Framing Knowledge and Learning for Development Results

Samuel K. Otoo
WBI Capacity Development and Results Unit
American Evaluation Association
Washington, DC, October 17, 2013
The Problem

• With finance constrained, accelerating poverty reduction globally requires better use of development resources
• Broad consensus in development community that this requires improved capacity in developing and transition countries
• More than $30 billion a year spent on knowledge and learning programs to enhance such capacity
• But, independent evaluations conclude that results of capacity development efforts have not met expectations
Institutions as capacity

- Strong development results depend not only on resources—financial, human, infrastructure—but on formal and informal institutions.
- Belief and incentive systems, participation, perceptions of legitimacy, social norms, and other institutional factors determine societies’ development priorities and policy choices, and how resources are used to achieve priorities.
- Institutions evolve, sometimes abruptly, in response to a multitude of events and decisions.
- Can institutional change processes be influenced systematically or predictably by how knowledge and information are applied at various levels of a society.
Capacity Development Results Framework (CDRF)

• Offers strategic integrated approach where capacity development is tied to a specific development goal and related local institutional capacities
• Emphasizes empowerment of local agents through learning, knowledge and innovation
• Highlights changes needed for collective leadership and action
• Frames analysis of institutional barriers and design of explicit change strategies targeting institutional constraints and opportunities
• Provides structure to guide local stakeholders collaboratively through the process of building their own “theory of change”
• Unpacks change process to accommodate complexity, allowing for more adaptive program design and management
Key operational features

- Integration of M&E at all program stages to inform adaptive management and systematic learning loops to determine what works and what does not
- Results indicators defined over changes in behavior, relationships, products and services that provide critical intermediate indicators of the change dynamic
- Goes beyond structured learning to include practitioner knowledge exchange, experiential learning, induced innovation and innovation sharing
- Open architecture and participatory process for collaborative use of diverse learning and change management tools and techniques
- Standard sets of intermediate and final outcome indicators that can be flexibly applied across sectors and countries
- Provides for adaptability—indicators focus on underlying characteristics, which can take different forms depending on the actual context; very different from standard sector indicators which assume institutional arrangements have the same meaning in different contexts
Modeling results-focused capacity development

- CDRF envisages two inter-linked and potentially overlapping sub-processes:
  1. process of transformation of leaders, groups, organizations or coalitions, which improves their ability [and disposition] to take action
  2. process of change in the institutional arrangements that condition both the likelihood and the impact of such action, often/possibly driven by the transformed actors themselves

- No fixed boundary or prescribed sequence to these sub-processes, but useful to identify some common guideposts

- Framework offers nine guideposts at two levels, namely three institutional capacities [covering 19 characteristics] and six intermediate capacity outcomes
Capacity Development Results Framework

Development Goal

Institutional Change & Development Actions

Demand Institutions
- Inclusive Stakeholder Ownership

Supply Institutions
- Efficient Policy Instruments
- Effective Organizational Arrangements

Agents of Change

Intermediate Capacity Outcomes

Knowledge Services

Resource inputs
- Financial
- Human
- Technology
- Infrastructure

- Raised awareness
- Enhanced knowledge or skills
- Improved consensus & teamwork
- Strengthened coalitions
- Enhanced networks
- New implementation know-how
Examples of Change Strategies

Transformative Change

Normative Re-educative Strategy

Emphasis: participation, cohesiveness, collaborative action, relationship, open dialogue, culture, norms, trust

Key Intermediate Capacity Outcomes:
- Improved consensus and teamwork
- Expanded networks

Power-Coercive Strategy

Emphasis: compliance, behavioral psychology, authority and leverage, rewards and sanctions

Key Intermediate Capacity Outcomes:
- Fostered coalitions
- Formulated policies and strategies
- Implemented strategies and plans

Collaborative Leadership Strategy

Emphasis: integrity, values, inspiration, vision, common good, collaborative action, externally open, personal risk-taking

Key Intermediate Capacity Outcomes:
- Raised awareness
- Improved consensus and teamwork
- Fostered coalitions

Empirical-Rational Strategy

Emphasis: expertise, argumentation, facts, analysis, logic, rational persuasion

Key Intermediate Capacity Outcomes:
- Raised awareness
- Enhanced knowledge and skills

Incremental Change

External Stimulus

Internal Reflection
Institutional change objectives

**Demand Institutions**

- To strengthen stakeholder ownership
  - Enhance commitment of political and social leaders
  - Improve compatibility of social norms and values
  - Increase stakeholder participation in setting priorities
  - Increase stakeholder demand for accountability
  - Improve transparency of information to stakeholders

