achievement of a capacity change objective is not the same as the achievement of a PDO. In many cases, institutional capacity changes are required as an intermediate outcome before a PDO can be achieved. Although the targeted capacity change process is key to the success of the overall project in contributing to the related development goal, the milestones needed for achieving this institutional capacity will be largely overlooked. Depending on the specific case, institutional capacity changes might be captured at either the PDO or intermediate levels, but the relevant intermediate capacity outcomes (ICOs) are rarely associated and tracked, creating a missed opportunity for learning about what worked and what did not for the capacity development interventions.
- *The role of change agents and the targeted change process(es) need to be identified.* Capacity development entails preparing or empowering designated local change agents to initiate and/or manage needed changes. What

changes need to be measured cannot be determined without analyzing existing capacity constraints and specifying a capacity change strategy. Only then will it be possible to assign indicators for the desired institutional capacity changes and the ICOs.

- *Context matters.* Standard sector indicators lack adaptability and assume that institutional arrangements have the same meaning in different contexts. A nuanced understanding of each capacity development change process is needed to identify which indicators are appropriate for assessing targeted institutional capacity changes and ICOs.

Overall, the use of the traditional results framework or logic model for assessing the achievement of a capacity change objective too often leads to the problem of the "black box" of capacity development, wherein the needed improvements in the ability or disposition of stakeholders remain undefined and unmonitored.

This guide focuses on retrospective evaluation for two principal reasons: (1) prospective evaluations such as randomized control trials are often impractical to implement in the context of capacity development interventions and (2) external evaluators are often called in after the fact to assess the results of an intervention. However, in many instances the topics and guidance apply to prospective evaluations and monitoring activities.

Orientation to this Guide

The 17 guidance notes explain and demonstrate how to assess capacity development efforts by reviewing and documenting the results of ongoing or completed capacity development activities, projects, programs or broader strategies. The key concepts in this approach apply to a wide range of development initiatives. The described methods have been tested on capacity development projects within the World Bank's lending portfolio and capacity building programs, on the Korea Development Institute (KDI) Knowledge Sharing Program, and on a knowledge exchange program

sponsored by the World Bank's South South Experience Exchange Facility.

Any project team member can use the methods and approaches described to review capacity development results, explore how specific interventions worked within a defined context and obtain insights into how the design and implementation of future interventions under similar conditions could be improved. For ease of understanding and consistency, this guide refers to "capacity development programs" (capacity development activities, projects, programs or strategies), "users" (users of the guide), "practitioners" (often donor staff involved with capacity development activities, projects, programs or strategies), "agents of change" (typically local stakeholders) and "evaluators" (whoever is using this guide to assess results).

Because this is a comprehensive guide to assessing capacity development, not all of the guidance provided may be relevant for all users. The guide is a flexible resource for supporting practitioners and evaluators in evaluating the results of capacity development efforts in relation to a particular development goal. Some users will choose to work consecutively through all of the notes to identify and document their results, whereas others might employ a more selective approach in consulting one or two notes to learn from test cases and existing examples.

The first set of 11 guidance notes provides instructions on how to map and document a capacity development results chain, giving an overview of the process (notes 1–4) and explaining how to assess the achievement of capacity development objectives (notes 5–8) and ICOs (notes 9–11). The six guidance notes in the second section explore and share analytical techniques (qualitative and quantitative) that can help to address information gaps that are likely to emerge in most program assessments.

These guidance notes aim to help practitioners and evaluators explore systematically the outcomes of a capacity development activity, project or strategy. They help to highlight lessons learned and identify which approaches were successful and unsuccessful within specific contexts. This information provides a practical orientation for designing more effective results frameworks and monitoring arrangements during the project or strategy design stage.

Section I: Mapping the Capacity Development Results Chain

Capacity development entails the purposeful use of knowledge and information to achieve capacity outcomes. These outcomes enable local agents of change to trigger or advance positive changes that contribute to the achievement of a particular development goal. Understanding the "program theory" or "program logic" underlying a capacity development intervention is a critical early step for discovering or telling a capacity development results story.

Practitioners can use this guide to assess whether or not they have achieved targeted capacity development results at the project or strategy level. The guidance notes can help a project team member or evaluator to identify or clarify the program logic of an intervention—the causal chain and key assumptions through which resources, activities and outputs were expected to produce capacity outcomes.

This section provides guidance on how to trace the capacity development change process to define the different levels of outcomes needed to advance toward a targeted development goal. The first set of guidance notes provides an overview of the steps needed to effectively identify, substantiate and communicate a capacity development results story for stakeholders. The subsequent sets provide in-depth guidance for identifying and documenting institutional capacity results and ICOs.

Building Blocks of a Capacity Development Results Story

A results chain serves as a roadmap for how desired progress toward a targeted development goal can be achieved by presenting a logically linked sequence—from inputs and activities to intermediate outcomes and longer-term results. Practitioners use results chains to think more analytically about cause and effect (Diagram 1). Specifically, results chains help to identify relationships among program components, clarify program objectives, establish key indicators for M&E, explore key assumptions and visualize a program to identify external factors that might influence outcomes.

Basic results chains can be useful for identifying program outputs, outcomes and impact, but they fall short when it comes to defining or describing the change process(es) targeted by capacity development interventions. A more comprehensive approach is needed to describe the transformative change that occurs when potential change agents gain an improved ability or disposition to affect institutional changes that contribute to a targeted development goal.

This guide is based on a conceptual framework for results-focused capacity development, which is a country-led approach wherein local agents design and implement their own change process. This emphasis on change and the definition of capacity development as the process whereby change is enabled makes the challenge of monitoring and measuring results conceptually more tractable. This approach adds value to M&E practice by providing:

- A structured framework to guide and define a theory of change for capacity development
- A change process logic to facilitate the assignment of measurable results indicators
- Sets of intermediate and final outcome indicators that can be flexibly applied across sectors and countries

Diagram 2 articulates the results chain for capacity development programs—the

Diagram 1. Basic Results Chain for M&E

Inputs	Activities	Outputs	Outcomes	Impacts
Resources	What the program or project does	Products or services produced or provided	Results or effects of outputs	Long-term effects
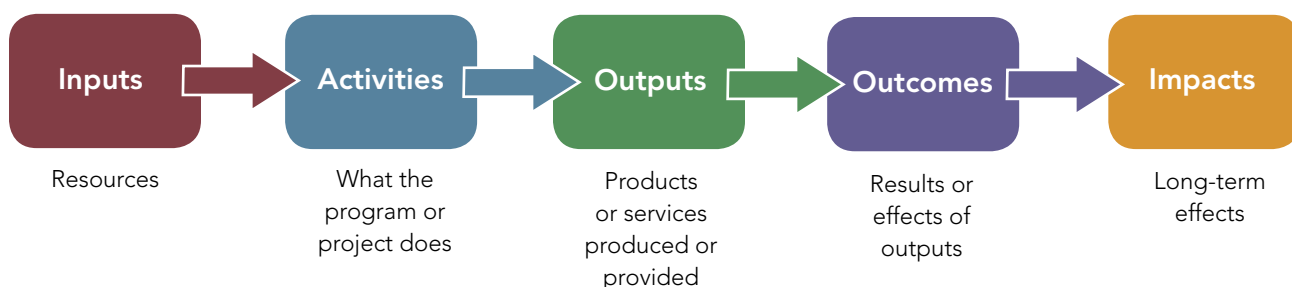
Diagram 2. Capacity Development Process

Development Goal

Changes in Institutional Capacity Areas

Resources
- Financial
- Human
- Technology
- Infrastructure

• Strengthen stakeholder ownership

• Increase efficiency of policy instruments
• Improve effectiveness of organizational arrangements

Agents of Change

Intermediate Capacity Outcomes

- Raised awareness
- Enhanced skills
- Improved consensus and teamwork
- Strengthened coalitions
- Enhanced networks
- New implementation know-how

Capacity Development Interventions

Diagram 3. Tracing a Capacity Development Project Results Chain

Project example: The standard results framework in a World Bank project appraisal document customizes a basic results chain to trace two levels of outcomes for resource investments or capacity development interventions.

Intermediate Outcome	PDO	Development Goal (Impact)
Improved supply of antiretroviral therapy drugs available at treatment centers	Increased access to HIV/AIDS treatment services	Mitigated social and economic impact of HIV/AIDS epidemic
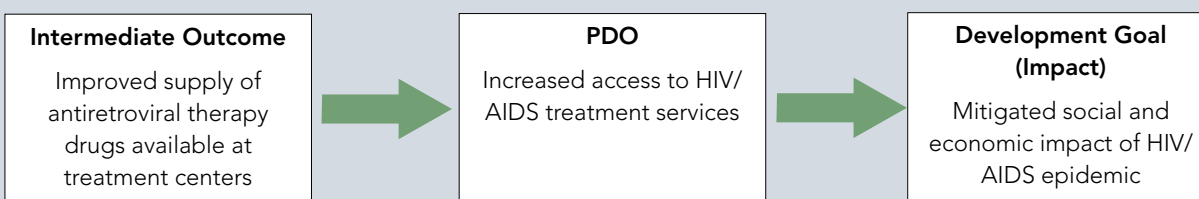
Value added by detailing the results chain: The same basic results logic would be applied, but each major capacity development change process would be identified in terms of the ICOs (evidence of the altered disposition, motivation, knowledge or skills of change agents) and the targeted institutional capacity changes. This more precise and detailed articulation of the program logic allows stakeholders to understand whether capacity development objectives are being achieved as planned, and, if not, what adjustments are warranted to achieve targeted changes in the future.

ICO	Institutional Capacity Change	PDO	Development Goal (Impact)
Strategy implemented at health facilities to improve inventory management	Improved operational efficiency of health facilities (as evidenced by the reliable supply of AVR drugs)	Increased access to HIV/AIDS treatment services	Mitigated social and economic impact of HIV/AIDS epidemic
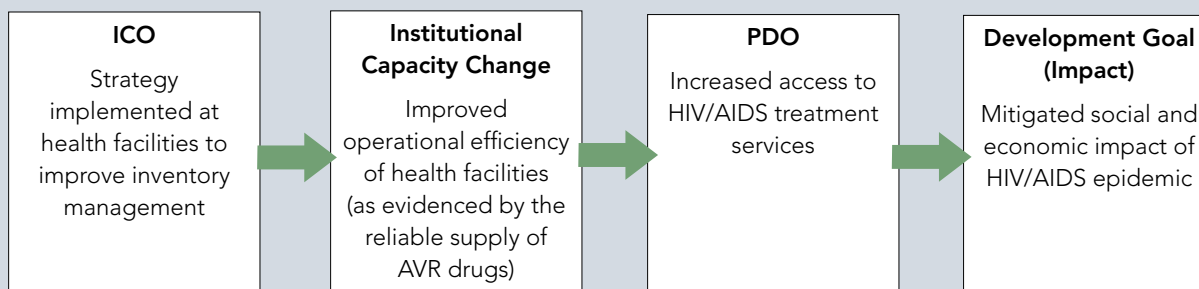
Table 1. Components of a Capacity Development Results Story	
Story Element	**Description**
Development Goal	A beneficiary-centered statement of the desired high-level outcome(s) that articulates what benefits are targeted and for whom
Institutional Capacity Areas (these serve as the change objectives)	The most common challenges to the achievement of the development goal fall into one of three areas: • **Strength of stakeholder ownership:** Low or divergent priority is attached to the development goal by key stakeholders • **Efficiency of policy instruments:** There are deficiencies in the policy instruments guiding pursuit of the development goal by different stakeholders • **Effectiveness of organizational arrangements:** Organizations charged with the achievement of the development goal have weak performance An effective results story explains how interventions helped to enhance one or more characteristics within these institutional capacity areas to remove or minimize the identified challenge(s).
Change Agents	The critical individuals or groups who could play effective roles in managing or initiating the needed changes
Intermediate Capacity Outcomes (ICOs)	An improvement in the ability or disposition of the local change agents to take actions that will effect institutional changes toward the development goal. There are six standard types of ICOs: • Raised awareness • Enhanced knowledge or skills • Improved consensus and teamwork • Strengthened coalitions • Enhanced networks • New implementation know-how
Capacity Development Interventions	The knowledge services provided to address priority reforms and achieve the targeted changes in the institutional constraints. Interventions typically include a combination of learning programs, technical assistance, knowledge exchange experiences or other services and resources.

progression from needs assessments and interventions to outcomes and impact toward development goals.

The individual components of this capacity development change process serve as the building blocks for a results story. Practitioners and evaluators can use these components to explain how a set of capacity development interventions changed the ability or disposition of individuals or groups so that these change agents can affect the institutional changes needed for achieving a development goal.

The benefits of applying this framework to complement and supplement traditional M&E practice can be understood more clearly by considering a specific example from World Bank lending operations in Diagram 3.

When project teams document only PDO-level and intermediate outcomes in the project results framework, they miss the opportunity for assessing capacity change processes and learning about what worked and what did not. This approach helps to diagnose individual capacity change objectives, identify the targeted change processes and assign indicators to measure ICOs and institutional capacity changes for telling a meaningful and comprehensive capacity development results story (Table 1).

Steps for Reviewing Program Results

Using this guidance note to review programs and assess results helps practitioners and evaluators to understand what works in capacity development interventions and compile lessons learned for informing future project design. A retrospective assessment of capacity development results requires both reviewing program documents and also interviewing knowledge partners and other key stakeholders.

Ideally, the process for a retrospective assessment of capacity development results will be iterative, with opportunities built in to refine each capacity development change story and to fill information gaps. The basic steps for this approach follow. This method can be adapted to assess the results of any type of capacity development intervention. In each case, the right mix of data collection and analysis steps will need to be determined based on which key informants and data sources are accessible to the reviewer and the level of resources available to carry out any primary data collection activities.

Basic Approach to Retrospectively Assess Capacity Development Results

- Assemble documents and materials from the entire program cycle
- Review the program background, objectives and activities to identify the targeted development goal and institutional capacity change objectives
- Collect data through interviews of change agents and key informants
- Analyze data to trace each capacity development results story by identifying the pre-existing institutional capacity

constraint (the basis for the capacity development objective), the related ICOs and the corresponding institutional capacity change(s)
- Follow up on data collection as needed to refine the results stories
- Understand the intervention's results by identifying evidence of intermediate and institutional level outcomes

Adapted versions of this approach have been developed and tested both for Bank operations projects with a capacity development emphasis (Approach A) and knowledge exchange or knowledge sharing programs (Approach B).

Adapted Approach A: Steps to Identify the Outcomes of Bank Lending Operations

1. Assemble the available project documentation, particularly the project appraisal document (PAD), midterm review, implementation status reports (ISRs), implementation completion report (ICR) and aide memoires from supervision visits. Where available, standard relevant documents related to completed projects should also be available to consult, including IEG project performance assessment reports, IEG ICR reviews, country partnership strategy completion reports (CPSCR), IEG CPSCR reviews, and IEG country assistance evaluations (CAEs).

2. Review narrative sections of the PAD to understand the project context, looking at the sector and country background sections and the description of project components to understand what institutional capacity characteristics the project was designed to address. Additional documents relevant to the project can be consulted to further

Table 2. Reviewing Project Background Information to Identify Capacity Challenges		
Project	**Narrative Description of Capacity Challenges (Excerpted from PAD)**	**Corresponding Capacity Area and Targeted Characteristic**
Multi-Sectoral AIDS Project (Malawi)	"General awareness of the disease is fairly high, but so are misconceptions about how to avoid the disease. As a result, high risk behavior among sexually active youth and adults continues… The immediate impacts are staggering: 70% of all admissions to hospital medical wards are AIDS related, and HIV/AIDS is now the leading cause of death in the most productive age group (20-49 years)."	**Capacity Area** Strength of Stakeholder Ownership— Compatibility of social norms and values with the development goal **Targeted Characteristic** Widespread changes are needed in the attitudes and behavior of local stakeholders to support the achievement of the development goal (reduce the transmission of HIV/AIDS).
Community and Basic Health Project (Tajikistan)	"There is also lack of transparency and accountability in the flow of funds for primary care, since PHC [primary health care] funds normally flow through hospitals, polyclinics or jamoats (local village councils) and there is plenty of scope for diversion, especially for any non-salary allocations… Informal payments are rampant."	**Capacity Area** Efficiency of Policy Instruments— Resistance to corruption **Targeted Characteristic** The government's health financing and budgeting process needs refinement to reduce opportunities for rent seeking behavior by public officials.
Community-Based Rural Development Project (Burkina Faso)	"Past efforts to tackle the policy, institutional and technological constraints facing the rural poor have been centrally driven and sectorally focused. As a result, their effectiveness has been low. Decentralized decision-making and economic empowerment of beneficiary communities is expected to improve the choice, relevance, cost effectiveness, and maintenance of rural infrastructure… In addition, to meet the demands of the local population, the deconcentration of sectoral ministries… will improve the delivery mechanisms of public goods and services and make them more demand-responsive."	**Capacity Area** Effectiveness of Organizational Arrangements—Operational efficiency **Targeted Characteristic** Village land management committees (the new structure for village-level governance) need to plan, execute and manage local projects to optimize the delivery of public services and infrastructure relative to cost.

develop an understanding of the project context as needed (Table 2).

3. Review the project results framework in all available documents (PAD, ISRs and ICR) to identify indicators and measures related to changes in the targeted institutional capacity development objectives. Note data sources, targets, current values and arrangements for monitoring (Table 3).

4. Examine what capacity development interventions were designed and implemented to contribute to targeted changes in the institutional capacity characteristics, noting the specific activities and the targeted participants.

5. Identify measures of ICOs by reviewing the project results framework—the outcomes expected to occur as a direct result of the capacity development interventions. Note the data sources, targets, current values and arrangements for monitoring (Table 4).

6. Assemble each individual capacity development change story to understand whether and how interventions contributed to the expected results and to explore any instances when project implementation was or should have been adjusted to better achieve those results (see Guidance Note 4 for examples).

