Outcome-Based Learning Field Guide

Tools to harvest and monitor outcomes and systematically learn from complex projects

Based on pilot experiences with World Bank teams and clients

THE WORLD BANK

Outcome-Based Learning Field Guide

Tools to harvest and monitor outcomes and systematically learn from complex projects

_____

Based on pilot experiences with World Bank teams and clients

Table of Contents

Example of how and why a World Bank program used outcome harvesting
to learn about social change impacts from capacity building interventions

Acknowledgments

This toolkit was developed based on first pilot experiences with about 20 World Bank knowledge projects in strategic thematic areas. Since 2012, the World Bank has used the experiences of projects applying these tools to customize this evolving toolkit of resources for learning across the program cycle.

Examples of knowledge projects that used the tools:
- Constitutional mandates in health initiative (online community, country-based coalitions)
- Leadership public sector reform initiatives (in education, civil service, financial management information systems, sewerage services, energy)
- Open contracting program at global and country levels
- Access to Information network in Latin America
- Parliamentary oversight of national budgets in Africa
- Local governance capacity building in South East Europe
- eLearning for capacity development of city officials in China
- Solid waste management in Bosnia
- Governance in pharmaceutical procurement in African countries
- Social accountability in education in the Philippines
- Brazil drought preparedness and climate program

Summary

Documenting, understanding, and making sense of outcomes—achieved or not achieved, planned or unexpected—can facilitate strategic, systematic knowledge sharing among task teams, partners, and clients. However, this can be a difficult undertaking, especially with complex development processes that involve profound development challenges, experimentation with new innovations, or country-led behavioral and institutional changes by multiple social actors.

Methods such as outcome harvesting (from the Outcome Mapping Learning Community) offer approaches to manage knowledge and learn from complex and difficult-to-monitor development processes. Collecting—also known as harvesting—bites of detailed outcome information with colleagues, partners, and stakeholders can allow teams to identify, monitor, and learn from changes in social actors. The information collected describes who changed what, when and where, why it matters to the development objective—the significance of the change to the development challenge and context—and how the program contributed to the change.

Harvesting program information for outcome-based learning is a stakeholder-centered process that captures qualitative, tacit knowledge. The process includes substantiating and analyzing harvested knowledge collaboratively to communicate progress toward impact to clients, management, and partners. Tools are flexible to adapt to a program's design and can provide useful details to inform the theory of change, implementation lessons, outcomes, and indicators.

From 2012–2014, the World Bank Capacity Development and Results team undertook pilot experiences to identify how outcome harvesting could be integrated with the World Bank's results management approach. Teams explored how customized outcome harvesting concepts and tools could lend themselves to learning about how change happens in complex aspects of about 20 World Bank knowledge projects.

Based on feedback from the task teams and clients involved in the pilot experiences, suggestions on ways to use the outcome harvesting tools going forward include: capture tacit and contextual knowledge from program implementation; use for systematic learning to maximize benefits of interventions; seek evidence and lessons from an implementation process; use for client reporting on results and promoting learning by doing; and triangulate outcomes with other data to validate results.

To move forward on these suggestions and advance project learning, the guides and tools customized in the pilot experiences were brought together in this field guide. The field guide is intended as a collaborative vehicle for World Bank staff, clients, partners, and other stakeholders to harvest, substantiate, interpret, monitor, and learn from outcomes across the project cycle to improve effectiveness and results. Key uses identified include:
- Reviewing results from complex program/project components to improve the benefit of interventions, sustainability and mix of actors involved
- Gathering evidence and lessons from the change process that can complement other M&E tools
- Rigorous knowledge management of complex, multi-actor processes

It is hoped that these first outputs of the pilot experiences will continue to be adapted in different ways and improved upon through ongoing application and learning.

Introduction to Outcome-Based Learning

What is it

Outcome harvesting—a practical tool for outcome-based learning—is a participative method used to identify, monitor and learn from the changes a program influenced or produced in social actors. Implementation teams and stakeholders collect outcome information to define who changed what, when and where, why it matters, and how the program contributed to the change. This process provides the foundation of outcome-based learning: information on the program's outcomes allows teams and stakeholders to understand the progression of change—what worked and did not work—to adaptively learn from results.

The outcome harvesting approach is adapted from the outcome mapping community, with an outcome defined as a significant change in the behavior, relationships, activities, or actions of the people, groups, communities or organizations with whom a program works directly. By identifying and monitoring those changes that fall within the "sphere of influence" of a program (figure 1), practitioners can understand the many often non-linear streams of outcomes that characterize that program's contribution toward a development goal.

Figure 1. Sphere of influence of a program
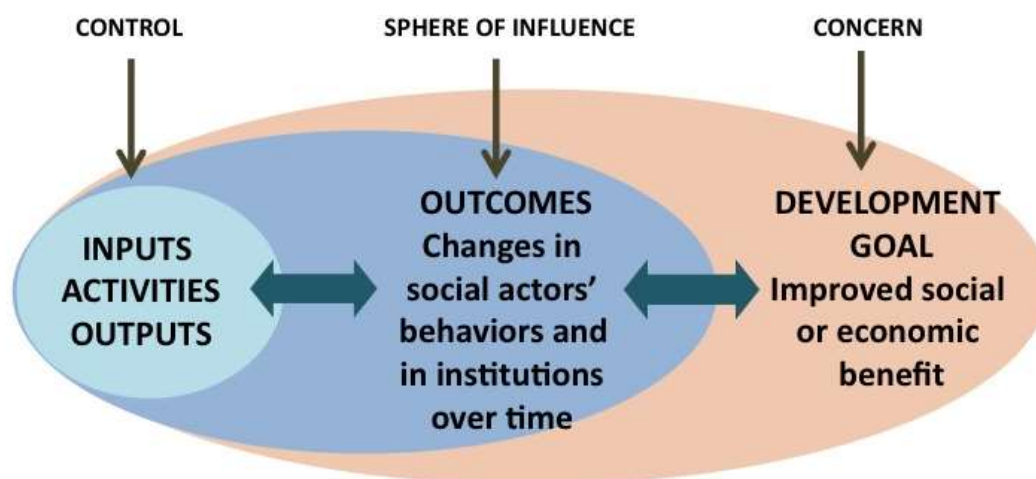
Source: Simon Hearn. Overseas Development Institute. At www.outcomemapping.ca

Civil society organizations, research institutes, and government agencies globally have adapted outcome harvesting and related outcome mapping concepts to understand complex programs. The Outcome Mapping Learning Community (www.outcomelearning.ca) has developed a hub of information and experiences on how, why, and when to use related tools.

Other development partners have also used outcome harvesting and/or outcome mapping, such as the Ford Foundation, UK Department for International Development, Canadian International Development Agency, Oxfam, and Open Society Institute. The Overseas Development Institute supports the Outcome Mapping Learning Community, and the US Agency for International Development identifies outcome harvesting tools as useful for complex aspects of programs and strategies as a complement to performance monitoring (http://usaidlearninglab.org/library/discussion-note-complexity-aware-monitoring). An August 2013 discussion paper from the UN Development Programme evaluation office selected Outcome Harvesting as one of 11 promising innovations in monitoring and evaluation practice (https://undp.unteamworks.org/node/370238).

When to use it

Outcome harvesting can be useful for understanding complex aspects of development programs. What do we mean by complexity? Complexity comes in part from the number and nature of the social actors, the challenging development problems addressed and the uncertain solutions to these problems. There are often difficult to monitor processes because of the multiple actors involved and unclear results chains, but they offer an opportunity for experimentation to gather new lessons.

The Cynefin Framework (figure 2) shown below provides a typology of contexts to guide explanations and solutions to address development challenges. When a program is *complex*, there tends to be considerable uncertainty about whether the planned activities will have the intended results. Outcome-based learning—documenting, understanding, and interpreting outcomes—can help teams and stakeholders learn how a program has (or has not) addressed development problems with uncertain solutions and to understand the context of the changes.

Figure 2. Cynefin Framework
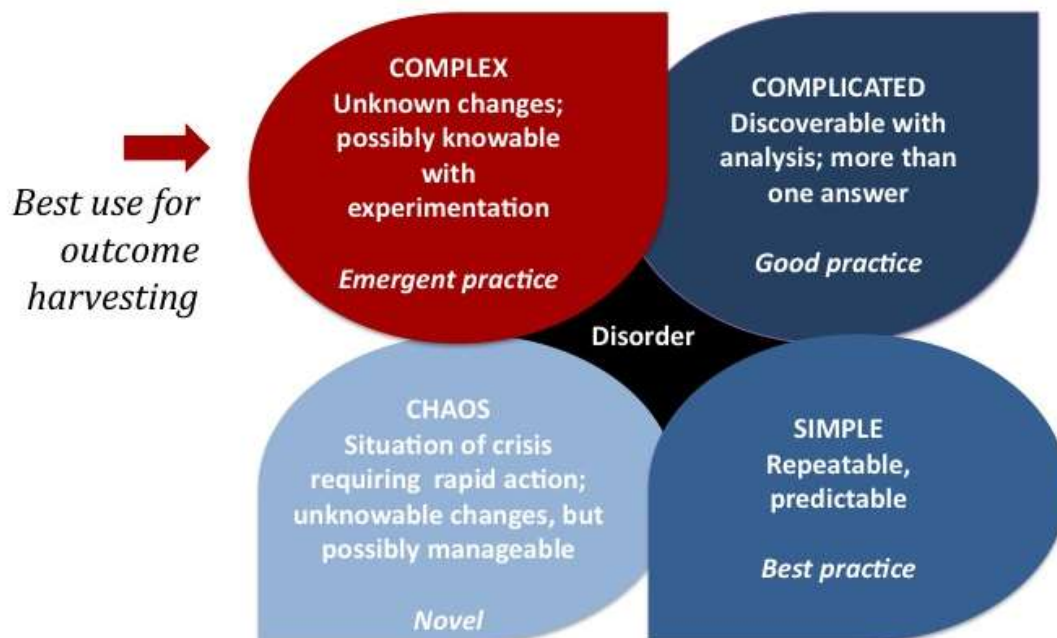
Source: Dave Snowden at http://cognitive-edge.com/

How it promotes learning

Outcome harvesting offers tools for knowledge capture and results learning across the stages of substantially complex development programs where it is difficult to show impact (figure 3). The information gathered can be used to maximize the benefits of interventions and offer a context-specific lens to inform and complement learning from other M&E data.

Outcomes provide qualitative learning on key interventions and identify essential lessons, such as how best to adapt successful efforts to different contexts and how to choose the best mix of actors to involve. Learning could be used to inform program design and delivery, as well as defined areas for further operational research and evaluation.

Figure 3. Results learning across the stages of development programs

① Design Stage

Map goals, targeted behavioral changes and actors for results framework

② Implementation or Review Stage

Track and substantiate milestones iteratively to reflect on progress and inform next steps

③ Completion Stage

Evaluate outcomes achieved and essential lessons

Portfolio Learning

Systematically harvest lessons relating to challenge areas

Results learning across all project stages

This field guide focuses mainly on the implementation stage, offering guides and tools for systematic qualitative learning of what has been achieved and then working backwards to determine how the change happened. It is a paradigm shift in thinking: first, identify the outcomes (changes in social actors), then discover the activities and outputs that contributed to the outcomes.

Harvest Outcomes with Stakeholders

Guide to Harvesting Outcomes

Outcome harvesting is a participative method for identifying outcome information with colleagues, partners, and stakeholders. It is used to learn about who changed what, when and where, why it matters, and how the program contributed.

Why Outcome Information Is Important

The outcome information collected can capture unrecorded knowledge on a program to provide a detailed understanding of results and how the actors achieved them on the ground. This information can inform evidence-based adjustments during delivery, leading to continuous adaptive management of complex change processes. The information can also promote dialogue and inform strategic decisions on next steps. Finally, the information can help answer questions about a program's results, and be a starting point for more comprehensive evaluation.

Process for Learning from Outcomes

This guide summarizes the basic steps to systematically learn from outcomes. Other learning materials will explain specific steps in more detail.

What Is Meant by Outcomes

In outcome harvesting, an outcome is what each social actor (or change agent) did, or is doing, that reflects a significant change in their behavior, relationships, activities, actions, policies or practice.

In a World Bank program, an outcome might describe an action that reflects a demonstrated change in awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions. Outcomes might also describe deeper institutional changes relating to policy, citizen engagement or government accountability and organizational arrangements. The outcome always refers to the changes influenced in change agents.

Discovering what a program's outcomes are is a process—you may discover that some outcomes aren't outcomes at all or that some matter more than others. The focus of the process is looking at actions by social actors, asking why they matter and what they represent within the change process.

13

Strategize Evaluative Learning Questions

Tools for harvesting outcomes can be used in a variety of ways to gather the information that best allows programs to address strategic questions of most concern. A team may decide to:

- Look at outcomes across the entire program to learn from the whole change process.
- Examine part of a complex reform to understand what problems were addressed and how.
- Collect outcome information to help answer specific questions, such as:
    - How has the change process differed across countries?
    - What is the sustainability of the changes to institutionalize results?
    - How is the program design advancing what needs to be achieved?
    - What are lessons to overcome critical development challenges?

The aim could be continuous learning from outcome information, gathered frequently from the design stage of a program through implementation and completion. Or the aim could be to record change in more detail periodically—collecting it at key stages to learn from cumulative results achieved over several years.

Harvest Information within Teams and from Clients or Partners

For a 2–3 year program, 20–30 outcomes might be reported. An attempt should be made to "unpack" significant outcomes to show the various change processes that contributed to the outcome. All outcomes—positive and negative, intended and unintended—hold the potential of enhancing learning about the change process and should be recorded.

Think like a detective to first identify outcomes and evidence of changes, and then work backwards to discover how the change happened. Activities to identify outcomes with team members and stakeholders might include:

- Facilitated group sessions to identify outcomes
- Periodic documentation or reporting of outcomes in a template, database, or online form by the project team or clients
- A client survey which is designed to collect information on outcomes relevant to the project and key evaluation questions
- Structured interviews by a trained third party to identify outcomes.

If methods are used for the initial outcome harvesting that do not involve the entire team, a later team discussion would allow for dialogue, bring out multiple perspectives, and provide richer content for learning together. Outcome information can be monitored in a table or spreadsheet, to include the outcome statement, outcome significance and program contribution.

OUTCOME STATEMENT Actions by government, civil society or private sector change agents	SIGNIFICANCE Significance to objective and particular problem	CONTRIBUTION Program activities and outputs plausibly linked to the outcomes
Change in a change agent's behavior, relationships, activities, actions, policies or practice that the program has influenced in some way.	A description of the relationship of the outcome to the specific problem, need or situation it influences, which brings out its significance in moving the program closer to meeting its development objectives	Processes, goods or services produced by the program that influence change in some way.

IN MORE DETAIL:
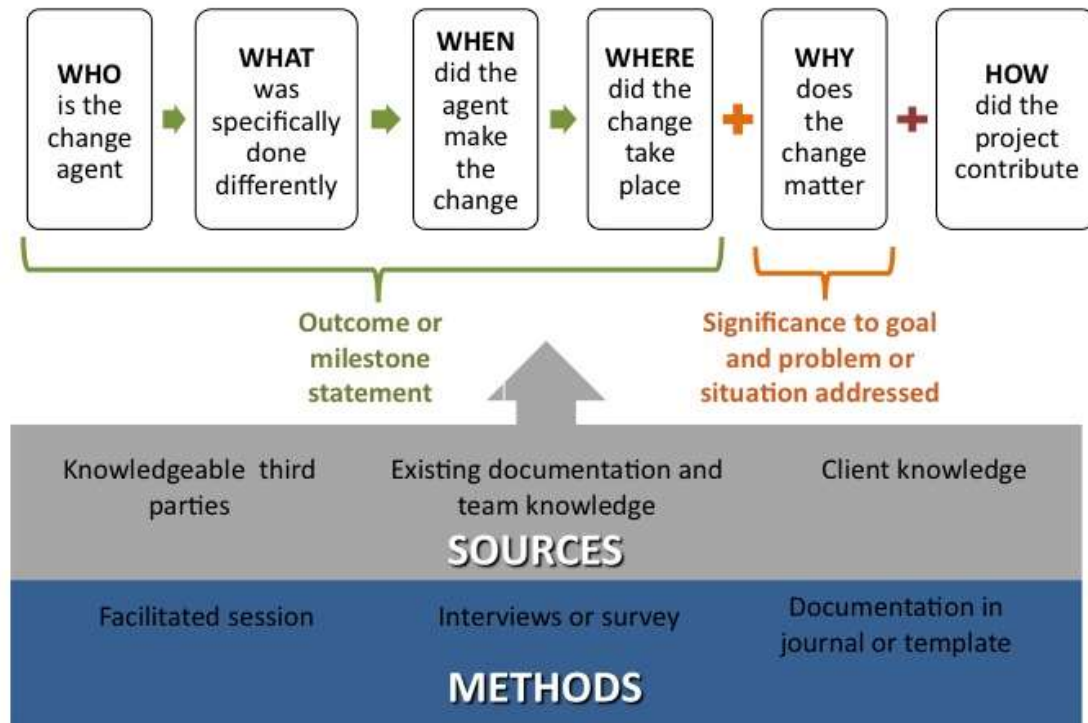
Gather information on outcomes

Each description should:
- State who is the change agent as the subject of the sentence.
- Describe what they are doing differently from before.
- Specify the timeframe for when the change occurred—at least the year and month, if relevant.
- Identify the geographical location where the change took place.

As you brainstorm on outcomes, use the following checklist:
- Identify outcomes (or lack of expected outcomes) for all the major agents involved.
- Identify changes across the relevant time line of the program.
- List both small and big changes observed in each agents to capture milestones in the change process.
- Identify key setbacks or turning points that shifted the direction of the program.
- Where possible, specify quantitative and qualitative aspects of each change.

Describe the significance of the outcomes

Explain why the outcome matters. Put the meaning of each outcome into detailed context so a reader who does not have country or topic expertise will understand its importance. Include enough information such that someone not familiar with the program can understand the baseline problem or situation that changed.

Significance to objective
- Describe how the outcome is a relevant step toward a development objective, or a key milestone in the change process. Projecting forward potential impact can be done here if it can be substantiated by external stakeholders and if conditional wording is chosen carefully (not should or will happen but could or may be expected to happen)

- Explain if the change represents positive progress toward the objective, if it set back or blocked progress and/or how it shifted the direction of the program.

Significance to particular problem(s) and solution(s)
- Describe how the outcome addresses a problem, need or changes a situation.
  - Explain significance of changes in policy, citizen engagement or government accountability, and organizational arrangements.
  - Explain significance of changes in awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions.
  - Explain any changes in beneficiaries' welfare that resulted from the outcome.

Describe how the project or program contributed
Describe how program activities plausibly influenced the outcome(s).
- Describe what the program did, when and where. The description should describe a contribution that goes beyond financial support.
- Report both direct and indirect contributions, explaining in precise terms the form of the contribution. The contribution may have been cumulative over time, or may have been shared with other partners.
- If the program's contribution is part of other organizational or external partner support, explain the program's role as a part of that support. Be as precise as possible.
- Quantify the program's contribution as much as possible, such as 3 advisors, 4 meetings, 100 hours of advisory services, 3 guidance documents translated, etc. As with the outcome, the formulation of the program's contribution must be specific enough to be verifiable.

Gather Evidence and Substantiate Key Outcomes
We can deepen our understanding of the changes reflected by select outcomes through stakeholder feedback. This feedback loop serves to verify our understanding of the outcomes, and provides a medium for stakeholders to raise issues to improve the program. Substantiation can also collect evidence on the select outcomes, such as documents, reports, photos, videos, or media clips. A separate guide provides more detail on the substantiation process.

Reflect on the Outcomes to Adapt the Project or Program and Inform Next Steps
Interpret what types of changes the outcomes reflect, and what has worked to address critical problems. Understand the overall picture, that is, how the outcomes come together to advance change toward the development objective.

Use the outcomes to identify next steps:
- What to continue and what to adjust to make the project or program more effective
- Emerging practices or lessons that could be applied to other projects or programs
- How to scale up the influence of the project or program.

Discuss with all involved the benefits of using outcome information. Consider how and whether your unit might continue to monitor and learn from outcome information.

Do's & Don'ts

DON'T	DO
Don't describe a project activity as an outcome, such as, *"We organized a conference or prepared tool X."*	Describe not what *you* did, but *what the change agent did <u>because</u>* of the influence of your activities. A change agent may be *an individual leader, coalition, civil society organization network, mayor or elected official, or government team.*
Don't force yourself to find direct relationships between all activities and an outcome.	Realize that some changes may not be directly linked to an activity. Also, an activity might have been completed last year but the outcome may only have become visible this year. And finally, some things carried out may not lead to the expected or desired or unintended outcomes.
Don't report only positive outcomes or intended outcomes.	Report outcomes that are negative, unintended or unexpected. Report expected outcomes that did not occur as planned. These can be identified as pivot points and provide opportunities for learning to help explain why a process of change took a new direction.
Don't give vague descriptions of the change that happened.	Describe the outcome information in simple language and in sufficient detail so third parties are able to understand the change and verify it. Quantify the change to the degree possible.
Don't use words that embellish the potential impact of an outcome	Explain the reasoning as to why the outcome is valuable, worthy, or successful at that point in time, providing sources or illustrative examples.

Tools for Harvesting Outcomes

The following templates, exercises, questions, and other support are assembled here to help teams harvest outcomes:

A. Sample Template to Document Outcomes Retrospectively
B. Sample Template to Report Outcomes
C. Exercise to Visually Map Outcomes to Date or as They Happen
D. Checklist to Review Outcome Information
E. Sample Open Questionnaire for Harvesting Outcomes from Stakeholders
F. Sample Questions for an Open Interview with Stakeholders
G. Sample Template for Terms of Reference: Consultant to Harvest Outcomes

A. Sample Template to Document Outcomes Retrospectively

It is helpful to record information on significant milestones or outcomes as you proceed with a project. This makes the gathering of evidence for review at key points or at completion of a project or program less time-intensive. You can record information quarterly or monthly, depending on the pace of the project. The option here is to divide your entries by the expected outcome/results areas of the project. These areas may change during implementation, so you may add any new area to track those results. The template may be modified based upon your needs.

Last updated   *Date of last outcome entry*

PROJECT TITLE –
GOAL –
OBJECTIVE –

OUTCOME AREA 1 –
OUTCOME AREA 2 –
OUTCOME AREA 3 –
Note: The outcome areas could change during implementation or a new area of unforeseen outcomes could be identified.

Outcome Area 1:

Timing and Location	Milestone	Significance	Contribution	Progress
WHEN and WHERE was it? • WHEN did the change happen • WHERE did the change take place	WHAT happened and WHO was involved? • WHO are the actor(s) • WHAT changed in their behaviors, relationships, activities, actions, policies or practices	WHY is the change relevant? • Relevance to the objective • Relevance to address problem or need in local context	HOW did the project contribute? • HOW did project activities/outputs support the change • HOW did other partners support the change, if relevant	DEGREE OF PROGRESS made toward a development objective (indicate 1 for low, 2 for medium, 3 for high)

Outcome Area 2:

Timing and Location	Milestone	Significance	Contribution	Progress
WHEN and WHERE was it? • WHEN did the change happen • WHERE did the change take place	WHAT happened and WHO was involved? • WHO are the actor(s) • WHAT changed in their behaviors, relationships, activities, actions, policies or practices	WHY is the change relevant? • Relevance to the objective • Relevance to address problem or need in local context	HOW did the project contribute? • HOW did project activities/outputs support the change • HOW did other partners support the change, if relevant	DEGREE OF PROGRESS made toward a development objective (indicate 1 for low, 2 for medium, 3 for high)

Outcome Area 3:

Timing and Location	Milestone	Significance	Contribution	Progress
WHEN and WHERE was it? • WHEN did the change happen • WHERE did the change take place	WHAT happened and WHO was involved? • WHO are the actor(s) • WHAT changed in their behaviors, relationships, activities, actions, policies or practices	WHY is the change relevant? • Relevance to the objective • Relevance to address problem or need in local context	HOW did the project contribute? • HOW did project activities/outputs support the change • HOW did other partners support the change, if relevant	DEGREE OF PROGRESS made toward a development objective (indicate 1 for low, 2 for medium, 3 for high)

B. Sample Template to Report Outcomes

Program (name and P number)
Start date:
Country(ies) or region(s):
Names of team members:
Development objective:
Change agents:
Development problem: (What specific development problem(s) does the program address)
Also cite background materials on the program's results, such as concept notes, videos, reports, other

You can organize outcomes by actor (change agent) and date.