**Supply Institutions**

- To increase efficiency of policy instruments
  - Improve clarity in defining rights and responsibilities
  - Improve consistency
  - Strengthen legitimacy
  - Strengthen incentives for compliance
  - Simplify administration
  - Reduce risk for negative externalities
  - Increase flexibility
  - Strengthen resistance to corruption

- To improve effectiveness of organizational arrangements
  - Improve clarity of mission
  - Increase achievement of outcomes
  - Increase operational efficiency
  - Improve financial viability and probity
  - Improve communication and stakeholder relations
  - Improve adaptability
Intermediate Capacity Outcomes

empower local actors, and lie at heart of change process

<table>
<thead>
<tr>
<th>Raised Awareness</th>
<th>Enhanced Knowledge and Skills</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Attitude</td>
<td>• Acquisition of new knowledge</td>
</tr>
<tr>
<td>• Confidence</td>
<td>• Application of new knowledge</td>
</tr>
<tr>
<td>• Intention to act</td>
<td>• Improvement in understanding</td>
</tr>
<tr>
<td>• Motivation</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Improved Consensus and Teamwork</th>
<th>Strengthened Coalitions</th>
<th>Enhanced Networks</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Communication</td>
<td>• Common agenda for action</td>
<td></td>
</tr>
<tr>
<td>• Coordination</td>
<td>• Commitment to act</td>
<td></td>
</tr>
<tr>
<td>• Contributions</td>
<td>• Trust</td>
<td></td>
</tr>
<tr>
<td>• Cohesion</td>
<td>• Leveraging diversities</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>New Implementation Know-How</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Formulated policies and strategies</td>
</tr>
<tr>
<td>• Implemented strategies and plans</td>
</tr>
</tbody>
</table>
General uses of CDRF

• Strategic planning
• Institutional capacity diagnostic
• Design of results-focused capacity development initiatives
• Monitoring and adaptive management of capacity development initiatives
• Evaluation and reporting on results of capacity development efforts
List of Resources and Tools

For more information, email the WBI Capacity Development and Results team at capacity4change@worldbank.org

<table>
<thead>
<tr>
<th>Name</th>
<th>Description</th>
<th>Direct Web Link</th>
<th>Uses</th>
</tr>
</thead>
<tbody>
<tr>
<td>How to Demonstrate Your Initiative’s Results Presentation</td>
<td>Explains the “what” and “how” of demonstrating results for WBI teams working on capacity development</td>
<td><a href="http://intresources.worldbank.org/WBI/INT/Resources/13697-L298946431934Demonstrating_Results-2011-02-17.pptx_with_Notes.pdf">http://intresources.worldbank.org/WBI/INT/Resources/13697-L298946431934Demonstrating_Results-2011-02-17.pptx_with_Notes.pdf</a></td>
<td>X X</td>
</tr>
<tr>
<td>Overview of Results Planning, Monitoring, and Reporting</td>
<td>Plan, monitor, and report on results of WBI capacity development initiatives: AIs, Concept Note, AUS, ACS</td>
<td><a href="http://go.worldbank.org/1GSO2AUAS0">http://go.worldbank.org/1GSO2AUAS0</a></td>
<td>X X X X</td>
</tr>
<tr>
<td>Data Collection Tools for Capacity Development Results</td>
<td>Customizable tools to collect data from participants, such as surveys and tests</td>
<td><a href="http://go.worldbank.org/M3UBOOTJ40">http://go.worldbank.org/M3UBOOTJ40</a></td>
<td>X X</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name</th>
<th>Description</th>
<th>Direct Web Link</th>
<th>Uses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overview of Two Levels of Results</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Institutional Capacities and their Contributing Characteristics Flyer</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Intermediate Capacity Outcomes Flyer</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Tools for Design, Management and Evaluation of Capacity Development | | |

<table>
<thead>
<tr>
<th>Name</th>
<th>Description</th>
<th>Direct Web Link</th>
<th>Uses</th>
</tr>
</thead>
</table>

| Case Studies in Capacity Development and Results | | |

<table>
<thead>
<tr>
<th>Name</th>
<th>Description</th>
<th>Direct Web Link</th>
<th>Uses</th>
</tr>
</thead>
</table>

| Sample Feature Articles on Capacity Development and Results Experiences | | |

- National Strategic Planning in Liberia
- Bridging Gaps and Tradeoffs in Building Africa’s Capacity
- Evaluating Knowledge Exchange Programs
- Articles describe the need for and regional/country experiences with results-focused capacity development | [http://www.worldbank.org/capacity](http://www.worldbank.org/capacity) | X