Designing a Multi-Stakeholder Results Framework

A toolkit to guide participatory diagnostics and planning for stronger results and effectiveness

World Bank Institute Capacity Development and Results
About the World Bank Institute (WBI)
WBI is a global connector of knowledge, learning and innovation for poverty reduction. We connect practitioners and institutions to help them find suitable solutions to their development challenges. With a focus on the “how” of reform, we link knowledge from around the world and scale up innovations. For more information, visit www.worldbank.org/wbi.

About WBI Capacity Development and Results (WBICR)
WBICR seeks to promote enhanced development effectiveness for poverty reduction by supporting knowledge, learning and innovation around capacity development approaches that are focused on institutional change and results, and informed by evidence. For more information, visit www.worldbank.org/capacity or email capacity4change@worldbank.org.
This toolkit offers resources to support the creation of an outcome-based results framework for a multi-stakeholder strategy. The modules can be flexibly used to guide strategy design nationally, or in a sector or thematic area. Each module offers steps and tools to strengthen the results and effectiveness of development efforts, with a focus on integrating fragmented planning, monitoring and budgeting processes and embedding multi-stakeholder change management approaches to address constraints. The toolkit gives special attention to the fragile country context for development practitioners who work in this area.
Acknowledgements

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The World Bank Institute’s Capacity Development and Results team prepared this toolkit. Jenny Gold led the team in collaboration with Dawn Roberts, Sharon Fisher, Sara Okada and Richard Anson. Samuel Otoo provided overall guidance. With special thanks for their contributions to the Liberia Country Management Unit, Waafas A Ofosu-Amaa and for the active support of government policymakers, civil society organizations and development partners in Liberia.

Users of this toolkit are encouraged to provide feedback and suggestions to WBI via email at capacity4change@worldbank.org.
Context and Roadmap of Toolkit

Challenges to development results
Development efforts too often fall short of achieving socio-economic goals and poverty reduction (including jobs and employment) in countries. A renewed emphasis on results and local ownership is required to advance country goals more effectively. A multi-stakeholder approach, focused on achievable outcomes, will help to ensure that development planning addresses three key challenges:

- **Deep-rooted institutional problems can impede results.** Such problems include pervasive organizational and human resource constraints that limit public service delivery; inefficient and outdated policies; corruption weaknesses; transparency issues; weak accountability around natural resources and public services; weak involvement of nongovernment in development efforts; and the weak confidence and trust of citizens. Often there is an over-reliance on technical knowledge to prepare development plans that overlook these change management requirements.

- **A fragmented development context makes it difficult to plan development efforts effectively with the broad ownership of stakeholders.** Multiple stakeholders from government and nongovernment (civil society and private sector) need to support the change processes required to address institutional problems and achieve stronger and sustainable outcomes.

- **The lack of consensus on what outcomes are priorities presents a challenge.** There is often an urgent need to implement support. Everything is important from the perspective of different actors, resulting in a long list of outputs and difficulties connecting short-term needs to longer-term expectations around results.

This toolkit is designed to help practitioners working in developing countries overcome such challenges to plan stronger and sustainable development results.

Multi-stakeholder results framework
An outcome-based results framework led by local stakeholders plays a critical role in facilitating needed institutional changes and achieving progress toward development goals. It provides a foundation for integrated and inclusive development planning based on a decision-making cycle around outcomes.

Such a results framework describes the existing institutional constraints impeding development goals, the targeted outcomes, local actors, change processes for reforms and supporting interventions over the short- to medium- term. Together, these components outline results and change management needs to advance development goals. The results framework is created through a collaborative process with all key stakeholders providing contributions. It provides a roadmap of agreed upon priorities to prepare a development strategy with a strong results focus.

The collective ownership of the results framework also provides for a consensus to integrate implementation, budget and monitoring plans to common outcomes.

Toolkit
This toolkit provides guidance to strengthen the results and effectiveness of multi-stakeholder development planning, including practical tools and processes.