Outcome Statement **Who did what, when and where?**	Outcome Significance • **Significance for the development objective** • **Specific problem addressed** • **Note if outcome describes a positive change, a setback or turning point**	Program Contribution **How did the program contribute to the outcome?**
Example: In early 2012, a municipal reform team in Bijelijna, Bosnia (including the municipality and 2 utilities) formed a new implementation team in the waste collection utility to find a solution to the difficulties in setting up a household database in order to reach its goal of increasing solid waste collection coverage and fees.	*Example:* *Significance to objective* The creation of the new team allowed the reform team to move forward when it was stuck. Basing the team in the collection utility was important to improve its collection processes. This structure allowed senior leaders from the municipality and implicated utilities to provide joint oversight to a team that could find solutions to the problems. *Problem addressed* There was no information on household locations, following the civil war, which was required to increase solid waste coverage to all households and create a database. There was also a requirement for the municipality to approve any service fee increase. The collection utility had shifted its staff to work on more profitable services, such as street cleaning, since there was not an effective system to collect waste from households. The dump utility was operating on a deficit since it did not have information to charge accurate service fees for the amount of waste collect. . *Shift in direction of the program, since the team was stuck and a new team was formed.*	*Example:* The municipality was one of the urban teams that received project support in 2011. The support began with a regional workshop in January 2012, which provided learning opportunities on leadership, coalition-building diagnostics, strategic communication and the Rapid Results Approach to policy reform and change. This was followed by an 11-month laboratory phase to explore innovative solutions to their chosen urban problem, which was solid waste collection in the case of this team. The project provided technical support to the reform team to help them re-think the nature of their problem, goal and stakeholders.

Outcome Statement	Outcome Significance	Program Contribution
Who did what, when and where?	• **Significance for the development objective** • **Specific problem addressed** • **Note if outcome describes a positive change, a setback or turning point**	**How did the program contribute to the outcome?**
Between April and June 2012, the new implementation team conducted a community survey in one village and one urban area to find out under which conditions citizens would pay fees and identify household location.	*Significance to objective* The survey became a means to increase support and participation from the broader citizenry, and allow for data collection to test demand for services at alternative price levels and to document household locations in a database. Citizens began to express specific complaints. *Problem addressed* Citizens were not willing to pay for waste collection and did not demand service improvements. Households were not documented. *Positive change toward objective*	The project provided rapid results coaching support to facilitate the team to launch a rapid cycle learning process to find their own solutions to the problems and to advance the goal of improved waste collection in 11 months. This support was part of a laboratory phase.
In October 2012, after receiving input from many local stakeholders, one municipality in Bosnia drafted a new policy to guide solid waste utility operations.	*Significance to objective* The policy provided guidance that previously was lacking and which was necessary to regulate the utilities and improve services to citizens. The pilot provided motivation and lessons of experience to help inform this policy guidance for the municipality, since it gave examples of solutions to the same problems. It provided a new consensus and clarity between the municipality and utilities to meet the objective to improve solid waste management coverage while improving financial sustainability through gradually increased fees. *Problem addressed* There was previously a lack of municipal level guidance to regulate utility services and payments. There was also a lack of dialogue among the municipality and waste management utilities (including consultation with the utilities and citizens) on how to clarify policy to guide household services and fees. *Positive change towards objective*	The project encouraged the inclusion of a diverse set of stakeholders in the reform team structure, as well as an oversight relationship of the reform team with the implementation team. This encouraged better communication and the development of relationships to inform policy, and for the learning from the rapid results process to be institutionalized in the new policy. The lessons could be replicated or reinforced once the laboratory phase was complete.

- Add rows for more outcomes -

C. Exercise to Visually Map Outcomes to Date or as They Happen

On a flip chart or in a table, list the relevant actors (or change agents) along the left and the program timeline across the top. Then, document outcome statements for each actor across the timeline in the table cells or on sticky notes.

Timeframe	Month, Year	Month, Year	Month, Year	Month, Year
Social actor (Name the change agent)	OUTCOME • What did the actor do, where? • Significance to objective • Problem addressed • Contribution of initiative			
Social actor				
Social actor				

- Add more actors and outcomes -
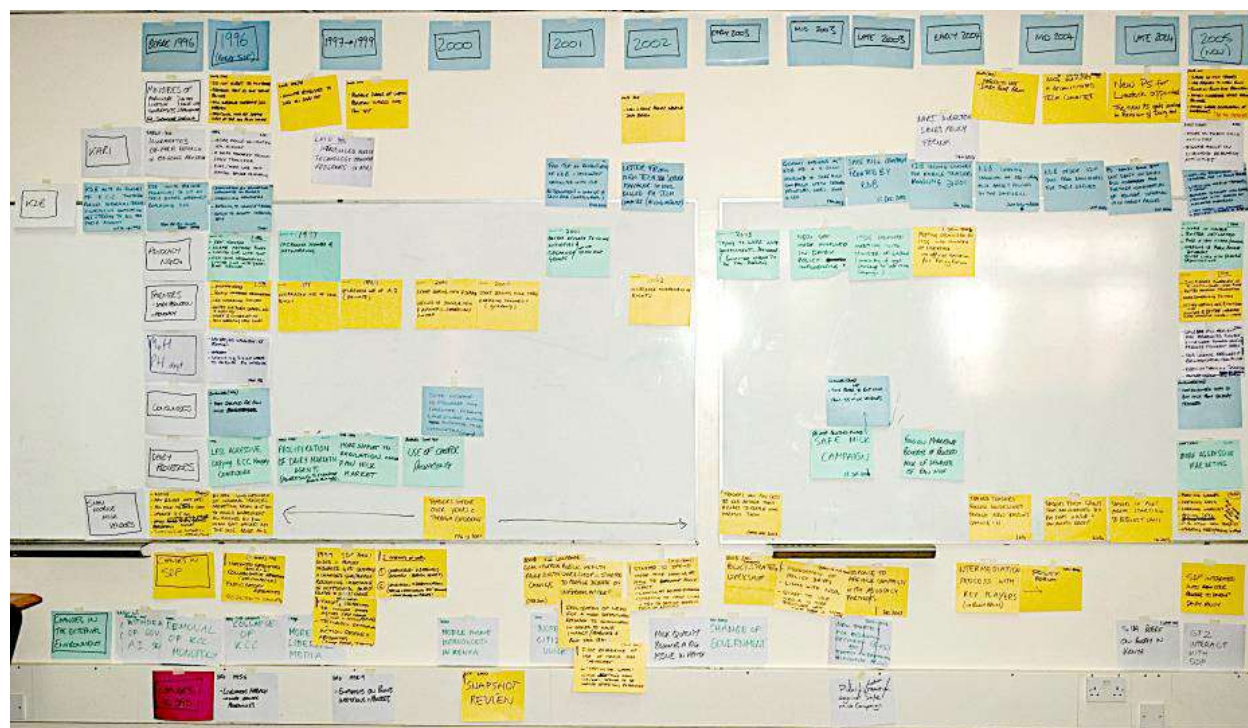
Source: Overseas Development Institute and International Livestock Research Institute, 2006

22

D. Checklist to Review Outcome Information

Each outcome should describe detailed information listed below in the program context.

Outcome Statement	Outcome Significance	Program Contribution
☐ Names the change agent as the subject ☐ Explains what the agent is doing differently ☐ Specifies the timeframe ☐ Identifies what change took place ☐ Describes how much/how many ☐ Is plausible	☐ Explains how outcome is a relevant step toward objective or key milestone in change process ☐ Describes the specific problem or need the outcome addressed ☐ Notes whether change positively advanced the objective, set back progress and/or shifted direction of program	☐ Describes what the program did ☐ Includes both direct and indirect contributions, as relevant ☐ Explains the program's role as part of other organizational or external partner support ☐ Gives precise details—how much, where, and when

E. Sample Open Questionnaire for Harvesting Outcomes from Stakeholders

An outcome is what each social actor did or experienced, differently from before, intended or not. Outcome information may be collected through a blend of different approaches, such as a survey questionnaire of stakeholders. This sample questionnaire was developed and used by the Constitutional Mandates for Right to Health program to collect outcomes from members of an online community of practice.

Introduction

In 2011, the Constitutional Mandates for Right to Health Program supported Latin American regional stakeholders in launching the online SaluDerecho network. The network aimed to engage a broader group of practitioners from countries, regionally and globally, to discuss, analyze and inform solutions to health and judiciary rights and policy issues. The program is now exploring the outcomes of the SaluDerecho Initiative to date and would like to hear from you.

Changes

Changes influenced by SaluDerecho network. Please reflect on your experience with the SaluDerecho network. To date, how has the network influenced new actions or changes in behaviors, relationships, activities, policies or practices on the right to health? These changes could be observed in stakeholders in your country, regionally, or globally. These changes could be positive transformational changes or negative changes for the right of citizens to health. Also, if you have influenced a social actor not to take action—e.g., you helped prevent a law from being passed—that too is as an outcome.

For each important change, please describe the following:

a. **WHAT** happened and **WHO** was involved? Please identify the main actor(s) by organization(s) and/or titles and describe what changed in their behaviors, relationships, activities, policies or practices.
b. **WHEN** and **WHERE** did the change take place?
c. **WHY** is the change relevant? Explain why you consider this to be a substantial change related to the right to health. How is it different from the previous situation of right to health?
d. **HOW** did the SaluDerecho Coalition contribute to making this change happen? Describe which activities or inputs specifically supported the change.
e. **WHAT EVIDENCE** could be used to demonstrate this change? Identify any documents, online content, data sources or methods that could be used to verify this information.
f. Would you like to describe additional important changes?
   ☐ Yes
   ☐ No
   [If YES, then questions would repeat]

Contact Information (*Optional*)
Please provide the following information to indicate how you have been involved with the SaluDerecho Coalition and how we can contact you if any clarification or additional details are needed.
Name:
Organization:
Title/Position:
Email address:
Brief description of your engagement or role with the SaluDerecho Coalition:

F. Sample Questions for an Open Interview with Stakeholders

The following is a sample script and questions for talking with key actors to collect outcomes. In this case, it involves a coalition process in Costa Rica supported by the Constitutional Mandates in Health program. Kemly Camacho developed the questions.

Introduction

As you are aware, an initiative aimed at promoting the right to health is being carried out in Costa Rica.

As part of this process, we are evaluating the program using a methodology known as outcome harvesting. The discussion that you have kindly agreed to engage in today will contribute to harvesting the outcomes that have been achieved to date in our country. Once collected, all of the outcomes will be organized into a document to facilitate an evaluation of the process thus far.

Thank you for taking the time to participate in this interview, which will last approximately 40 minutes. We will send you the results of the outcome harvesting exercise at the end of the process.

Questions

   A. Involvement in the process
      1. Where are you currently working?
      2. What is the nature of your involvement with the right to health issue?
      3. What do you think about the issue of right to health?
      4. In what way have you participated in the process promoted by the SaluDerecho Coalition and supported by the initiative?

   B. Outcomes
      When we speak about outcomes, we are referring to changes that have been influenced during the process promoted by the SaluDerecho Coalition.
      1. What are the most significant changes that have resulted from the activities and actions being promoted by the SaluDerecho Coalition?
      2. Which individual, institution, or unit has been responsible for these changes?
      3. When and where were these changes produced?
      4. Is there any evidence to substantiate these changes?
      5. Why do you think that these are major changes regarding the issue of right to health?
      6. How are these changes relevant to citizens' right to health?
      7. In what way has the process promoted by the SaluDerecho Coalition and supported by the initiative contributed to these changes?
      8. Are there any changes that are crucial and should be highlighted?

If the answer to question 8 is yes, return to question B.2.

If the answer to question 8 is no, end the interview, thank the respondent and provide my contact information in case of questions or additional information. Inquire if there is another suitable individual who could be interviewed to provide further input about the outcome harvesting process.

G. Sample Template for Terms of Reference: Consultant to Harvest Outcomes

A. Background

Outcome harvesting is a tool for learning on implementation science. It is used to identify, monitor, and learn from changes in social actors, through collecting outcome information with colleagues, partners, and stakeholders.* The information defines what changed, for whom, when and where, why it matters, and how the program contributed to the change. Outcome harvesting is useful for complex projects that involve behavioral changes, challenges with unknown solutions and multiple actors with different roles and capacities.

The harvesting process is stakeholder-centered and captures qualitative, tacit knowledge. It includes tools to substantiate and analyze this knowledge collaboratively and communicate progress toward impact to clients, management, and partners. The method is flexible to adapt to a project's design and combine with other M&E tools.

B. Objectives

The consultant will harvest outcomes to support real-time learning, inform program adjustments and next steps and communicate progress and results. To fulfill these objectives, the consultant will engage with the team and relevant stakeholders on the following tasks:
- Strategize the outcome harvest process based on learning questions
- Harvest outcome information from a specified timeframe
- Review the outcomes found in documentation and identify additional outcomes by engaging with various stakeholders and team members
- Substantiate selected outcomes for additional credibility
- Review and make sense of the outcome information
- Write up the outcomes and analysis in a report

Guides, tools and case examples are available to support the consultant in these tasks.

C. Duties and Responsibilities

A focal person from the local team will be the counterpart to the consultant. Joint work with the team and local stakeholders ensures accurate outcome information and a locally owned process.

The steps for the consultant are as follows.
- **Step 1. Orientation:** The consultant will participate in an orientation with the project team.
- **Step 2. Outcome Harvesting workshop:** The consultant will support a workshop with the relevant stakeholders to launch the harvesting process. Following the workshop the consultant will prepare a 1-page work plan with the country counterpart to guide the harvesting activities.
- **Step 3. Identification, formulation and review of outcomes:**
  - o The consultant will work with relevant stakeholders to identify and formulate outcomes (about 20-40, depending on the scope and magnitude, or about 3-5 per informant). The number of outcomes should be sufficient for a critical mass of evidence to answer the learning questions. Identifying outcomes should include a review of existing documentation to extract changes in social actors. It may also include meetings or workshops with relevant stakeholders to review these outcome descriptions and identify additional outcomes.
  - o The consultant will review the outcomes with the country counterpart and project team and update as needed, to ensure the information: is detailed and accurately describes local changes and context; includes outcomes at different levels (major outcomes and

process related), for all key actors and across the timeframe; describes significant change in behaviors, relationships, activities, actions, policies or practice; and links to tell a story of change from the start to the current situation (if not, outcomes are likely missing).

- **Step 4. Substantiation:** The consultant will engage with relevant stakeholders to identify about 20% of the outcomes for substantiation through client feedback and evidence collection.
- **Step 5. Outcome analysis and mapping**:
  - The consultant will engage with the team and relevant stakeholders to identify outcomes that reflect major changes: solutions to overcome critical problems or bottlenecks; major achievements in a change process; direct results to further a development objective; or more permanent/sustainable solutions or deeper institutional changes.
  - The consultant will identify 2-3 outcomes that reflect key setbacks, constraints or turning points and explain why.
  - The consultant will visually map the outcomes chronologically and along the results chain of the project. .
- **Step 6. Report:** The consultant will write a report on the outcomes, and organize meetings to review and discuss the draft report with country counterparts and the project team, making changes and finalizing content.

D. Deliverables

The consultant is given a 30-day timeframe to deliver the following:

- **Work plan** outlining key activities and timelines to harvest outcomes, provide progress updates, substantiate selected outcomes (estimated 20%), make sense of the outcome information and write the report.
- **Table of formulated outcomes**, with the following information on each:
  - Where –where the outcome took place.
  - Who –the social actor(s) [individual(s) or group(s)] that showed a significant change in their behaviors, relationships, activities, actions, policies or practice.
  - When –month and year in which the outcome was achieved (ex. January 2013).
  - What changed – 2-3 sentence plausible outcome statements explaining what the actor is doing differently, identifying what change took place and quantifying the change in terms of how much/how many.
  - Problem the change addressed: 3-5 sentences that detail the local problem and/or situation that is addressed or changed by the outcome.
  - Significance of outcome to further an objective: 2-3 sentences that explain how the outcome is a step toward objective or a key milestone in a process of change.
  - Supporting activities – Activities and how they contributed to the change.
  - Classification of outcome – whether the outcome represents a major change and which outcomes represent key setbacks or turning points.
- **Table of substantiated outcomes,** gathered through the opinions of knowledgeable independent third parties.
- **5-10 page report** that includes:
  - Introduction and background: Introduce the case and summarize the goal, problems and key objectives being addressed as well as local projects and activities.
  - Outcome stories on each identified major change area.
  - Substantiation findings: Describe ratings and selected quotes from individual feedback providers.

- Lessons: Describe how the outcome stories and setbacks provide key learning on the project and inform next steps.

E. Qualifications

The candidate must have experience working in the specified location and have:
1. Experience in the use and facilitation of Outcome Mapping or Outcome Harvesting
2. Experience in evaluation and strong analytical thinking
3. Willingness to learn how to apply a new tool for monitoring and evaluation
4. Demonstrated capacity to support medium and high range professionals to learn to use a new tool
5. Demonstrated working ability to write synthetically in the local language and English.

Experience working with multi-sectoral groups and coalition-building processes is not required but will be strongly considered.

Substantiate Outcomes with Stakeholders

Guide for Substantiating Outcomes

Once your information on outcomes—and related outputs and milestones—is harvested within your team and from stakeholders, you can collect feedback from third parties and evidence sources to further verify the accuracy of the information and deepen understanding of what has been achieved and how.

Decide on the Purpose of the Substantiation

The team should decide the purpose of substantiating the outcome information since it affects the way the process is conceived and managed. Possible purposes are:

- **Encourage strategic learning within the team**. The discovery and agreement on outcomes, their relationships, and their significance provides new information that can advance team understanding and influence decisions on next steps. The new information may lead to a modification in the change strategy, or it may inform a strategy for scale up in the next phase. This learning could be partially achieved without substantiation, but is likely enhanced by selective substantiation.
- **Enhance the credibility or appreciation of the findings** for an external audience. A side benefit of substantiation is that quotations are often suitable for published case studies or other communications products on a program's results.
- **Ensure outcome information is consistent and concretely and correctly presented** to stakeholders and beneficiaries.
- **Elicit different perspectives of the various stakeholders**, which may have implications for the team's decisions on next steps.
- **Further understand the influence of context on the change processes**, which may yield important information on potential for replication or scale up.

Choose a Subset of Outcomes to Substantiate

Given that substantiation takes time and it may not add value to substantiate all of the outcomes, in the past a subset of information (about 20% of outcomes) for substantiation has been the aim. The information is usually summarized as a table with columns for each outcome, its significance and the program contribution. Once the choice of stakeholders to be contacted for substantiation is made, columns can be added to record their degree of agreement with the outcome information, and to list other evidence sources.

Suggestions to help a team choose a subset of outcomes for substantiation by stakeholder feedback:

- **Outcomes over milestones:** "True outcomes" represent a key behavioral, institutional or policy change. An outcome harvesting exercise might also unpack key steps and milestones important to the change processes.
- **Pivotal outcomes:** "Pivotal" outcomes have affected follow-up decisions in major ways, such as resulting in scaling up, new networks, or replication, or in determining steps that followed. A deeper understanding of the context of these outcomes is recommended for its learning value.
- **Setback outcomes:** "Setbacks" are outcomes that are unintended, negative or reflect an expected outcome that did not occur. A deeper understanding of the context of these outcomes is recommended for its learning value.
- **Non-action outcomes:** Sometimes an important change is a proposed policy that is not approved or an undesirable practice that is stopped.
- **No easy access to evidence**: Do not choose outcomes where the behavioral, institutional or policy change is easily verified by means other than stakeholder consultation, such as inspection

of documentation. For example, commitment of an external partner to finance subsequent steps, or a change in legislation, are presumably credibly supported by documentation.

- **Most recent outcome in a causal series:** If there is a series of outcomes that are causally related, choose the most recent to be substantiated. The earlier outcomes are less likely to be questionable.
- **Potential to strengthen understanding of program contribution:** Choose an outcome where the program contribution may be questioned, or where there may be differences of opinion on its significance. For example, a contribution of advisory support may require further substantiation that such support was relevant to the context and/or linked to the outcome.

Outcome Information to Substantiate

All parts of the information on a given outcome can be substantiated. The information consists of:

- **Outcome statement,** describing the action taken by a social actor or change agent—consisting of a description of who changed what, when, and where.
- **Significance of the outcome,** elaborating on the type of change the action reflects, and describing why the action mattered—how it addressed a given problem, need or situation.
- **Program's contribution** to the outcome, and its extent and importance.

Verification of the outcome statement is likely to be the least controversial part of the substantiation, whereas agreement on significance of the outcome, and/or the extent to which the program contributed might be subject to more variation depending on stakeholders' roles, interests and views.

Identify Sources for Feedback

Consider who can best attest to the outcome information. For each possible substantiator, describe the individual's title, contact information and role s/he played in the program. Consider:

- **Substantiators within a department** outside the program unit who are knowledgeable about your initiative. You may also consider others you know who are in contact with country-level stakeholders associated with your initiative.
- **Substantiators that are stakeholders outside of your organization**. It is best to have at least one external substantiator who is perceived as an objective observer and is knowledgeable about the initiative.

The suggestion is to identify three potential substantiators to provide feedback per selected outcome. Possible sources are described in table 1.

Table 1: Possible Sources of Substantiation

What is in need of substantiation?	Source of substantiation
Whether an event or milestone occurred	Usually evidence is available to collect, such as in written documents.
Whether an agent's behavior changed in the way described	The substantiator should be someone other than the change agent, unless the interest is to understand the motivation of the change.
Whether a change in organizational effectiveness occurred	The substantiator should be a stakeholder who can observe the effectiveness of the organization, and/or is affected by it.
Details about the information on an outcome	Choose substantiators who have been sufficiently engaged to know details. Some details may be available in documentation.
Significance of the outcome—for example, in terms of its relationship to program objectives, or the degree to which it addresses a relevant development problem	Choose a knowledgeable, engaged stakeholder who has been associated with the change agent or organization long enough to observe the change.
Link of the program contribution to the outcome (causality)	Choose a knowledgeable, engaged stakeholder who has been associated with the change agent or organization long enough to be aware of the program contribution and how it influenced the change, but who is not the main counterpart.

Significance of the program contribution—relative to other external partners	Choose a substantiator from the client country organization benefitting most from the contributions. A second substantiator may be from another external partner organization, but preferably one who works directly with the client, not one who is exclusively an external financing partner.

Select the Outreach Method for Stakeholder Feedback

You will need to decide on an outreach method to conduct the substantiation. Table 2 provides information on possible outreach methods. Sample communications and questions for outreach by email or interview are found in the section, "Tools for Substantiating Outcomes."

