

**An Integrated Approach to Results Management in a Knowledge Organization -
The Experience of the World Bank Institute**

Framing Knowledge and Learning for Development Results

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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

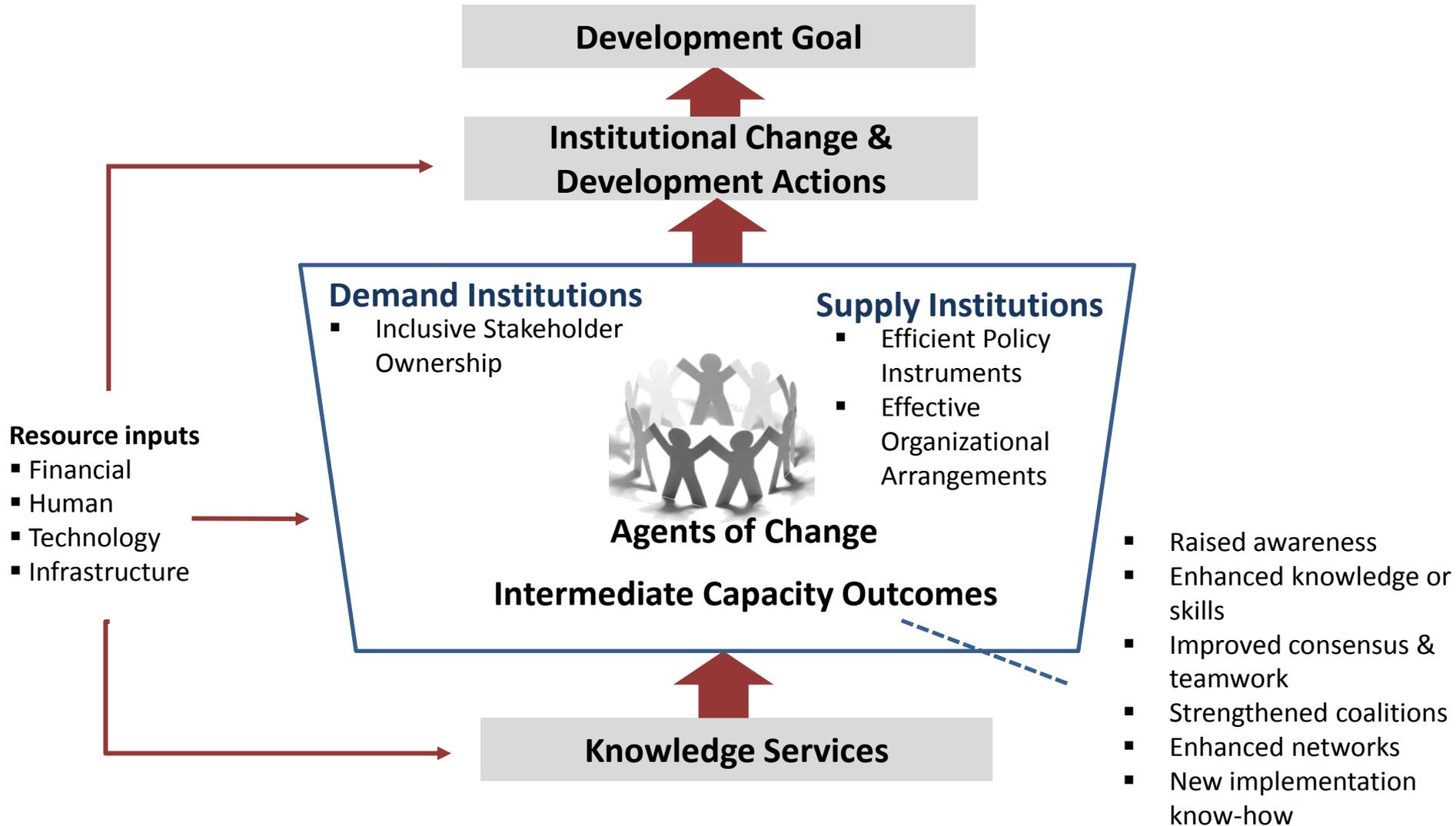
Key operational features

- 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



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

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

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

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



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

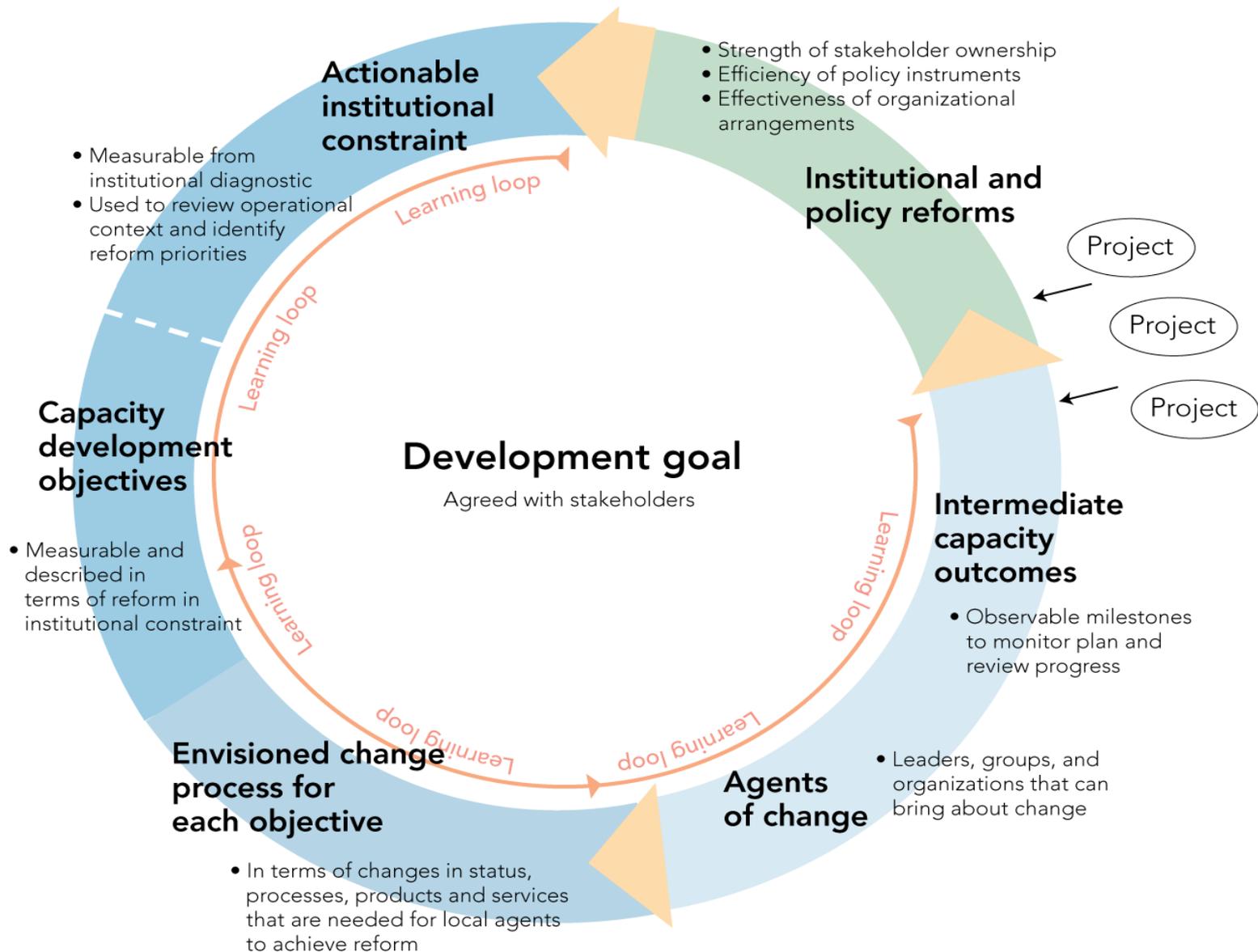
Enhanced Networks

- Common interest
- Processes for collaboration
- Incentives for participation
- Generating traffic

New Implementation Know-How

- Formulated policies and strategies
- Implemented strategies and plans





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

Available Products at www.worldbank.org/capacity for Capacity Development Diagnostics, Design, Monitoring and Evaluation

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

WBI is developing a growing suite of resources and tools that development practitioners can use to design and manage results-focused capacity development initiatives. For more information, email the WBI Capacity Development and Results team at capacity4change@worldbank.org