The toolkit guides collaborative steps, such as setting goals, diagnosing institutional problems and monitoring outcomes—all to produce a multi-stakeholder, outcome-based results framework to
prepare a development strategy or plan and to implement with a strong result focus. It also includes guidance to use the results framework to highlight potentially high-impact areas for strengthening multi-stakeholder activities and to integrate monitoring and budget planning to a common set of outcomes. The toolkit gives special attention to the fragile context for development practitioners working in this area.

**Why the toolkit is needed**
Technical solutions and traditional, results-based planning are often insufficient to tackle ownership and deep-rooted institutional problems that can impede progress on development goals and outcomes. Yet guidance is weak on how to use practical tools to strengthen the results of development planning and implementation in a fragmented and multi-stakeholder context.

**Who the toolkit is for**
The tools are developed for practitioners from government and civil society charged with facilitating strategy design, diagnostics, results monitoring and budget planning for multi-stakeholder groups or across sectors. Facilitators could also come from development partners, such as a World Bank team, working with a country partner. It is preferable that multi-stakeholder teams work together in the application of the tools.

**How to use the toolkit**
The toolkit modules provide customizable resources to create a multi-stakeholder, outcome-based results framework. The modules can be used together as a complete resource or separately, focusing on modules that are of immediate interest. Although WBI originally developed the modules to support strategy design at the national level, they can also guide multi-stakeholder planning for results in other settings or key sectors where actors have diverse perspectives, with appropriate adjustments.

**How the toolkit promotes development effectiveness**
At the Fourth High-Level Forum in Aid Effectiveness in Busan (November 2011), global leaders created a partnership document for effective development cooperation, along with proposed global indicators for prioritized themes. The use of this toolkit could help countries address these themes and achieve indicators to that end. For example:

- **Results focus**, by integrating all planning around results through the use of country-led results frameworks as a collective tool.
- **Less fragmentation**, by streamlining national and sector planning around outcomes and having a consistent results framework underpin development plans and budgets.
- **Transparency and accountability**, by making sure development planning is transparent and responsive to stakeholder demands and includes measurable outcomes for monitoring and reporting on progress.
- **Inclusive ownership and partnership**, by creating an enabling environment for stakeholders from all sectors that maximizes their contributions to development planning and implementation.
Table 1. Roadmap of the Toolkit Modules

<table>
<thead>
<tr>
<th>Module</th>
<th>Possible steps</th>
<th>Purpose</th>
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</table>
| Module 1. Coordinating the results framework | ✓ Build consensus on the need for a results framework  
✓ Organize stakeholder involvement to optimize use of capacity  
✓ Devise the activities to create the results framework | Coordinate the results framework preparation with stakeholders. |
| Module 2. Overview of designing a multi-stakeholder results framework | ✓ Identify the results information required  
✓ Agree on the results framework template to create and share information  
✓ Guide stakeholders to use the template to reach consensus on outcomes and priorities  
✓ Decide how to use the results framework to guide implementation | Plan actions to create a results framework that will provide an open platform to collect and analyze information with stakeholders to form a strategy. |
| Modules for Designing the Results Framework | | |
| Module 3. Setting goals | ✓ Identify a list of possible goals with relevant stakeholders  
✓ Review and prioritize the goals with stakeholders  
✓ Provide monitoring information for each goal  
✓ Agree on the connection between goals | Determine the goals for the results framework and multi-stakeholder strategy. |
| Module 4. Identifying institutional constraints, objectives and outcomes | ✓ Review and unpack deeper barriers to results with stakeholders  
✓ Agree on particular constraints  
✓ Prioritize the constraints  
✓ Create a summary of the constraints  
✓ Use constraints to set accountable objectives and measurable outcomes  
✓ Provide monitoring information for each constraint and objective | Identify particular constraints to frame outcomes and change management processes. |
| Module 5. Developing a change management roadmap | ✓ Review the operational context  
✓ Identify change agents and change processes for reforms  
✓ Identify progress markers and monitoring information  
✓ Prioritize interventions  
✓ Outline change management needs in the results framework | Outline change management needs for reform processes. |
| Module 6. Strengthening multi-stakeholder opportunities | ✓ Review the results framework for common problems and mutual opportunities  
✓ Identify new areas where multi-stakeholder activities could improve effectiveness | Identify new areas where multi-stakeholder activities could facilitate collective solutions to problems. |
| Module 7. Developing the monitoring plan | ✓ Define the components of a monitoring plan  
✓ Integrate the monitoring plan with the results framework  
✓ Choose appropriate indicators to monitor  
✓ Formulate the monitoring plan to measure progress  
✓ Make the monitoring plan operational | Prepare a monitoring plan integrated with the outcomes in the results framework. |
| Module 8. Integrating budget planning and implementation | ✓ Use ownership and outcomes of results framework to integrate budget processes with results  
✓ Use prioritization criteria to ensure an outcome orientation of the budget process  
✓ Integrate reporting and decision-making around outcomes and budget processes | Link budget processes to the outcomes in the results framework (on a medium- and short-term basis). |
| Module 9. Preparing and validating the strategy | ✓ Use the results framework to prepare and anchor the strategy  
✓ Review and validate the complete strategy with relevant stakeholders | Use the information in the results framework to prepare a strategy that has broad ownership. |
Introduction to Results Logic