Table 2: Advantages and Disadvantages of Possible Outreach Methods for Substantiation

	Email alone	Telephone + email (individual)	Conference call + email	Face-to-face meeting + email
Advantages	Can reach out faster to more respondents.	Once scheduled, can motivate real-time response, answer any questions, obtain richer detail in some cases, and ask for substantiation of more than one outcome while substantiator is available.	Presence of several peers may motivate more detailed response; collaborative approach can motivate substantiators to involve other stakeholders for further verification or detail	Where possible, this has all the advantages of the previous two methods, with a promise of higher motivation to respond; documentation may be readily accessed; if a group is involved, personal contact may make it easier to deal with disagreements
Disadvantages	Explanatory email is long; respondents can postpone response; considering connectivity and communication habits, this method may work better in some contexts or countries	An additional step of scheduling the call is involved; during call, it may be harder to stay focused on descriptions of specific outcomes.	Additional step of finding convenient time for all may impose costs; experience and roles of substantiators may differ; and disagreements among different participants may be awkward.	This method may require extra time and cost in some cases, but may be preferred for stakeholders available at organization headquarters.

When contacting the substantiators, inform them that their role will be part of the published record. Ask if there is anything they have said they do not want quoted by name and title in the evaluation report. Or, if there is anything that they do not want quoted in an external publication. Explain that at the least they will be listed among all of the substantiators.

Assign Roles in the Substantiation Process

- One person needs to be accountable for overseeing the process of substantiation, such as approving external communications, assuring follow through, enlisting optimal participation for objectivity and quality, and ensuring full reporting and transparency of the substantiation. This person may be the team leader or another assigned person.
- Other tasks to conduct the substantiation may be delegated, for example:
  - An assigned person may be responsible for sending emails to substantiators, following up with reminders and keeping track of results.
  - Another person may be enlisted to write the findings for an external audience.
- To conduct the substantiation—such as questionnaires, interviews or meetings—a team of two persons is recommended to assure objectivity. It is suggested that one of the two persons is not engaged in the implementation of the program.

Handling Disagreement Among Substantiators

A challenging aspect is making decisions when the substantiators disagree on the accuracy of information submitted to them. If there is disagreement, consider the following options:

- **Revise the outcome information descriptions** to incorporate any comments provided; this is suitable if most responses are positive, but some useful additional comments are received that may expand the description.
- **Drop the outcome from the substantiation**, while keeping it in the outcome map; in this case, it would still be required to report that substantiation was sought and full agreement not received. This option may be appropriate when the team agrees the outcome is significant and/or pivotal.
- **Drop the outcome from the outcome map completely;** this may be considered in the face of disagreement on any part of the outcome information. If the team agrees with this decision, this adjustment may be left out of public reporting.
- **Follow up with the substantiators** to clarify the different perspectives and disagreements.
- **Conduct another round of substantiation** using a different outreach method or with additional substantiators.

Reporting Substantiation Responses

Feedback from substantiators typically includes qualitative scores (such as "fully agree" and "partially agree") and comments. To assure the credibility sought, transparency is desirable and statistics on responses should be presented in the process manager's documentation, whether good news or bad news. Tips for sharing substantiation results in a report:

Tips on Implementing the Substantiation

- ✓ Share the proposed wording of the outcome information with the substantiators in advance, so they can verify the accuracy of the descriptions and provide comment.
- ✓ Keep track of responses in a matrix or a similar format. A template is in the Annex.
- ✓ Once there is sufficient response on all chosen outcomes, the feedback can be reviewed to glean lessons and decide next steps for the program. If insufficient responses are received (not all "fully agree"), a decision should be made whether to reach out to a second set of substantiators or to follow up with the original ones using another method, such as by meeting, phone, or email from a more influential intermediary, such as a country manager or field officer.
- ✓ Follow up with each substantiator who responded to acknowledge responses, and explain briefly how the feedback will be acted upon, such as whether it is for internal learning or external publication.
- ✓ If significant disagreements occur in the feedback, or if a substantiator's comments appear useful but are hard to understand, a follow-up conversation is recommended.
- ✓ If you change any part of the outcome information in response to feedback, you may need to re-consult with other substantiators on the new description(s).
- ✓ Include the substantiation results in any reporting, disclosing the names and titles of substantiators and the reason they were chosen for the given outcome information.

- Include a description of the substantiation methodology used.
- Number the outcomes so they can be easily identified. Indicate those outcomes where substantiation took place.

Examples

Asterisk the substantiated outcome within the narrative:

…." In November 2012, the Chinese Academy of Governance and Urban Planning Society of China piloted the course among 120 professionals and officials in charge of urban planning, land management and infrastructure investment from 18 provinces across China. [10] The Chinese Academy of Governance later incorporated the course into its eLearning curriculum and currently offers it twice a year. [11*]

Present the results of the substantiation within the main body of the narrative or in a sidebar:
"To verify the accuracy of the outcomes mapped and enrich our understanding of them, the team selected four outcomes [6*, 7*, 11* and 17*] and asked 9 people independent of the program unit but knowledgeable about the change to review the outcomes and record whether they agreed with the outcome description as formulated. 7 people responded. 6 fully agreed and 1 partially agreed. 5 respondents provided additional comments to clarify the descriptions." Outcomes selected for collection of evidence can be similarly presented in the body of a report.
Comments within a section of the report or a sidebar:

In selecting comments, it is useful to bring out different perspectives held by different stakeholders for learning purposes. Consider those that provide significant or new details on a program's results that were not captured in the original outcome information. If the comments by substantiators require further information on the outcome or context to be fully appreciated, record them within the body of the report. If they can be self-standing, such as about next steps or the potential for replication, they may be suitable for a sidebar, alongside similar comments from other substantiators.

Tools for Substantiating Outcomes

The following tables, steps, and other support are assembled here to help teams substantiate outcomes:
- A. Sample Tables to Organize Outcome Substantiation
- B. Sample Communication for Email Outreach to Substantiators
- C. Sample Interview for Outreach to Substantiators
- D. Sample Substantiation Form to Collect Stakeholder Feedback
- E. Sample Table to Track Substantiation Responses

A. Sample Tables to Organize Outcome Substantiation

The following are sample tables that could be used to select outcomes for substantiation by stakeholder feedback and/or the collection of evidence sources.

Outcomes to be substantiated by stakeholder feedback

Suggestions on choosing a subset of outcomes for substantiation by stakeholder feedback:
- Select outcomes that represent a key behavioral, institutional or policy change.
- Select outcomes that have affected follow-up decisions in major ways.
- Select outcomes that reflect a setback or stall in progress or shift in direction of the program.
- Select outcomes with no easy access to evidence.
- Select the most recent outcome in a causal series.
- Select outcomes that may be questioned, or where there may be differences of opinion on its significance.

No.	Outcome	Substantiator name	Substantiator title	Substantiator contact information	Role s/he played in the program	Comments
1.	"......"	"....."	"....."	"....."	"....."	"....."
2.						
3.						

Outcomes to be substantiated by evidence collection:

Select outcomes where there is observable evidence, such as a policy document or public statement.

No.	Outcome	Source of evidence	Links to evidence source	Comments
1.	"......"	"....."	"....."	"....."
2.				
3.				

B. Sample Communication for Email Outreach to Substantiators

SUBJECT: Documenting results of the [name of program]: Requesting your assistance

Dear [name of substantiator],
We are seeking your input to learn from and document the changes influenced by the program [name of activity]. This is to inform decisions on program improvement and next steps. For this purpose, we are using a tool called "outcome harvesting," which has been developed and used successfully by professional evaluators.

The tool calls for feedback from diverse stakeholders who are knowledgeable about aspects of our program, specifically on the description of selected significant outcomes or milestones identified by the program team.

For your response to be most helpful, we ask that you send your answers **within one week. The questions should only take 10 minutes of your time**.

This is not an anonymous process, since we want to use your feedback to strengthen the credibility and our understanding of the project. However, we provide the option not to quote your responses by name or not quote you in any external publication on the project.

We are grateful for your prompt response. You, along with other collaborators who have responded to similar questions, are contributing valuable perspectives to our team learning.

> Sincerely yours,
> [program lead]

C. Sample Interview for Outreach to Substantiators: individual/group interview in a phone call/Skype exchange/videoconference/meeting

A. Preparation for the interview

The following should be completed before the interview:

- Send preliminary emails or have a pre-exchange with the substantiators, explaining the process, the primary purpose (such as learning or publication), providing the outcome information to be substantiated, including the feedback form for responses, comments and questions. The feedback form should be similar to the questionnaire used in the sample email outreach tool.
- Agree on a date and time (and time zone) for the meeting.
- Assign an interviewer (typically a team of two) to conduct the substantiation interviews. Assign roles and possibly questions for each team member to ask during the interview.
- Decide whether to audio record the substantiators' responses, in which case their permission must be asked in advance.

B. Beginning of the interview

- Thank the person for participating, and identify any people on the call/ videoconference/meeting on your side who may be unknown to the interviewee(s).
- Ensure that you have their correct name and title.
- Begin by referring to the previous email and stating the purpose of the interview. "We are using a technique called Outcome Harvesting to document and learn from the results of the program [activity name] on which we are collaborating. An important part of this process involves feedback from stakeholders to learn from their perspective on the program results."
- Ask if there are any questions before you begin. Be prepared for a range of questions, particularly if the program is still ongoing, but try to keep the conversation focused on the substantiation at the beginning. You can mention that there will be time at the end for more general questions or to share any background information, and that further follow up through other means (e-mail, a second call, etc.) is possible.

C. Explain the substantiation

- Explain that we have identified key outcomes for verification by stakeholders. The description of these outcomes or milestones is provided to aid understanding of the changes that have been influenced by the program. We have identified one key outcome to verify with each stakeholder, and we have pre-drafted the description.
- Explain there are three pieces of information being verified for each outcome: Description of the outcome (who changed what, where, when); description of the significance of the outcome (why does it matter); and description of the program contribution (what, where, when, who). There will also be an opportunity for the substantiator to answer a question on the extent and/or significance of the program contribution.
- Explain that the purpose of the substantiation is to better understand the outcome, by asking the extent to which they agree with the pre-prepared description. They may also give an explanation or provide an alternative description. Explain that any comments are welcome to learn from and improve the described information. Explain that if they do not wish to be quoted by name in the report or in an external publication, they will have that option. They will be listed by name and title amongst all the substantiators.

D. Step-by-step through the form

Overall description of the information on the outcome:

- Say "Let's start with the overall description of the information on the outcome [this response is for the overall accuracy of the three described pieces]." You may remind them that this is only one outcome out of many [such as 30]. You may wish to explain why this outcome was chosen for their specific feedback.
- Read the description of each piece of the outcome. Ask "Do you fully agree?" Pause for the answer. Whether yes, or some other answer, record it. If they do not fully agree, ask for an explanation. Explain to the interviewee that the following questions will provide the opportunity to explain any disagreement with the accuracy of the information.
- Ask, "Do you wish to comment further on the overall description of the outcome information?"

Outcome statement:

- Say "Now let's consider the outcome statement, specifically."
- Read the description again if helpful. Ask "Does the description accurately explain what happened, where, by whom, and when? Are there any other relevant missing elements? Would you like to suggest an alternative description of the statement?"

Significance of outcome:

- Say "Now let's consider the significance of the outcome, for the progression toward the objective of the program." You may wish to remind the person of the objective of the program.
- Read the description again if helpful. Ask "Is the description accurate? Are there any other relevant missing elements (such as the description of the problem addressed by the outcome or how it relates to the objective)?" As suitable, ask probing questions, such as "Would you like to suggest an alternative description of the significance?"

Program contribution:

- Say "Now let's consider the program's contribution." You may wish to describe in a broad sense the various partners for this program.
- Read the description. Ask "Is the description accurate?" Pause for the answer. Ask for any additional details they can provide on the program contribution.

Extent of program contribution:

- Say "Now let's consider the extent of significance of the program contribution. The format of this question is a little different than those before."
- Read all four potential answers (*negligible* contribution, *indirect or lagged* contribution, *some* contribution, *major* contribution). Then invite the person to select the response that s/he believes is most accurate. Invite them to add comments to explain their answer. For the interviewer, note the explanations of these ratings, in case questions arise:
  - o Negligible contribution: The program is associated with the whole initiative, but the progression to this outcome step and its significance was not influenced by program input at the stage of achievement of the outcome.
  - o Indirect or lagged contribution: progression to this outcome step or its significance may not be directly identified with the program by all stakeholders, but according to the knowledge of this substantiator, it would not have occurred without program input, which may be identified with present or past contributions.
  - o Some contribution to this outcome: This substantiator believes, and states some evidence, that the program directly contributed to progression to this outcome step or its significance, but that impact was not solely due to the program. The substantiator may wish to comment on others that contributed. The others could be external partners or the stakeholder organizations and networks themselves, who, given a certain momentum, were mainly responsible for progression to this step or its significance.

- o Major contribution to this outcome: This substantiator believes and states some evidence that the program directly contributed to progression to this outcome step, was the main contributor, and in all likelihood, the outcome would not have happened without the program contribution. Others may still have contributed, but the program was the main contributor, according to this substantiator.

E. Invite further questions and bringing closure
- Thank the interviewee for their contribution and ask if they have any further questions.
- Ask if there is anything they have said they do not want quoted by name and title in the evaluation report. Or, if there is anything that they do not want quoted in an external publication. If necessary, explain that at the least they will be listed among all of the substantiators.
- Invite the interviewee to still fill out the form and return it within one week. Tell them that they will favor the information in the form, if received promptly, but plan to use the oral information just collected if the form is not received.
- Ask, if appropriate, if they can suggest colleagues or other stakeholders that could contribute to understanding the outcome. If so, obtain the names, titles, and contact information, and/or ask for that information to be supplied by email. Also, if appropriate, ask them to send any written documentation that they may have cited in the interview.
- Acknowledge any questions that need to be answered in a separate communication. If appropriate, ask if they would like a copy of the final report. Before offering this, be clear on what form the final report will likely take—will it be an internal set of notes for the team, or will it be a published case study.

F. In case of disagreement
In case of significant disagreement, remind the interviewee(s) that Outcome Harvesting is a learning exercise. Thus, accuracy is important but there may be different views on what happened, its significance and how the program contributed. Remind the interviewee(s) again that they may further discuss their views with the program team at a future time and date or follow up to complete the form in writing, including any comments.

D. Sample Substantiation Form to Collect Stakeholder Feedback

Below is the description of one outcome selected for your review, including information on the outcome statement, outcome significance and program contribution. Note that, this selected outcome is just one change influenced by the program.

A. Outcome Statement	B. Outcome Significance	C. Program Contribution
In October 2012, after receiving input from many local stakeholders, a large municipality in Bijeljina, Bosnia drafts a new policy to guide solid waste utility operations.	The policy demonstrated a consensus built between the municipality and utilities to meet an 11-month goal set by local city stakeholders to improve solid waste management coverage while improving financial sustainability through gradually increased fees. The policy provided guidance that previously was lacking and necessary to regulate the utilities and improve services to citizens.	The municipality was one of many urban teams that applied for and received project support in 2011. The support began with a regional workshop followed by a laboratory phase to explore innovative solutions to their chosen urban problem. The project provided Rapid Results Coaching support to facilitate the team to find solutions to achieve their 11-month goal. The project encouraged the inclusion of a diverse set of stakeholders in the team structure to strengthen ownership of the solutions that the team identified.

The following are questions for you to answer about this outcome.
1. On the description of the overall outcome information (all three boxes above): To what degree do you agree that the information is accurate? Please choose only one answer.
[ ] Fully agree
[ ] Partially agree
[ ] Disagree
[ ] No opinion – not knowledgeable enough to answer
[ ] No opinion – prefer not to answer

2. On the outcome statement (A above): Please explain any disagreement you may have with the accuracy of the description of the outcome, or present an alternative description.
_____
_____
_____

3. On the outcome significance (B above): Please explain any disagreement you may have with the significance of the outcome, or present an alternative description.
_____
_____
_____

4. On the program's contribution (C above): Please explain any disagreement you may have with how the program contributed to the outcome, or present an alternative description.
_____
_____
_____

5. On the extent of the program's contribution:

[ ] Program unit contributed **negligibly** to this result

[ ] Program unit's contribution to this result was **indirect**, or the result of past actions of the program unit

[ ] Program unit made *some* direct, real-time contribution to this result

[ ] Program unit made *major* direct, real-time contributions to this result.

[ ] No opinion – not knowledgeable

[ ] No opinion – prefer not to answer

Explanation, and/or description of program contribution and its significance

_____
_____

6. Other overall comments or questions:

_____
_____
_____

Next Step

As you review your responses to each question and comments, please mark with a * if you wish:

Not to be quoted by name, although your name and title will be included among the list of substantiators for all the outcomes we are substantiating.

You may also indicate in the final question #6 any names and contact information for others you think could provide helpful comments, and if you would like to receive a copy of the final report.

If you would prefer to convey comments or questions by phone, please use the same section ("6. Overall Comments or Questions") to suggest a date, time and best contact information.

E. Sample Table to Track Substantiation Responses

The following is a sample table that could be used to track substantiation feedback from stakeholders. It would document the feedback on the questions asked of each substantiator in the substantiation form.

No.	Outcome	Signi-ficance	Program contri-bution	Substantiator name, title and contact information	Agreement with overall outcome information	Outcome statement comment	Outcome significance comment	Program contri-bution comment	Significance of program contribution	Overall comments/ questions
1.	"......"	"....."	"....."	[Name, title, contact information]	[ ] Fully agree [ ] Partially agree [ ] Disagree [ ] No opinion – not knowledgeable enough to answer [ ] No opinion – prefer not to answer	"....."	"....."	"...."	[ ] Program unit contributed negligibly to this result [ ] Program unit's contribution to this result was indirect, or the result of past actions of the program unit [ ] Program unit made some direct, real-time contribution to this result [ ] Program unit made major direct, real-time contributions to this result. [ ] No opinion – not knowledgeable [ ] No opinion – prefer not to answer	"...."
2.										
3.										

Make Sense of Outcomes with Stakeholders

Guide for Interpreting Outcomes

Making sense of collected outcome information to improve development results

Development processes are complex—multiple actors and agendas influence the paths from inputs to impact. It is often difficult to identify the changes a program influenced or produced in social actors—what was achieved and how did it happen. By identifying and monitoring outcomes, practitioners can understand a program's contribution toward a development objective and take corrective actions to strengthen results.

This guide is to help teams make sense of the information they have harvested about the actions, relationships, practices and other behavioral changes in social actors (also known as change agents) that have flowed from program activities. Teams can select questions relevant to their learning needs to analyze the effectiveness and sustainability of outcomes and facilitate a collaborative adaptive learning process.

One or more questions can be selected from the list below for customized support based on the program needs.
- Is the quality and quantity of the outcome information sufficient?
- What is the sustainability of the changes to institutionalize results?
- How are the outcomes advancing impact?
- How is the program design advancing what needs to be achieved?
- Which interventions have been most beneficial?
- What are essential "how to" lessons to adapt or inform scale-up?
- What are lessons to overcome critical development challenges?
- How can a results framework be developed to assess the achievement of outcomes?
- What progress has been achieved?
- Which outcomes reflect setbacks or failures?

(Q) Is the quality and quantity of the outcome information sufficient?

The extent to which the harvested information is useful for understanding and communicating results and guiding program improvements will depend on the completeness and accuracy of the data collected.

1. **Apply the quality checklist** to ensure the information collected is complete. Outcome statements that fall short on any component(s) should be revisited for accuracy, significance, and relevance for the development process. Outcomes that are ambiguous should be removed from the harvested information.

2. **Review the completeness of the change story**. As a whole the outcomes should describe key results and represent a story of the program.
   - Do the outcomes explain the major changes influenced by the program to date?
   - Do outcomes describe who did what during each timeframe of the program?
   - Are outcomes listed for all key actors, as well as beneficiaries where influenced (such as citizen groups)?

3. **Map the outcomes.** A visual map serves as an effective tool for reflecting on how program outcomes link to influence change over time or themes. If a map has not yet been completed:
   - Make a grid with change agents along the left and timeline across the top.
   - Plot the outcome statements from your harvested information.
   - Identify which outcomes influenced other outcomes or came first and mark these on a map with numbers and arrows (see example).
   - Review the map with stakeholders for wide agreement on the links.

> **Quality Checklist**
>
> An effective outcome statement:
> - ☐ Names the change agent (individual or group) as the subject of the sentence
> - ☐ Explains in detail what the change agent is doing differently
> - ☐ Specifies the timeframe for the change
> - ☐ Identifies where the change took place
> - ☐ Describes the change in qualitative and/or quantitative terms (How much? How many?)
> - ☐ Is based on clear evidence or is widely agreed upon by stakeholders

Example Outcome Map: Learning from Utility Reform in Bosnia

(1) Reform team collaborated on 11-month goal to increase solid waste collection coverage and fees

(2) Reform team understood the deeper problems blocking expanded waste collection

(12) Teams remained operational unit, adding staff for expansion and police support for compliance

(13) Municipality drafted new policy to guide utility operations

(3) Reform team agreed to create a household database to manage the collection process and met monthly

(8) Collection utility used survey data to set new price for waste collection

(14) Collection utility and dump provided input into policy

(4) Reform team struggled to set up a household database to increase waste collection and decided to set up a team to pilot a solution in one village and one urban area

(7) Collection utility re-organized field workers so they could complete survey with wider household coverage

(10) Municipality agreed to negotiated increase of 10%

(11) Households in pilot area paid the new tariff

(5) Pilot team formed and decided to conduct citizen survey

(6) Collection utility obtained starter database from another utility, with municipal approval

(9) Citizens in the pilot area expressed demand for better waste collection service

2011   2012

(Q) What is the sustainability of the changes to institutionalize results?

Outcomes that are most likely to be sustained beyond a project's implementation period are those that reflect changes in local capacity. These results go beyond improvements in the behavior or disposition of specific individuals or groups and are therefore considered "institutional" in nature.

Typically these results are major societal, policy or organizational changes that have significance for the development objective of a program. Teams can assess each of their outcome statements by using an established capacity development or knowledge results framework such as the World Bank's Capacity Development and Results Framework (CDRF) to explore whether the reported change reflects a behavioral or learning outcome for individuals or groups or whether it reflects a higher-level institutional capacity change. For example, the decision tree based on the CDRF below could be used to determine which changes are key institutional outcomes. Any institutional changes identified should be reviewed with stakeholders for broad understanding and agreement.