Table 3. Identifying Outcomes and Indicators for Institutional Capacity Change Objectives

Project	Targeted Capacity Development Outcome	Measure	Data Source	Measured Values (Evidence of Results)
Multi-Sectoral AIDS Project (Malawi)	Increased compatibility of the development goal (reducing the transmission of HIV/AIDS) with social norms and values	Median age at first sex among 15–24 year olds	Demographic Health Surveys and Multiple Indicator Cluster Surveys	2005—Males: 17 years; Females: 16 years 2007—Males: 16 years; Females: 16 years No targets set
Community and Basic Health Project (Tajikistan)	Increased resistance of the healthcare budgeting process to corruption	Percentage of household expenditure allocated to health care in project-supported areas (measure was established to confirm that funding diversions and demands for informal payments have been minimized/eliminated)	Household surveys by Ministry of Health Department for Reform	Baseline (2003) for Tajikistan: 5% 2007—Sughd: 4.8% 2007—Khatlon: 3.1% No targets set: Household survey data collection was scheduled for after project completion.
Community-Based Rural Development Project (Burkina Faso)	Increased operational efficiency of the Commission Villageoise de Gestion des Terroirs (CVGT—Village Land Management Committee)	Percentage of micro projects that are technically sound and cost-effectively implemented	Project reporting; cost-efficiency analysis	Baseline (2001): 0 At Completion (2007): 90% Target (2007): 75%

7. Fill information gaps as needed by contacting the task team leader (TTL) with questions or by reviewing data or publications provided by other donors who collaborated with the Bank on this intervention. In some cases, reviewers might work with the TTL to identify opportunities to collect additional data on project outcomes from beneficiaries or other key stakeholders.

Adapted Approach B: Steps to Identify the Outcomes of Knowledge Sharing Programs

1. Assemble program documents and materials. Collect any available reports from the entire program cycle. This includes not only final outputs and evaluation reports at the end of the cycle, but also needs assessment documents and demand surveys conducted at the beginning of the program and interim monitoring reports. In addition, obtain materials developed by participants during the knowledge sharing program (KSP), such as presentations, action plans or other artifacts.

2. Review the program background, objectives, and activities. Conduct a desk review of program documents and related materials to understand the country context and development goal(s) toward which the program is oriented. Depending on the quality of information available, the reviewer should be able to construct preliminary hypotheses about the key components of the capacity development change story(ies):

- *Development goal.* Who is (or will be) better off and how, as a result of the knowledge exchange program and related activities over the longer term?
- *Targeted capacity constraints.* Which institutional capacity areas that were impeding the achievement of the

Project	Intermediate Capacity Outcome	Measure	Data Source	Measured Values (Evidence of Results)
Multi-Sectoral AIDS Project (Malawi)	Enhanced knowledge for preventing HIV transmission	Percentage of young people aged 15–24 who correctly identify ways of preventing the sexual transmission of HIV *and* reject major misconceptions about HIV transmission (by gender and residence)	Demo-graphic Health Surveys and Multiple Indicator Cluster Surveys	2005—Males: 37%; Females: 25% 2007—Males: 41.9; Females: 42.1% Targets (2010) Males: 75%; Females: 75%
Community and Basic Health Project (Tajikistan)	Implementation of new healthcare per capita financing strategy	Percentage of total primary health care expenditure paid by capitation in project-supported oblasts (this measure reflects the extent to which the new standard transparent financing formula is being implemented versus reliance on the previous pattern of discretionary spending)	Annual reports of rayon/oblast health depart-ments	Baseline (2006)—0% in two target oblasts 2009—*Sughd* Average: 2.45%; Range: 0.24% to 12.81% per rayon 2009—*Khatlon* Average: 6.0% Range: 1.7% to 18.3% per rayon 2010—*Sughd* Average: 2.05%; Range: 0.36% to 12.31% 2009—*Khatlon* Average: 6.18% Range: 2.72% to 14.09% Target (2012) 100% in Spitamen rayon and 20% in each of the other 43 rayons in two target oblasts
Community-Based Rural Develop-ment Project (Burkina Faso)	Strengthened coalition for governing local development	Percentage of villages with representative and participatory bodies (CVGT or village land management committees) assuming their role in local development	CVGT Annual Reports	Baseline (2001): 0% At Completion (2007): 149% [2,986 CVGTs established, compared to 2,000 targeted at appraisal] Target (2007): 60%
	Formulation of a local development plan	Percentage of villages covered by the project that have adopted a local development plan	CVGT Annual Reports	Baseline (2001): 0% At Completion (2007): 148% [2961 villages adopted plans, compared to 2,000 targeted at appraisal] Target (2007): 75%
	Implementation of the local development plan	Percentage of CVGTs that have substantially completed sub-projects identified in their local development plan	CVGT Annual Reports	Baseline (2001): 0% At Completion (2007): 98% Target (2007): 60%

Table 4. Identifying Intermediate Capacity Outcomes

development goal were targeted for enhancement through program activities? What kind of evidence might be available to measure the needed changes for specific institutional capacity characteristics?

- *ICOs.* What raised awareness, enhanced knowledge or skills, improved consensus and teamwork, strengthened coalitions, enhanced networks, or new implementation know-how was needed to achieve the desired changes in the targeted institutional capacity characteristics? What evidence might be available to identify these outcomes?
- *Change agents.* Which individuals or groups initiated or managed the needed changes?

3. Interview the program officer(s) or other lead stakeholder(s). Fill information gaps and continue to develop an understanding of the capacity development change process(es) by interviewing one or more knowledgeable individuals about the program. Explore the validity of current assumptions and identify data sources or data collection opportunities for gaining evidence of intermediate and/or institutional outcomes.

4. Analyze data to confirm or refine hypothesis. Trace each capacity development change story to understand whether and how interventions contributed to the expected results and to identify gaps in understanding where additional information is still needed.

5. Conduct additional interviews of key informants. As possible, collect qualitative data from other program designers, knowledge providers, participants and other stakeholders well positioned to provide useful contextual information or evidence of outcomes. This step could include field visits and in-person interviews or could be limited to email exchanges and telephone interviews.

6. Follow up as needed to collect evidence from key informants. Continue to develop and refine the results stories through an iterative process, constructing

a more detailed description of the relevant change process(es) and requesting additional clarification and evidence when possible.

Simple, consistent qualitative data collection techniques work effectively for revealing and compiling the evidence of results. Identifying and analyzing intermediate and institutional outcomes through selected steps will provide a detailed understanding of how specific interventions contributed to capacity development results. Guidance for implementing the steps for a retrospective analysis is provided in Section II: Analytical Techniques to Assess Outcomes.

Opportunities for Assessing Country Strategies

Capacity development interventions are often implemented as part of a broader development strategy to further the achievement of a specific development goal. The CDRF can help practitioners to identify and review the results of such a strategy, to explore how various interventions and measurement practices have worked, and to compile lessons learned about capacity development to inform future strategy design.

International development agencies and other organizations design standard strategies to serve as roadmaps for guiding projects and operations. At the World Bank, for example, two main strategies exist at the country level:

- *Poverty reduction strategy.* This document describes a country's long-term vision and is prepared by low-income country governments in consultation with various stakeholders including civil society and the private sector. The strategy establishes macroeconomic, structural and social policy goals with clear country priorities and targets.
- *Country partnership strategy (also referred to as a country assistance strategy).* This document lays out a selective program of World Bank Group support for a particular country. Bank staff developed it, and it takes as a starting point the country's own long-term vision for development. The strategy is designed to promote collaboration and coordination among development partners in a country

and takes into account the Bank's comparative advantages in the context of other donor activities.

Other types of standard development strategies also exist, focused on a specific sector, region or lending environment (such as fragile states). In each of these cases, a key step in drafting a new strategy is to review current challenges, needed institutional capacities and the results of any previous interventions or existing Bank (or other lender) project portfolio. This guide can therefore serve as a tool in this process for retrospectively assessing capacity development results and informing the new strategy development for a country.

Using this guide to review strategies and assess results helps practitioners and evaluators to understand capacity development change processes and document ICOs and the achievement of capacity change objectives. The process is similar to that applied at the project level (see Guidance Note 2). The right mix of data collection and analysis steps will be determined based on the information available, but the process is usually iterative in any case, with opportunities to test and refine hypotheses and fill gaps in understanding. A generic approach to reviewing the capacity development results of any strategy follows.

Basic Approach to Retrospectively Assessing Capacity Development Results at the Strategy Level
- Assemble documents and materials from the entire portfolio cycle as relevant

- Review any background information, objectives, and interventions of the strategy to identify targeted institutional capacity challenges (that is, key challenges the strategy was designed to overcome to further the achievement of one or more development goals)
- Review existing results frameworks and documentation of progress both at the project and portfolio levels (such as portfolio mid-term reviews, project ICRs, etc.)
- Organize and analyze data by tracing each results story by identifying the pre-existing institutional capacity constraint (the basis for the capacity development objective), the related ICOs and the corresponding institutional capacity change(s)
- Collect data through interviews of stakeholders and key informants as needed to fill gaps in understanding
- Refine results stories and follow up on data collection as needed
- Understand the strategy's results by identifying evidence of intermediate and institutional level outcomes to demonstrate how planned interventions were implemented to achieve progress towards targeted development goal(s).

This guidance note can be integrated into the development strategy cycle to inform standard assessment steps such as those that are implemented for a country partnership strategy (CPS) completion report (conducted by a World Bank country team), or for a CAE (conducted by the World Bank Independent Evaluation Group). This approach complements and supplements the typical M&E process to build understanding about what progress has been achieved in developing needed institutional capacities and what change processes have facilitated this progress. The lessons derived from this analysis can lend insights to the strategy development process.

One example of this application could be for the standard review of the CPS. The traditional CPS Completion Report (CPSCR) reports on progress towards achieving strategic objectives without necessarily building a comprehensive understanding of how or why this progress occurred. The standard template leads users through a self-evaluation to identify CPS outcomes for each area of engagement or country pillar, the lending and non-lending activities perceived to contribute to these outcomes and any lessons or suggestions for the new country strategy.

The steps outlined in this guidance note augment this process by guiding users in mapping capacity changes in terms of movement along a defined results chain that is understood within a local context. This should help practitioners to:
- Understand challenges in terms of specific types of institutional capacity change objectives
- Assign indicators to track changes in these characteristics
- Examine interventions and targeted change agents to define needed ICOs
- Assign indicators for ICOs to assess whether they were achieved
- Assess the local context to identify factors affecting the success or failure of interventions
- Derive lessons learned from the intervention, change agents and targeted outcomes to inform future strategies

This approach can be adapted to enhance the standard review process for any development strategy. The steps outlined below are tailored to guide practitioners in the CPS review process for retrospectively assessing capacity development results.

Suggested Steps for Assessing Capacity Development Results for a CPS Completion Report

1. Assemble the available country portfolio documentation. Key documents are likely to include any or all of the following if available:
   - Documents that explain the country context and development goals and priorities, such as the previous CPS

and the Poverty Reduction Strategy Paper (PRSP)
- Country Portfolio Review
- Midterm CPS review (CPS Progress Report)
- Any recent CAE conducted by IEG for the relevant country (these do not map capacity development change processes in detail but are helpful for understanding the country context and outcomes across projects)
- Any internal staff reviews of the portfolio or sectors (such as a review of investment lending performance, corruption vulnerabilities, etc.)
- Project documents, particularly PADs and ICRs
- Any reports related to Economic and Sector Work in the country

2. Review background documents (such as CPS, PRSP) to understand the portfolio context. For an effective and accurate retrospective assessment of capacity development results, the practitioner should review and crosscheck documents as needed to identify:
- The longer-term strategic goals (development goals) to which the country assistance strategy has been designed to contribute
- The institutional capacity challenges that impede the achievement of the development goals and that the country portfolio was designed to address

This step provides the foundation for tracing individual capacity development change processes achieved during the CAS period by articulating the various stages of the change process, including the targeted development goals and translating country and institutional capacity change objectives (see Guidance Note 6).

3. Review the results matrix of the current CPS and all project results frameworks in the country portfolio. Available documents (PADs, ICRs, etc.) should be consulted to identify indicators and measures related to changes in the targeted institutional capacity objectives (characteristics). Note data sources, targets, current values,

and arrangements for monitoring to assess any progress and issues in addressing these capacity change objectives during the CAS period.

4. Identify the main capacity development interventions in the portfolio that were designed to influence targeted institutional changes, noting the specific activities and the targeted participants.

5. Determine the measures of ICOs by reviewing the CPS and project results frameworks—these are the outcomes expected to occur as a direct result of the capacity development interventions. ICOs reflect an improvement in the ability or disposition of stakeholders to take needed actions (see Guidance Note 9). Identify the data sources, targets, current values and arrangements for monitoring. Note: ICOs are commonly missing in portfolio and project documents, so supplemental data collection might be required (see Step 7)

6. Assemble the main individual capacity development change stories reflected in the country portfolio. Identifying how projects helped local change agents to initiate or manage needed changes will help build an understanding about whether and how interventions contributed to the expected results. Tracing each capacity development results chain highlights what has worked for achieving the capacity change objectives and provides important information about instances when project implementation was or should have been adjusted.

7. Fill information gaps as needed by contacting project leaders or country teams with questions or by reviewing data or publications provided by other donors who collaborated with the Bank on components of the portfolio. In some cases, reviewers might work with project teams to identify opportunities to collect additional data on project outcomes from beneficiaries or other key stakeholders.

A typical review of a country development strategy is intended to derive practical lessons from the past to inform the development of the new country strategy and, in the case of the CPSCR, the refinement of the Bank's ongoing

country portfolio. This guidance note can be applied across all sectors and types of capacity challenges to help ensure that practitioners understand the capacity development results achieved and the processes through which these outcomes occurred.

This approach to completing the standard CPSCR exercise will allow country teams to better understand how well capacity development interventions have worked in specific contexts. Table 5 explores how the CPSCR form (self-evaluation) could be populated to share the lessons gained from tracing the results chains for capacity change objectives.

Table 5. Three Examples of Applying this Approach to CPS Completion Report				
Information in Existing CPSCR Self-Evaluation			**Potential Value Added by this Approach**	
CPS Outcome	**Status**	**Lessons for the New CPS**	**Capacity Change Objective**	**Lessons Gained from Tracing Results Chains for Capacity Change Objective**
The outcomes presented in the strategy's results matrix	*The status rating (Dropped, Achieved, etc.) with supporting data/ information*	*Suggestions for the team preparing the new CPS*	*Using standard terms to define challenges and desired results*	*Exploring change agents role(s) and targeted ICOs to help explain what worked and why*
Improved access to and quality of water supply	Achieved. 100% of microbiological water quality samples in pilot areas meet target values and collection rates improved—average collection ratio is 92%	"Pilot activities increased the collection rates of utilities for sustainable access to quality water and this now needs to extend beyond the pilot towns."	Effective organizational arrangements: Water and sewer utilities need to achieve targeted outcomes while having financial viability	What worked? What steps and conditions are needed for these results to be replicated? Identifying which measurable improvements in the abilities or dispositions of specific stakeholders (the ICOs) contributed to the achievement of target values in the pilot areas would provide critical information for effectively scaling up these results.
Financially and socially viable pension system	Partially achieved. Transparency increased, with international accounting standards introduced and regular financial audits conducted. New public awareness promoted the establishment of individual accounts for all pension contributors; but all employers do not comply with requirements.	"Ongoing improvements to the pension system are critical for sustained economic growth and poverty reduction."	Strong stakeholder ownership: Improved transparency and public attitudes are needed to change widespread behavior and encourage pension contributions	Why were targeted outcomes not fully achieved? A retrospective assessment starts with a full review of existing institutional capacity challenges. In this case, the review would highlight inconsistent policies. Employers should pay contributions on behalf of employees, but a recent law on contribution amnesty reduced the incentives for compliance among employers. The current policy framework is therefore impeding efforts to increase the compatibility of social norms with the development goal.
Improved health system performance	Achieved. The quality of primary healthcare services improved through strengthened compliance of providers with MOH standards: 100% of performance agreements between central authorities and health care providers include outcome indicators in line with MOH priorities	None noted	Efficient policy instruments: Increased incentives for compliance and more clearly defined roles and responsibilities for providers are needed to assure the delivery of higher quality primary health care services	What institutional capacity was needed to contribute effectively to the CPS outcome? Identifying different levels of outcomes is critical for assessing progress along a results chain. This provides a clear roadmap for understanding how the development of new policies and standards (the ICO level) led to increased compliance among stakeholders (the capacity change objective). This compliance in turn led to better coverage and quality of healthcare services (the targeted CPS outcome).

Note: These examples are taken from existing CPSCR self-evaluation tables. Each targeted CPS outcome is linked to a specific development goal to which the CPS has aimed to contribute.

Guide to Writing a Results Story

How do you tell the story of how programs or projects have contributed to a particular development goal? Being able to communicate this story for stakeholders is critical for sharing lessons about what worked, supporting longer-term capacity changes, and being accountable to funders. Once practitioners or evaluators have identified the main components of the capacity development change process(es) (Guidance Note 1) and collected evidence of outcomes (Guidance Notes 2 and 3), they will be able to depict an intervention's or strategy's capacity development change logic.

A diagram based on the model in Diagram 4 provides an effective means for conveying a potentially complicated capac-

ity development results story in an easy-to-understand format. Two tips help to ensure that stakeholders can derive the needed information:

- Include only enough summary detail in the boxes to clarify the main change logic. Specific evidence and additional details for each step can be included in accompanying text.
- Provide a chain of boxes for each targeted institutional capacity constraint. Capacity development efforts often address more than one challenge impeding the achievement of a development goal and these separate processes can be depicted in a single diagram to reflect a comprehensive approach.

Diagram 4. Template for Showing Capacity Development Change Processes

Development Goal

↑

Targeted Institutional Capacity Area

↑

Description of Specific Institutional Capacity Change Objective

↑

Description of Change Agents and Change Process
(how the improvement in the stakeholders' ability
or disposition leads to institutional changes that
contribute to the development goal)

↑

Description of Intermediate Capacity Outcomes

↑

List of Capacity Development Interventions

Diagram 5. Example of Tracing One Capacity Development Change Process

Improve the socioeconomic development of the Dominican Republic by contributing to its export development

Strength of stakeholder ownership

Commitment of leaders
High-level government officials need to envision the trans-formation of the economy that could result from export development to promote the needed changes.

Change process and change agents
Government officials understand the potential economic growth fostered by export development and the changes necessary to achieve this growth.

Intermediate capacity outcome
Raised awareness: Key high-level government officials become aware of the potential benefits of export development that could be achieved through reducing electricity losses, fostering public-private collaboration, and creating international trade networks.