Diagnostics
Design
Monitoring
Evaluation
Applications

Name	Description	Direct Web Link	Uses			
Overview of Results Framework and Results-Focused Capacity Development						
The Capacity Development Results Framework	Guide to planning, implementing and evaluating results-focused capacity development programs	http://wbi.worldbank.org/wbi/document/capacity-development-and-results-framework	X	X	X	X
Overview of Capacity Development and Results Framework Flyer	Summarizes framework to guide and communicate results-focused capacity development efforts	http://wbi.worldbank.org/wbi/document/wbi-capacity-development-and-results-framework	X	X	X	X
Focus on Results animated video	3-minute video explains results-focused approach to capacity development	http://wbi.worldbank.org/wbi/multimedia/focusonresultsmobile4	X	X	X	X
Overview of Two Levels of Results						
Institutional Capacities and their Contributing Characteristics Flyer	Three institutional capacity areas and their characteristics to guide institutional level results and diagnostics	http://wbi.worldbank.org/wbi/document/institutional-capacities-and-their-contributing-characteristics-institutional-diagnosticspr	X	X		
Intermediate Capacity Outcomes Flyer	Typology of outcomes to guide intermediate level results and monitoring	http://wbi.worldbank.org/wbi/document/intermediate-capacity-outcomes		X	X	
Tools for Design, Management and Evaluation of Capacity Development						
Steps for Designing a Results-Focused Capacity Development Strategy	Steps for working with stakeholders to design an effective strategy	http://wbi.worldbank.org/wbi/document/steps-designing-results-focused-capacity-development-strategy	X	X		
Guide to Evaluating Capacity Development Results	Collection of guidance notes to help assess capacity development efforts	http://wbi.worldbank.org/wbi/document/guide-evaluating-capacity-development-results			X	X
How to Demonstrate Your Initiative's Results Presentation	Explains the "what" and "how" of demonstrating results for WBI teams working on capacity development	http://intresources.worldbank.org/WBIINT/Resources/136974-1289346431934/Demonstrating_Results-2011-02-17_ppt_with_Notes.pdf			X	X
Overview of Results Planning, Monitoring, and Reporting	Plan, monitor, and report on results of WBI capacity development initiatives: AIS, Concept Note, AUS, ACS	http://go.worldbank.org/16GO2AUAS0	X	X	X	X
Data Collection Tools for Capacity Development Results	Customizable tools to collect data from participants, such as surveys and tests	http://go.worldbank.org/M3U8OOTJ40			X	X
Institutional Capacity Indicators Database	Lists indicators to help measure results	http://wbicdrf.worldbank.org		X	X	X

Diagnostics
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Name	Description	Direct Web Link	Uses			
Tools for Design, Management and Evaluation of Capacity Development, continued						
Operational Note on Relational Intermediate Capacity Outcomes	Attributes and indicators to understand and measure outcomes involving improved relationships	http://wbi.worldbank.org/wbi/document/operational-note-relational-intermediate-capacity-outcomes		X	X	X
Reviewing Project Results Retrospectively Using the Capacity Development and Results Framework	Paper outlines the process for analyzing results of capacity development projects using the framework	http://wbi.worldbank.org/wbi/document/reviewing-project-results-retrospectively-using-results-focused-approach-capacity-development			X	X
Reference Studies for Learning about Capacity Development and Results						
Importance of Stakeholder Ownership for Capacity Development Results	Paper discusses inclusive stakeholder ownership in practical terms for a deeper understanding of its concepts and relevance	http://wbi.worldbank.org/wbi/document/importance-stakeholder-ownership-capacity-development-results	X	X		
Review of Capacity Development Results Measurement in World Bank Projects	Paper offers insights into effective results measurement using the CDRF, with examples from approx 200 Bank projects	http://wbi.worldbank.org/wbi/document/review-capacity-development-results-measurement-world-bank-projects-need-systematic-approach			X	X
Can Collaborative Capacity Generate Better Development Results in Africa?	Summary of insights from a panel of key African government and civil society leaders	http://wbi.worldbank.org/wbi/Data/wbi/wbics/files/drupal-acquia/wbi/Can_Collaborative_Capacity_Generate_Better_Development_Results_in_Africa.pdf				X
Case Studies in Capacity Development and Results						
Using Knowledge Exchange for Capacity Development: What Works in Global Practice?	Lessons from a joint study with Korea Development Institute that assessed three South-South knowledge exchange programs	http://wbi.worldbank.org/wbi/document/using-knowledge-exchange-capacity-development-what-works-global-practice		X	X	X
Strengthening Inclusive Ownership Through Capacity Development	Nine case studies offer lessons in collaboration, local leadership and tracking outcomes	http://wbi.worldbank.org/wbi/document/strengthening-inclusive-ownership-through-capacity-development	X	X	X	X
Consultations in Results-Focused Capacity Development: Project Experiences in East Africa	Lessons learned in design and results management from local reviews of three capacity development projects	http://wbi.worldbank.org/wbi/document/consultations-results-focused-capacity-development-project-experiences-east-africa-using-ca		X		X
Sample Feature Articles on Capacity Development and Results Experiences						
<ul style="list-style-type: none"> 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				X