Decision Tree to Identify Institutional Changes in the Development Process

Does the outcome statement reflect…
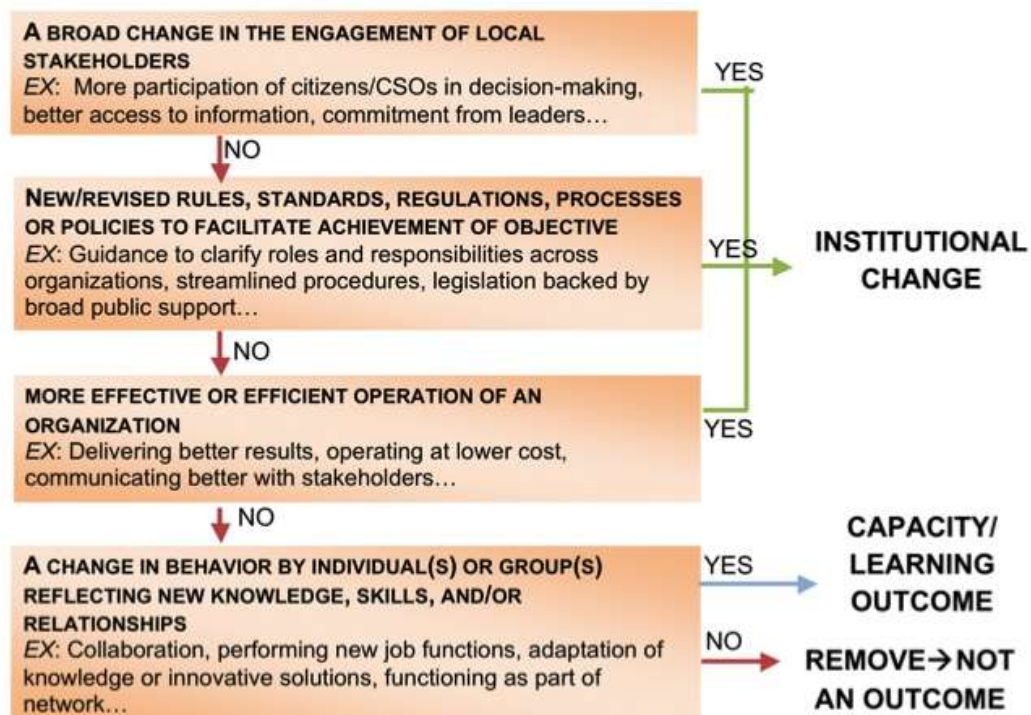
The decision tree is a checklist against which a team member can assess whether an outcome represents an institutional change—*as long as that team member has a good understanding of the local context in which the program is being or has been implemented.*

For example, the signing of a decree or the approval of a new budget could be used to signify increased commitment by leaders if these actions are not typical in the context and reflect the overcoming of a key challenge or barrier to the development objective. Examples showing the interpretation of outcome statements by type of result are listed in the next table.

Identifying Institutionalized Results: Examples from Mapped Cases

Outcome statement describes…	Type	Example 1	Example 2
A broad change in the engagement of local stakeholders *EX*: More participation of citizens/CSOs in decision-making, better access to information, commitment from leaders, shifts in local customs or social norms…	Institutional	Colombian Court set new precedent to clarify health rights to citizens by broadcasting hearing of a judicial ruling.	Vice Presidents signed decree to expand use of results-based management to implement and scale up reforms across government.
New/revised rules, standards, regulations, processes or policies to facilitate achievement of objective *EX*: Guidance to clarify roles and responsibilities across organizations, procedures that are less costly to administer, new legislation backed by broad public support…	Institutional	Municipality drafts new policy to guide utility operations with input from collection utility and dump.	Chinese Academy of Governance issues first guidelines for e-learning to network of 451 institutions.
The more effective or efficient operation of an organization *EX*: Delivering better results, operating at lower cost, communicating better with stakeholders, adapting better to changing demands…	Institutional	Collection utility used survey findings to set realistic price for citizens to pay for waste collection.	Ministry of Education network of volunteers delivered 25,000 textbooks within 60 days instead of 1 year.
A change in behavior by individual(s) or group(s) reflecting new knowledge, skills, and/or relationships *EX*: Collaboration, performing new job functions, adaptation of knowledge or innovative solutions, functioning as part of network…	Progress marker	Regional coalition formed online community of practice with broader group of practitioners.	Nigeria coalition built knowledge of observers on how to use Public Procurement Act, Freedom of Information Act, and procurement monitoring tools.

(Q) How are the outcomes advancing impact?

Outcomes that have been identified through a mapping process can be placed along a results chain to identify how the program is contributing to higher-level results over time. Examples are provided for two projects to show how the levels of mapped outcomes can be interpreted. In each case, the lightest levels are furthest from the project's "sphere of influence" and closest to the impact. The darkest levels are more directly under project control.

- **Impact** is the goal in the line of sight of the project.
- **Institutional changes** are outcomes that reflect institutionalization or sustainability. Often these are more permanent changes in stakeholder engagement/responsiveness, formal policy/rules/guidance and organizational effectiveness. Every outcome at the institutional change level has an "outcome story" that can be told separately to outline the project's theory of change and inform sustainability.
- **Changes in behavior** are outcomes that reflect new knowledge, skills, relationships or implementation know-how after any intervention or with a different group than the direct participants.
- **Early outcomes** are changes observed during an intervention or directly at the end that influence later changes.
- **Inputs** are key project activities/interventions.

Examples for how mapped outcomes can be placed along a results chain have been provided for two projects to demonstrate how this technique can be applied for any map, regardless of its complexity. Some maps reflect a relatively linear progression from inputs to impact, whereas others follow a more iterative process, gaining "early wins" to trigger additional inputs and/or behavior changes on the way to longer-term institutional change.

Example 1. Mapped Outcomes in a Results Chain:
Reforming Solid Waste Management in Bosnia

Example 2. Mapped Outcomes in a Results Chain:
Improving Central and Decentralized Public Service Delivery for Citizens in Burundi

Impact

Development Goal: Improved delivery of central and decentralized public services for citizens at all levels in Burundi

Institutional Changes

(4a) MoE network of volunteers delivered 25,000 textbooks within 60 days instead of 1 year

(4b) MoH increased number of pregnant women being tested for HIV from 71 to 482 within 30 days

(8a) Civil service and MoE launched initiative for new teachers to receive paychecks within 3 months and not be subject to corrupt fees

(9) Ministries scaled-up successful initiatives beyond pilot

(10) Civil service reduced number of fictitious staff within civil service and suspended 728 salary payments

(12) Vice Presidents signed decree to expand use of results based management to implement and scale-up reforms across government

(18,19) ENA developed visioning paper and budget to scale up program endorsed by ministries and donors

Changes in Behavior

(4) Ministries of Health and Education launched pilots first pilots to address delivery constraints

(5) MoE and MoH publicized pilot results and the 2nd VP committed to extend the L4R Program to other sectors

(8) A growing number of ministries implemented initiatives using results-based methods

(7) Public servants with coaching capacities are embedded in major national ministries

(11,13&15) SC monitored progress, and prioritized areas for new initiatives, with government officials

(17) ENA engaged key stakeholders to identify options for institutionalizing L4R Program

(20) Sub-national network of decentralized coaches trained in local languages

Early outputs or milestones

(1&2) 2nd Vice President established Leadership for Results (L4R) program and headed Steering Committee (SC)

(3) SC started to use South-South exchanges to enhance L4R Program

(6) SC initiated process to build knowledge among public servants to use results-based methods for addressing constraints

(14) ENA began strengthening coaches in ministries

(16) ENA developed sub-national training materials in local languages

Inputs or project activities (2006-2013)

President committed to strengthening public sector leadership

WBI advisory support to L4R Steering Committee

WBI guidance to adopt results tools—coaching, retreats, rapid cycle initiatives, and South-South exchanges

WBI support to National School of Administration (ENA) to train civil servants and develop curriculum

(Q) How is the program design advancing what needs to be achieved?

The harvested outcome information can be used to determine the theory of change of the program or change process. This is the "big picture" of how the program's outcomes come together to advance progress toward higher-level results. This documented sequence of changes can be compared against the intended program strategy and any needs of stakeholders to make adjustments in planned interventions.

The map below shows how outcome information can be organized to describe a program's change process, including information on the:

- Development objective
- Specific development problems addressed by the outcomes
- Key change agents or social actors influencing outcomes
- Other partners involved (such as development partner, World Bank teams, other)
- Major outcomes from the harvest—these can be grouped into 3-5 outcome areas that demonstrate progress toward existing or new objectives
- Outcomes from the harvest that are linked to the major outcomes—there could be 2-4 key intermediate changes or progress markers to highlight in each outcome area
- Key activities that helped to achieve the outcomes

Example from Utility Reform Case: Overview of Change Process
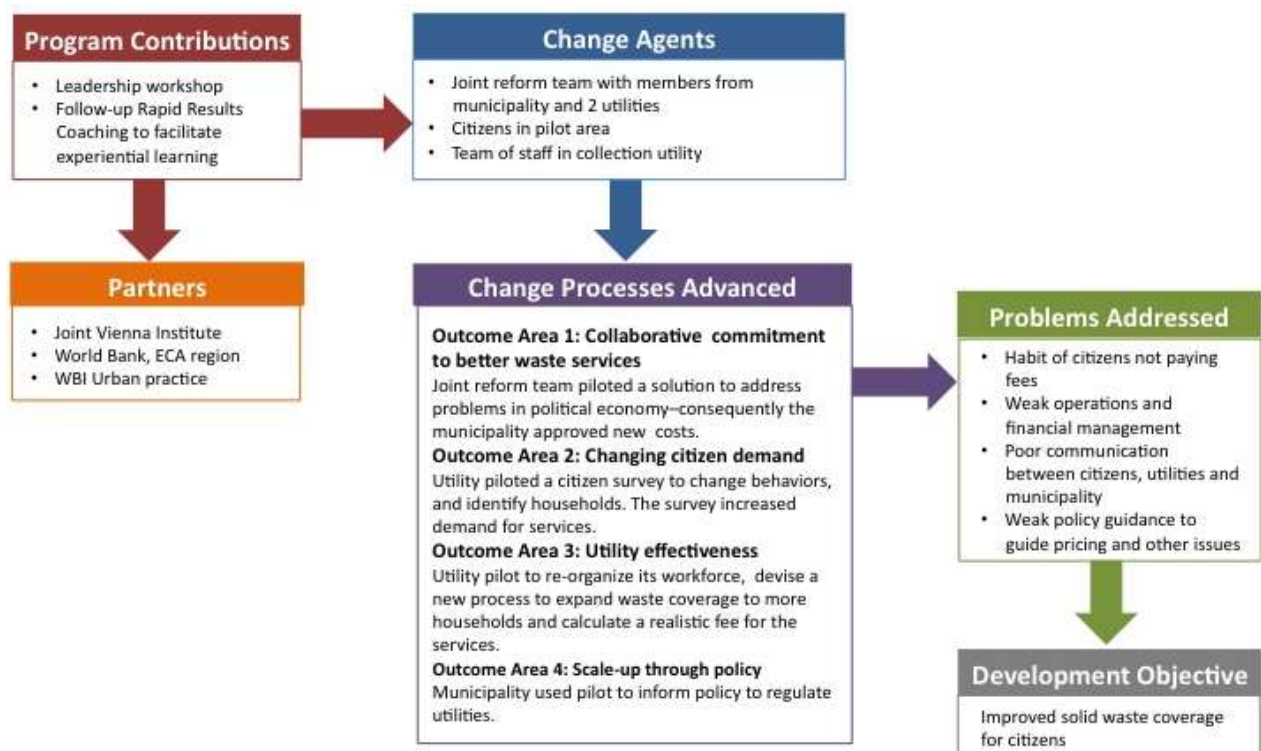
Depending on the complexity of the theory of change, teams might find it useful to think through the overall change process by focusing on one problem or challenge at a time and reflecting on how the program helped which agent(s) change to address that particular challenge (see next table). Outcome areas for addressing each of the problems can then be summarized to diagram the program's overall change process.

Example of Focusing on One Challenge to Look at Change Path

Goal	**Improve the benefits of public goods and services for citizens**
Challenge	Citizens have habit of not paying utility fees
Key change agent(s)	Citizens in pilot area; implementation team in collection utility; municipality
Institutional changes	Citizens' participation in utility price-setting increased; public support increased for paying higher fees
Intermediate changes	New understanding of problem led to decision to pilot solution; survey used to communicate with citizens and increase demand for services
Supporting interventions	Leadership workshop; follow-up Rapid Results Coaching to facilitate experiential learning

(Q) Which interventions have been most beneficial?

The process of examining the significance of each outcome and the way(s) in which a program appeared to contribute to the change can allow for a more systematic look at how important or beneficial specific program components were for advancing progress. If a team has mapped outcomes along a results chain, for example, an additional useful step is to review the main program activities and their roles in supporting or leading to advances toward a development objective.

For the case in Burundi, focused on improving the delivery of central and decentralized public services for citizens, a key project component appears to have been the advisory support provided to the Steering Committee for conceptualizing the Leadership for Results program in Burundi and analyzing priorities. As shown below, this single component led to or supported a notable array of outcomes along the results chain. This simple exercise helps to highlight the critical value of this advisory support, without which the Steering Committee could have been less effective in driving the needed change.
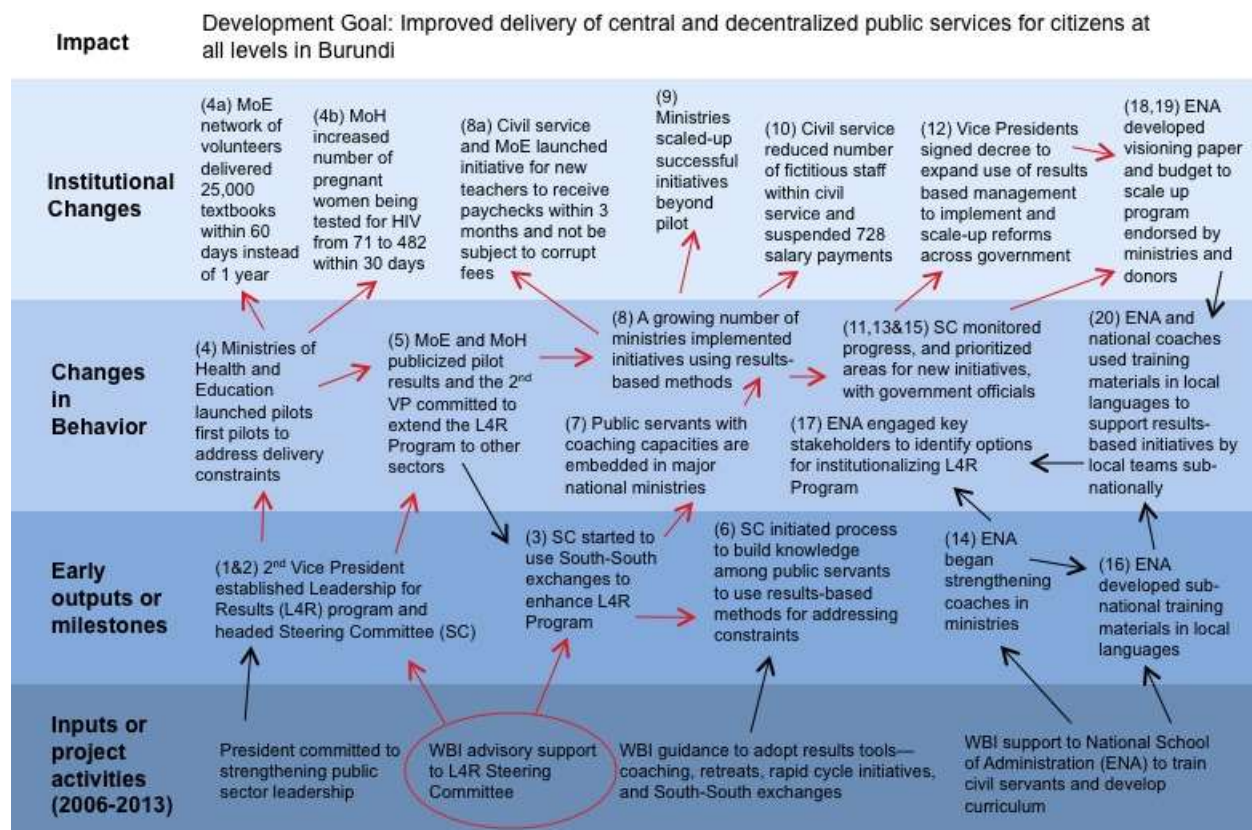
(Q) What are essential "how to" lessons to adapt or inform scale-up?

Changes within complex programs might occur through multiple paths. However, some outcomes are more "essential," meaning that a development objective is unlikely to be achieved without these changes. The results chain of a project can be analyzed to help teams reflect on which milestones and outcomes are essential to scale-up the change process or adapt a similar process in another program.

Milestones and outcomes can be identified as "essential" if they serve as critical junctions in the overall change process, leading to deeper, more transformational changes. Teams can identify these by considering the role of each milestone and outcome in facilitating progress along the results chain.

For example, in the case related to reforming solid waste management, essential outcomes for scaling up change are circled in red. These include the collaboration of the municipality and two utilities via a reform team to understand deeper problems, the direct advisory support provided by the project team to the team leader in country, the decision to pilot a solution that responded to the deeper problem of demand from citizens, and the implementation of a citizen survey to set the new price for waste collection.

Example of Essential Outcomes in a Results Chain:
Reforming Solid Waste Management in Bosnia
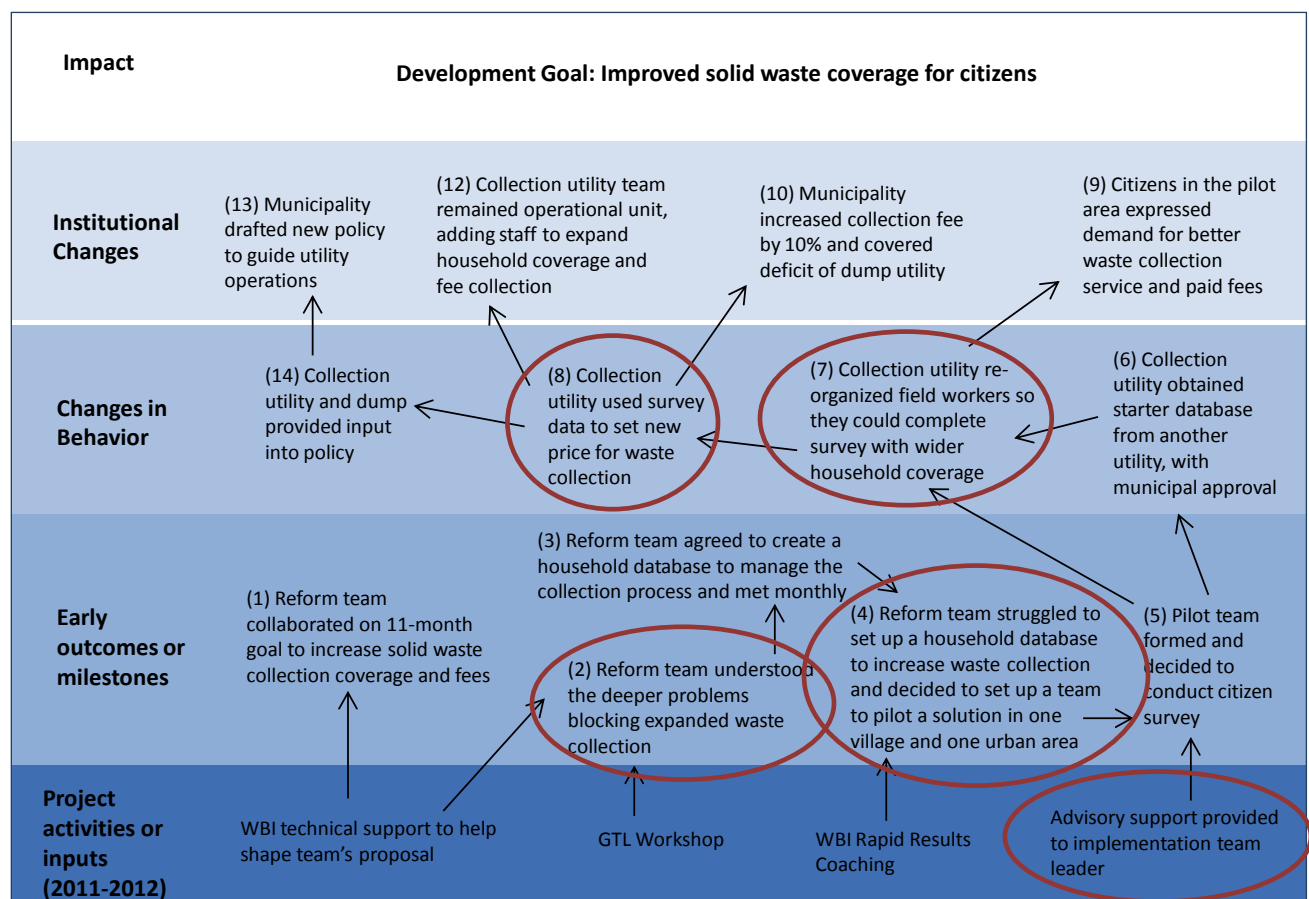
(Q) What are lessons to overcome critical development challenges?

Outcome maps provide valuable information about what changes were needed to overcome bottlenecks or challenges to development goals. Teams can use various approaches to extract lessons from their mapping experience to inform future replication or improvements.

One technique is to use the map as a visual tool, particularly if the outcomes have been interpreted along the levels of a results chain (see the question, "How are the outcomes advancing impact?") *Outcomes that led directly to the next level along the results chain reflect important lessons.*

In the example on utility reform, the use of the citizen survey was critical for addressing challenges of social norms, accountability and legitimacy that blocked advancement of the goal. The survey was used to communicate with households, increasing both the demand for services and the willingness to pay the tariff, and it informed the creation of a legitimate policy.

Pinpointing Lessons in a Results Chain: Reforming Solid Waste Management in Bosnia
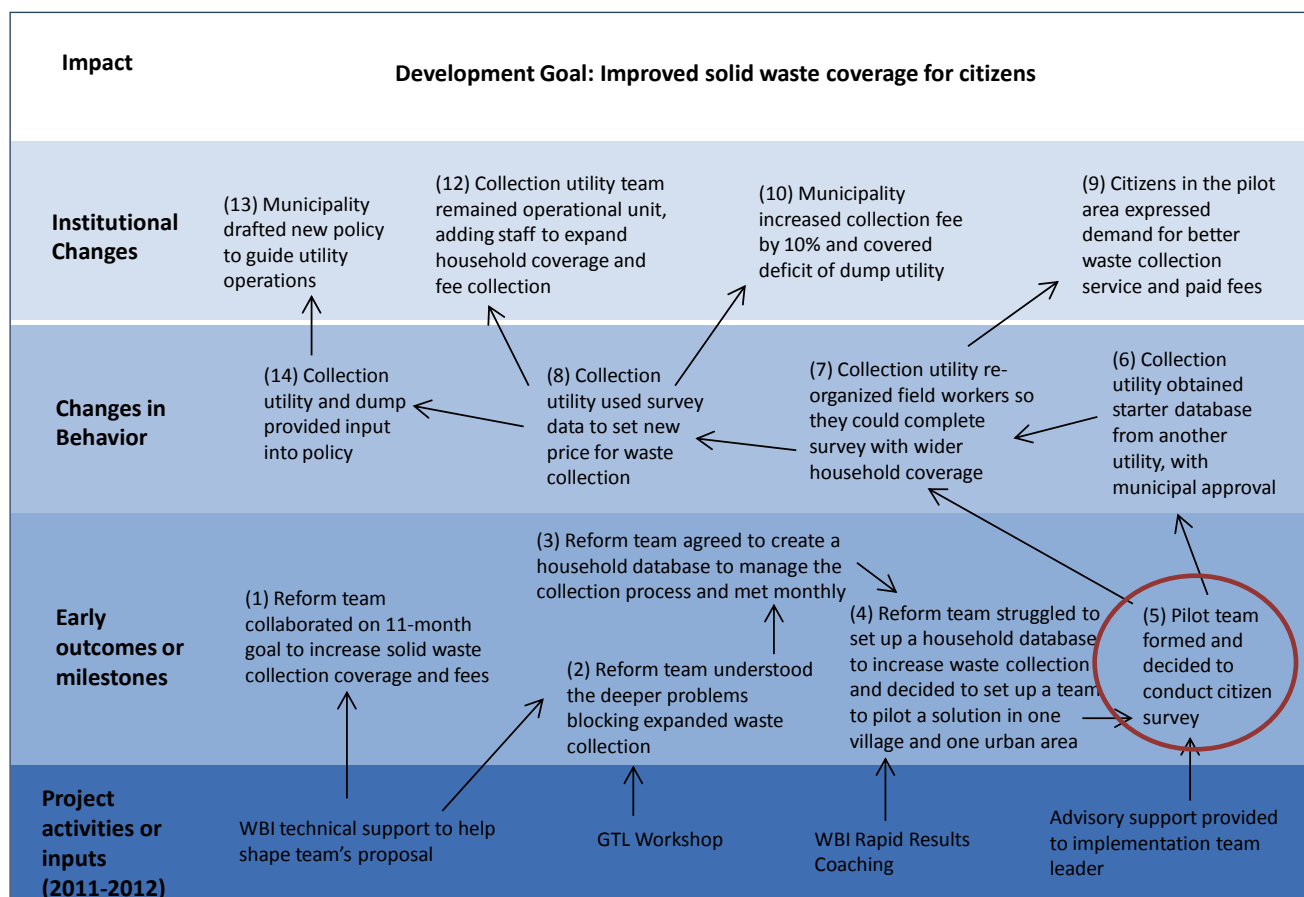
(Q) How can a results framework be developed to assess the achievement of outcomes?