Consecutive knowledge sharing program projects
Export Development for the Dominican Republic
Improving the Export Infrastructure and Electric Power System
Establishment of the Dominican Export-Import Bank

Diagrams 5 and 6 demonstrate how this approach was applied in a joint study conducted by the Korea Development Institute and WBI. The first diagram traces an individual change process and the second figure shows this one change story within the broader web of change processes being facilitated by the capacity development interventions.

Depending on the target audience(s), a detailed report can be constructed to document the capacity development outcomes and share lessons learned.

An example of a report outline for documenting capacity development results:

I. Overview of Program, Project, or Strategy
    II. Development Goal
    III. Strategic Context for [Country or Countries]

IV. Capacity Development Objectives (presented in terms of existing capacity challenges being targeted)
V. Program Description
    a. Design of the Capacity Develop-ment Intervention
    b. Knowledge Partners (explaining why specific consultants or content pro-viders were selected to empower the change agents to manage or initiate the needed changes)
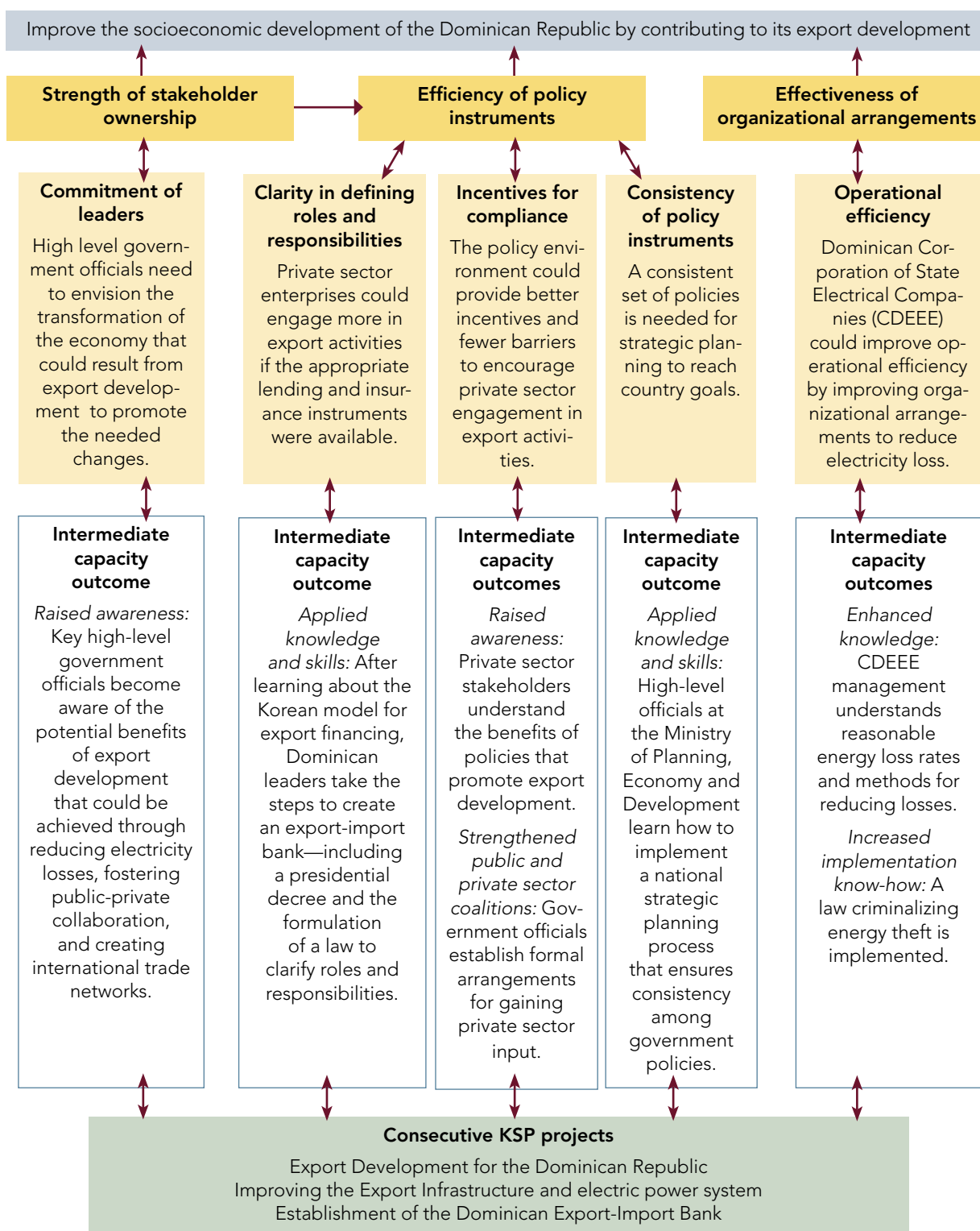   c. Participants (presented in terms of their positioning as change agents)
VI. Outcomes
    a. Targeted Change Process I
        i. Intermediate Capacity Outcomes
        ii. Institutional Capacity Outcomes
    b. Targeted Change Process II (repeat sequence above as needed)
VII. Lessons and Implications
    a. Success Factors
    b. Lessons

Diagram 6. Example of Tracing Multiple Change Processes

Improve the socioeconomic development of the Dominican Republic by contributing to its export development

Strength of stakeholder ownership

Efficiency of policy instruments

Effectiveness of organizational arrangements

Commitment of leaders

High level government officials need to envision the transformation of the economy that could result from export development to promote the needed changes.

Clarity in defining roles and responsibilities

Private sector enterprises could engage more in export activities if the appropriate lending and insurance instruments were available.

Incentives for compliance

The policy environment could provide better incentives and fewer barriers to encourage private sector engagement in export activities.

Consistency of policy instruments

A consistent set of policies is needed for strategic planning to reach country goals.

Operational efficiency

Dominican Corporation of State Electrical Companies (CDEEE) could improve operational efficiency by improving organizational arrangements to reduce electricity loss.

Intermediate capacity outcome

Raised awareness: Key high-level government officials become aware of the potential benefits of export development that could be achieved through reducing electricity losses, fostering public-private collaboration, and creating international trade networks.

Intermediate capacity outcome

Applied knowledge and skills: After learning about the Korean model for export financing, Dominican leaders take the steps to create an export-import bank—including a presidential decree and the formulation of a law to clarify roles and responsibilities.

Intermediate capacity outcomes

Raised awareness: Private sector stakeholders understand the benefits of policies that promote export development.

Strengthened public and private sector coalitions: Government officials establish formal arrangements for gaining private sector input.

Intermediate capacity outcome

Applied knowledge and skills: High-level officials at the Ministry of Planning, Economy and Development learn how to implement a national strategic planning process that ensures consistency among government policies.

Intermediate capacity outcomes

Enhanced knowledge: CDEEE management understands reasonable energy loss rates and methods for reducing losses.

Increased implementation know-how: A law criminalizing energy theft is implemented.

Consecutive KSP projects

Export Development for the Dominican Republic
Improving the Export Infrastructure and electric power system
Establishment of the Dominican Export-Import Bank

A well-documented capacity development results story can be adapted to various approaches and formats but should follow a logical progression such as the one described in the above outline.

Additional guidance and examples for writing results stories can be found in two publications, posted at www.worldbank.org/capacity: *Reviewing Project Results Retrospectively Using a Results-Focused Approach to Capacity Development* and *Using Knowledge Exchange for Capacity Development: What Works in Global Practice?*.

Understanding Institutional Capacity Change Objectives

Capacity development interventions are designed and implemented to address challenges at the local, country, or regional level that are impeding the achievement of a particular development goal. Identifying the success of these interventions is possible only if the capacity development objective(s) have been articulated so that the targeted effects are specific and measurable. Identifying the existing institutional capacity challenges at the start of an intervention or strategy is therefore a critical first step for understanding what worked and what did not work for any capacity development intervention.

Capacity development interventions are either explicitly or implicitly designed to address one or more of three types of institutional capacity challenges:

- **Strength of stakeholder ownership**
  Low or divergent priority is attached to the development goal by key stakeholders.

- **Efficiency of policy instruments**
  There are deficiencies in the policy instruments guiding pursuit of the development goal by different stakeholders.

- **Effectiveness of organizational arrangements**
  Organizations charged with the achievement of the development goal have weak performance.

For each of the capacity areas represented by these challenges, there are characteristics—individual change objectives—that can be enhanced through capacity development interventions (Table 6). This set of 19 capacity change objectives provides a comprehensive and standardized approach for the measurement of capacity development results. Descriptions and definitions for these objectives are available at www.worldbank.org/capacity.

Whether capacity development is the main focus of a program (such as

Table 6. Institutional Capacity Change Objectives

Strength of Stakeholder Ownership	Efficiency of Policy Instruments	Effectiveness of Organizational Arrangements
• Commitment of social and political leaders • Compatibility of social norms and values • Stakeholder participation in setting priorities • Stakeholder demand for accountability • Transparency of information to stakeholders	• Clarity in defining rights and responsibilities • Consistency • Legitimacy • Incentives for compliance • Ease of administration • Risk for negative externalities • Suitable flexibility • Resistance to corruption	• Clarity of mission • Achievement of outcomes • Operational efficiency • Financial viability and probity • Communications and stakeholder relations • Adaptability

Table 7. Using Descriptions of Capacity Challenges to Identify Change Objectives			
Sector Focus	Narrative Description of Capacity Challenges (excerpted from PAD)	Generic Capacity Change Objective	Targeted Capacity Development Objective
HIV/AIDS Treatment and Prevention	"General awareness of the disease is fairly high, but so are misconceptions about how to avoid the disease. As a result, high risk behavior among sexually active youth and adults continues…The immediate impacts are staggering: 70% of all admissions to hospital medical wards are AIDS related, and HIV/AIDS is now the leading cause of death in the most productive age group (20–49 years)."	Strength of Stakeholder Ownership— Compatibility of social norms and values	Reduced high-risk behavior among sexually active youth and adults
Community and Basic Health	"There is also lack of transparency and accountability in the flow of funds for primary care, since PHC [primary health care] funds normally flow through hospitals, polyclinics or jamoats (local village councils) and there is plenty of scope for diversion, especially for any non-salary allocations… Informal payments are rampant."	Efficiency of Policy Instruments— Resistance to corruption	Increased resistance to corruption of the primary health care budget process
Municipal Development	"The [City Council] faces serious constraints in both revenue generation and budget planning and control… It is estimated that only 20 percent of brick and with piped water and 5 percent of the total properties in the city are being taxed. The municipality lacks an updated cadastre and other tools to increase property tax revenues as well as other local taxes and fees. On the expenditure side…weaknesses remain in planning, execution, and control of expenditures."	Effectiveness of Organizational Arrangements— Financial viability and probity	Improved financial management of the city council

a knowledge exchange intervention, technical assistance project, etc.) or just one component of a multifaceted Bank project (such as a project developing transport infrastructure), practitioners should clearly identify the capacity development change objectives to assess whether or not they have been achieved.

In retrospective evaluations, practitioners or evaluators can review the original problem statement and/or the country and sector context to identify which institutional capacity challenges the project was designed to address. As demonstrated by the three case examples in Table 7, World Bank project appraisal documents usually include sufficient details in their narrative description to:

- Identify the general institutional capacity area targeted for change by the project
- Refine the understanding of the change(s) needed within the institutional capacity area to pinpoint one or two specific change objectives
- Translate the generic change objectives into specific customized outcomes targeted by the project

Practitioners should not attempt to identify or assign indicators and data sources until this basic understanding of the targeted capacity development outcome(s) has been established.

Checklist for Identifying Targeted Capacity Change Objectives

Defining capacity challenges allows practitioners or evaluators to assign indicators for measuring changes in targeted institutional capacity areas. Using effective indicators for standard types of capacity change objectives will help build a systematic understanding over time about what does and does not work in capacity development.

The questions in Tables 8–10 can help practitioners or evaluators to identify the main capacity challenges that capacity development interventions were designed to address. In any given case, other considerations may exists that are not included in the checklist, so the individual user should exercise judgment. Also, an effective capacity development intervention will likely target changes in only a small set of characteristics at a time, so practitioners should think in terms of the high priority changes needed when using these checklists.

Table 8. Strength of Stakeholder Ownership Checklist	
Capacity Characteristic	*Check if the answer is "no" in relation to the target development goal*
Commitment of political and social leaders	❑ Was there a clear commitment from relevant leaders (such as, at community, sub-national, national levels) to achieve the targeted development goal?
Compatibility with social norms and values	❑ Was the development goal consistent with the current social norms and values of local stakeholders?
Stakeholder participation in setting priorities	❑ Was there an established mechanism for stakeholders to voice their opinions related to the development goal? ❑ Was the mechanism supported by the relevant leaders engaged in setting priorities related to the development goal?
Transparency of information to stakeholders	❑ Was information related to the development goal shared regularly with stakeholders? ❑ Was detailed information related to the development goal accessible to stakeholders (such as, available easily on the Internet)?
Stakeholder demand for accountability	❑ Have stakeholders' demands for government accountability been affecting the quality of service delivery by the government?

Table 9. Efficiency of Policy Instruments Checklist

Capacity Characteristic	Check if the answer is "no" in relation to the target development goal
Clarity in defining rights and responsibilities	❑ Was there any established regulatory mechanism that could be used to support efforts and formally guide changes related to the development goal?
Consistency	❑ Were the policies or regulatory mechanisms which support the development goal consistent (not in conflict) with other policies or regulatory mechanisms needed to achieve development goals of other projects?
Legitimacy	❑ Was the current process related to the development goal transparent? ❑ Was the current process in formulating policies related to the development goal participatory?
Incentives for compliance	❑ Was there enough compliance by stakeholders for the development goal-related policies to function?
Ease of administration	❑ Was the current administrative capacity sufficient to implement the policy instrument?
Risk of negative externalities	❑ Did the policy take into consideration unintended (negative) effects that might occur during the pursuit of the development goal?
Flexibility	❑ Could the policy instrument accommodate revisions as necessary to adapt to changes in the social and political environment?
Resistance to corruption	❑ Did the policy include any measures to minimize opportunities for corruption?

Table 10. Effectiveness of Organizational Arrangements Checklist

Capacity Characteristic	Check if the answer is "no" in relation to the target development goal
Clarity of mission	❑ Did the organization have publications (internal or external) that described the mandate (vision and mission) of the organization? ❑ Did the organization have an annual business plan with clearly defined responsible units and personnel for various tasks?
Achievement of outcomes	❑ Did the organization have an annual business plan with clear objectives for its work? ❑ Did the organization have a system (informal or formal) to periodically report the progress of its work against the objectives?
Operational efficiency	❑ Did the organization have an annual business plan with a defined set of activities accompanied by a budget, timeline, and responsible personnel assigned? ❑ Did the organization have a system (informal or formal) to receive confirmation from its stakeholders about the completed work?
Financial viability and probity	❑ Did the organization have the funds to sustain its operating costs? ❑ Did the organization issue annual income and expenditure reports?
Good communications and stakeholder relations	❑ Did the organization have stakeholders' cooperation and support to meet its goals?
Adaptability	❑ Was the organization proactive in obtaining up-to-date information on development goal-related areas? ❑ Did the organization research innovative ways to improve its processes?

Assigning Indicators and Data Sources for Assessing Achievement of Capacity Change Objectives

Once practitioners or evaluators have defined the specific capacity development outcomes (change objectives) targeted by interventions, they should assign indicators to assess whether desired changes happened as planned. Establishing effective indicators requires thinking through how these changes can be observed and measured to confirm that the capacity development outcomes have been achieved.

Appropriate indicators for capacity development outcomes could be quantitative or qualitative, depending on the nature of the capacity change desired. In either case, they should have the following SMART characteristics:

- **Specific.** Indicators should reflect simple information that is communicable and easily understood by the provider and the user of the information.
- **Measurable.** Changes should be objectively verifiable.
- **Achievable.** Outcomes and indicators must be achievable and sensitive to change during the life of the project.
- **Relevant.** Indicators should reflect information that is important for assessing outcomes to be used for management or immediate analytical purposes.
- **Time-bound.** Progress can be tracked at a desired frequency for a set period of time and assessed accordingly.

The process of selecting indicators should always include the consideration of existing data sources and/or the feasibility of collecting the relevant data. Changes in stakeholder perspectives or behaviors are often tracked via surveys whereas changes in the operational efficiency of an organization might be captured through the analysis of existing administrative records. Practitioners or evaluators may find that existing indicators are adequate for measuring the achievement of targeted change objectives. If existing indicators are not sufficient, it is possible to conduct additional data collection and/or analysis after project completion (see Section II: Analytical Techniques to Assess Outcomes).

Tables 11–13 provide examples of indicators used in existing Bank projects to assess the achievement of capacity change objectives. These cases identify the development goal to which the intervention was expected to contribute and describe the capacity development outcome that was intended as a result of the envisioned capacity development change process. Indicators are provided to show how changes in specific characteristics related to the outcome could be observed and measured to assess whether the targeted objective is being achieved.

The examples in Tables 11–13 demonstrate how capacity development results can be assessed across sectors and across institutional capacity areas. Additional examples can be found in the Institutional Capacity Indicators Database (see Guidance Note 7).