Teams can develop a results framework to assess progress for key outcomes. The sample below is modeled after the framework structure used for projects in World Bank operations. Indicators can be identified and included for measurement as follows:

- **Development goal**—to assess progress toward the higher-level objective over the longer term.
- **Institutional changes**—at least one key institutional change should be measured *for each outcome story*. In cases where multiple related institutional changes are part of the same story, it might be sufficient to just reflect one in the results framework.
- **Major intermediate outcomes**—these are major behavioral changes that are useful to track. These outcomes often reflect important gateways or bridges to other higher level outcomes and therefore reflect critical junctions in the outcome story.

Example of a Results Framework

Goal	Indicator(s)	Data Source(s)	Use of Information
Improved solid waste coverage for citizens	# of people in urban areas provided with access to regular solid waste collection* % of households in target area served by formal waste management system	Household survey in targeted solid waste management area	Evaluates progress towards the achievement of the higher-level development objective
Institutional Changes	**Indicator(s)**	**Data Source(s)**	**Use of Information**
Municipality drafted new policy to guide utility operations	Municipal approval (1) and implementation (2) of new policy for utilities that reflects input from collection utility and dump.	Policy document Municipal records	Assesses increased legitimacy and local buy-in for policy guiding utility operations
Institutional Changes	**Indicator(s)**	**Data Source(s)**	**Use of Information**
Collection utility team remained operational unit, adding staff to expand household coverage and fee collection	Formal establishment of unit within collection utility to scale up waste collection services to more households [Y/N]	Utility records	Confirms the improved management of solid waste services for improved operational effectiveness
Municipality increased collection fee by 10% and covered deficit of dump utility	% of waste generators in targeted area paying new fee Cost recovery ratio of dump and collection utilities	Municipal records Utility records	Measures the commitment of the municipality and citizens to a financially viable waste collection system
Citizens in the pilot area expressed demand for better waste collection service	% of surveyed citizens demanding service	Household survey in targeted waste management area	Assesses local citizen participation in and support for scaling up a sustainable solid waste collection system

Core sector indicator

55

Intermediate Outcomes	Indicator(s)	Data Source(s)	Use of Information
Collection utility used survey data to set new price for waste collection	Completion of household database (number and location of households) Establishment of new process to align collection prices with survey data	Utility records	Confirms innovation in price setting
Collection utility reorganized field workers so they could complete survey with wider household coverage	# of field workers authorized to give priority attention to the solid waste collection reform process	Utility records	Confirms new approach to leveraging resources for broader citizen coverage
Pilot implementation team formed and decided to conduct citizen survey	Memorandum of Understanding that accompanied the establishment of the implementation team	Municipal records	Tracks formation of new structure for key stakeholders to participate in decision process for reforming solid waste collection

Depending on the time horizon and purpose of the results framework, a monitoring plan can also be developed to establish baseline and target values for assessing progress.

(Q) What progress has been achieved?

Teams can assign indicators with data sources and/or methods to assess progress and gaps. They can develop a monitoring table to inform an existing results framework (see the question, "How can a results framework be developed to assess achievement of outcomes") or through the following steps:
- State the development goal
- List the outcome statement from harvested information
- Identify the indicator(s) and data source(s) to track the described change
- Describe the baseline situation, current value and target value for each indicator

Through this process, teams will have a monitoring plan that informs the current status of implementation and also gaps in what changes are still needed to advance the development objective. Examining the progress toward targets helps teams identify lessons on where adjustments may be needed and where interventions have had a critical role in advancing progress.

Monitoring Plans for Mapped Outcomes: Examples from Three Cases

Objective	Outcome Statement	Indicators	Baseline Situation (Year)	Current Value (Year)	Target Value (Year)
Improve the value of municipal services for citizens [solid waste collection]	Citizens in the pilot area expressed demand for better waste collection service	% of surveyed citizens in pilot area demanding service	No survey in place to engage citizens	61% of surveyed citizens expressed demand for waste collection	85% of surveyed citizens express demand for waste collection
		% of households in pilot area paying new fee	Current fee system does not cover utility costs	46% of households paying new fee	75% of households paying new fee
Enhance the transparency and participatory process for setting priorities to realize the right to health for all citizens	Regional multi-stakeholder coalition formed online community of practice to better protect the right to health	# of countries with formal membership in regional coalition	Only informal network	7 countries	8 countries
		# of practitioners active in online community of practice	Online Community of Practice does not yet exist	500 active members ("active"= posting and/or reading/ downloading resources)	750 active members
Improve the delivery of central and decentralized public services for citizens at all levels in [country]	Organizations improved performance through pilot initiatives	Days required to deliver 25,000 textbooks in target province	365	60	45
		# of pregnant women tested for HIV within 30 days in target province	71	482	600
		# Months for teachers to receive first paychecks	12 or more	3	3

Traditional monitoring and evaluation methods can also be used to complement the collection of outcome information and help ensure that isolated stories (anecdotal evidence) are combined into more rigorous bodies of information for systematic use. The monitoring stage presents a critical opportunity for analyzing the progress to date and assessing whether changes in planned activities or interventions are needed to better reach a development objective.

(Q) Which outcomes reflect setbacks or failures?

Programs often contribute to development objectives through a non-linear stream of outcomes, and it can be a valuable exercise to identify which outcomes did not work well for a project and what actions or changes are needed to help advance progress. Teams can identify and make sense of project setbacks or failures by mapping outcomes along a results chain or by assessing progress toward established targets as described in the case examples below.

EXAMPLE OF A SETBACK
Excerpt from an Outcome Map: Reforming Public Financial Management in the Philippines

PHILIPPINES

Milestones

(1) In 2011, Secretary of the Department of Budget and Management (DBM) monitored the discussions on how and when the country would adopt the Unified Accounts Code Structure (UACS)

(2) In June 2011, DBM initiated a government dialogue on the adaptive and technical challenges to adopting the UACS and potential solutions

(3) In June 2011, DBM submitted an application to GTL to address the challenges stalling FMIS reforms and committed budget and resources

(4) In mid 2012, DPM and Project Management Unit identified 3 priority areas to accelerate progress on the country's FMIS reforms: the UACS, online budget submission and cabinet support for the UACS

(14) In 20... Transpar... Initiative... follow-u... support... governar...

(12) In lat... DBM rep... progress... FMIS refo... multi-cou...

Changes in Behavior

(5) In December 2012, a multi-agency reform team committed to work together on 100 day milestones to confront implementation challenges to deliver the prioritized FMIS reforms

(7) In March 2013, the Secretary of DBM announced that only agencies using the online process would receive budget in 2014

(8) Between Jan and March 2013, the DBM rejected paper submissions of the budget from the line agencies, and assigned DBM coaches to help line agencies use the UACS process for their 2014 budget submission

(9) In June 2013, the DBM and Project Management Unit, recognized the need for DBM staff to own the FMIS reforms, and organized another in-country Leadership workshop for 60 key staff of regional DBM offices in the Philippines

Institutional Changes

(6) In early 2013, the DBM and Project Management Unit approved the national level UACS

(10) By late 2013, all government agencies submitted their budget online using consistent UACS formats

(13) In November 2013, th... Secretary initiated a cabin... coalition to coordinate FM... and serve as 'delivery unit... with key ministries to add... implementation challenge... now working with the Dep... Social Welfare and commu...

- *Finding setbacks in an outcome map*. Using the results chain map as a visual tool, teams can explore how each outcome supported or led to outcomes at the next level. Outcomes that do not appear to have supported advances along the results chain should be examined, given that they sometimes provide important lessons about challenges in the development process. For example, in the Philippines, a team worked to establish an integrated financial management information system (FMIS) for a more accountable use of public money. However, it was challenging to motivate agencies to use the new online process for their budget submissions even when it was required (see red circle in example). It was necessary but not sufficient to make the online budget submissions a prerequisite for budget allocations: the first deadline passed with only a handful of agencies meeting the new requirements. Additional interventions were needed—including assigning budget specialists to assist line ministries and holding another leadership forum to build local ownership—before widespread compliance (institutionalized practice) was achieved.

- ***Using indicators to track progress***. Outcome maps do not tell the whole story about expected versus actual progress, so teams might also find it useful to monitor progress by assigning indicators and targets. The periodic review of results helps to inform implementation decisions. For example, the Pay and Performance Project in Sierra Leone is a results-based financing initiative in which disbursement-linked indicators (DLIs) are used to trigger the flow of project funding based on evidence of progress. An inter-agency performance management team made notable progress in instituting a performance appraisal system for civil servants, but the team was not on track to achieve performance targets due to a systemic problem across rapid results initiatives in which the allocated funding for program activities was delayed. Review sessions for teams to discuss results and challenges led to a collaborative learning process and a solution for the persistent funding delays. The Performance Management Team was then able to expand the number of pilot ministries and improve results to meet the target set by the DLI.

A setback might not signal that interventions are on the wrong track but instead often indicates that additional support or guidance is needed. The use of adaptive management is critical for ensuring that desired outcomes are achieved. In both examples, the team mapped outcomes to review preliminary results against expected progress and agree on mid-stream adjustments. The use of team review sessions to support collaborative adaptive learning can be critical for advancing development impact.

Tools for Interpreting and Monitoring Outcomes

The following checklists, tables, maps, and other support are assembled here to help teams interpret and monitor outcomes:

    A.   Quality Checklist for an Outcome Statement
    B.   Decision Tree for Identifying Institutionalized Results
    C.   Sample Change Strategy Maps and Template for Organizing Outcome Areas
    D.   Sample Results Framework Template
    E.   Sample Monitoring Plan Template
    F.   Sample Stakeholder Questionnaire for Tracking Progress Toward Targets

A. Quality Checklist for an Outcome Statement

An effective outcome statement:

☐   Names the change agent (individual or group) as the subject of the sentence

☐   Explains in detail what the change agent is doing differently

☐   Specifies the timeframe for the change

☐   Identifies where the change took place

☐   Describes the change in qualitative and/or quantitative terms (How much? How many?)

☐   Is based on clear evidence or is widely agreed upon by stakeholders

B. Decision Tree for Identifying Institutionalized Results

Applying a framework such as the World Bank's Capacity Development and Results Framework could be used to determine which changes are key institutional outcomes. Any institutional changes identified should be reviewed with stakeholders for broad understanding and agreement.

Does the outcome statement reflect…
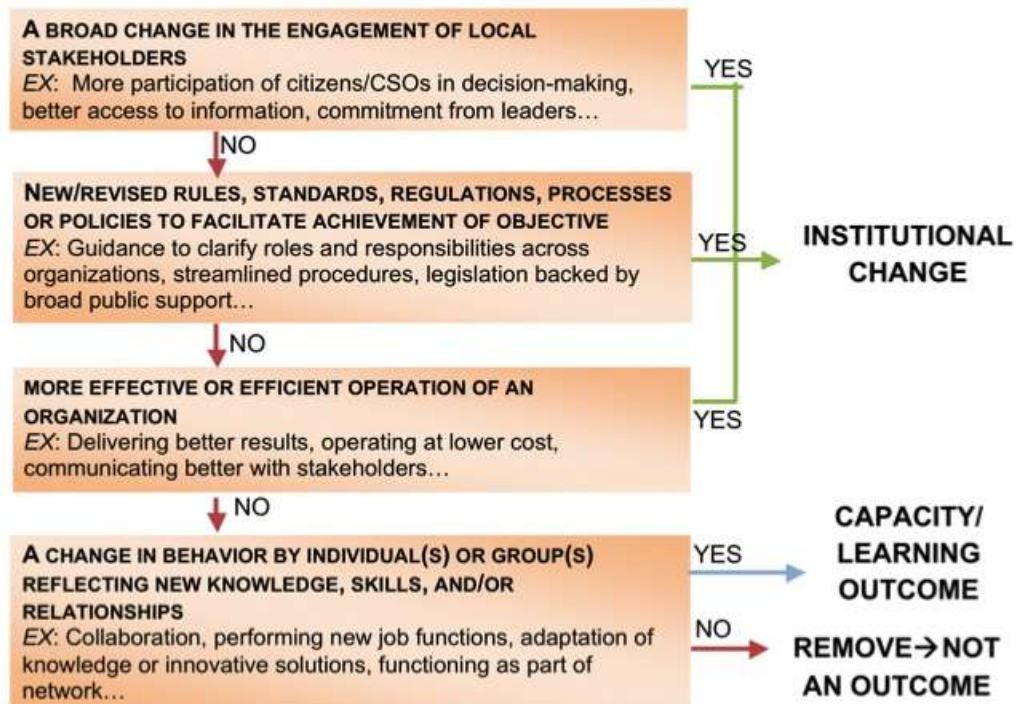
C. Sample Change Strategy Maps and Template for Organizing Outcome Areas

The change strategy shows the "big picture"—how the outcomes come together to advance change toward the goal and development objective. This example shows how the outcomes can be grouped by common links into areas that show paths for change.

WB Contributions

- Leadership workshop
- Follow-up Rapid Results Coaching to facilitate experiential learning

Change Agents

- Joint reform team with members from municipality and 2 utilities
- Citizens in pilot area
- Team of staff in collection utility

Partners

- Joint Vienna Institute
- World Bank, ECA region
- WBI Urban practice

Change Processes Advanced

Outcome Area 1: Collaborative commitment to better waste services
Joint reform team piloted a solution to address problems in political economy– consequently the municipality approved new costs.

Outcome Area 2: Changing citizen demand
Utility piloted a citizens survey to change behaviors, and identify households. The survey increased demand for services.

Outcome Area 3: Utility effectiveness
Utility pilot to re-organize its workforce, devise a new process to expand waste coverage to more household s and calculate a realistic fee for the services.

Outcome area 4: Scale-up through policy
Municipality used pilot to inform policy to regulate utilities.

Problems Addressed

- Habit of citizens not paying fees
- Weak operations and financial management
- Poor communication between citizens, utilities and municipality
- Weak policy guidance to guide pricing and other issues

Development Objective

Improved solid waste coverage for citizens

DEVELOPMENT OBJECTIVE: Improved sewerage services for citizens

OUTCOMES

WBI ACTIVITIES:
- Provided customized training and mentoring of coaches
- Provided advice and formal guidance notes to steering committee
- Training in NetMap
- Facilitated process and workshop for diagnosing challenges and setting priorities
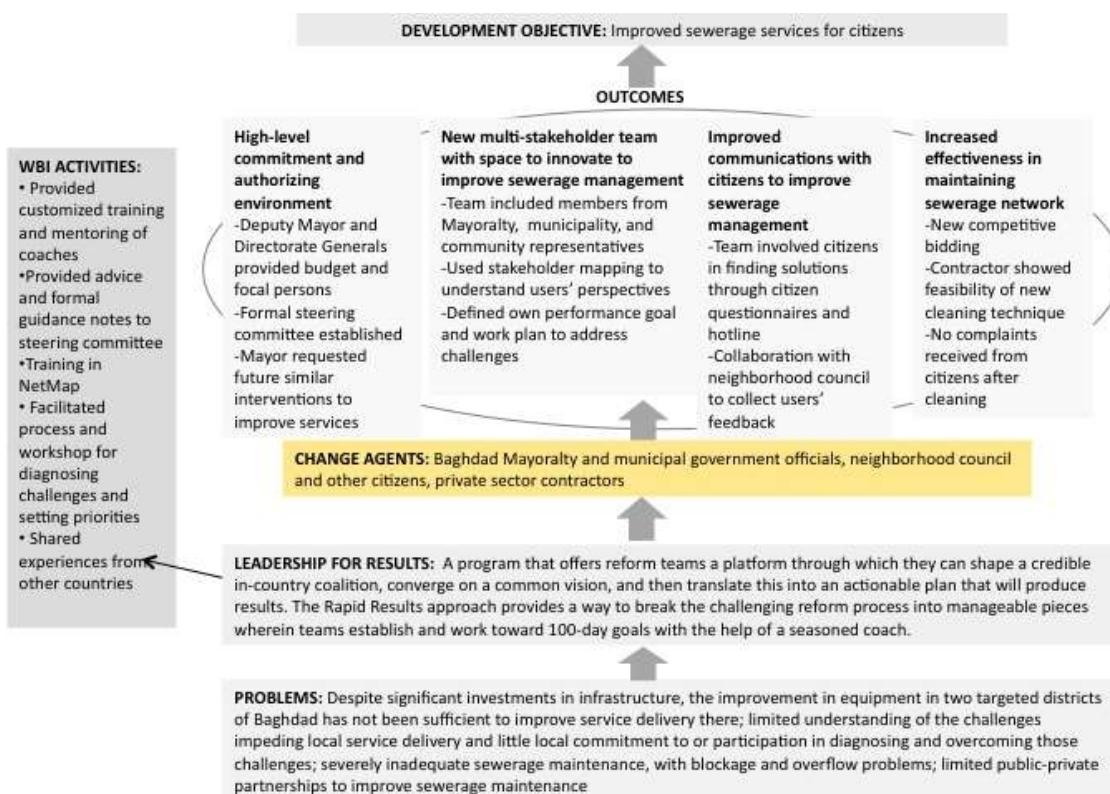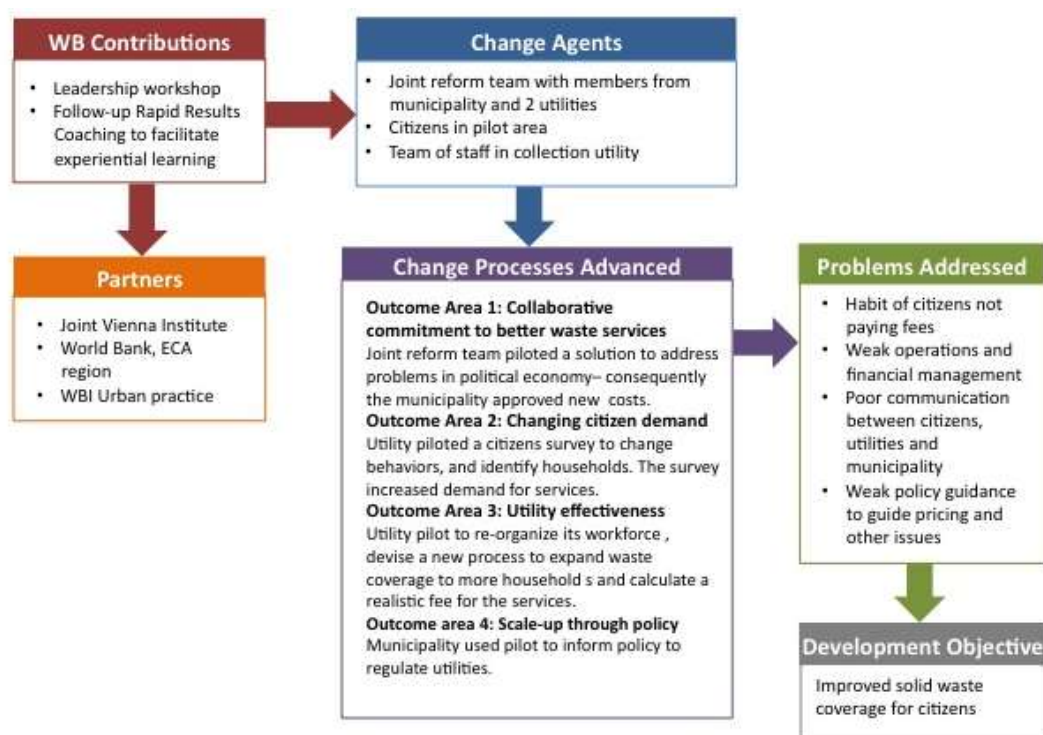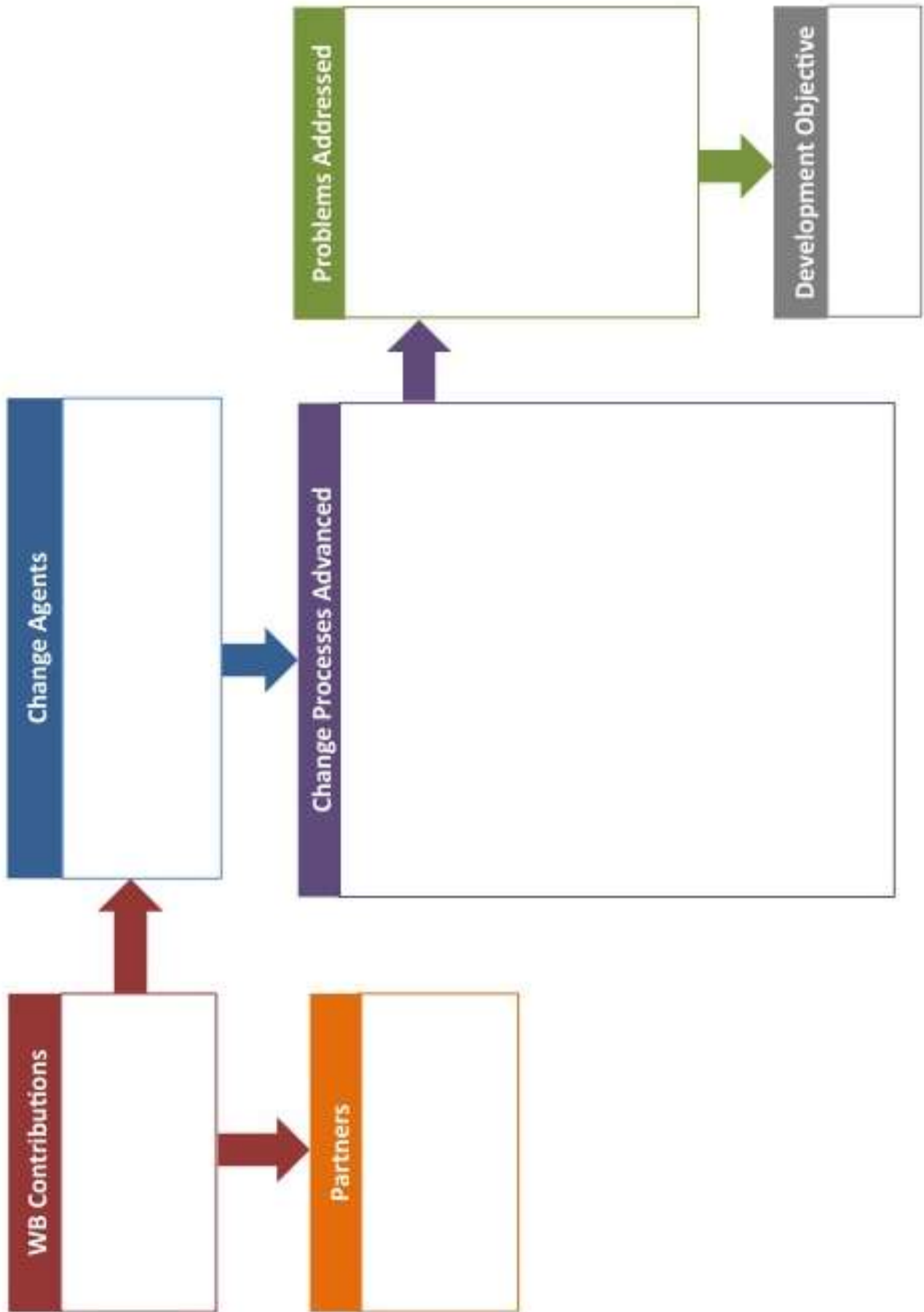- Shared experiences from other countries

High-level commitment and authorizing environment
-Deputy Mayor and Directorate Generals provided budget and focal persons
-Formal steering committee established
-Mayor requested future similar interventions to improve services

New multi-stakeholder team with space to innovate to improve sewerage management
-Team included members from Mayoralty, municipality, and community representatives
-Used stakeholder mapping to understand users' perspectives
-Defined own performance goal and work plan to address challenges

Improved communications with citizens to improve sewerage management
-Team involved citizens in finding solutions through citizen questionnaires and hotline
-Collaboration with neighborhood council to collect users' feedback

Increased effectiveness in maintaining sewerage network
-New competitive bidding
-Contractor showed feasibility of new cleaning technique
-No complaints received from citizens after cleaning

CHANGE AGENTS: Baghdad Mayoralty and municipal government officials, neighborhood council and other citizens, private sector contractors

LEADERSHIP FOR RESULTS: A program that offers reform teams a platform through which they can shape a credible in-country coalition, converge on a common vision, and then translate this into an actionable plan that will produce results. The Rapid Results approach provides a way to break the challenging reform process into manageable pieces wherein teams establish and work toward 100-day goals with the help of a seasoned coach.

PROBLEMS: Despite significant investments in infrastructure, the improvement in equipment in two targeted districts of Baghdad has not been sufficient to improve service delivery there; limited understanding of the challenges impeding local service delivery and little local commitment to or participation in diagnosing and overcoming those challenges; severely inadequate sewerage maintenance, with blockage and overflow problems; limited public-private partnerships to improve sewerage maintenance

D. Sample Results Framework Template

A results framework can be developed to assess progress for key outcomes.

Rows can be added or removed as appropriate.

Goal	Indicator(s)	Data Source(s)	Use of Information
Institutional Changes	**Indicator(s)**	**Data Source(s)**	**Use of Information**
Intermediate Outcomes	**Indicator(s)**	**Data Source(s)**	**Use of Information**

E. Sample Monitoring Plan Template

Objective	Outcome Statement	Indicators	Baseline Situation (Year)	Current Value (Year)	Target Value (Year)
Ex: Improve the value of municipal services for citizens [solid waste collection]	Citizens in the pilot area expressed demand for better waste collection service	% of surveyed citizens in pilot area demanding service	No survey in place to engage citizens	61% of surveyed citizens expressed demand for waste collection	85% of surveyed citizens express demand for waste collection
		% of households in pilot area paying new fee	Current fee system does not cover utility costs	46% of households paying new fee	75% of households paying new fee

F. Sample Stakeholder Questionnaire for Tracking Progress Toward Targets

It is helpful for stakeholders to record information on significant milestones to track progress on outcomes as interventions proceed. Monitoring progress (or lack thereof) at regular intervals informs program adjustments and collaborative learning. A stakeholder questionnaire can capture data on changes resulting from interventions, as well as the cause and the effect of those changes. (This questionnaire is based on work by the Open Contracting team from a workshop by Kaia Ambrose.)

A basic questionnaire for stakeholders at regional, country, community levels, etc. can be completed quarterly or monthly, depending on the pace of the project and when activities take place. The questionnaire can look at expected outcome areas of the project. These areas may change during implementation, so new areas can be added. The sample here may be modified based upon your (or stakeholder) needs.

DATE:					
Name and Role:					
Organization and Location:					
Contact Information:					
Outcome Area: Ex. Leadership and transparency among CSOs					
Targets	**Rating – Scale of 1 to 5**	**Description**	**Significance**	**Contribution**	**Evidence**
KEY TARGETS or milestones to track	EXTENT the target is being met (indicate 1 for low, 3 for medium, 5 for high)	WHAT happened, WHEN did this happen, WHERE did this take place?	WHY is this relevant to the objective or problem in this context?	HOW did this come about (how did the intervention support it)?	If available, collect evidence in support of the progress (meeting minutes, press release)
Problem: Ex. CSOs are interested in increasing communications and collaboration, but lack the mechanisms and commitment to do so					
Ex. Establishment of a new online CSO network					
Ex. Monthly knowledge exchanges among CSOs					
Ex. CSOs partnerships for engagement with high-level government officials					

Guide for Identifying Lessons from Mapped Outcomes

Analyzing and mapping the outcomes of a program can help teams learn from their implementation experience. Lessons from implementation provide important information about how different social actors influenced change across a timeframe and how some milestones or intermediate steps were instrumental for overcoming key challenges and supporting institutional changes. Codifying these lessons and possible indicators to track changes over time can inform learning on a particular program and others working in the sector and/or region to learn from successes and minimize failures.

Lessons can be gained around various topics:
- What can we learn about the **sustainability** of the changes to institutionalize results?
- What can we learn about the **effectiveness** of the program design in advancing what needs to be achieved?
- What can we learn about the **mix of actors** taking action to advance key changes?

The following maps of outcomes are from the Leadership for Results (L4R) program in Burundi, which contributed to developing capacity and delivering results toward public sector reform. It offered reform teams a platform for shaping an in-country coalition, converging on a common vision, and working toward 100-day goals to improve local service delivery. The lessons documented are to demonstrate how outcome information could be used to draw lessons from a program.

Identify Lessons from Results Chain
A results chain in this case summarizes the different levels of results observed during implementation of the project. A useful technique for identifying lessons is tracing the progression from inputs and short-term milestones to intermediate outcomes and institutional changes. Lessons are derived from the "essential changes" that reflect steps that are deemed necessary for achieving progress toward a development objective. Such changes could reflect:
- A critical junction—an outcome that stems from or leads to multiple other outcomes or milestones to support an integrated, complex change process.
- A gateway or bridge—an outcome or milestone that leads directly to a higher level along the results chain.

Figure 1 provides an example results chain in which the lightest levels are furthest from the project's "sphere of influence" and closest to the impact. The darkest levels are more directly under project control.
- **Impact** is the goal in the line of sight of the project.
- **Institutional changes** are outcomes that reflect institutionalization or sustainability. Often these are more permanent changes in stakeholder engagement/responsiveness, formal policy/rules/guidance and organizational effectiveness. Each outcome at this level has an "outcome story" that outlines the project's theory of change and informs sustainability.
- **Changes in behavior** are outcomes that reflect new knowledge, skills, relationships, or implementation know-how after any intervention or with a different group than the direct participants.
- **Early outputs or milestones** are changes observed during an intervention or directly at the end that influence later changes.
- **Inputs** are key project activities/interventions.

The circled outcomes are examples of essential changes observed during implementation. For example, outcome 6 shows how the Steering Committee initiating a process to build knowledge among civil servants to use results-based methods for addressing constraints was a key early milestone.
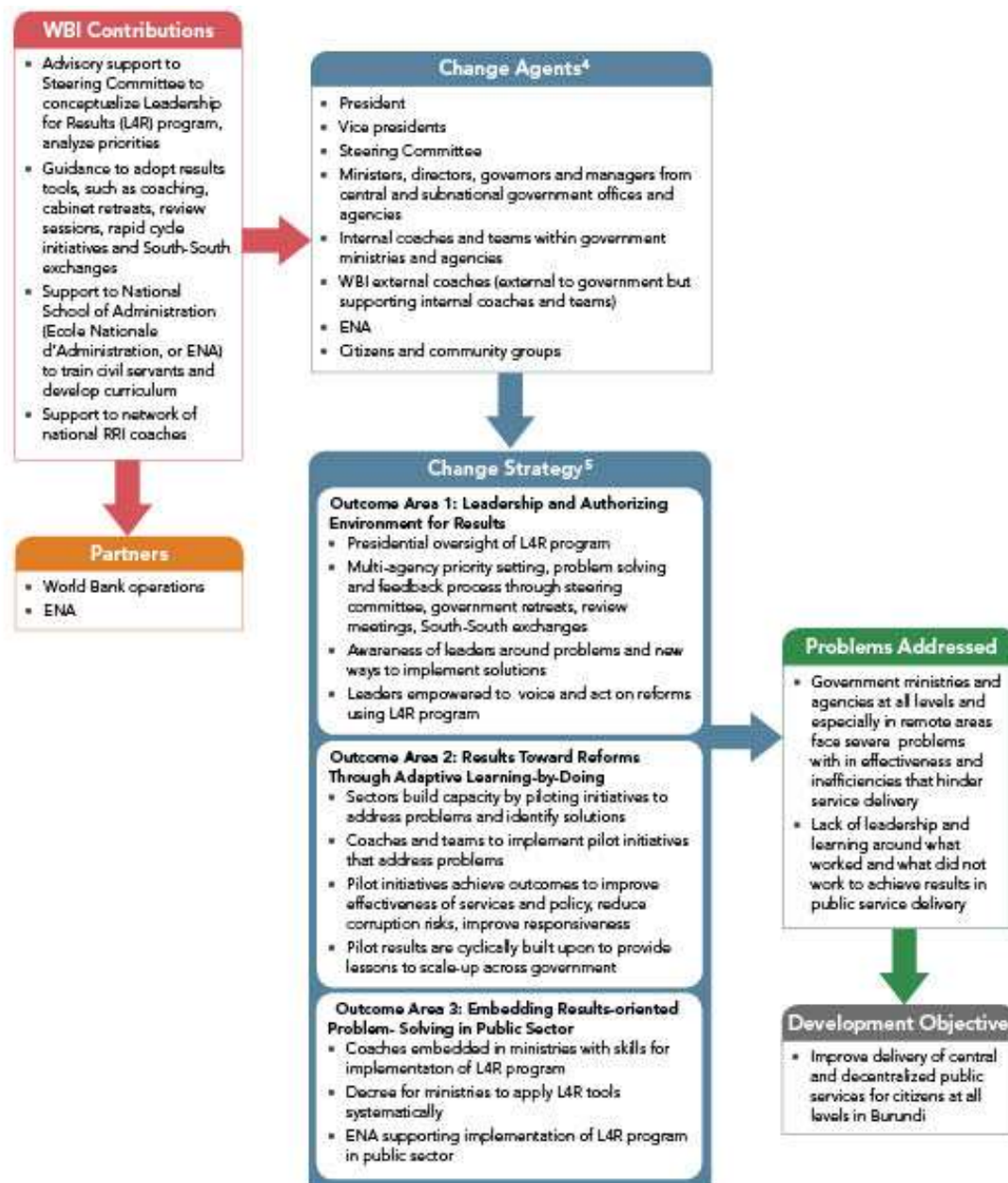
Figure 1. Example of a Results Chain: Improving Public Service Delivery in Burundi
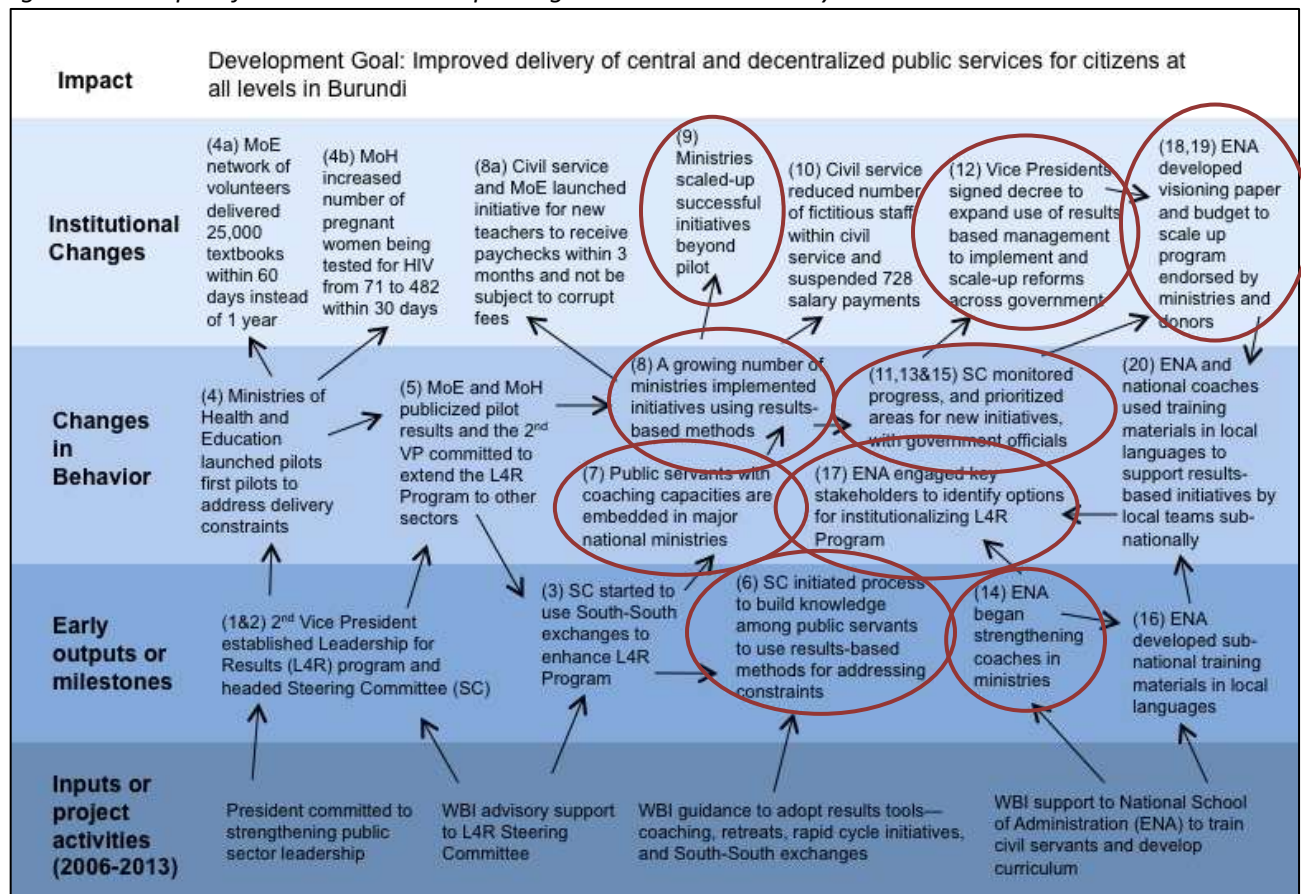
Look at Change Process Map of Project

Diagramming the overall change process or theory of change in terms of the original program inputs, key change agents, and main change strategies to overcome challenges can help teams think through how the program design was most effective in advancing needed changes. In some cases, the review of the main outcome areas helps to highlight lessons that might not immediately surface when examining the results chain. For example, outcome area 2 in figure 2 shows the importance of the shift to an adaptive learning culture across government to address reform challenges and advance results.

Figure 2. Example of an Overview of the Change Process: Improving Public Service Delivery in Burundi

WBI Contributions
- Advisory support to Steering Committee to conceptualize Leadership for Results (L4R) program, analyze priorities
- Guidance to adopt results tools, such as coaching, cabinet retreats, review sessions, rapid cycle initiatives and South-South exchanges
- Support to National School of Administration (Ecole Nationale d'Administration, or ENA) to train civil servants and develop curriculum
- Support to network of national RRI coaches

Partners
- World Bank operations
- ENA

Change Agents[4]
- President
- Vice presidents
- Steering Committee
- Ministers, directors, governors and managers from central and subnational government offices and agencies
- Internal coaches and teams within government ministries and agencies
- WBI external coaches (external to government but supporting internal coaches and teams)
- ENA
- Citizens and community groups

Change Strategy[5]

Outcome Area 1: Leadership and Authorizing Environment for Results
- Presidential oversight of L4R program
- Multi-agency priority setting, problem solving and feedback process through steering committee, government retreats, review meetings, South-South exchanges
- Awareness of leaders around problems and new ways to implement solutions
- Leaders empowered to voice and act on reforms using L4R program

Outcome Area 2: Results Toward Reforms Through Adaptive Learning-by-Doing
- Sectors build capacity by piloting initiatives to address problems and identify solutions
- Coaches and teams to implement pilot initiatives that address problems
- Pilot initiatives achieve outcomes to improve effectiveness of services and policy, reduce corruption risks, improve responsiveness
- Pilot results are cyclically built upon to provide lessons to scale-up across government

Outcome Area 3: Embedding Results-oriented Problem- Solving in Public Sector
- Coaches embedded in ministries with skills for implementaton of L4R program
- Decree for ministries to apply L4R tools systematically
- ENA supporting implementation of L4R program in public sector

Problems Addressed
- Government ministries and agencies at all levels and especially in remote areas face severe problems with in effectiveness and inefficiencies that hinder service delivery
- Lack of leadership and learning around what worked and what did not work to achieve results in public service delivery

Development Objective
- Improve delivery of central and decentralized public services for citizens at all levels in Burundi

EXAMPLE LESSONS

Based on figures 1-3, what lessons can be taken from the public service delivery project in Burundi to inform the current program and or similar initiatives?

Lesson 1.

Obtaining high-level commitment provided an authorizing environment to demonstrate the benefits of the results-based L4R approach and transition from limited pilots by champions to the endorsement of its broad application to improve service delivery across government.

- Government ministries and agencies at all levels faced inefficiencies that hindered service delivery, yet there was no system in place to support learning around achieving results.

- The president created a Steering Committee to strengthen results and nominated the second vice president as chair. The committee provided leadership across the public administration to advance the new culture of delivery and problem solving required for the L4R approach to succeed.
- The committee commissioned studies to inform the launching of initial pilot initiatives in the health and education sectors. When the Ministries of Education and Health publicized successful results of the pilots, the president and vice presidents expressed their buy-in for using a similar approach to unblocking problems in other areas of public sector reform.
- The committee provided the leadership commitment to build knowledge in L4R methods to strengthen delivery across the public administration.
- The committee monitored progress on pilot initiatives at key points to facilitate problem-solving to unblock slowed progress—particularly blocks that spread across different sectors or departments. The committee's oversight role also helped identify follow-up projects to build on or scale-up.
- The two vice presidents of Burundi signed a decree recommending the L4R approach be applied transversally throughout government to support implementation of the country's Poverty Reduction Strategy Paper. The decree said each ministry should launch results-based initiatives every trimester that aligned with priorities in that sector and that progress should be recorded (quantitative and qualitative) at the end of each trimester.

EXAMPLE INDICATORS FOR TRACKING THIS CHANGE PROCESS:
- → Establishment of a formal steering committee to manage Burundi's L4R program (Yes/No)
- → % of results-based initiatives the steering committee supported on problem-solving
- → # of ministries launching results-based initiatives to pilot solutions for identified challenges (ministry records, reports to steering committee)

Lesson 2.

The cyclical implementation of rapid results initiatives provided opportunities for collaborative teams to adaptively learn how to develop sustainable solutions for overcoming implementation challenges and bottlenecks. This experience, over time, fostered a culture change across government, with a growing number of ministries implementing the results based method to achieve development objectives.
- Government ministries and agencies at all levels lacked a results culture, with no system in place to support learning around achieving results. This lack of systematic learning supported widespread and persistent inefficiencies that hindered service delivery.
- Ministers identified multi-agency stakeholder teams to implement pilot initiatives to advance priority results in 100 days.
- The success of the initial pilots in the education and health sectors started a demonstration effect, with other ministries perceiving the potential benefits of the rapid results approach and piloting similar efforts in their sectors.
- Results based initiatives were cyclically built on to provide lessons to adapt or scale-up across government. This momentum led steadily to a culture change, with an increasing number of ministries and agencies at all levels recognizing the value of implementing rapid results initiatives and using the results data to inform program planning.

EXAMPLE INDICATORS FOR TRACKING THIS CHANGE PROCESS:
- → # of government ministries and agencies applying the rapid results approach to address implementation challenges and bottlenecks.
- → % of successful initiatives, as demonstrated by customized performance indicator(s) such as:
  - a. Days required to deliver 25,000 textbooks in target province

b. # of pregnant women tested for HIV within 30 days in target province
c. % of electricity grid customers satisfied with service
→ % of initiatives with follow-up actions to scale-up or build on the initiative

Lesson 3.

Using trained coaches that were embedded in ministries helped to institutionalize the results-based approach across sectors and levels of government. This design feature provided key support for the ongoing shift to a results culture in public service delivery.

- Individual ministries had limited systems and processes to learn what works and apply lessons. Further, no mandate or resources existed that focused on developing leadership and learning for results.
- Public servants with coaching capacities were embedded in national ministries to facilitate results-based initiatives but their numbers and reach were limited.
- Support to the National School of Administration helped to train civil servants in the results-based method and to develop curriculum that could ensure the approach can be used across the public administration nationally and sub-nationally.
- Coaches received training in local languages and support from the National School of Administration enabling the government to start to use the results- based methods sub-nationally.

EXAMPLE INDICATOR FOR TRACKING THIS CHANGE PROCESS:
→ # of trained coaches embedded in ministries and agencies across government
→ % of ministries and agencies with trained coach embedded (by sector)

Lesson 4.

Engaging diverse stakeholders during the design of a strategy for scaling up the rapid results approach was critical for institutionalizing the L4R program. The participatory process led to a strategy that was broadly supported by government, civil society, and donors.

- Government ministries and agencies at all levels faced severe problems with ineffectiveness and inefficiencies that hindered service delivery.
- Limited or no collaboration existed among stakeholders to address service delivery problems.
- The rapid results approach demonstrated success in selected pilots, but there was no strategy to scale it up for broader institutional change across agencies.
- Engaging a broad range of stakeholders in strategy design ensured that diverse perspectives and needs were considered, increased awareness of the pilots' results and broader potential of the approach, and ultimately fostered buy-in from stakeholder groups for scaling up the L4R program.

EXAMPLE INDICATORS FOR TRACKING THIS CHANGE PROCESS INCLUDE:
→ # of stakeholder groups providing input for a new strategy to scale up the L4R program (attendance records of forums, administrative records of National School of Administration).
→ Development of a formal strategy for scaling up the L4R program (Yes/No, as evidenced by National School of Administration strategy documents).
→ % of ministries signing strategy; % of donors endorsing strategy; approval of budget to implement strategy (National School of Administration strategy documents, L4R program records, and administrative data).

Results Framework Informed by Lessons

A results framework can also be developed to assess progress for key outcomes. The sample results framework below is modeled after the framework structure used for projects in World Bank operations. Indicators can be identified and included for measurement as follows:

- **Development goal**—to assess progress toward higher-level objective over the longer term.
- **Institutional changes**—at least one key institutional change should be measured for each outcome story. In cases where multiple related institutional changes are part of the same story, it might be sufficient to just reflect one in the results framework.
- **Major intermediate outcomes**—major behavioral changes that are useful to track. These outcomes often reflect important gateways or bridges to other higher level outcomes and therefore reflect critical junctions in the outcome story.