Table 11. Examples of Indicators to Assess Changes in the Strength of Stakeholder Ownership

Development Goal	Capacity Development Objective	Indicator	Data Source
Promote environmentally sustainable urban transport	Increased use of Bus Rapid Transit System by automobile owners	Percentage of surveyed residents who perceive that walking and cycling have become safer and more comfortable in project area Proportion of Bus Rapid Transit System riders accessing the system through bicycles or on foot	Surveys of bus riders
Establish a functioning local government system	Improved transparency of information regarding decentralization efforts	Percentage of households that reported hearing about government efforts from an official source: How do you hear about what the government is doing? • No source • Relatives, friends, neighbors, co-workers • Community bulletin board • Village headman/headwoman • Paramount or section chief/chiefdom officials • Newspaper • Radio • TV • Other	Institutional Reform and Capacity Building Project National Public Services Survey
Improve public services in targeted urban areas	Increased participation of community stakeholders in decisions regarding local public services	Participation rate of poorest and vulnerable community members in planning and decision-making meetings Participation rate of women in planning and decision-making meetings Percentage of kelurahans (urban wards) with established community boards of trustees	Surveys and attendance records in Management Information System

Table 12. Examples of Indicators to Assess Changes in the Efficiency of Policy Instruments

Development Goal	Capacity Development Objective	Indicator	Data Source
Increase the quality of primary education	Increased compliance with credentialing requirements among teachers	Percentage of public school teachers who meet professional standards for licensing	Ministry of education teacher licensing data
Improve the health status of the population	Improved clarity regarding oversight responsibilities for different types of health professional education programs	Clear designation for policies and responsibilities on professional accreditation, certification, and school licensure for each profession. Is a body established to provide oversight on standards for accreditation, content, and conduct [yes, no] for: • Medical education • Dental education • Nursing education • Midwifery education	Records of Central Project Coordination Unit
Provide citizens with better public services and infrastructure	Increased use of automated selection procedures for field audits	Percentage of field audits selected by automated procedure	Tax committee data

Table 13. Examples of Indicators to Assess Changes in Effectiveness of Organizational Arrangements			
Development Goal	**Capacity Development Objective**	**Indicator**	**Data Source**
Improve sustainable access to safe water supply	Increased financial viability of the Water and Sewerage Authority	Operational cost ratio (percentage cost recovery) of Water and Sewerage Authority	Audited Financial Statements of Water and Sewerage Authority
Improve employment rates	Increased level of employment of individuals using labor office services	Percentage of respondents, ages 14 and older, who indicated they found their job through the labor office	Living Standards Measurement Survey
Improve land tenure security	Reduced cost of land registration process at pilot project department	Per unit cost and time of regularization process	Intendance titling information system

Institutional Capacity Indicators Database

The Institutional Capacity Indicators Database* is a practical resource to help monitor, evaluate, and report tangible results for capacity development programs. The database is a searchable catalogue of real-world capacity characteristics and their indicators. In this way, project teams can break institutional capacities down into observable and measurable units to retrospectively assess results.

Task team leaders (TTLs) often need concrete results for capacity development interventions, to show the viability of their efforts and accountability to stakeholders and donors. However, evaluation of capacity development activities often focuses on measuring outputs rather than outcomes. Also, the absence of appropriate indicators

and failure to effectively track them limit the possibility for TTLs to make needed, timely adjustments to their programs.

WBI developed the database for TTLs to find examples of indicators and measures for various institutional capacity challenges their projects face. It features examples of indicators from a review of development databases and approximately 200 existing and closed World Bank projects across sectors and regions.

TTLs can search the database to:
- Identify characteristics of institutional capacity for exploring the results of capacity development
- Identify indicators of those characteristics for evaluating institutional change
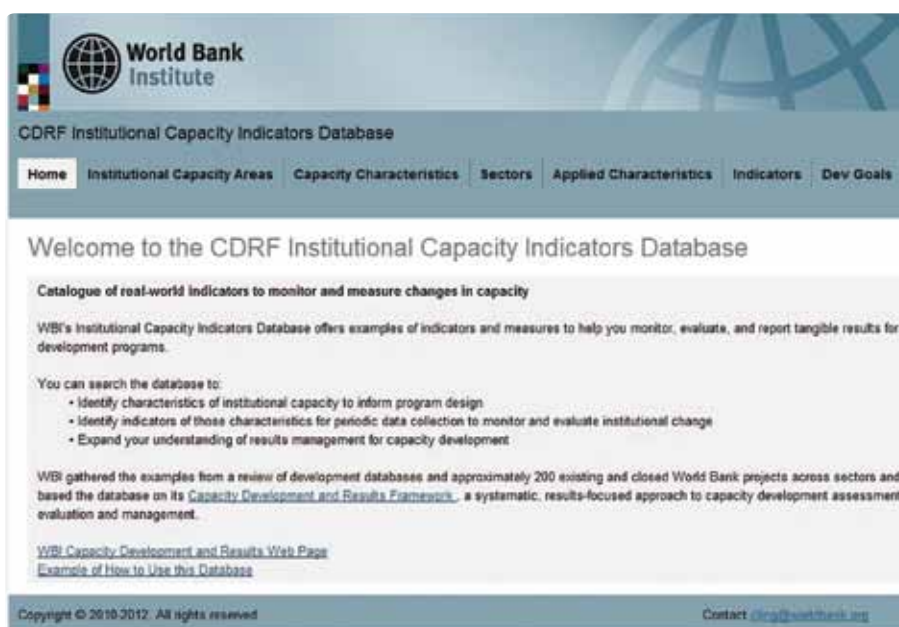
*The database is available online for World Bank staff only at http://wbicdrf.worldbank.org. External users can request a searchable Excel document by emailing capacity4change@worldbank.org.

- Prioritize characteristics according to the most needed results
- Expand their understanding of results management for capacity development

For example, a TTL within an Urban Development sector focuses on public sector governance. She is working on a capacity development program with the goal of improving public services in targeted urban areas. Initially, she planned to focus primarily on organizational capacity development. Using the Institutional Capacity Indicators Database to inform her retrospective assessment of project results, she identified stakeholder ownership as a key institutional capacity area targeted by project interventions.

Through the database, the TTL understood how constraints to stakeholder ownership could be assessed to reflect the program's ability to achieve locally owned results. She searched the database for examples of capacity characteristic outcome indicators and their measures to help assign appropriate indicators. Together with stakeholders, she also prioritized which characteristics to measure by defining the most needed results.

Table 14 gives an example of using the database to clarify an institutional capacity change objective, its outcome and indicator that the TTL could use to assess the results of the capacity development program.

Table 14. Example of Using the Database to Assess Results	
Database Category	*Sector is Urban Development*
Development Goal	Improve public services in targeted urban areas
Institutional Capacity Area	Stakeholder ownership
Institutional Capacity Change Objective	Increased stakeholder participation in setting priorities
Outcome	Increased participation of community stakeholders in decisions regarding local public services
Indicator	Participation rate of poorest and vulnerable community members in planning meetings
Data Sources	Community survey and meeting minutes

Understanding Intermediate Capacity Outcomes

An ICO is an improvement in the ability or disposition of agents of change to take actions. This improvement is considered an intermediate capacity outcome, because the expectation is that the agents of change—thanks to the improved ability or disposition—will act to effect institutional changes toward the development goal of a capacity development program. Being able to understand and identify ICOs is critical for accurately tracing capacity development change processes and deriving lessons about what worked and what did not work in capacity development interventions.

An ICO is the result of one or several steps (or deliverables) in the capacity development intervention (or initiative). These steps can involve different instruments (or learning approaches), including learning-by-doing. The CDRF provides a typology of six standard ICOs that agents of change can achieve to contribute to institutional level changes. Table 15 presents the ICOs,

Table 15. Intermediate Capacity Outcomes, Definitions and Attributes

ICO	Definition and Operational Attributes
Raised awareness	*Increased disposition to act, through, for example, improved:* Understanding, attitude, confidence, or motivation
Enhanced knowledge and skills	*Increased ability to act, through:* Acquisition or application of new knowledge and skills
Improved consensus and teamwork	*Strengthened disposition or ability to act through improved collaboration within a group of people tied by a common task. This may involve for example, among team members, a stronger agreement or improved:* Communication, coordination, cohesion, or contributions by the team members to the common task
Strengthened coalitions	*Strengthened disposition or ability to act through improved collaboration between individuals or groups with diverse objectives to advance a common agenda. This may involve, for example:* Stronger agreement on a common agenda for action, increased commitment to act, improved trust among members, or improved ability of the coalition members to leverage their diverse strengths
Enhanced networks	*Strengthened disposition or ability to act through improved collaboration between individuals or groups with a common interest but not a formal common agenda for action. This may involve, for example:* Improved processes for collaboration, stronger incentives for participation in the network, or increased traffic or communication among network members
Increased implementation know-how	*Strengthened disposition or ability to act, arising from:* Formulation or implementation of polices, strategies, or plans This may involve, for example, discovery and innovation associated with learning by doing.

their definitions and attributes. Annex 2 provides examples of these attributes.

Once practitioners have identified their capacity change objectives (targeted changes in institutional capacity), they can trace the change process logic intended to achieve these objectives (examples in Table 16). The ICOs reflect the initial change results of capacity development interventions and serve as important milestones for monitoring progress. In cases where targeted ICOs have not been explicitly identified during a project or program's design stage, it is possible to retrospectively identify the needed initial change results and assess whether these have been achieved.

The intermediate stage of the program change logic can be explored and clarified by asking the following questions:

- Who were the agents of change who initiated or managed the desired change process (es)?
- What ICOs led to the measurable changes in institutional capacity characteristics? Specifically, what changes in the ability or disposition of stakeholders led to or facilitated the institutional capacity change?
- What capacity development interventions contributed to the targeted ICOs?

ICOs should be identifiable for all capacity development interventions, regardless of their sector focus or higher-level institutional capacity change objectives. Even at the sector or country strategy level, capacity change processes can be understood only when ICOs have been clearly articulated. The assessment of a strategy in this case nearly always requires practitioners to trace capacity development changes within specific projects to identify the ICOs and capacity development results for the overall portfolio.

Practitioners need to understand how an ICO serves as an intermediate step toward a needed institutional capacity change before attempting to assign any indicator or data source for assessment.

Table 16. Examples of Intermediate Capacity Outcomes in World Bank Projects			
Sector Focus	**Institutional Capacity Change Objective**	**Generic ICO**	**Specific ICO**
Public sector governance	Increase the transparency of information about decentralization and intergovernmental transfers	Raised awareness	Awareness among community members of decentralized governance structure
Transport	Improve the achievement of outcomes by transport authorities	Enhanced knowledge or skills	Completion of the municipality's Transport Master Plan
Community and basic health	Increase the operational efficiency of primary healthcare facilities in delivering services to those who need them	Improved consensus and teamwork	Expansion of participatory process for budgeting to link strategic objectives with budget allocations
Agriculture and rural development	Foster stakeholder participation in priority setting for increasing the productive capacity of the rural sector	Strengthened coalitions	Establishment of inter-municipal road consortia by clusters of municipalities
Public financial management	Increase the demand for the accountability of public service providers in public financial management	Enhanced networks	Establishment of National Budget Oversight Network
Public sector governance	Increase the operational efficiency of the village land management committee in planning and implementing rural development	New implementation know-how	Formulation of strategy by village land management committee for local development

Checklist for Identifying Targeted Intermediate Capacity Outcomes

ICOs reflect an improvement in the ability or disposition of change agents to take the actions needed to achieve capacity change objectives. These improvements too often fall within the "black box" of capacity development—remaining undefined and unmonitored despite the fact that they are intermediate milestones representing critical progress towards targeted higher-level institutional capacity changes.

Defining desired ICOs allows practitioners or evaluators to assign indicators for assessing and documenting the capacity development change process. Such indicators can be identified during the project design phase or retrospectively by reexamining the project context and interventions. For instance, project teams might have assigned and tracked indicators for individual capacity development components that reflect important ICOs needed to achieve capacity change objectives.

The questions in Table 17 can help practitioners or evaluators to explore and possibly identify which ICOs a capacity development intervention was designed to produce. These questions are phrased in the past tense to support a retrospective assessment. However, they could also be asked in the present tense during the design phase to help define which improvements in the ability or disposition of stakeholders interventions will be developed to produce.

Not all of the questions will be relevant for a specific capacity development intervention, but practitioners can use this list to consider retrospectively which ICOs were (or should have been) targeted as part of a capacity development change process. In cases where task team leaders or other practitioners lack sufficient information to accurately address these points retrospectively, the questions should simply be answered to the extent feasible.

Practitioners must identify and understand targeted ICOs before they can successfully assign indicators and methods or data sources for tracking their achievement (described in Guidance Note 11).

Table 17. Questions for Clarifying Needed Intermediate Capacity Outcomes

ICO	Check if the answer is "no" in relation to the target development goal
Raised awareness	❑ Did the change agents have sufficient knowledge of the <issue>? ❑ Did they understand their role in improving the current situation? ❑ Were they sufficiently motivated to take the needed actions? ❑ Were they confident that they could take the needed actions?
Enhanced knowledge and skills	❑ Did the change agents have adequate technical skills and/or knowledge related to <issue> to make the current situation better? ❑ Did they know how to apply the needed knowledge or skills in their work? ❑ Did they have the managerial support to apply the needed knowledge or skills? ❑ Was the environment in the change agents' workplace conducive to applying these skills?
Improved consensus and teamwork	❑ Were there any problems among or within the change agents related to poor teamwork? [check if yes] ❑ Were change agents able to work effectively together on <issue>? ❑ Were they able to reach agreement on <issue>? ❑ Were all key stakeholders (other than change agents) included in the decision-making process related to <issue>? ❑ Was there effective and sufficient communication among team members? ❑ Were team members committed to improving the situation related to <issue>?
Strengthened coalitions	❑ Did the change agents collaborate in any form with any external partners on <issue>? ❑ Were the roles and responsibilities within established partnerships clear related to <issue>? ❑ Did the members of the established partnerships or coalitions share a common agenda for action related to <issue>? ❑ Was there sufficient trust among members of the coalition to work effectively together? ❑ Were the partnerships or coalition structured appropriately to leverage diversities related to <issue>? ❑ Was the structure of the partnership or coalition formal enough to support an effective decision making process related to <issue>?
Enhanced networks	❑ Were the relevant stakeholders' involvement in the decision making process ensured? ❑ Did individual members have sufficient incentives for participating in the network? ❑ Were members committed to the network's goals? ❑ Were the relationships within the network appropriate for effectively addressing <issue>? ❑ Was everyone connected to the network who needed to be for addressing <issue>? ❑ Did the network effectively bridge differences? ❑ Was there a sufficient exchange of information among network members for addressing <issue>?
New implementation know-how	❑ Did change agents have sufficient understanding of why they needed to develop a strategy/policy/plan? ❑ Was there a new policy or strategy that needed to be developed to make the envisioned changes in the <issue>? ❑ Was there a policy/strategy/plan that needed to be implemented to make the envisioned changes in the <issue>? ❑ Did the change agents have sufficient know-how to identify and implement the needed action steps related to <issue>? ❑ Was there a M&E plan to measure the results of the strategy/policy/plan?

Assigning Indicators and Data Sources for Assessing the Achievement of Intermediate Capacity Outcomes

Once practitioners or evaluators have identified the targeted ICOs of capacity development interventions, they should identify indicators that can assess whether the desired changes have happened (or are happening) as planned. This process requires thinking beyond the general type of ICO (raised awareness, enhanced knowledge and skills, etc.) to identify one or more specific attributes for which measurable change could be observed during the timeframe of the intervention.

Appropriate indicators for ICOs could be either quantitative or qualitative depending on the context and the characteristic being observed and measured. ICOs are assessed through a broad range of measurement methods, such as:

- Surveys assessing changes in perceptions, understanding, attitudes, motivation, etc.
- Analysis of media content
- Review of records from relevant government offices (administrative data)
- Post activity tests (tests of learning or skill competency tests)
- Pre and post learning questionnaires
- Analysis of meeting minutes or other documentation of group processes
- Observation of meetings and group interaction
- Application of collaboration and inclusivity checklists
- Individual or group interviews, focus groups

- Social or value network analysis, involving the mapping of relationships or the assessment of the financial and nonfinancial value of assets
- Assessment of the quality of policy, strategy, program and project documents

The process of selecting indicators should include the consideration of existing data sources and/or the feasibility of collecting the relevant data. Data quality is an important consideration in selecting data sources. In all cases, participants should ensure that indicators are SMART (specific, measurable, achievable, relevant, and time-bound).

In cases where indicators for ICOs have not been identified during an intervention's design stage, some outcomes captured for individual activities or components might be adequate for confirming the needed ICOs within a results chain. Practitioners or evaluators should therefore review existing documentation for possible evidence of ICOs. Table 18 provides examples of indicators used in existing World Bank projects across sectors and across types of outcomes.

Additional guidance for exploring and identifying possible attributes of ICOs to measure is included in Annex 2.

If existing indicators and data are not sufficient for documenting ICOs, then it is often possible to conduct additional data collection and/or analysis after project completion (see Section II: Analytical Techniques to Assess Outcomes).

Sector Focus	Generic ICO	Specific ICO	Indicator	Data Source
Public sector governance	Raised awareness	Awareness among community members of decentralized governance structure	• Percentage of households that can identify their representative in the local council • Percentage of households who know whom to file complaints with if they are dissatisfied with development decisions in a specific sector (education, health, and agriculture)	National Public Services Survey
Transport	Enhanced knowledge or skills	Completion of the municipality's Transport Master Plan	Publication of the Transport Master Plan	Public documents (Transport Master Plan)
Community and basic health	Improved consensus and teamwork	Expansion of participatory process for budgeting to link strategic objectives with budget allocations	Number of sector and subsector strategies included within Medium Term Budget Framework	Annual reports of Ministry of Health, oblast health departments, and central rayon hospitals
Agriculture and rural development	Strengthened coalitions	Establishment of inter-municipal road consortia by clusters of municipalities	Number of inter-municipal road consortia established by clusters of municipalities	Management Information System
Public financial management	Enhanced networks	Establishment of National Budget Oversight Network	Presence of network for information sharing and collaboration among non-state actor (NSA) coordinators and government, as evidenced by the following: • Appointment of a NSA coordination officer • Membership that includes NSAs and other accountability institutions • Regular meetings for government and NSAs to discuss PFM issues • Preparation of PFM information materials at national and local levels, translated into local dialects using non-technical language	Report of the NSA coordinator
Public sector governance	New implementation know-how	Formulation of strategy by village land management committee for local development	Percentage of villages covered by the project that developed and adopted local development plan	CVGT (village land management committee) annual activities and budget reports

Table 18. Examples of Indicators for Intermediate Capacity Outcomes in World Bank Projects

Section II: Study Designs and Analytical Techniques to Assess Outcomes

Practitioners or evaluators conducting a retrospective assessment of a capacity development intervention often rely on project documents to trace one or more capacity development change processes. In some cases, data from existing databases or management information systems can be extracted and analyzed to assess results. In most cases, however, additional data collection will be required to confirm and refine results stories and to document capacity development outcomes. This section can guide evaluators or practitioners in planning and implementing data collection activities that will be used to analyze the effects of a capacity development intervention at two levels: ICOs and institutional capacity changes.

In planning additional data collection and analysis, evaluators must decide whether to pursue a qualitative approach, a quantitative approach or a mixed-methods approach that uses both. Qualitative techniques usually require less time for developing data collection instruments but typically require more time for analysis of narrative data collected through interviews and focus groups. Such narrative data often yields a detailed understanding of how interventions worked in a specific context.