Figure 3. Example of Part of a Results Framework: Improving Public Service Delivery in Burundi

Development Objective	Indicator(s)	Data Source(s)	Use of Information
Improved delivery of central and decentralized public services for citizens at all levels in Burundi	Development objective indicators for key target sectors—for example: *Health:* Coverage of treatment to prevent mother to child HIV transmission *Transport:* % of population less than 2km walk from a motor able road *Water Supply and Sanitation:* % of population with reliable access to treated water (disaggregated by rural and urban areas)	Ministry of Health Administrative Records Ministry of Transport and Public Works Ministry of Water	Assesses the longer-term impact of improving organizational performance through the use of Rapid Results Initiatives. Specific indicators can be added and monitored over time as initiatives are implemented and scaled up.

Institutional Changes	Indicator(s)	Data Source(s)	Use of Information
Organizations improved performance through pilot initiatives	• *MoE*—Days required to deliver 25,000 textbooks in target province • *MoH*—# of pregnant women tested for HIV within 30 days in target province • *MoE and Civil Service*—# of months for teachers to receive first paychecks • *Civil Service*—# of fictitious staff within civil service receiving salary payments (target is to decrease) • *State Electricity Company*—% of electricity grid customers satisfied with service	Agency administrative data systems, pilot reports Survey of state electricity company customers	Demonstrates the success of the pilot initiative in unblocking a barrier for improving organizational performance. Indicators are monitored at the pilot level and a subset of initiatives are tracked at the program level. Additional indicators can be added as new initiatives are launched.
ENA developed visioning paper and budget to scale up program endorsed by ministries and donors	Development of formal strategy for scaling up the L4R Program [Y/N] % of ministries validating the strategy % of donors endorsing strategy Approval of budget to implement strategy [Y/N]	ENA Strategy Documents; L4R Program records	Confirms establishment of a strategy for scaling up the program that reflects the inputs of key stakeholders, is owned by ministries and endorsed by donors

Intermediate Outcomes	Indicator(s)	Data Source(s)	Use of Information
A growing number of ministries implemented initiatives using results-based methods	# of ministries launching results-based initiatives to pilot solutions for identified bottleneck % of successful initiatives % of initiatives with follow-up actions to scale-up or build on the initiative	Ministry records; reports to the L4R Steering Committee	Assesses new results-based behaviors of ministries introduced by embedded coaches and, in the aggregate, reflects growth of a common agenda for results-based learning in govt
National network of coaches trained in results-based methods	# of trained coaches embedded in ministries # of ministries with at least one trained coach embedded # of teams sharing experiences in the use of the results based methods for project management	Steering Committee records; Ministry records	Examines the decentralization of the capability for results-based method and formation of a new network for promoting/sustaining results culture

| Short-Term Outputs	Indicator(s)	Data Source(s)	Use of Information
2nd VP established L4R Program and headed Steering Committee	Establishment of L4R Steering Committee, Chaired by Vice President [Y/N] # of meetings of Steering Committee # of Cabinet Retreats	Agreement with L4R team; program records	Confirms the presence of both a strong authorizing environment and a coordination mechanism for the program's implementation

Guide for Communicating Outcomes

Real-time learning on results helps teams to address various communications needs before, during and after project implementation. External stakeholders and funders can gain a "big picture" understanding of how inputs are helping to advance a development objective. Outcome stories can spotlight promising results. Or, results reporting can emphasize lessons learned to inform practitioners working in similar contexts or to guide decisions for replicating or scaling up program activities.

The example tables and maps in this toolkit are ways of communicating results; some proposed approaches for intentional results reporting are explored here.

First, for a more comprehensive presentation of a program's results, teams can develop a map with interpreted outcomes. As shown in the example below, such a map links outcomes and also can code major changes. The graphic depiction of sequenced outcomes provides an entry point for exploring individual outcome stories or for analyzing the overall change process.

Example Map with Interpreted Outcomes: Utility Reform in Bosnia
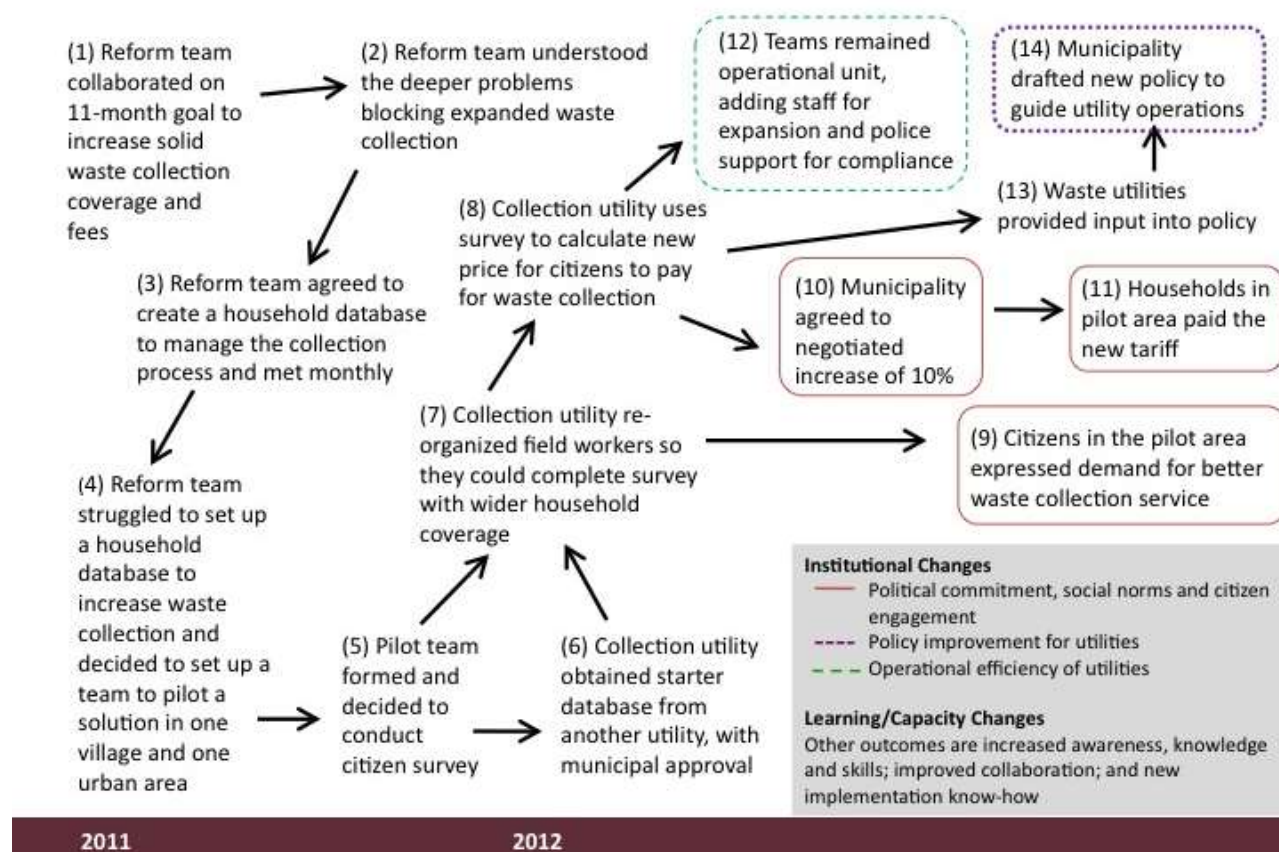
Another effective way to provide stakeholders a sense of what has been achieved is to separate out individual outcome stories. In this case, the team can focus on one key institutional change that has been achieved and show the progression of milestones and outcomes that contributed to that change. Summary text can be presented, as shown in the box below, with as much or as little detail as appropriate for the intended audience.

EXAMPLE OUTCOME STORY
INCREASING THE COMMITMENT OF LEADERSHIP TO IDENTIFYING
AND SCALING UP DEVELOPMENT INITIATIVES

Outcome

On July 14, 2009, a decree was promulgated and signed by the two then-Vice Presidents of Burundi recommending that the Rapid Results Approach (RRA) be applied transversally throughout the government to support implementation of the country's Poverty Reduction Strategy Paper. Signaling high-level leadership and commitment, the decree prescribed that each ministry should launch initiatives every trimester aligned with the priorities in that sector and that progress (quantitative and qualitative) should be recorded at the end of each trimester.

This resolve to apply the RRA reflected the implementation of one of the main recommendations of a Governmental retreat held earlier in 2009 and marked the culmination of a change process that started in 2006. Key milestones included the following:

- In 2006, the President of Burundi, Pierre Nkurunziza made a commitment to strengthen the capacities of the country's leaders to drive change at the institutional level to accelerate the implementation of national programs aimed at delivering results to benefit the country's population.
- A leadership program was then developed to help leaders tackle national development implementation challenges. A President-appointed Steering Committee was created to manage the process, and the Second Vice-President was nominated as head of the Steering Committee.
- After commissioning background studies, the Steering Committee supported the launching of pilot projects in the health and education sectors. The Ministry of Education (MoE) delivered 25,000 textbooks throughout the province of Bubanza within 60 days instead of one year, and the Ministry of Health (MoH) more than quadrupled the number of pregnant women being tested for HIV in the province from 71 to 482 within 30 days.
- When the MoH and MoE publicized the successful results of these pilots, the President and Vice Presidents expressed their strong buy-in for a similar approach to unblocking problems in other areas of public sector reform.
- The Second Vice-President, as head of the Steering Committee, requested that staff within the sectors for which he was responsible be trained in a results-based management methodology that could be used as a tool to jumpstart new initiatives.
- In September 2007, several of those how had undergone a five-day training created action plans to launch efforts to overcome challenges and bottlenecks in their own ministries.
- The Steering Committee monitored progress and prioritized areas for new initiatives with government officials.

Significance

This decree reflected high-level commitment to the RRA process and served as an instrument to ensure the institutionalization of the capacities developed, with the new practices becoming self-sustaining and applied even more broadly through government. Despite the fact that the two Vice Presidents who signed this decree are no longer in their positions and ministers have changed in many ministries since 2009, the decree is still being applied to support implementation as, even now, there are still rapid results initiatives underway.

Program Contribution

The World Bank provided advisory support to Burundi's Leadership for Results Steering Committee, recommended the preparation of background studies to inform the selection of the first pilots, and introduced the Rapid Results Approach as a tool for jump starting and accelerating project implementation. The Bank also provided support for the RRA training and acted as the convener and resource for knowledge exchange throughout this process. In March 2009, the Bank provided technical assistance and guidance in facilitating the Second Governmental Retreat in March 2009, during which the President and two Vice Presidents expressed their commitment for working towards the institutionalization of the culture of results by using the RRA more broadly.

Another approach for communicating results is to provide a timeline snapshot of key changes achieved to catch the attention of busy stakeholders who might not be expected to read a more lengthy text.

Example Results "Snapshot"—Gaining Leadership Commitment for Rapid Results Initiatives

Timeline	Outcome	Program Contribution
July 2009	Two Vice Presidents sign public decree that mandates expansion of L4R Program across government	In March 2009, the program provided technical assistance and guidance in facilitating the Second Governmental Retreat during which the President and two Vice Presidents expressed their commitment for working towards the institutionalization of the culture of results by using the RRA more broadly.
2008 to 2009	More than 400 additional rapid results initiatives launched, with demonstrated success *Examples* The time required for newly recruited teachers to receive their first paychecks in six provinces is reduced from one year to three months; 717 new teachers received their paychecks without being subset to corrupt fees The Civil Service reduces fictitious staff, suspending payment of 728 salaries for "ghost" individuals, reflecting a monthly cost saving of $530,759 Client satisfaction with the state electricity company increased from 18% to 65%	
2007 to 2009	2,000 coaches were trained and embedded in ministries across government for implementing additional Rapid Results Initiatives. All coaches are linked to regional network of results coaches in Africa.	The program provided support for the RRI training and acted as the convener and resource for knowledge exchange throughout this process.
May 2007	The pilots demonstrate success, reported by the Ministries of Education and Health—the in the target province *decreased from one year to* Health—the *number of pregnant women tested for HIV within 30 days* in the target province *increased from 71 to 482*	
2006 to 2007	Two initial pilots are implemented in priority sectors (health and education)	The program provided advisory support to Burundi's Leadership for Results Steering Committee, recommended the preparation of background studies to inform the selection of the first pilots, and introduced the Rapid Results Approach as a tool for jump starting and accelerating project implementation.
June 2006	A Steering Committee is formally established, to manage Burundi's Leadership for Results Program	

Snapshot of External Training Knowledge Services Project Outcomes

The following describes outcomes of selected World Bank External Training (TE) projects in different sectors/thematic areas in 2013 and 2014. The outcomes present intermediate and deeper institutional changes reported toward the project's development objective(s). The outcomes are based on qualitative outcome information jointly harvested by the project team members and clients. The charts present progress snapshots to communicate results of the projects.

Case: Strengthening Capacities of Local Governments in South East Europe
Objective: Progress toward more livable and sustainable cities in South East Europe that provide a high quality of life for citizens
Total number of outcomes harvested: 28 institutional and 14 intermediate changes
Institutional outcomes by actors: 25 by municipalities/local councils, 8 by mayors, 5 by *Network of Associations of Local Authorities of South* East Europe, 4 by coalitions/CSOs

Institutional Changes in Cities and Regions During 2011-13

- Increased commitment, transparency and decision-making
- Policy/strategy changes to combat corruption
- Increased effectiveness of municipalities and regional networks
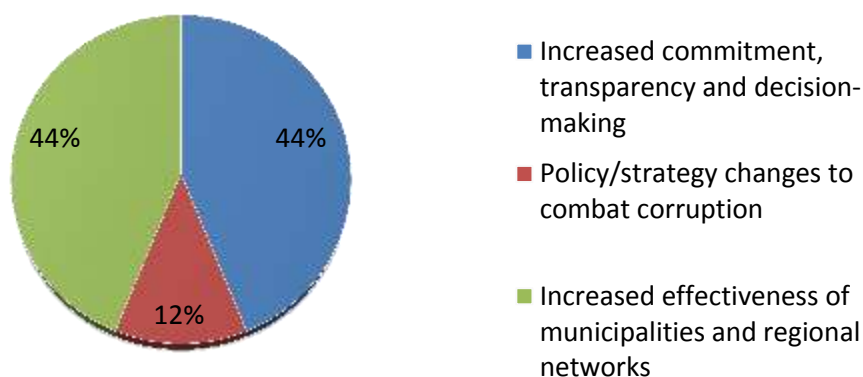
Case: Strengthening Implementation of Legislation on Access to Information (ATI) across Latin America
Objective: Progress toward improvement in service delivery for citizens across Latin America
Total number of outcomes harvested: 9 institutional and 12 intermediate changes
Institutional outcomes by actors: 10 by ATI agencies in Bolivia, Colombia, Chile, Mexico, Peru, Brazil and Uruguay, 10 by formal Latin American network of ATI agencies, 1 by Open Government Partnership
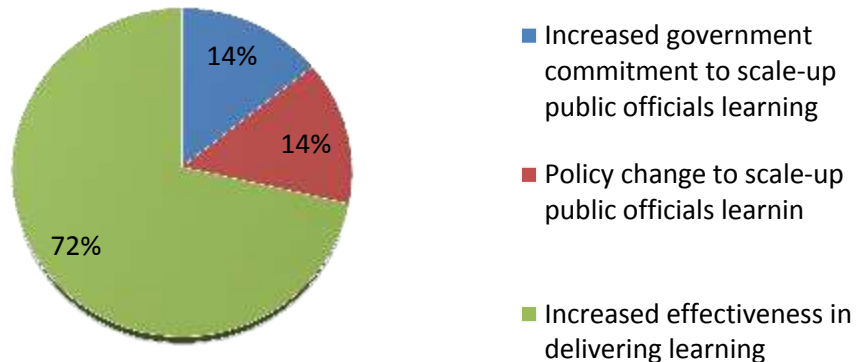
Institutional Changes During 2011-13

- Increased commitment of Access to Information agencies in Bolivia, Colombia, Chile, Mexico, Peru, Brazil and Uruguay
- Increased guidance to implement Access to Information policy
- Increased effectiveness of Access to Information agencies

Case: Scaling up Capacity Development of City Officials and Practitioners across China Through eLearning

Objective: Progress toward improvement in public service delivery in China's rapidly growing urban areas

Total number of outcomes harvested: 7 institutional and 13 intermediate changes

Institutional outcomes by actors: 20 by Chinese Academy of Governance (national institution mandated to train public officials)
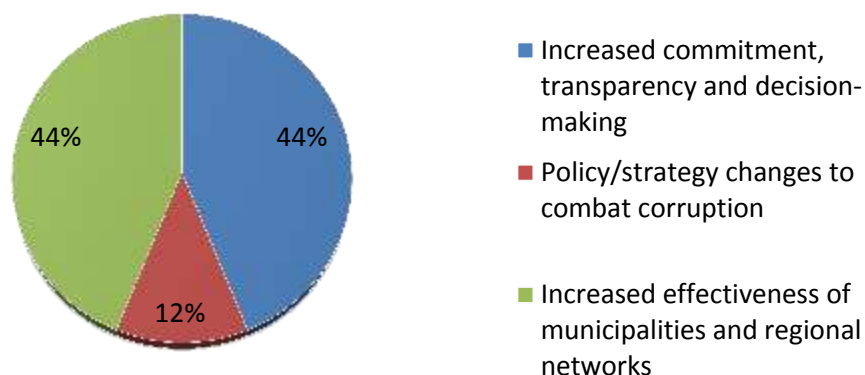
Institutional Changes During 2009-12

- 14% Increased government commitment to scale-up public officials learning
- 14% Policy change to scale-up public officials learnin
- 72% Increased effectiveness in delivering learning

Case: Improving Open Contracting Processes at the Country and Global Level

Objective: Progress toward improvement in the benefits of public goods and services for all citizens

Total number of outcomes harvested: 17 institutional and 16 intermediate changes globally and in the countries of Uganda, Mongolia, Nigeria and Ghana

Institutional outcomes by actors: 11 by contract monitoring coalitions, 4 by government ministries/bureau, 4 by CSOs, 4 by Steering Group (became known officially as Open Contracting Partnership), 2 by national procurement authorities that joined Steering Group, 2 by the World Bank, 2 by Federal courts, 1 by academia, 1 by state power holding company, 1 by government aid agencies, 1 by private sector initiatives

Institutional Changes During 2011-13

- 44% Increased commitment, transparency and decision-making
- 12% Policy/strategy changes to combat corruption
- 44% Increased effectiveness of municipalities and regional networks

Case: Strengthening Parliamentary Oversight of National Budgets in Africa
Objective: Progress toward improvement in the benefits of public spending for citizens in Africa
Total number of outcomes harvested: 17 institutional and 12 intermediate changes regionally and in the countries of Botswana, Ethiopia, Kenya, Rwanda, Swaziland, South Africa, South Sudan, Tanzania, Uganda and Zambia
Institutional outcomes by actors: 15 by parliaments, 11 by public accounts committees, 3 by public accounts committee network

Institutional Changes During 2009-13

- ■ Increased transparency of budget and audit processes
- ■ Increased legitimacy of budget process and corruption mechanisms
- ■ Increased effectiveness of parliament and public accounts committees
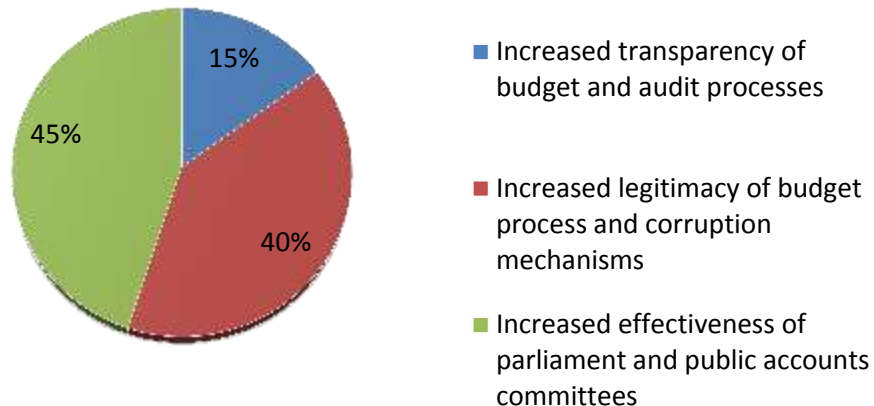
Case: Leadership for Results: Developing Capacity and Delivering Results toward Public Sector Reform in Burundi
Objective: Progress toward improvement in delivery of central and decentralized public services for citizens at all levels in Burundi
Total number of outcomes harvested: 26 institutional and 21 intermediate changes
Institutional outcomes by actors: 10 by high-level government officials, 10 by civil service, 10 by ministries, 6 by state electricity company, 6 by National School of Administration, 3 by steering committee, 2 by volunteers, 2 by communal administrators

Institutional Changes During 2006-13

- ■ Increased public sector leadership and priority setting to strengthen reforms
- ■ Increased policy changes to combat inefficiencies and corruption in services
- ■ Increased effectiveness, adaptability and responsiveness in service delivery
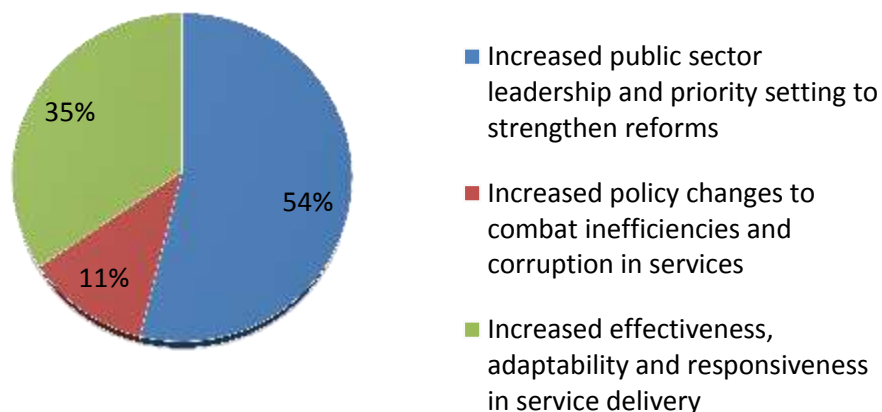
Case: Improving Social Accountability in the Philippines Education Sector

Objective: Progress toward improvement in the quality of services and education performance of public schools for citizens in the Philippines

Total number of outcomes harvested: 13 institutional and 10 intermediate changes

Institutional outcomes by actors: 8 by infomediaries, 5 by Department of Education, 5 by Affiliated Network for Social Accountability, 2 by governments (Kenya, Indonesia), 1 by World Bank, 1 by Open Government Partnership, 1 by academia

Institutional Changes During 2008-12

- 25%
- 13%
- 62%

■ Increased commitment and innovations to advance social accountability and transparency in public schools

■ Increased legitimacy of public school data

■ increased responsiveness of government to public education issues
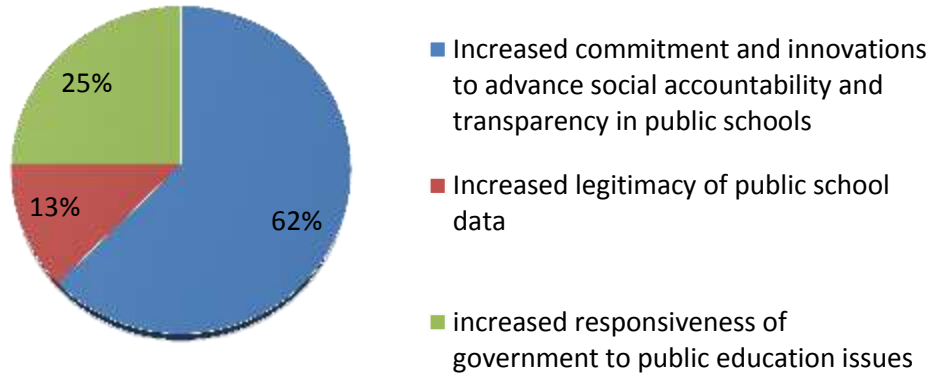
Resources

Guides and tools for outcome-based learning are continuously being developed. For those with access to the World Bank Intranet, visit http://outcomemapping.