In contrast, quantitative techniques require substantial time for instrument development (such as surveys and tests) but the data can be analyzed more quickly once it is collected and entered into a database. Quantitative methods using systematic sampling methods provide data that enable the findings to be generalized to the population from which the sample is drawn.

Overall, the data collection and analysis methods that are most appropriate for clarifying or confirming capacity development change processes will depend on the nature of the intervention, M&E practices that were used during the intervention, availability of existing data, expertise of the evaluation team, available resources and other factors.

A critical aspect of a successful analytical approach is to include data representing multiple perspectives to triangulate findings and confirm assumptions linked to each capacity development results story. In particular, collecting data from both program implementers, and beneficiaries including change agent participants can reduce the biases arising from one particular perspective. A general rule of good practice is to consult the major stakeholder groups as appropriate from government agencies, civil society, and the private sector.

This section will help practitioners and evaluators think through what they want to learn and what the most effective means could be for doing so. Tips and references promote good practice in applying qualitative and quantitative methods, and example protocols and templates have been tested in completed case studies.

Preparing, Storing and Managing Data for Analysis

In planning a data collection and analysis strategy, practitioners and evaluators should consider early on how they will record and manage the data. Reliably capturing and organizing qualitative or quantitative data is a critical step for substantiating a capacity development results chain and filling gaps in understanding about the outcomes associated with the program or intervention being studied.

Three main types of data are worth considering: data extracted from existing systems, data created from surveys and data created from interviews. In all cases, the original or "raw" data will need to be transformed to be useful for analysis. Careful planning regarding data storage and management at the start of any data collection process, including interviews and focus groups, will help ensure efficiency.

Quantitative data extracted from existing databases will typically require consolidation and/or manipulation, since existing databases will rarely include the precise indicators that the practitioner or evaluator has identified as relevant to the specific assessment of capacity development results. Quantitative data from surveys must be entered, either manually or automatically through a web-based application, and "cleaned."

Although responses to survey questions are often pre-scored, by assigning numeric values to each response option, cleaning survey data typically requires inspection to remove errors and inconsistencies in the database. In addition, efforts will likely be needed to refine the data set such as data scrubbing, entering missing data, recoding variables, and merging data from other sources.

Qualitative data, such as narrative text from interviews, focus groups and desk reviews, need to be organized and coded into categories related to emerging themes. A case study will include data obtained from multiple sources to enhance understanding and triangulate findings. Some case studies focus on more than one program, which can further complicate efforts to organize and analyze stakeholders' inputs.

A simple approach to managing qualitative data is to categorize the types of information collected and enter text from the interview notes into a table using the sample categories presented in this note. Designing a data entry template early on in the data collection process can facilitate the analysis after the interviews have been completed, and additional variables and coding can be added during the data analysis process as needed.

A program such as Excel could be used to allow for the easy filtering and analysis of qualitative variables. For example, a reviewer might want to explore whether the types of interventions and/or the types of participants appear to be influencing the types of outcomes achieved. Potential categories to include in an effective template for documenting a results story are described in this note with illustrative examples provided. The format and structure of the template should be customized based on the scope of the retrospective assessment, program details and level of information likely to be available.

1. Basic program details

Particularly in case studies where multiple programs will be examined, it will be important to record basic identifier information about the program and the person being interviewed.

Title of Capacity Development Program	Name(s) of Key Informants Interviewed	Role(s) of Key Informants Interviewed	Program Start Date	Program End Date

2. Information on program context

These steps can help to define and confirm capacity development results related to a specific development goal. Information about the overall context, including the development goal, should be captured for the analysis.

In most instances, the targeted institutional capacity areas can be identified by asking about the challenges that are impeding the achievement of the development goal and that the intervention has been designed to address. At first, the verbatim description of the challenges can be entered into the table and labeled by question number for reference (see Q2). This description can then be recoded to identify the specific institutional capacity change objectives, with each challenge entered separately for a more detailed analysis of the change process(es) later (see 2a–2b).

Overall Development Goal	Q2. Description of Specific Challenges or Problems	2a. Targeted Institutional Capacity Characteristic (1)	2b. Targeted Institutional Capacity Characteristic (2)
Develop the IT/ITES industry to stimulate economic growth and employment	1. (from Anubha) "All countries wanted to learn about the IT industry and its impact on the economy. However, they were not able to envision the transformation of the economy and the urban development as a result of the IT industry development…. An attitudinal shift and different mindset was necessary to nurture this industry." This view is reinforced by the IT/ITES Industry in Africa: A World Bank Supported Study, in which the conclusion of this baseline study is that "all that is required is high level government commitment to taking the necessary steps." 2. (from GFR, pp5-8) the need for "market-responsive training programs" "NESAP-ICT will seek to introduce innovative skills development models deemed necessary for the country's present and future needs"	Strength of Stakeholder Ownership— Commitment of leaders	Effectiveness of Organizational Arrangements— Achievement of outcomes

3. Program Description

Descriptive text from the interview notes can be entered into the template by topic. In the example below, each field references the question number from the interview protocol (see example protocol in Guidance Note 13).

Q3. Program Components (Brief Description)	Q4.Targeted Participants (Roles and Organizations)	Q5. Rationale for Selecting Participants
• Three VCs before the visit • Visit to India (field visits, presentations, a reflection portion– part of the action plan to take time to document the learning, and a conference) • A VC after the visit to discuss lessons learned. • Zambia follow-up (e-learning conference) using GDLN. Sharing of experiences upon return was the primary purpose of the conference.	• Private sector representative from bodies representing/involving ICT firms, e.g. chambers of commerce; association of network providers/ISPs; or other private sector IT organization • Senior officials in technical institutes or universities who are engaged in ICT skills training and would be interested in incorporating courses with a focus on IT/ITES into their curriculum • Senior officials from the public or private sector who are involved in or would like to be involved in business process outsourcing • Government officials from regulatory bodies that address policies in the area of ICT • Government officials or senior officials from ministry responsible for development of IT • World Bank Project TTLs Specific participants from Nigeria included: [list of names and titles]	Participants were strategically selected based on their positioning to initiate or manage the needed change. We looked for champions in each country before the project. We made sure we included not just the leaders but also the implementers.

4. Evidence of ICOs

Interviewers' questions about the outcomes of capacity development interventions often first elicit responses at the intermediate outcome level. In other words, informants are likely to talk about how the ability or disposition of individuals or groups changed when they reflect on program or project outcomes. It is therefore suggested that the description of outcomes is entered into the template and then coded into the standard categories of ICOs (with each type of ICO entered separately—see 7a–7d).

7a. Intermediate Capacity Outcome (1)	7b. Intermediate Capacity Outcome (2)	7c. Intermediate Capacity Outcome (3)	7d. Intermediate Capacity Outcome (4)
New Implementation Know-how An action plan was developed and it has lead to several follow-up actions, Bank as well as non-Bank: As a key component of this action plan, the Bank is supporting a pilot in Nigeria to assess and certify foundational skills for BPO industry. This is called ACCESS (Assessment of Core Competence for Services Sector) Nigeria. The ICT Skills TA for piloting this assessment was launched by a concept review held on January 25, 2010. A computer-based assessment and benchmarking tool was developed and piloted on 300 students in Lagos in December, 2010, and is now being rolled out to 3000 students in 5 cities. Results are expected in May 2011.	Strengthened Coalition In Nigeria, a new IT-ITES industry association (called Outsourcing Development Initiative of Nigeria - ODIN) was conceptualized and launched in 2009. During the KE, ODIN met with NASSCOM and learned what an industry association can do. The Access Nigeria Pilot resulted from this interaction, reflecting how the coalition represented by ODIN has strengthened.	Enhanced Network Nigeria is proceeding in building up National Research and Education Networks (NREN) that will connect universities and research institutes. Efforts to set up the NREN in Nigeria have been ongoing since the Nigeria ICT Forum was established in 2005. The possible contributions of the KE to furthering the development of the NREN is not yet clear.	Enhanced knowledge and skills (longer-term outcome) In Nigeria, the ACCESS initiative is developing a training program, a skills set dictionary and curriculum framework, and a training matching grant model to address the skills gaps. A preliminary pool of qualified training providers has been identified.

5. Evidence of Institutional Capacity Outcomes

In some cases, interviewers will identify outcomes at the institutional capacity level. An effective approach can be to probe on the specific institutional capacity challenges identified earlier in the interview to explore whether the initiative has had an effect thus far. As with the information about ICOs, this data can be entered first as descriptive text and then recoded into the specific institutional capacity change objectives for later analysis (see 8a–8b).

Q8. Institutional Capacity Outcomes (Description and Evidence)	8a. Institutional Capacity Outcome (1)	8b. Institutional Capacity Outcome (2)
The ICT Skills TA for piloting an Assessment and Benchmarking of IT Enabled Services Foundational Skills was launched by a concept review held on January 25, 2010. There is high-level commitment to this pilot, as evidenced by the link to the President's initiative allocating $400 million to create jobs. The ACCESS initiative will establish a full globally-benchmarked cycle of Assessment-Training-Certification and job placement of candidates. An increase in the commitment of leaders will allow for this cycle to be scaled up at training centers throughout Nigeria to produce skilled graduates well-prepared for employment in the IT-ITES industry.	Increased strength of stakeholder ownership: commitment of leaders to developing a skilled workforce for the IT-ITES industry	Increased effectiveness of organizational arrangements: improved achievement of outcomes by training centers preparing graduate for the IT-ITES industry

6. Other Information

Interviews provide opportunities to explore unexpected findings and identify additional data sources. Any relevant questions or probes for gaining this information should be included in the interview protocol (Guidance Note 13) and the resulting qualitative data can then be captured in the data template.

Any methods used for managing data can be adapted to meet the needs and purposes of users. However, it is important to establish a clear structure and process at the start to ensure that team members implement a consistent, standard approach to capture any relevant data for documenting capacity development results stories.

Q9. Lessons Learned	Q10. Additional Information Resources	Q11. Other Key Informants to Contact	Q12. Final Comments or Suggestions

Interviewing Key Program Stakeholders

A qualitative approach to data collection can yield a valuable understanding of how program components have worked together to produce specific outcomes. An important early step in this approach is to interview a person who is highly knowledgeable about the intervention and well situated to identify other key informants. This person will most often be the program officer or team leader and will serve as the entry point for locating useful program documents and identifying appropriate informants to cover a range of perspectives such as program implementers, partners, participants and beneficiaries.

Some preparation is recommended to help ensure that the evaluation team designs and conducts an effective case study. In particular, two steps should be implemented before any interviews are conducted:

- Review any available program documents or other information to begin mapping the capacity development change processes (see Guidance Notes 1–10). The reviewer or team should explore existing data related to program outcomes to establish one or more hypotheses about the results stories. Thinking through each results story will highlight where additional information is needed and inform the reviewer about what questions need to be asked of program stakeholders during interviews.
- Establish a system for managing and analyzing qualitative data (see Guidance Note 13). To minimize the burden on respondents and evaluators, data should only be collected that is expected to be useful for understanding and documenting the capacity development outcomes and the context in which they occurred. To this end, the team should carefully plan out how they will analyze the responses and in what format the data should be entered to facilitate this analysis process.

- There is no single way to conduct a qualitative interview, but the tips in the sidebar on page 51 are likely to enhance its effectiveness:
- Interviews should be semi-structured. The interviewer should develop questions or probes beforehand to ensure that key topics are covered. A flexible, facilitated conversation is likely to yield richer data then a more controlled question and answer session.
- Questions should focus first on gaining basic descriptive information. Program officers or other key informants could feel uncomfortable if early questions are challenging. The interviewer can learn valuable contextual information and set the informant at ease by asking first about the program background or design.
- Follow-up questions (or probes) often need to be asked to gain more specific details and evidence related to outcomes. A rich results story requires concrete details and documentation, but an informant might not be aware of which details are needed or might be concerned about talking too much.
- The interview should be viewed as part of an iterative process. To this end, the interviewer should include questions related to who (or what) else might serve as a valuable information resource and

set the expectation that he or she might have additional questions later.

- Recording information during the interview should not interrupt the flow of the conversation. Tape recording is the least intrusive method for recording information during the conversation if it does not intimidate interviewees from speaking freely. Therefore, it is important to ask permission beforehand to tape the conversation. Taking notes during the conversation is still helpful even if the conversation is taped.

Overall, qualitative interviews are most successful if the interviewer is able to engage the informant in free-flowing discussion and adapt the questions as needed to clarify and document the capacity development change process(es).

A semi-structured interview protocol often needs to be customized to serve as an effective guide for each targeted informant. A typical approach is to establish a set of core questions that will be asked across all of the program stakeholders. This allows practitioners to explore systematically a standard set of data items from multiple perspectives. Additional questions can then be added or adapted for each informant being interviewed based on their unique experiences or areas of expertise. The sidebar lists typical core topics to explore for a case study using this approach.

In nearly all cases, an interview protocol should be customized for its specific intended use to maximize a data collection opportunity. An example of a customized interview protocol used by WBI and KDI in their joint study of KDI's Knowledge Sharing Program follows to show how the core items listed could be adapted and integrated into an interview.

Select resources for further guidance on designing an effective interview are included at the end of in this note.

Core Topics for Interviews with Program Stakeholders

Program Overview
- Interviewee's role in the design and implementation of the project or program—to understand the vantage point of the person being interviewed
- Challenges or problems that program was design to address—to identify institutional capacity constraints
- Context of program component or knowledge exchange in focus—to understand how the program being explored fit within a larger initiative

Participants
- Who was targeted or selected to participate and in which country(ies)—to identify the stakeholder groups represented
- Rationale for selecting participants—to explore the program design and expected outcomes
- Process for selecting knowledge partners—to explore the program design and expected outcomes

Outcomes
- Short-term results and follow-up activities of the program—to identify and document possible ICOs
- Concrete ways that the program helped to address identified barriers and challenges—to identify and document possible institutional capacity outcomes
- Other outcomes—to explore other possible outcomes that the interviewer has not yet identified or included in hypotheses about the capacity development results

Additional Information
- Additional materials or existing resources—to identify other information sources for learning more about the program and documenting or triangulating findings
- Other key informants—to learn whom else to contact to explore further the program's design and possible evidence of outcomes.

Assessing the Outcomes of a Knowledge Sharing Program—Program Implementer Perspective

[Example of Interview Guide for KDI Program Officer]

Notes to interviewer:
- The generic protocol for conducting a semi-structured interview should be customized for the specific knowledge sharing project based on a review of any available documents.
- The interview guide does not need to be followed in sequence; instead, a collaborative, conversational approach could dictate the order in which topics are addressed.
- Probes and instructions are provided in italics to assist the interviewer in eliciting more details as needed.
- The interviewer should use this guide to qualitatively explore the capacity development change process(es) supported by the knowledge sharing program. Existing challenges and reported outcomes should be translated into the corresponding institutional capacity constraints and types of ICOs. These standard terms are listed at the end of this guide.

Program Overview

1. Why did the Korea Development Institute establish a partnership with [country] in [year] to share knowledge related to [content area]?
   Probe: What were the considerations that led KDI to this development partnership for [year]?

2. What were the specific challenges or problems that this program was designed to address?
   Probe as needed to define each challenge in terms of an institutional capacity constraint

3. Could you briefly describe the major components or activities in this knowledge sharing program?
   Probe as needed to collect basic description of format and content.
   Program-specific probes: (if not mentioned as part of activities or components listed)
   - [list names of main program activities described in reviewed report here]
   -
   -

Participants

4. Who was targeted or selected in [country] to participate in this knowledge sharing program? What were these individuals' roles and organizations?

5. What was the rationale for selecting these participants?
   Probe as needed to understand how the participants were positioned to help overcome the institutional capacity challenges that the program was designed to address. Interviewer should focus on the specific challenges mentioned in Question 2.

6. How were the experts from Korea selected to participate?
   Probe as needed to understand the rationale for selecting these individuals.

Outcomes

7. What did you identify as the main outcomes of this knowledge sharing program?
   Probe for existing supporting documentation for each outcome. If no ICOs are identified, interviewer can probe using the following categories:
   - Raised awareness
   - Enhanced knowledge and skills
   - Improved consensus and teamwork
   - Strengthened coalitions
   - Enhanced networks
   - New implementation know-how

8. To what extent did the program help to address the identified institutional capacity challenge [name challenge listed in Question 2]? What indicators were or could be used to assess a change for the [name institutional capacity characteristic]?
   Explore possible indicators for each identified institutional capacity challenge separately. Probe for measure and data source as appropriate.

9. [If outcomes described only for knowledge recipient country] Did Korea directly benefit from this knowledge sharing program in terms of enhancing its own institutional capacity? If so, please describe the outcomes that were achieved for Korea.
   Probe as needed to understand type of outcome and specific measure.

10. Were there any predominant lessons learned during this knowledge sharing program that have been used or will be used to inform the design and implementation of future knowledge sharing programs? If so, please describe what was learned.
    This question could elicit information on additional unreported outcomes.

Additional Information

11. Are there any additional materials or existing resources that you suggest we review to learn more about this program's design, implementation, and outcomes? In particular, we are interested in:
    - Rationale from the initial demand survey used to establish this knowledge sharing program
    - Agendas, instructional materials, websites, or other artifacts that would help us to understand the main knowledge sharing activities
    - Any additional reports from pilot studies and policy consultations
    - Evaluation data related to program activities

12. Who are other key informants whom we should contact to learn more about the program's design, implementation, and outcomes?

13. Are there any final comments or suggestions that you would like to share regarding this knowledge sharing program and its capacity development results?

Interviewers might find it useful to bring checklists for the standard institutional capacity change objectives and ICOs to the interviews to think through and explore individual capacity development change processes.

Checklist: Institutional Capacity Areas and Their Contributing Characteristics

Strength of Stakeholder Ownership
- ❑ Commitment of social and political leaders
- ❑ Compatibility of social norms and values
- ❑ Stakeholder participation in setting priorities
- ❑ Transparency of information to stakeholders
- ❑ Stakeholders demand for accountability

Efficiency of Policy Instruments
- ❑ Clarity in defining rights and responsibilities of stakeholders
- ❑ Consistency
- ❑ Legitimacy
- ❑ Incentives for compliance
- ❑ Ease of administration
- ❑ Risk for negative externalities
- ❑ Suitable flexibility
- ❑ Resistance to corruption

Effectiveness of Organizational Arrangements
- ❑ Clarity of mission
- ❑ Achievement of outcomes
- ❑ Operational efficiency
- ❑ Financial management (financial viability and probity)
- ❑ Communications and stakeholder relations
- ❑ Adaptability

Checklist: Standard Intermediate Capacity Outcomes and Their Operational Attributes

Raised Awareness
- ❑ Attitude
- ❑ Confidence
- ❑ Intention to act
- ❑ Motivation

Enhanced Knowledge and Skills
- ❑ Acquisition of new knowledge
- ❑ Application of new knowledge
- ❑ Improvement in understanding

Improved Consensus and Teamwork
- ❑ Communication
- ❑ Coordination
- ❑ Contributions
- ❑ Cohesion

Strengthened Coalitions
- ❑ Common agenda for action
- ❑ Commitment to act
- ❑ Trust
- ❑ Leveraging diversities

Enhanced Networks
- ❑ Common interest
- ❑ Processes for collaboration
- ❑ Incentives for participation
- ❑ Generating traffic

New Implementation Know-How
- ❑ Formulated policies and strategies
- ❑ Implemented strategies and plans

Resources for Designing and Conducting Effective Interviews

Bamberger, M., V. Rao, and M. Woolcock. 2010. *Using Mixed Methods in Monitoring and Evaluation: Experiences from International Development.* Policy Research Working Paper. Washington, DC: The World Bank.

Cresswell, J. and V. Plano Clark. 2007. *Designing and Conducting Mixed Methods Research.* Thousand Oaks, CA: Sage Publications.

Morra Imas, L. and R. Rist. 2009. *The Road to Results: Designing and Conducting Effective Development Evaluations.* Washington, DC: The World Bank.

Patton, M. 2002. *Qualitative Research and Evaluation Methods.* 3rd ed. Sage Publications: Thousand Oaks, CA.

United States Agency for International Development's Center for Development Information and Evaluation. 1996. *Conducting Key Informant Interviews.* Washington, DC. Available at http://pdf.usaid.gov/pdf_docs/PNABS541.pdf

W. K. Kellogg. *Foundation Evaluation Handbook.* 2004. Available at http://www.wkkf.org/knowledge-center/resources/2010/W-K-Kellogg-Foundation-Evaluation-Handbook.aspx

Conducting Group Interviews with Stakeholders

Qualitative data collection efforts often rely on interviews with stakeholders in group settings. In some cases, interviewers select a focus group design because the interactions among informants can help to develop a more nuanced understanding of outcomes and contributing factors. In other cases, the group interview format is the only or best option for interviewing multiple stakeholders within a tight schedule. Either way, the group interview is an important qualitative data collection method for exploring and documenting a capacity development results story.

The first step in conducting an effective group interview is to address practical considerations during the preparation stage:

Participant selection

The composition of the group being interviewed will influence the quality of the responses.

- *Relevant perspectives.* Those invited to participate should have direct experience with the capacity development intervention. This will help to ensure that they are well-informed about the topics being explored. These individuals might be participants, beneficiaries, implementers, partners or others who have served a role related to the program.
- *Common interests and experiences.* Each group should include individuals with similar roles who can explore a standard set of questions together. For example, an effective group interview could occur with a mix of program

participants. The process would go less smoothly if participants are expected to address different questions, such as might occur with a mix of program implementers and participants.

- *Equal status.* The hierarchy of those in the group should be considered. For example, some participants might be less likely to speak candidly about their ability to use new skills and knowledge in their jobs in situations where their supervisor is present. Variations in gender and ethnicity may also influence group dynamics in some situations.

Interviewers

The individual or team conducting the interview should also be selected carefully to avoid introducing response bias into the interview. External evaluators are more likely than program implementers to obtain candid feedback on sensitive issues related to the program, whereas program implementers are more likely to elicit favorable responses from program participants and sponsors.

Logistics

Basic preparations related to where and how the interview is conducted will also help to ensure a successful session.

- *Setting.* The facilities selected for group interviews should be quiet and comfortable, providing an atmosphere that is conducive for a candid conversation. The location should be convenient for participants to attend easily.

- *Language.* Interviews should be conducted in the dominant language of the group when possible. In cases where multiple languages are needed, arrangements for interpreters should be made in advance to ensure clear communication during the session. Sequential translation requires additional time, which reduces the amount of material that can be covered in a given amount of time. Simultaneous translation requires appropriate technology (translation booths, microphones, earphones, transmitters).

Given the realities of an international development context, the specific arrangements of any group interview will need to be adapted based on the current situation and needs, but a few general tips will help to ensure that the interview progresses smoothly:

- Groups should contain no more than 6 to 10 people when possible, so that all of those present have a chance to share their views.
- The interviewer's role is to focus the discussion. The purpose of the interview is not to reach consensus or to explore differences; instead, it is for the interviewer to gain the participants' perspectives on a specific set of topics.
- The interviewer should prepare a set of questions or probes in advance by reviewing existing data and any assumptions formed thus far. Based on a prior desk review and/or interview with a program officer, the interviewer or team might be able to trace (hypothesize) the capacity development change processes and then design the interview to explore if the change process is correct and to fill any gaps in understanding.
- The focus group discussion guide should include no more than 8 to 10 questions for the group to address. As appropriate, additional probes can be included to ensure that the targeted questions are addressed sufficiently.
- If a team is conducting the interview, one member should be designated as the lead interviewer to minimize confusion. This lead interviewer can ensure that other team members have opportunities during the session to follow up on responses or fill gaps.
- Interviewers need to be flexible. Focus groups often include unexpected aspects, such as a change in the group's composition, a lack of willingness of some participants to talk in front of others, an unanticipated answer that requires substantial follow-up, or even a change in the amount of time allotted for the session.

Core questions

As with the individual interviews (see Guidance Note 13), practitioners should identify a core set of questions or themes that will be explored by all of the groups being interviewed to integrate multiple perspectives and triangulate findings. Once this standard set of items has been established, the questionnaire can be adapted for each group.

Focus group interview guides tend to be highly customized and are developed specifically for the scheduled participants. One example of a protocol used by WBI and KDI in their joint study of KDI's Knowledge Sharing Program is included in the next example to demonstrate this approach.

Selected resources to consult for developing a group interview guide are at the end of this guidance note.

KDI's Knowledge Sharing Program (KSP) in the Dominican Republic (DR)
Meeting with the National Bank of Housing and Production (BNVP)

(1) Has the KSP helped to build understanding about the need for improved credit and insurance services to support export development? [Probes: For whom? How did this occur?]

(2) Did the KSP facilitate cooperation between BNVP and the Korea EXIM Bank?

(3) What is the current status of efforts to establish the Dominican Export-Import Bank or export credit agency? Is there any documentation available to help us understand this status? (such as, memorandum of understanding between DR and Korea EXIM Bank, draft proposal, etc.)

(4) How has the KSP specifically contributed to this process of establishing an EXIM bank?

(5) What are the main challenges that the Dominican Republic has faced in planning the establishment of an EXIM bank? Has the KSP provided relevant lessons to overcome these challenges?

(6) Are there other outcomes from the KSP not yet mentioned that you experienced or observed?

Lessons Learned
(7) What specific factors contributed to the success of this KSP?

(8) How could the KSP have been more effective? Do you have any suggestions to improve KSP in the future? [Probe: For example, with respect to modality and content?]

Resources for Designing and Conducting Group Interviews

Bamberger, M., Rugh, J. and Mabry, L. 2006. *RealWorld Evaluation: Working Under Budget, Time, and Political Constraints.* Thousand Oaks, CA: Sage Publications.

Billson, J. 2004. *The Power of Focus Groups: A Training Manual for Social, Policy, and Market Research with a Focus on International Development.* Barrington, RI: Skywood Press.

Hennick, M. 2007. *International Focus Group Research: A Handbook for the Health and Social Sciences.* London: Cambridge University Press.

Krueger R., and M. Casey. 2000. *Focus Groups.* 3rd ed. Thousand Oaks, CA: Sage Publications.

Analyzing Qualitative Data

Good data collection practices for evaluating capacity development requires forethought about how the information gathered will be stored and analyzed (as described in Guidance Note 13). To provide meaningful findings, qualitative data should be clear and specific and provide in-depth details regarding the topics being examined. Findings from interviews should also easily be traced back to individual informants or stakeholder groups, and verbatim quotations often serve as compelling examples that add texture and substance to results stories. All of these considerations highlight that practitioners retrospectively assessing capacity development interventions should explore issues related to data management and analysis early on in the design stage of their study.

How data should be stored and managed depends on its intended use and the plans for analysis. Therefore, practitioners should explore possible approaches to analyzing content from any desk reviews and interviews before any data is collected.

An effective qualitative assessment of capacity development outcomes is likely to be based on a reiterative approach that moves through six key steps. After the

documents from the program cycle have been assembled, the preparation stage will include reviewing program documents and other background information to understand the program objectives and identify potential capacity development change processes that could serve as the basis for results stories. These hypotheses about potential results stories will in turn inform the data collection strategies and questionnaire design.

As the data collection proceeds, the team will analyze the data and will need to revisit the initial hypotheses to assess how well the emerging themes confirm the proposed change stories. In many cases, the original hypotheses will need to be revised or additional data collection activities will be planned to address inconsistencies and data gaps. This reiterative approach leads to richer and better documented results stories (Diagram 6).

The main purpose in analyzing qualitative data is to identify common words, themes or ideas. When evaluating a program, a practitioner can explore these common themes to identify ICOs or institutional capacity changes. Where possible, data collection efforts should seek

Diagram 6. Steps in the Qualitative Assessment Process

| **Assemble** documents and materials from the entire program cycle | **Review** the program background, objectives, and activities | **Collect data** through interviews of stakeholders and key informants | **Analyze data** by tracing results story using CDRF methodology | **Follow up** on data collection as needed to refine the results stories | **Understand the knowledge exchange program's results** by identifying intermediate and institutional level outcomes |

evidence of outcomes that extend beyond the anecdotal reporting of stakeholders. For example, stakeholders' reports that a coalition has developed between state and non-state actors could be corroborated through a memorandum of understanding regarding the new group, regular meeting minutes, a joint product completed by the coalition members, or other types of documentation.

Qualitative data analysis can be inductive or deductive, and both of these approaches serve valuable functions in the mapping and documenting of capacity development change processes.

- *Inductive analysis.* Research findings emerge from the frequent, dominant or significant themes found in the narratives. The findings are not constrained by structured methodologies, models, frameworks, or other preconceived paradigms. Purposes for using this approach include:
    - To condense extensive and varied narratives into a brief, summary format
    - To establish clear links between the research objectives and the summary findings derived from the narratives to ensure these links are both transparent (able to be demonstrated to others) and defensible (justifiable given the objectives of the research)
    - To develop a model or theory about the underlying structure of experiences or processes that are evident in the narratives
- *Deductive analysis.* An existing framework such as prior research or a logic model guides the data analysis. The main purpose for using this approach is to review or test the project model or framework.

A reviewer using this guide to evaluate and learn from capacity development interventions will rely some on both of these approaches. The steps outlined are deductive in that a general model of capacity development is prescribed. Evaluators explore what outcomes took place and how through a defined results chain. Based on desk reviews, evaluators can hypothesize about a results chain and then collect qualitative data to determine if the hypothesis was correct. However, in cases where there is limited existing data, the approach may need to be inductive to collect and analyze information before the program model or theory can be developed. The deductive method can be applied to test hypotheses while the inductive method can illuminate unintended program outcomes and/or alternative ways of describing capacity development change processes.

The basic steps and a template for implementing an inductive or deductive analysis approach follow.

- Review the project or strategy results chain(s)
- Identify categories or groupings for data prior to data analysis to document intermediate capacity outcomes and progress in achieving institutional capacity change objectives
- Review the qualitative data carefully
- Label statements or phrases in the qualitative data with the appropriate category or grouping based on project or strategy results chain

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Intermediate Capacity Outcomes *(specific categories will be determined by the capacity development results chain)*
   ✐ Enter statements or phrases from the data grouped by topic

Example: Data from interviews with government officials exploring the results of the Korea Development Institute's Knowledge Sharing Program with the Dominican Republic

Raised awareness—increased motivation to take action

"Our mindset was changed dramatically after our visit to Korea. How important it was to promote outward development. Then we could see the future: if we do what Korea did… if we do many of these things, there is no doubt that this is the future that we will have."

"After we visited Korea and engaged in discussions with those who actually participated in the process of developing Korea's exports, it made us believe that the Dominican Republic could also do it. Seeing was totally different from just reading about it in the literature. We could now clearly see the future of the Dominican Republic. The Dominican Republic can be the Korea of the Caribbean."

Institutional Capacity Outcomes *(specific categories will be determined by the capacity development results chain)*
   ✐ Enter statements or phrases from the data grouped by topic

Example: Continued

Increased commitment by high level government officials

"A presidential decree was issued to hold private-public consultation meetings. Members of the meetings include the president, relevant ministers, leaders of export agencies, and private sector leaders. The president demonstrates his strong support for exports by convening these meetings."

"CEI-RD and the Dominican Ministry of Foreign Relations signed a memorandum of understanding to collaborate on strengthening international trade networks. The first achievement was inviting Dominican representatives from the public and private sectors living abroad to Santo Domingo for training."

Basic Template for Inductive Data Analysis

- Review qualitative data carefully and fully
- From statements, identify potential ICOs or progress in achieving capacity change objectives
- For each potential outcome, identify all of the statements that go with that theme
- Determine linkages and relationships across themes and potential outcomes
- Reduce the number of themes or outcomes as possible
- Create a results chain based on the main evidence of outcomes

Primary statements or phrases from the data	Emergent themes or outcome
Example - "Our mindset was changed dramatically after our visit to Korea. How important it was to promote outward development. Then we could see the future: if we do what Korea did… if we do many of these things, there is no doubt that this is the future that we will have." - "After we visited Korea and engaged in discussions with those who actually participated in the process of developing Korea's exports, it made us believe that the Dominican Republic could also do it. Seeing was totally different from just reading about it in the literature. We could now clearly see the future of the Dominican Republic. The Dominican Republic can be the Korea of the Caribbean."	1. Raised awareness—increased motivation among government officials to take action to develop export sector
- - -	2.

Exploring Opportunities for Quantitative Analysis

Appropriate application of quantitative methods to representative samples of projects or activities enables evaluators to generalize findings about capacity development outcomes to the broader population of activities targeting relevant capacity development change objectives across projects, sectors and countries.

Quantitative techniques tend to focus on survey data, test scores, existing variables in administrative records, or other data sources that typically allow for larger samples than those examined strictly through a qualitative approach (see Guidance Notes 13-15). This guide facilitates the analysis of program or strategy effects at two levels in the results chain: the shorter term ICOs and longer term progress achieved toward institutional capacity change objectives (see Guidance Note 1). However, key considerations should factor into evaluators' decisions about whether and when to apply quantitative methods:

- **Expertise.** Quantitative data are analyzed using statistics. These might be descriptive (to describe and summarize data) and/or inferential (to predict a range of values for a variable in a population). In either case, any practitioners or evaluators who wish to apply statistical techniques for analyzing data to identify capacity development results should have training and expertise in the methods applied. The guidance provided in this note is intended to highlight opportunities for quantitative analysis rather than to provide how-to instruction for data analysis. Selected

references are listed at the end for practitioners who are interested in learning more about specific methodological approaches.

- **Available data for sampling.** Sufficient information about capacity development interventions and their beneficiaries must be available in a standard or systematic format to support a rigorous sampling process. In reality, data constraints often present substantial challenges for the study of capacity development interventions (such as, small biased samples which do not represent the population). Program documentation will not necessarily have captured the relevant details over time to analyze progress over time in a results chain (such as missing data points would need to be imputed or reconstructed through retrospective data collection). In addition, drawing scientific samples of participants or beneficiaries of programs depend on the reliability and quality of administrative databases (i.e., whether or not data is updated regularly). Obtaining comparison groups or using counterfactual models of evaluation could be difficult in cases where there are limited details and contact information available for individuals who did not participate in the program (in other words, identifying similar counterparts who did not participate in the project but were similar to those who did).

- **Timeframe.** A study that produces scientifically generalizable conclusions about the outcomes of capacity development interventions is likely to be a longer

term research project, perhaps running two or more years. In most cases, such research is designed to assess impact, which means enough time must elapse in order for impact to be observable. Other factors affecting the timeframe include:

- Survey designs and instruments typically need to be pretested (and sometimes designed after extensive consultations or focus group discussions with target population).
- Contact information for potential respondents could be insufficient, requiring additional investigation (that is, face to face visits, phone calls, etc.).
- Identifying and hiring local consultants for survey administration where needed can be time consuming.

Quantitative analysis aims to determine the relationship between an independent variable and a dependent or outcome variable in a population. Quantitative research designs are either descriptive (measuring subjects once) or experimental (subjects measured before and after a treatment). A descriptive study can establish associations between variables while controlling for multiple factors whereas an experiment with randomized trials can establish causality.

Pure experimental research designs are rarely feasible given that evaluators usually have little control over program design. Instead, evaluators are often faced with assessing a project or program during implementation or after completion, with no or limited ability to influence either the interventions or the assignment of individuals to treatment and control groups. A more realistic approach therefore is to examine opportunities for "natural experiment," a term used in evaluation literature to refer to evaluation designs that draw on naturally occurring bases for comparison. Using this natural experiment approach, two possible scenarios for retrospective quantitative analysis of capacity development results are described below. Additional descriptions and examples of study designs are available in the references listed at the end of this guidance note.

Tracer study of beneficiaries

If participant information has been collected and regularly updated, tracer studies of a sample of program beneficiaries and their institution(s) could be conducted. This would provide insights about the impact of a capacity intervention on beneficiaries directly, factors that facilitated the achievement of outcomes, and barriers. Ideally, this approach would include a quantitative survey followed by qualitative focus group discussions to lend texture and contextual understanding to the survey findings.

For a type of capacity development intervention practiced broadly, a tracer study of a stratified random sample of beneficiaries from various disciplines and countries in which the targeted intervention had been conducted would provide findings about the effectiveness of the intervention across sectors. Lessons could be derived about the effectiveness of the intervention in varying conditions and according to different contexts. In particular, this approach could provide strong empirical evidence about the types of ICOs that need to be in place for targeted institutional capacity changes to be achieved and sustained.