Outcome Mapping Learning Community
www.outcomemapping.ca

The Better Evaluation website
http://betterevaluation.org/blog/drawing_logic_models

Theory of Change Online or "TOCO"
http://www.theoryofchange.org/toco-software

The Capacity Development Results Framework
http://wbi.worldbank.org/wbi/document/capacity-development-and-results-framework

Designing a Multi-Stakeholder Results Framework
http://wbi.worldbank.org/wbi/document/designing-multi-stakeholder-results-framework

Cases in Outcome Harvesting (full report of 10 first cases in pilot experiences)
http://wbi.worldbank.org/wbi/document/cases-outcome-harvesting

Ulaanbaatar, Mongolia

CASE STUDY IN OUTCOMES EVALUATION: MONGOLIA
Showing the value of mapping outcomes to learn from complex programs

SUMMARY
From 2010–2013, the World Bank Governance Partnership Facility (GPF) and the Swiss Agency for Development and Cooperation (SDC) helped build the capacity of Mongolian civil society organizations (CSOs) to promote good governance and an effective civil society engagement in procurement and service delivery monitoring. An assessment of results from the interventions was needed to satisfy accountability and learning needs and to inform decisions on future programs and funding. However, the short-term, complex nature of the interventions, numerous CSOs involved, and scarce documentation meant that knowledge of results was largely limited to activities and impact would be difficult to measure.

In fall 2013, the World Bank and Mongolia office of SDC decided to use an outcome mapping approach to evaluate the effectiveness, sustainability, and relevance of these interventions. Outcome mapping is a participatory methodology useful for evaluating complex programs that involve capacity and coalition building, multiple actors, and tacit knowledge. It looks beyond outputs and delivery efficiency to institutional behavioral changes that occur in and among social actors influenced by interventions.

A total of 190 outcomes were collected through document analysis, interviews and surveys with pertinent social actors, with nine elaborated as outcome stories. The outcome stories identified what changes took place, by whom, when and where, why they were

significant, and how the interventions contributed. Then, independent persons substantiated the outcome stories to provide further evidence and credibility on whether the World Bank and SDC support advanced development objectives.

The evaluation provided benefits to the stakeholders in several ways: results were packaged into an accessible, narrative format for various communication purposes; lessons were identified on what worked and did not work to inform the design of future CSO support, particularly concerning social actors and their roles, innovative solutions, and how to adapt or scale up a program; and the participatory process promoted stakeholder learning and ownership of results achieved to date.

Thus, the evaluation generated robust, locally validated data that demonstrated the value of the interventions to stakeholders and donors and revealed ways to improve implementation and management for future efforts. Other teams that need to assess similarly complex programs might consider the merits of using the outcome mapping approach as well.

CONTEXT

Over the last decade the Mongolian economy has grown at a rapid pace based on the strength of its extractive industries sector. Good governance and an effective civil society are key to ensure that the wealth produced is used in a way that benefits all citizens. Government must develop policies and systems that are responsive to citizens and open to public scrutiny. Wider civil society can contribute to improved accountability, transparency, and openness by monitoring government tenders and public fund expenditures.

To this end, the World Bank and SDC supported Mongolian civil society in three interventions:

(1) SDC—Local NGO Capacity Building (2011–2013) to improve internal governance, oversight, financial and operational management of Mongolia's most active local CSOs. Implementing partner: Mongolian Center for Development Studies.

(2) World Bank—Social Accountability (2010–2011) to strengthen the skills of CSOs to work with and monitor public sector organizations and service delivery and willingness of public sector organizations to work with CSOs. Implementing partners: Affiliated Network for Social Accountability in East Asia and the Pacific,

Democracy Education Center, and Open Society Foundation.

(3) World Bank—Public Procurement (2012–ongoing) to support the development of an effective, self-governing network of CSOs committed to monitoring public procurement and supporting government in creating a framework for CSO participation in public procurement monitoring. Implementing partner: Partnership for Public Procurement.

To evaluate the interventions, the team needed to answer three questions:

- What is the **effectiveness of the interventions** in contributing to the intended objectives?
- What is the **sustainability of changes influenced by the interventions** after donor funding ceases?
- What is the **relevance of the interventions' outcomes** to the SDC and Bank programs in Mongolia, the Bank's GPF objectives, and the needs of target CSOs?

However, the nature of the interventions presented difficulties for assessment. First, they were short in timeframe. For instance, the social accountability project consisted of one workshop and small grants for pilot projects with mentoring, and it ended in 2011. Second, little data existed, and tacit knowledge had to be collected to provide evidence of results. Third, and most important, changes in behaviors and relationships within and among the CSOs and government needed to be captured to show the richness of the change process. These were the intermediate changes that could lead to longer-term results.

OUTCOME MAPPING

Outcome mapping is an innovative assessment methodology to learn from complex development processes that involve behavioral changes, multiple social actors, and profound development challenges. Although more commonly used at the design stage of an intervention, here it was used retrospectively in the evaluation.

Outcome harvesting is one of the tools from the Outcome Mapping Learning Community.[1] In this approach, an outcome is defined as a change in the behavior, relationships, activities, or actions of the people, groups, and organizations with whom a program works directly. For interventions promoting learning, this approach implies that participant learning outcomes are demonstrated when they apply the concepts and tools from their learning in their work.

Through collecting—or harvesting—bites of detailed outcome information from colleagues, partners, and stakeholders, one can identify, monitor, and learn from changes in social actors. The collected information describes what changed, for whom, when and where, why it matters to the development objective and particular development challenge(s)—the significance of the change—and how the program contributed to the change.

The harvesting process is stakeholder-centered and captures qualitative, tacit knowledge. It includes tools to substantiate and analyze this knowledge collaboratively and communicate progress toward impact to clients, management, and partners. The method is flexible to adapt to a program's design and complement other monitoring and evaluation and knowledge management tools.

Outcome mapping approaches follow the principle that evaluations should be focused on use and users. Use-focused evaluations seek to engage users of the evaluation from the outset in defining the scope and questions, and agreeing on information and substantiation sources. In addition, the evaluation process itself engages users in generating or verifying data. Such engagement may help users have more confidence in evaluation findings.

DECISION TO USE OUTCOME MAPPING

The World Bank GPF and SDC commissioned a joint evaluation using the outcome mapping approach. The team decided outcome mapping was well suited because the objectives of the interventions being evaluated involved areas—capacity development, network building, and accountability—that meshed with the methodology.

The effectiveness of network building and networking is demonstrated by behavior changes that can be found through collected outcome information. For example, outcome information on the voluntary association of organizations or individuals and their changes represent new ways of working collectively, such as cooperating to plan work, sharing knowledge, strategizing, and securing resources. The realization of social accountability is also demonstrated by behavior changes, in this case of government, business, citizens, and CSOs.

The effectiveness of the Bank and SDC interventions depended on the extent to which they were able to influence others. The outcome mapping concept

that interventions influence and/or contribute to but cannot lay sole claim to results was therefore valuable. Further, the approach fitted with the evaluation's purpose—that it was as much about learning with the local implementers of the project and informing future work as it was about accountability.

PROCESS

Specifically, this was an outcomes evaluation of the World Bank GPF and SDC CSO/NGO capacity building interventions that took place in Mongolia, August 2010–September 2013. Richard D Smith (team leader), Jeremy Gross, and Amarbayasgalan Dorj conducted the evaluation from September–November 2013.

Using the outcome harvesting tool, the evaluators identified outcomes with the social actors the interventions had been seeking to influence directly. They collected outcomes by means of one-on-one and group interviews, focus groups, and surveys (see annex for sample questions). The evaluators looked for observable evidence that participants had applied concepts and tools introduced by the interventions.

Each outcome was precisely described so it is clear and verifiable who changed in what way, when and where, and how the intervention contributed (see figure 1 on the next page for examples of outcome descriptions). Outcome harvesting includes a specification for optional contribution descriptions for each outcome; these were vital for understanding how the interventions had contributed to outcomes, directly or indirectly.

The outcome definition used[2] set a high bar for assessing the effectiveness and sustainability of Bank and SDC contributions to capacity and coalition-building changes. Informants were given the opportunity to verify outcome descriptions.

The evaluators entered the outcomes in a database and coded them by type of change to provide for a program-level reflection of the outcomes to date. The resulting findings were then interpreted to address the evaluation questions as follows:

- **Effectiveness** was assessed against the pre-defined objectives and theory of change to identify whether intended outcomes were met, and any unintended outcomes outside the intended scope.
- **Sustainability** was assessed by whether institutional changes had been realized.
- **Relevance** was assessed by whether the outcomes aligned to local needs and program priorities.

In addition, the evaluators highlighted key outcomes in outcome stories to communicate specific achievements or lessons in a narrative format (see annex for a sample story). They produced nine outcome stories, each with sufficient detail to allow independent sources to substantiate the outcome, the contribution of the intervention, and the claimed significance of the outcome.[3]

CHALLENGES

The evaluators faced several challenges during the harvesting process, which included:

Limited documentation of outcomes—Lack of existing monitoring data caused a high dependence on collecting data during the evaluation. For two interventions, there was limited knowledge of outcomes from serving staff of the Bank, SDC, and their contracting implementing partners due to high staff turnover and lack of a strong monitoring framework for outcomes.

Lack of experience in methodology—Local consultants were not well versed in outcome mapping, but this was looked at as an opportunity to build up their capacity in outcome mapping and evaluations for future work. The lead evaluator coached co-evaluators on the necessary concepts and provided guiding questions for interviews. The co-evaluators were willing and able to learn and also brought complementary experience and skills to the team.

Perceptions of methodology—Initially there was some hesitation from Bank and SDC staff about using outcome mapping given that it can be a time-consuming process. The evaluators overcame this notion by using key concepts of outcome mapping rather than all of the steps. The Bank also voiced concern about having clear evaluation criteria. The evaluators addressed this by using outcome mapping to answer questions solely on effectiveness, sustainability, and relevance. Efficiency could be assessed with a more appropriate evaluation tool.

Shortened timeframe—The short timeframe limited travel time to engage with actors influenced by the interventions. This restricted the ability to engage with those most knowledgeable when describing and substantiating outcomes. However, the local consultant was able to stay and conduct these interviews at later and more suitable times.

Figure 1. Sample Outcome Descriptions

SDC—Local NGO Capacity Building

Outcome 11: Between 2012 and 2013, after the project training, six organizations developed a written charter defining, for example, the organization's purpose; beneficiaries; activities; role of the board; elections; how meetings are run.

Contribution: The lead implementor of the SDC project appointed the team of trainers, contributed to the development of the modules and organized and facilitated the trainings.

World Bank—Social Accountability

Outcome 86: In March 2013, the Democracy Education Center (DEMO) was able to expand its Check My Service program when the Asia Foundation awarded it a grant for the Check My School and Check My Clinic projects.

Contribution: DEMO's leading role in implementing the Social Accountability Learning-in-Action (SAcLAP) program enhanced its reputation and expertise in the area so it could develop a convincing proposal for the Asia Foundation.

World Bank—Public Procurement

Outcome 11: In April 2013, the Public-Private Partnerships Board and review committee adopted its first five-year strategic plan with an initial focus on shaping new procurement law implementation.

Contribution: The World Bank Institute and the Affiliated Network for Social Accountability in East Asia and the Pacific (ANSA-EAP) designed and facilitated the strategic planning working with the board, and WBI provided feedback on drafts of the plan.

FINDINGS

The 190 outcomes collected demonstrate that each intervention met or exceeded its pre-defined objectives (see table 1). This represents impressive results for short-term interventions, two of which were ongoing, leading to the conclusion that the interventions have been effective and relevant.

SDC—Local NGO Capacity Building
69 outcomes in total

Against the central objective of building the capacity of CSOs, outcomes show improved organizational

performance of CSOs even over a limited time. The greatest effect came when, beyond improving internal organizational abilities, CSOs were empowered to be active in their community and involved in activities that supported such endeavors, including local government monitoring, providing data for community needs, or acting as service provider.

World Bank—Social Accountability

93 outcomes from all 13 pilot project grantees and some from those who only participated in one training workshop

Against the objective to strengthen monitoring capacity of CSOs on the mining value chain and related economy outcomes, the intervention was successful at introducing or significantly enhancing social accountability knowledge and skills in several organizations.

Judged strictly against the mining (or extractive industry) value chain, however, the intervention has not been fully effective since it has almost without exception only strengthened CSO capacity at the end of the value chain farthest from the extractive industry.

A further benefit of assessing the program two years after it concluded is that it has been possible to interpret the extent to which the results are sustainable. After the intervention, 71 of the outcomes materialized, many of which demonstrate organizational ownership of concepts and tools introduced.

World Bank—Public Procurement

28 outcomes total

Against the objectives of support to the Ministry of Finance and CSOs, the intervention was successful at supporting the ministry and the development of a self-

Table 1. At a Glance: 190 Outcomes Collected from the Three Interventions

SDC—Local NGO Capacity Buiding

69	**Outcomes in total, each relevant to or exceed SDC's pre-defined objectives**
51	Outcomes demonstrate the application of knowledge from the intervention
7	Outcomes suggest a sustained influence of the intervention
5	Outcomes cite engagement between CSOs and their community

World Bank—Social Accountability

93	**Outcomes in total, each relevant to or exceed the Bank's pre-defined objectives**
71	Outcomes suggest a sustained influence of the intervention
59	Outcomes demonstrate the application of social accountability knowledge gained through the intervention
29	Outcomes show dissemination of social accountability
24	Outcomes cite constructive engagement, demonstrating a deepening awareness of social accountability
14	Outcomes show successful fundraising for implementation of social accountability activities after the intervention
11	Outcomes show demand for support in using social accountability concepts and tools
11	Outcomes show networking of practitioners
9	Outcomes directly relevant to the mining value chain
7	Outcomes describe working with the private sector
7	Outcomes demonstrate advocacy of social accountability
5	Outcomes involve engaging the media

World Bank—Public Procurement

28	**Outcomes in total, each relevant to or exceed the Bank's pre-defined objectives**
25	Outcomes suggest the potential sustainability of the Partnership for Public Procurement
14	Outcomes are at the aimag (provincial) level
12	Outcomes are at the national level
11	Outcomes demonstrate strengthened capacity of CSOs in procurement monitoring
8	Outcomes show influence on road maintenance, specifications and planning
7	Outcomes show support for self-governing CSO networks
5	Outcomes show support for Ministry of Finance in its development of implementing rules and guidelines on CSO participation and oversight
2	Outcomes at the Ulaanbaatar level

governing CSO network. But it had not yet succeeded in developing monitoring tools for the network, and the extent of capacity strengthening of CSOs has been limited to the few participants in two pilots. The intervention was still young and continued for months more. While some objectives remain unachieved, the outcomes indicate progress in influencing rules and guidelines and formal establishment of the partnership.

BENEFITS

Several benefits for the evaluators, Bank, and SDC came about from using outcome mapping as an evaluative methodology in this particular case. Teams might want to consider these benefits when deciding on a methodology for assessing similarly complex programs.

Examine multiple actors

Traditional evaluations tend to give credit to a single contributor, when in complex development programs multiple actors drive change. It is important to discover how and which actors worked together or built on each other's actions over time to create results so future programs can maximize their potential and use the "right" mix of actors.

For example, in the findings from the Bank—Social Accountability pilot in community monitoring of a family hospital's services and conditions, outcomes showed how multiple social actors brought about change: patients, doctors, and hospital management. Based on the engagement of patients, the hospital changed its policy so all patients can use toilets that were previously "staff only"; the hospital appointed a guide nurse to help patients arriving for treatment; and the chief doctor appointed two additional doctors.

Learn from the complete picture

Harvesting outcomes allows the exploration of significant outcomes—whether intended or unintended, negative, or tacit/unrecorded—to get a complete picture of what went right or wrong and how to learn from the change process to inform future thematic areas. Taking a narrow approach that considers only those outcomes that had immediate or direct contributions from the interventions could miss stories of change connecting related outcomes.

For example, in the findings from the SDC—Local NGO Capacity Building intervention, an unintended

outcome is the impact that empowered newly trained CSOs can have in their community. Six outcomes prove this occurred because of the intervention. A local trainer, motivated by what she learned, took it upon herself to find resources and train a further 22 organizations. This unintended outcome that normally would not have been discovered adds to an appreciation of the effectiveness and sustainability of the intervention.

Engage stakeholders

Outcome mapping encourages reflection and dialogue—it is a truly participatory method in which counterparts are engaged, thereby giving them ownership over the process and ensuing results. It offers an opportunity to get at the collaborative theory of change.

In this particular case, the SDC and World Bank worked together as a team to design the evaluation questions and in the process built a stronger relationship. Once data collection was completed, the evaluators sent key informants their individual findings and asked them to confirm whether the information was correct. This step enabled informants to play a main role and express their views, and added credibility as well.

Inform next steps

Outcome mapping enabled the evaluators to identify links between multiple outcomes to uncover latent/emerging knowledge, innovative solutions, and how to scale up the program. All of this helps to detect pieces for prospective program design or further phases.

For example, in the area of NGO capacity building, the outcome data provides a rich source for identifying organizations that could fulfill particular roles in a new phase of funding support. Based on this data, the recommendation is that the SDC and the Bank, with selected stakeholders with firsthand knowledge of relevant institutions in Mongolia, may review the outcome data and other sources and, according to the focus of any new intervention, identify potential actors for particular roles.

Communicate results

Outcome mapping allows evaluators to go deeper into what, why, and how changes happened than using more traditional methods, which can often rely on hard numbers and indicators. Harvesting detailed outcome information led to the writing of nine outcome stories that describe changes in people—how the roles

of actors affect results—to capture the flavor of what occurred.

SDC wanted to have evidence of results presented in a storytelling format, and the outcome stories ended up being shared the most. The outcome mapping methodology proved useful for reconstructing the storyline of change for the three interventions. ∎

FOOTNOTES

[1] See www.outcomemapping.ca

[2] This outcomes evaluation followed the definition of "outcome" used in the outcome mapping methodology: a change in the behavior, relationships, activities, or actions of the people, groups, and organizations with whom a program works directly.

[3] It is up to the principal evaluation user to decide what substantiation is needed to make the results credible. In this case, outcome data was provided nearly exclusively by those the interventions were seeking to influence and not by the World Bank or SDC staff. Thus, the outcomes were assumed to be credible, which substantiation of the nine outcome stories confirmed.

Example of an Outcome Story: World Bank—Public Procurement Intervention

The evaluators highlighted key outcomes in outcome stories to communicate specific achievements or lessons in a narrative format. They produced nine outcome stories.

OUTCOME STORY 6—The Ministry of Finance adopted Implementing Rules and Regulations for the monitoring of public procurement that reflected suggestions from Civil Society Organizations (CSOs).

Outcome

In late 2012, the Ministry of Finance adopted new Implementing Rules and Regulations (IRR) for CSO participation in bid evaluation committees that included several requests of the Partnership for Public Procurement (PPP), such as the use of specific reporting templates and creation of a web portal for CSOs to use when reporting on the performance of bid evaluation committees.

Significance

The IRR are significant for being a necessary implementation instrument for the 2011 amendment to the Public Procurement Law, which mandated the involvement of civil society in public procurement for the first time. This was the first time that CSOs working on procurement in Mongolia successfully collaborated to advocate for regulatory changes as a partnership network.

Contribution

Financial and technical support for the creation and strategic development of the PPP has been provided by the World Bank since 2012 through the Governance Partnership Facility it administers.

The PPP provided coordinated inputs during the policy dialogue with the Ministry of Finance over the summer and autumn of 2012. N. Otgonjargal, chair of the PPP, led and coordinated the contributions of PPP members to the drafting of the rules and regulations. The Bank supported the Governance Partnership Facility in developing a united message to engage constructively with the government. Bank support included coaching, network building and technical advice on procurement monitoring.

Interview Guide: World Bank—Social Accountability Intervention Informants

Purpose of Interview
- We are conducting an evaluation of the work the World Bank and SDC have supported since 2009 on civil society/NGO strengthening and CSO engagement in procurement.
- Specifically, we are assessing the Social Accountability Learning-in-Action (SAcLAP) and PPP projects of the Bank and the NGO Effectiveness Project of SDC.
- The main focus of the evaluation is to learn what did and didn't work. We are not looking at how the money was used.

Key Facts
Name:

Position now:

Position during SAcLAP:

Participated in SAcLAP training/pilot?

Others from your organization who participated in SAcLAP ?

How many workshops/events were there? What were they on? Who hosted, participated?

SAcLAP
1. What did you/your organization gain from the SAcLAP project ideas/tools?
2. Were the tools/ideas appropriate and tailored for the Mongolian context?
3. Have there been any effects/benefits because of the work you did during the pilot project? Any changes in policies, practices, relationships, or activities of those you have been trying to influence?
4. If yes, who changed, what, when and where? How, exactly, did the SAcLAP ideas/tools contribute?

Before SAcLAP
1. Before your involvement in SAcLAP, had you heard of social accountability?
2. If yes, had you done any social accountability work/used social accountability tools?
3. If yes, what was the project and who funded it?
4. If yes, from where/which organizations did you receive materials/tools/trainings to understand the subject?

After SAcLAP
1. Have you used the ideas/tools from SAcLAP in any other work?
2. Have there been any effects/benefits because of the work you did during the pilot project? Any changes in policies, practices, relationships, or activities of those you have been trying to influence?
3. If yes, who changed, what, when and where? How, exactly, did the SAcLAP ideas/tools contribute? Who funded it?

Survey Questions: SDC—Local NGO Capacity Building Intervention

1. A clear mission statements that reflects your organization's purpose? Y/N

2. A written charter defining, for example, the organization's purpose, beneficiaries, activities, role of the board, elections, how meetings are run? Y/N

3. An active board that meets regularly in accordance with the organization's rules? Y/N

4. A mechanism to review and update your organization's strategic plan and annual work plan regularly? Y/N

5. An annual workplan? Y/N

6. A human resource policy for staff development? Y/N

7. Clear roles and responsibilities for staff members and/or volunteers? Y/N

8. A staff member capable of submitting a financial report to the tax office? Y/N

9. Capacity to raise funds from members, donations or government funds? Y/N

10. The capacity to write a funding proposal? Y/N

11. Mechanisms for beneficiary, partner and stakeholder feedback? Y/N

12. Sustainable activities to achieve your mission and vision statement? Y/N

13. The ability to partner with other NGO's to benefit from pooled resources? Y/N

14. What have been the specific benefits of each internal management change your organization has made following your participation in the SDC funded training on Capacity Building and Training for Local NGOs.

15. As a result of changes to your organization's internal management, has your organization carried out new types of actions or activities? Please describe.

Methods such as outcome harvesting offer approaches to manage knowledge and learn from complex and difficult-to-monitor development processes. From 2012–2014, the World Bank undertook pilot experiences to identify how outcome harvesting could be integrated with its results management approach.

The guides and tools customized in the pilot experiences were brought together in this field guide to be a collaborative vehicle for staff, clients, partners, and other stakeholders to harvest, substantiate, interpret, monitor, and learn from outcomes across the project cycle to improve effectiveness and results.

It is hoped that these first outputs of the pilot experiences will continue to be adapted in different ways and improved upon through ongoing application and learning.

THE WORLD BANK