The cost of a tracer study survey will depend on the countries in which the survey is conducted and the means by which it is administered. It is usually more costly to hire local consultants in the field to administer surveys in person (both for the interviewer's time and costs to conduct interviews and enter data) than to send emails with a weblink to an electronic survey where data is entered with minimal error. However, the method chosen can influence response rates that relate to the study's validity.

Quasi-experimental design

For a project that is under implementation or completed, it is no longer possible to conduct a randomized control trial experiment with randomly selected treatment and control groups. However, it is possible to conduct a quasi-experimental evaluation by

creating a comparison group that is similar to the group that received the intervention—provided the necessary data exist. If records exist of potential participants of a capacity development intervention (such as a knowledge exchange for example), it might be possible to create points of comparison—organizations or groups of individuals—that could be matched with similar organizations or groups that did not benefit from the program. Such a study would shed light on what ICOs and institutional capacity changes were achieved by specific interventions and under what conditions.

For this type of study, data are only collected after the project has been implemented for both a group of project participants or direct beneficiaries and a separate comparable group that did not participate or directly benefit. The comparison group is constructed through statistical analyses to be as equivalent as possible to the treatment group. It can be challenging to identify a strong comparison group. It usually requires data on both the population of beneficiaries and non-beneficiaries from which the comparison group is identified based on sophisticated statistical analyses

such as propensity score matching. It cannot be assumed that the necessary data exist.

Establishing a quasi-experimental comparison group study utilizing rigorous methodology could potentially provide strong evidence of results at both the intermediate capacity outcome and institutional capacity levels, and the findings would provide important lessons about what works in capacity development and what common pitfalls should be avoided.

Regardless of the quantitative study design established to identify the outcomes and impact of a capacity development intervention, practitioners should bear in mind the value of using a mixed method approach where possible. Qualitative approaches—such as case studies or interviews with key informants—can help to triangulate findings and add contextual details. A rigorous quantitative study with qualitative components could provide a valuable in-depth understanding of the capacity development change processes needed to achieve a targeted development goal. Hence, most impact evaluations use mixed-methods approaches which combine quantitative and qualitative analysis with field visits.

Resources for Designing and Conducting Quantitative Studies

Bamberger, M. and H. White. 2007. "Using Strong Evaluation Designs in Developing Countries: Experience and Challenges." *Journal of Multidisciplinary Evaluation* 4(8): 58-73.

Khandker, S, G. Koolwal, and H. Samad. 2009. *Handbook on Impact Evaluation: Quantitative Methods and Practices (World Bank Training Series)*. Washington, DC: The World Bank.

Morra Imas, L. and R. Rist. 2009. *The Road to Results: Designing and Conducting Effective Development Evaluations*. Washington, DC: The World Bank.

Rossi, P. M. Lipsey, and H. Freeman. 2004. *Evaluation: A Systematic Approach*. 7th ed. Sage: London.

Scriven, M. 2007. *Key Evaluation Checklist*. Western Michigan University, Evaluation Center: Kalamazoo, MI. See http://www.wmich.edu/evalctr/archive_checklists/kec_feb07.pdf

Wholey, J., H. Hatry, and K. Newcomer. 2010. *Handbook of Practical Program Evaluation*. San Francisco: Jossey-Bass.

World Bank. 2006. *Conducting Quality Impact Evaluations under Budget, Time, and Data Constraints*. Washington, DC: Independent Evaluation Group.

World Bank. 2004. *Monitoring and Evaluation: Some Tools, Methods, and Approaches*. Washington, DC: Independent Evaluation Group.

Survey Data

As evaluators determine the appropriate study design for a retrospective assessment of capacity development results, they are likely to rely on one or more surveys as a data collection methodology. Surveys are popular because they seem like a straightforward method to collect data quickly; however, the data are only meaningful to the extent that the survey is conducted properly.

Surveys are used to collect self-reported information on individuals' knowledge, attitudes, opinions, experiences and behavior from a sample of the population or targeted group. In fact, sometimes asking people is the best way to get information such as in determining attitude shifts. For instance, surveys are used to gauge individuals' opinions about issues after awareness-raising campaigns. Likewise, questionnaires are used to determine participants' use of knowledge and skills after training programs.

In addition to providing information on unobservable or intangible internal attitudes and beliefs, surveys can be used to assess institutional changes. For example, surveys can reveal how citizens' rate their experiences with public services after capacity building interventions to determine whether improvements in public services took place as an indicator of project impact. Surveys can also be used to measure intermediate outcomes of an intervention. In this example, administering questionnaires to government employees who were trained as part of the program would provide insight on whether participants acquired new knowledge and skills,

and whether or not they were able to apply what they learned in their ministries.

A well designed survey administered on a properly selected sample can produce representative information about the population at large. This requires a mastery of methodological and statistical expertise that goes beyond the scope of this guidance note. The following sections therefore present the key concepts and basic fundamentals of survey design and administration necessary for supervising the survey process.

Survey design

Developing an effective survey is a multi-stage process that requires pre-testing. Assuming that the survey designer already knows what information needs to be collected from a targeted population, the first step is designing the survey instrument. Diagram 7 illustrates the steps in the survey design process

Ideally, the initial draft and question wording would be developed with input from members of the targeted population through focus group discussions and follow up pre-testing. Generally speaking, survey instruments should be simple, clear, easy and as short as possible while long enough to collect the necessary information. Focus groups can be used to understand the content to be explored and to identify context-specific language that resonates with the target population. In other words, it is important that the question wording has the same meaning for all respondents answering the survey.

For example, if a program leader is interested in learning about the outcomes of a public service capacity building project,

Diagram 7. Steps in the Survey Design Process

Focus Group	→	Design Survey	→	Pre-test Survey	→	Revise Survey	→	Pre-test Survey	→	Finalize Survey
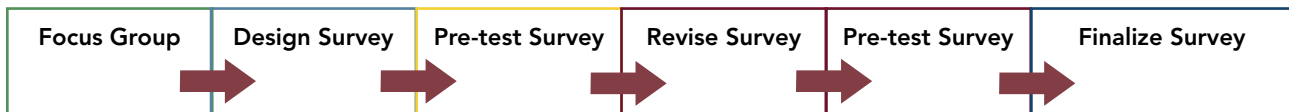
they may start by holding a focus group with a select number of public servants who participated in the program to learn about whether or not the program has had an effect on their motivation and work. The focus group can provide ideas on what kinds of immediate effects the program has had which could then be tested in the population at large in a ministry-wide survey. Thus, in this example, the focus group would help to inform the content of the survey as well as the language used to ensure that questions are worded in a comprehensible way that all respondents will understand consistently.

Once the survey instrument is drafted, it is important to pre-test it with selected individuals from the target population to ensure that the language is correct and consistently understood across respondents. Based on the feedback provided by respondents, the instrument is revised again and depending on the extent of the revisions, it should be pre-tested again before the survey is finally launched. Pre-testing the questionnaire is critical even if it is not possible to design a survey informed by a focus group discussion.

Sampling

In evaluations where the target population is too large a number to survey, it is possible to select a sample that is representative of the population at large. The sample is a subset of the full population (or the total number of units).

The first step is determining the sample size. The sample size needed for the population depends on the population size and the level of accuracy required for the survey. The level of accuracy is based on two statistics - the confidence level and the sample error. How big a sample is needed depends on how accurate the

survey needs to be and the actual population size. The proportion of the population required for the sample decreases as the population size increases. In other words, larger populations require smaller samples. For example, national public opinion polls in the United States conduct surveys on a sample of approximately 1,000 people and are representative of the entire citizenry.

There are a variety of sampling methods both random and non-random. While random samples allow generalizations to be drawn about the population, non-random samples do not because they are susceptible to bias.

Random samples include simple random samples; stratified random samples and cluster samples. A simple random sample is where units are selected randomly from a complete list of the population until the sample size is met. A stratified random sample ensures that specific groups are represented in the sample. The population is divided by groups and then random selections are made from each group to make sure that each group is represented in the sample. For instance, a public opinion poll can be stratified by ethnicity to make sure all ethnicities are represented in the sample and analyses can be conducted by ethnicity. A cluster sample uses a complete list of clusters from within the population and randomly select clusters from which sample units are randomly selected. For example, surveys can conduct a cluster sample where zip codes are selected randomly and then surveys are conducted within the selected zip codes.

Non-random samples include quota; accidental, snow-ball, and convenience sampling. Quota samples select a targeted number of respondents within a category. Accidental samples include participants by accident, for example surveys in shopping

malls. Snow-ball samples are often used in interviews where interviewees recommend other participants. Convenience samples are selections based on the researcher's convenience such as student samples used for studies conducted by university professors.

Survey administration

Conducting a survey for evaluation in developing countries often entails hiring a local consultant or firm to administer the survey. The local practitioner is helpful because they understand the country context and can provide guidance on the best method for administering the survey.

However, hiring, training, and supervising consultants in the field from headquarters can pose certain challenges. If the surveys are to be delivered face to face, then it is integral that the interviewer receive adequate training on the content and survey instrument. To enhance data validity and discourage fabrication of data, it is useful to inform them that a random sample of interviews will be verified based on the contact information they provide to discourage any potential indiscretions. Also, the consultant should be provided with the introduction on letterhead or email, or if drafted by them, carefully reviewed by the project team to avoid any reputational risks. The country office should be informed before contacting any clients.

Surveys can be administered through a variety of methods: face-to-face, Internet, email, telephone, fax, and mail.

The choice of method for administering international surveys should take into consideration the infrastructure and capacity of the country in which the survey is being conducted and the target population of the survey. For instance, some populations may only be reached in villages accessible by foot. Alternatively, high level government officials are usually not directly accessible and require going through proper channels to contact them about the survey.

In some countries, face to face surveys are most convenient because of respondents' difficulties in gaining internet access due to a lack of technology infrastructure or electricity for powering computers. Face to face surveys may entail an interviewer asking respondents questions directly from the survey and recording their responses as done in in-person interviews. (Techniques for optimizing face-to-face interview surveys are covered in the next section.) However, consultants hired to collect survey data may also give the written survey in person to the respondent and let the respondent complete it on his or her own and collect the completed survey.

Emailing survey questionnaires sometimes works better than internet surveys for various reasons. In some countries, it is unlikely that respondents will complete a survey on-line because they may have to pay to access the survey such as, at an internet café. Internet surveys may also be difficult to complete when electrical power outages cause unpredictable computer crashes. These challenges make it difficult and expensive for respondents to complete on-line surveys because they would have to spend their valuable internet time on it. Additionally, some standard internet survey packages do not allow users to save their partially completed surveys preventing respondents from working on the questionnaire at various points in time which is problematic if they need to research their answers. However, it is important to keep in mind that in emailing surveys, an incorrect spelling of an email notification will result in a failed delivery.

Internet surveys are the most efficient because the data are automatically entered into a database when the respondent answers the questions. Hence, it is easy to monitor responses and know who has and has not responded.

Non-response and non-coverage

The issue of survey non-response is a key challenge to overcome. Survey non-response occurs when a sampled individual does not respond to the request to be surveyed. In other words, the individuals ignore the request to complete the survey. A separate problem is that of non-cover-

age, which is the failure to contact all members of the target population to request their participation in the survey.

Non-coverage refers to not being able to contact or deliver a request for participation to a member of the target population. Some degree of non-coverage is often difficult to avoid and therefore expected to a certain degree in professional surveys. For example, telephone surveys that target the general population and use random digit dialing (a commonly used data collection method for telephone surveys) necessarily cannot cover respondents or households without a phone. Even when a complete list of the population of potential respondents exists, and when this list contains contact information, non-coverage can still occur when the survey administrator is unable to reach the target respondent.

- Erroneous contact information.
- Delivery errors due to transmission failures (e.g., technology issues with web, email, or Internet; problems with postal mail).
- Interception by others (such as, administrative staff), followed by a failure to forward the request to the sampled person.
- Sampled person is not present or inaccessible.
- Sampled person does not read or understand the survey request.

The consequences of both noncoverage and nonresponse can be serious if those who cannot be contacted or who refuse to respond differ in a systematic way from those who were able to be contacted and do respond. The consequences can include biased results.

Maximizing survey response rates

The objectives are: to maximize the response rate by minimizing the costs for responding; to maximize the rewards for doing so; and to establish trust that those rewards will be delivered. Efforts to lower non-response can be thought of in terms of these principles:

- Opportunity costs: From the perspective of the respondent, the benefits of participating must outweigh the costs at the time participation is requested.
- Social exchange: Create an expectation of reciprocity in social interactions, such as, by using small gestures or by offering incentives up front.
- Topic saliency: The survey should be (made) relevant to the participant.
- Interviewer competence: Effectively tailoring the request to the sampled person to increase the sampled person's propensity to cooperate

Consider the following suggestions for maximizing response rates at various stages in designing and implementing surveys.

Contacting potential respondents
- ✓ Call more times, and vary the timing of calls (more calls and at different times are better)
- ✓ Lengthen the data collection period (longer is better)
- ✓ Allow for significant interviewer workload (careful personal tailoring of request requires more time)
- ✓ Cultivate interviewer observations (face-to-face contact allows better tailoring of requests to participate)

Influencing potential respondents' decisions to participate
- ✓ Engage a trusted organization for sponsorship (World Bank, government and membership organizations are beneficial)
- ✓ Prenotify participants (advance letters tend to be beneficial)
- ✓ Provide incentives (advance cash incentives outperform in-kind or promised incentives)
- ✓ Reduce participant burden (shorter surveys are better, but perception of length matters)
- ✓ Attend to interviewer behavior (flexible and tailored introductions appear to work better)
- ✓ Match the interviewer to the sample person (match by sex or ethnicity, e.g., in general, older women tend to obtain highest response rates)

Persuading non-respondents to participate
- ✓ Switch interviewers (replacing an initially unsuccessful interviewer might help)
- ✓ Switch interview modes (mixed mode data collection designs can be more efficient than single mode data collection)
- ✓ Use follow-up procedures (send reminders or persuasion letters that address expressed concerns)
- ✓ Use two-phase sampling (follow-up sampling of nonrespondents to assess bias)
- ✓ Make postsurvey adjustments (weighting of data if response bias is known)

Organizational surveys

A key to gaining higher response rates in organizational surveys is targeted respondent selection methods (that is, identifying person with relevant knowledge instead of generically addressing chief executive which requires getting past gatekeepers such as administrative staff) and pre-notification (to raise awareness, or to identify the right respondent). Other factors associated with high response rates include an authoritative sponsor (government is better than universities), a legal mandate, follow-up activities (with reported effectiveness between 0 and 32 percentage points), concurrent use of multiple response modes, and ensuring that the survey topic is viewed as relevant to the organization's staff.

Survey questionnaire wording

Question types: open and closed ended questions

Survey questionnaires including two basic types of questions: open-ended and closed-ended items. Open-ended items are questions where the respondent answers in their own words. Open-ended items collect qualitative data in the respondents' own words. The advantage to this is that there is no chance that responses are influenced by having to select from preset options. Closed-ended questions obtain standardized responses which facilitate data processing and production of basic summary statistics. A potential disadvantage to closed-ended questions is that the options provided may not capture exactly a respondent's answer or that having to choose from preselected options influences respondents' answers. However, if the questionnaire is well designed, the chances of this will be minimized.

Analysis of qualitative data is generally more time consuming to get basic results than obtaining summary statistics from quantitative data (qualitative data analysis is addressed in Guidance Note 15). Typically, both types of questions are used for evaluation surveys with the majority being closed-ended items and a few open-ended items to dig deeper on key issues where narrative responses can help to reveal insights. Closed-ended items have a standard set of response options from which respondents select an answer. For example, a closed-ended question about the usefulness of a report may be followed up with open-ended questions asking about what aspects the respondents found most and least relevant.

Example of closed-ended item followed up with open-ended item

Thinking about the recent workshop you attended entitled, "M&E for Results," please rate its overall relevance to your work organization.
- ❑ Very relevant
- ❑ Relevant
- ❑ Somewhat relevant
- ❑ Irrelevant
- ❑ Not relevant at all

What aspects of the workshop did you find most relevant for your work organization? _____
_____

What aspects of the workshop did you find least relevant for your work organization? _____
_____

Closed-ended questions can elicit various kinds of data including nominal data, ordinal, or count data. Nominal variables

cannot be rank ordered. The response options designed to collect nominal data are usually descriptive categories that do not have values associated with them. For example, a question asking respondents the type of organization in which they work is purely descriptive and cannot be ranked. In other words, working for a university is not twice as valuable as working for a donor agency.

Example of closed-ended question for nominal data

At the time of the workshop, which of the following best characterizes the organization in which you worked?

- ❑ University/Research Institute
- ❑ Private sector
- ❑ Donor Agency
- ❑ National/Central Government
- ❑ Provincial/Regional Government
- ❑ Local Government
- ❑ Non-Governmental Organization
- ❑ Other

On the other hand, ordinal variables can be rank ordered. Questions collecting ordinal data have three (or more) response options that are associated with an ascending or descending order. Note that there is no requirement of equal-sized intervals between the response options of ordinal dependent variables, just a simple requirement that moving from one value to the next is in some way an ascent or descent.

For example, a question asking respondents to report highest level of education obtained is ordinal (such as high school, college, graduate school at masters level, graduate school at doctoral level, etc.) because higher values are meaningful and indicate higher levels of education. Likewise, questions asking respondents to indicate their agreement with a statement, or satisfaction with a service or product often use a rating scale.

For instance, a question asking a respondent to rate the extent to which they are satisfied with a training session they attended may have a response option scale ranging from: not satisfied at all, somewhat dissatisfied, moderately satisfied, satisfied and highly satisfied. In this example, higher values indicate greater levels of satisfaction and lower values indicate less satisfaction.

Example of closed-ended question for ordinal data

Tell us about your experience with the [content/instructional design/community that was developed/etc.] in this [workshop/online course/etc.]. Please indicate the extent to which you agree with the following statements.

	Strongly disagree	Disagree	Moderately agree	Agree	Strongly agree
The objectives of the course were clearly stated.	❑	❑	❑	❑	❑
The course work was at an appropriate level for me.	❑	❑	❑	❑	❑
The course work provided adequate exploration of the content and topics.	❑	❑	❑	❑	❑
The scope of the course was appropriate for the time allotted.	❑	❑	❑	❑	❑

Such response options produce ordinal level data which provide opportunities to calculate descriptive summary statistics and conduct statistical analyses to explore the determinants of satisfaction with training, for example.

Middle Category

In designing the question response options, one has to decide whether or not to include a middle category. In the example above, the "moderately satisfied" option is the middle category. It provides respondents who do not have extreme opinions in one direction or the other an option to select that captures their moderate views or ambivalence (that is, an option other than not answering the question). The disadvantage to using a middle category is that you may not get a decisive response in one direction or the other if most people choose the middle category.

The alternative is to forego the middle category, so that respondents are forced to take a position. In the example above that would mean leaving out the moderately satisfied option and choosing between not satisfied at all, somewhat dissatisfied,

satisfied, and highly satisfied. However, the potential disadvantage is that this increases the likelihood of question non-response which reduces the overall sample size to the number who answered the question. There are statistical techniques to impute missing data, however, they require advanced statistical methods and additional data sets on similar populations to estimate the missing information, which may or may not exist.

Reference periods

Evaluation surveys usually ask respondents to report on the past which can introduce problems of respondents' abilities to recall incidents in the past. This can result in systematic biases where respondents over-report or under-report due to difficulties in remembering what happened in the specific time frame. One demonstrated phenomenon is "telescoping" where respondents remember events as happening more recently than they did in the past. Conversely, "recall loss" happens when time periods are too long and respondents cannot remember what happened in the specified time period. The longer

Example of closed-ended question with middle category

To what extent do you agree with the following statements about your experience in the field visit knowledge exchange program?

	Strongly disagree	Disagree	Moderately agree	Agree	Strongly agree
The topics covered in the seminar were relevant to my work.	❑	❑	❑	❑	❑
The technical discussions were at the appropriate level.	❑	❑	❑	❑	❑
The networking opportunities provided were valuable to me	❑	❑	❑	❑	❑
The visit was of the right length to cover the topics thoroughly.	❑	❑	❑	❑	❑
There was too much time allotted for sight-seeing.	❑	❑	❑	❑	❑

the period the greater the recall loss and lower the telescoping effect. One way to reduce recall effects is to provide aids in survey interviews to help people remember the time period. This can include showing people calendars while asking them to recall how many times something happened in a shorter time period. Another approach is to anchor time periods around memorable events for the respondent (such as the Arab Spring or Japanese Tsunami), or perhaps use respondents' own materials to aid them in remembering incidents more accurately (such as diaries, checkbooks, emails, work documents, etc.). If this is not possible, describe the reference period in full and then refer to it at the beginning of the question item.

Examples of questions using a reference period

The following questions are about your participation in community meetings after the awareness raising campaign on citizens' rights to participate in public budgeting between January 1 and December 31, 2011.

- In 2011, how many community meetings did you attend, if any?
- In 2011, how many times did you vote on funding a particular project?

The following questions are about work in the ministry since the knowledge exchange on public private partnerships that took place between January 1 and December 31, 2011,

- In 2011, how many PPP projects have you proposed this year compared to last year?
- In your opinion, in 2011, are ministry staff more motivated to implement the procedures necessary to facilitate more PPP projects?

Balanced questions

It is important to use balanced questions when asking respondents their attitudes to avoid bias in their responses towards one direction or the other. Balanced questions mention the alternative. For example, did the intervention have a positive influence, negative influence, or no influence in your community? This includes the possibility of a project having a negative influence that

Example of balanced questions

We are interested in finding out if your participation in the program resulted in any changes. Did the program you participated in have a positive influence, negative influence or no influence at all in the following areas?

	Strong negative influence	Negative influence	No influence	Positive influence	Strong positive influence
Legislation or regulations	❏	❏	❏	❏	❏
Research methodology	❏	❏	❏	❏	❏
Publications	❏	❏	❏	❏	❏
Teaching materials for courses	❏	❏	❏	❏	❏
Work practices in your organization	❏	❏	❏	❏	❏
Community-based initiatives	❏	❏	❏	❏	❏

is often overlooked. A classic mistake by project teams is developing a survey question focused on discovering how clients benefited from the project and not allowing for the possibility that the respondent may have experienced negative consequences.

Question sequencing

Responses can be influenced by the order in which questions are asked. For instance, asking respondents about something specific and then something more general that includes the initial specific item can lead respondents to exclude the specific item in their response to the general question. Respondents assume since they already answered about the specific item that the general item must be asking about everything else but that.

For instance, asking a question about satisfaction with a particular event or activity and then asking about satisfaction with the entire program may lead respondents to exclude their attitudes about the particular event from their overall assessment of the program. It is better to ask the general question first and then the specific questions afterwards.

Examples to avoid question order effects

Please indicate your level of satisfaction with the conference as a whole.
- ❑ Very satisfied
- ❑ Satisfied
- ❑ Somewhat satisfied
- ❑ Dissatisfied
- ❑ Very dissatisfied

Please indicate your level of satisfaction with the networking session.
- ❑ Very satisfied
- ❑ Satisfied
- ❑ Somewhat satisfied
- ❑ Dissatisfied
- ❑ Very dissatisfied

Annex 3 presents an example of a survey questionnaire.

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Examples of Attributes for Intermediate Capacity Outcomes

Table 18. Examples of Attributes for Types of Intermediate Capacity Outcomes		
Type of ICO	**Specific Attributes to Measure**	**Description**
Raised Awareness	Attitude	Beliefs and values about the outcome of planned behavior
	Understanding	Perceptions of the benefits and constraints of a behavior; feelings and emotions or affect towards a behavior
	Confidence	An individual's perceived behavioral control or confidence over resources and skills needed to perform the behavior
	Strong Motivation	The incentive to perform the behavioral change
Enhanced Knowledge and Skills	Acquisition of Knowledge	New knowledge or skills that lead to broader institutional change
	Application of New Knowledge or Skills	Demonstrated use of new knowledge and skills by change agents in the process of institutional change
Improved Consensus and Teamwork	Improved Agreement	An increased level of agreement among participants resulting from a consensus decision making process
	Increased Contributions	Input by participants to a shared proposal for a decision that meets the concerns of all group members as much as possible
	Improved Cohesion	Higher sharing of a common set of values to lead to the best possible decision for the group and all of its members rather than just having participants competing for personal preferences
	Improved Inclusion	Involvement of as many stakeholders as possible in the consensus decision-making process
	Improved Communication	Improved exchange of clear and accurate information and the ability to clarify or acknowledge the receipt of information.
	Improved Group Decision Making or Planning	Improved ability of a team to gather and integrate information, use logical and sound judgment, identify possible alternatives, select the best solution, and evaluate consequences
	Improved Adaptability or Flexibility	Improved ability to use information and adjust strategies through compensatory behavior and reallocation of team resources

Table 18 (continued). Examples of Attributes		
Type of ICO	**Specific Attributes to Measure**	**Description**
Strengthened Coalitions	Shared Purpose and Vision	A common agenda reflecting why the coalition exists and what the desired results are
	Leadership	Having strong leaders, as evidenced by their ability to set a clear direction, keep the coalition moving forward, resolve conflict, ensure trust and accountability from members and keep a coalition focused on its vision
	Transparent Decision Making Process	Clarity among all parties about the model chosen and the commitment to implementing the process
	Cultural Capacities	Evidence that the coalition exhibits trust, respect for dissent and sensitivity to internal and external power differentials
	Membership Diversity and Participation	The broad-based ability to produce diverse resources and expand the reach to a wider audience. Members believe they are doing meaningful work, leading to sustained membership.
	Frequent and Productive Communication	The ability to keep members up to date on developments or activities and communicate clearly to motivate members to action
	Evaluating Success	Measures of the quality and impact of a coalition's work. The ability to measure progress toward goals and increase strategic capacity.
Enhanced Networks	Unity of Purpose	Uniting around a compelling idea, a shared belief that members of a network can achieve more together than they can alone
	Network Connectivity	The strength of the relationships between and among network members, reflected by how well network members are connected to one another and how well they communicate with one another
	Value Added	The extent to which a network adds value for its members, for clients served by the network, and in the broader environment
Increased Implementation Know How	Close Engagement and Dialogue	Coordinated action that involves the participation of key stakeholders in all stages of the learning by doing process
	Designated Responsibility for Coordination	The use of a single qualified local institution to coordinate the work with other local participants

Example of Questionnaire for WBI Participants

WORLD BANK INSTITUTE

Unleashing the Power of Knowledge to Enable a World Free of Poverty

World Bank Institute (WBI) Questionnaire

Instructions

WBI had the pleasure to have you participate in the following learning activity:

Title: _____

Held from: _____   to: _____

In: _____

Getting your opinion of the above-mentioned activity—now that you have had time to reflect on it—is very important to help WBI improve its programs. For this, we ask you to complete this questionnaire.

The questionnaire has four sections and should take approximately 20 minutes to complete.

• **Section 1** asks about the relevance of the activity.

• **Section 2** asks about the usefulness of the activity.

• **Section 3** asks you to compare this activity with similar learning activities offered by other organizations.

• **Section 4** asks about the characteristics of the activity, its follow-up and your background.

We need your <u>honest</u> feedback. Please keep in mind that your responses will be kept <u>confidential</u>, and will be used for the sole purpose of improving WBI programs.

If you have any questions about the questionnaire please send a message by e-mail to Email@worldbank.org.

Thank you for agreeing to complete this questionnaire!

World Bank Institute (WBI) Program Questionnaire

I. Relevance of the Activity

The activity that you are asked to evaluate is mentioned on the first page of this questionnaire.

1. Since the end of the activity, to what degree has the activity been relevant to your <u>work</u>?

Not relevant at all	Irrelevant for the most part	Somewhat irrelevant	Neither relevant or irrelevant	Somewhat relevant	Relevant for the most part	Extremely relevant	Don't know
1	2	3	4	5	6	7	DK
○	○	○	○	○	○	○	○

2. To what degree have the topics covered in the activity been relevant to your <u>country's</u> needs?

Not relevant at all	Irrelevant for the most part	Somewhat irrelevant	Neither relevant or irrelevant	Somewhat relevant	Relevant for the most part	Extremely relevant	Don't know
1	2	3	4	5	6	7	DK
○	○	○	○	○	○	○	○

3. Was the activity designed specifically for participants from your country?

    ○ Yes   ○ No   ○ Don't know

4. Was the activity related to your country's development goals listed below?

a. Eradicate extreme poverty	○ Yes	○ No	○ Don't know
b. Achieve universal primary education	○ Yes	○ No	○ Don't know
c. Promote gender equality and empower women	○ Yes	○ No	○ Don't know
d. Reduce child mortality	○ Yes	○ No	○ Don't know
e. Improve maternal health	○ Yes	○ No	○ Don't know
f. Combat HIV/AIDS, malaria, and other diseases	○ Yes	○ No	○ Don't know
g. Ensure environmental sustainability	○ Yes	○ No	○ Don't know
h. Develop global partnerships for development	○ Yes	○ No	○ Don't know
i. Ensure water sanitation and supply	○ Yes	○ No	○ Don't know
j. Improve investment climate and finance	○ Yes	○ No	○ Don't know
k. Promote trade	○ Yes	○ No	○ Don't know

II. Usefulness of the Activity

5. Please rate the degree of <u>effectiveness</u> of the activity in each area noted below.
(If the area was not an objective of the activity, please mark "not applicable.")

Unleashing the Power of Knowledge to Enable a World Free of Poverty

Areas	Not effective at all 1	ineffective 2	moderately ineffective 3	Somewhat effective 4	moderately effective 5	effective 6	Extremely effective 7	Not applicable NA
a. Raising your awareness and understanding of the development issues important to your country	O	O	O	O	O	O	O	O
b. Providing you with knowledge or skills	O	O	O	O	O	O	O	O
c. Helping you better understand your role as an agent of change in your country's development	O	O	O	O	O	O	O	O
d. Helping you develop strategies or approaches to address the needs of your <u>organization</u>	O	O	O	O	O	O	O	O
e. Helping you develop strategies or approaches to address the needs of your <u>country</u>	O	O	O	O	O	O	O	O
f. Helping you develop contacts, develop partnerships and build coalitions in the field	O	O	O	O	O	O	O	O

6. How would you rate the change—brought by the activity—in the main topic or issue it addressed?

Strong negative change 1	Negative change 2	Moderately negative change 3	Neither positive or negative change 4	Moderately positive change 5	Positive change 6	Strong positive change 7	Don't know DK
O	O	O	O	O	O	O	O

7. How often have you <u>used</u> the knowledge and skills you acquired in the activity for the following purposes? (If you have not worked in the given area since this activity, please mark "Not applicable.")

Purposes	Never used 1	Rarely 2	Occasionally 3	sometimes 4	Somewhat often 5	often 6	Use all the time 7	Not applicable NA
a. Conducting research	O	O	O	O	O	O	O	O
b. Teaching	O	O	O	O	O	O	O	O
c. Raising public awareness in development issues	O	O	O	O	O	O	O	O
d. Implementing new practices within your work organization	O	O	O	O	O	O	O	O
e. Organizing collective initiatives	O	O	O	O	O	O	O	O
f. Influencing legislation and regulation	O	O	O	O	O	O	O	O
g. Implementing country development strategies	O	O	O	O	O	O	O	O

8. To what extent did the following factors <u>help or hurt</u> the process of using the knowledge/skills that you acquired at the activity?

Factors	Greatly hurt 1	hurt 2	Somewhat hurt 3	Neither helped nor hurt 4	Somewhat helped 5	helped 6	Greatly helped 7	Not applicable NA
a. Your work environment (e.g., work procedures, colleagues, incentive system, funding, etc.)	O	O	O	O	O	O	O	O
b. Your county's development environment (e.g., country policies, social groups, political groups, readiness for reform, etc.)	O	O	O	O	O	O	O	O

9. How has the activity had an <u>influence</u> in the following areas?
(If the area is not relevant to the activity, please mark "Not applicable.")

Areas	Negative influence 1	negative 2	Somewhat negative 3	No influence 4	Somewhat positive 5	positive 6	Positive influence 7	Not applicable NA
a. Research	O	O	O	O	O	O	O	O
b. Teaching	O	O	O	O	O	O	O	O
c. Public awareness in development issues	O	O	O	O	O	O	O	O
d. New practices within your work organization	O	O	O	O	O	O	O	O
e. Collective initiatives	O	O	O	O	O	O	O	O
f. Legislation and regulation	O	O	O	O	O	O	O	O
g. Country development strategies	O	O	O	O	O	O	O	O

10. Since the activity ended, have you discussed the issues raised in the activity in any of the following instances: at work, with local partners, government officials, NGOs, or in the media?

Issues never raised 1	Issues raised but not discussed 2	Issues discussed very briefly 3	Issues discussed to a limited extent 4	Issues discussed to a moderate extent 5	Issues discussed adequately 6	Issues discussed extensively 7
O	O	O	O	O	O	O

III. Comparison of the WBI Activity with Similar Activities Offered by Other Organizations

11. Did you participate in any similar learning activities offered by other (NON-WBI) organizations in your country? (If no, please skip to question 14.)

○ **Yes**　　　○ **No**

12. If yes, please provide the name(s) of the organization(s):

1. ....

2. ....

3. ....

13. How would you rate the effectiveness of the WBI activity compared to other activities conducted by other organizations?

WBI much less effective	Less effective	Somewhat less effective	Neither more effective or less effective	Somewhat more effective	More effective	WBI much more effective	No opinion
1	2	3	4	5	6	7	
○	○	○	○	○	○	○	○

IV. Characteristics of the WBI Activity, its Follow-up and Your Background

14. How would you describe the type of the learning activity?

Video Sessions (Distance Learning)	Class room (Face to Face)	Mix of Video and Face to Face	Conference	Web-based Learning	Study tour
1	2	3	4	5	6
○	○	○	○	○	○

15. How effective was this type of learning activity in helping you learn?

Not effective at all	ineffective	Moderately ineffective	Somewhat effective	Moderately effective	Effective	Extremely effective	No opinion
1	2	3	4	5	6	7	
○	○	○	○	○	○	○	○

16. During the WBI activity, did you develop an action plan/strategy (e.g., work plans, strategy papers, or policy documents) to apply the knowledge and skills you learned?
(If no, please mark "no" below, then skip to question 16.)

○ **Yes**　　　○ **No**

17. If yes, did you use part or all of the action plan in your work?

      O **Yes**   O **No**

18. Were you provided with the contact information of other participants in the activity, such as e-mail addresses, telephone numbers or mailing addresses?
(If no, please mark "no" below, then skip to question 18.)

      O **Yes**   O **No**

19. If yes, how did you use it?

Never used it	Used it to continue activity related discussions	Used it to organize joint follow-up activities
O	O	O

20. Which of the following best describes the organization in which you have worked the longest since the activity? (Select one.)

O University/research institution   O National/central government

O Non-governmental organization *(not-for-profit)*   O Provincial/regional government

O Media   O Local/municipal government

O Private sector   O Other, specify: _____

21. Which of the following best describes the primary type of work you have done the longest since the activity? (Select one.)

O Research   O Teaching

O Policymaking/legislation   O Provision of services (e.g., financial, health, etc)

O Management/administration   O Other, specify: _____

22. How would you best describe the level of the position you have held the longest since the activity?

O Highest level (e.g., Minister, Deputy Minister, Top Government Official, Full Professor, President, CEO)

O Senior level (e.g., Department Head, Division Head, Associate Professor, Sr. Researcher)

O Middle level (e.g., Program Manager, Project Leader, Assistant Professor, Technical Expert)

O Junior Level (e.g., Research associate, Ph.D. level graduate student, Technical Specialist)

O Entry level (e.g., Intern, assistant)

O Other, Please specify: _____

23. What is your gender?   O Male   O Female

Thank you for your feedback. We appreciate your cooperation very much.

This collection of guidance notes explains and demonstrates how to assess capacity development efforts by reviewing and documenting the results of ongoing or completed capacity development activities, projects, programs or broader strategies.

The notes can help practitioners and evaluators to highlight lessons learned and identify which approaches were successful and unsuccessful within specific contexts. This information provides an orientation for designing more effective results frameworks and monitoring arrangements during the project or strategy design stage.

Key concepts in this approach apply to a wide range of development initiatives. The methods have been tested on capacity development projects within the World Bank's lending portfolio and capacity building programs, on the Korea Development Institute Knowledge Sharing Program, and on a knowledge exchange program sponsored by the World Bank's South South Experience Exchange Facility.

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