Focus on results before interventions

Improving effectiveness and results interventions requires starting from the strategic questions of why, what, for whom and how, and then identifying interventions to support the change management needs of local actors. Conventional planning has tended to adopt a technical approach starting with interventions, rather than planning “in reverse” (from goals to the types of transformative interventions that are required, with limited resources). Planning development with a strong results focus requires shifting the direction of thinking around how to achieve results.

<table>
<thead>
<tr>
<th>DO Focus on Results</th>
<th>DON’T Focus on Interventions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goals present clear social and/or economic benefit for citizens</td>
<td>Interventions</td>
</tr>
<tr>
<td>Constraints identify precise underlying problems faced by local actors</td>
<td>Broad issue, gap or missing interventions</td>
</tr>
<tr>
<td>Objectives relate to local constraints to advance goals</td>
<td>Objectives relate to interventions</td>
</tr>
<tr>
<td>Interventions empower local actors to be the “doers” of the change</td>
<td>Interventions support targeted groups, but may not empower local actors</td>
</tr>
<tr>
<td>Outcome-based progress markers guide interventions</td>
<td>Outputs of interventions</td>
</tr>
</tbody>
</table>

Key questions for framing strategic results

A consistent results logic is used to prepare the results framework and content it provides for development planning. The results logic addresses key questions of what, who, and how to outline outcomes and change management needs, which involve multiple stakeholders to advance the development goals and address particular problems to achieving each goal. The logic and associated questions can guide consensus building among stakeholders to focus all planned development efforts for strong results.

Why results, to achieve what benefits for which citizens?
What are particular institutional problems impeding results from the perspective of government and non-government (civil society, private sector, citizens)?
Who needs to drive the needed changes, what local leaders, groups and citizens?
How and When is change expected to happen?
Country stakeholders decide the responses to each question through consensus building. Understanding the components of the results logic and how they link together to form a multi-stakeholder and outcome-based results framework will help you to use this toolkit (diagram 1).

**Diagram 1. Logic of results framework**

**WHY results, to achieve what benefits for which citizens?**

**Development goal**
All development efforts need to be anchored in development goals that are marked by strong consensus among stakeholders. The goal should derive from a broader vision for long-term development. The results framework can include goals at different levels with clear development outcome indicators.

Module 3 discusses how to identify goals for a results framework.

**WHAT are particular institutional problems impeding results from the perspective of government and non-government?**

**Constraints**
Deep institutional problems can block or enable results. Addressing them is especially important in a fragile context. The results framework can identify particular constraints to address in a time period, such as 3-5 years.

Institutional problems spread across areas of demand and supply. The demand side refers to multi-stakeholder challenges that involve non-government, including citizens and communities. The supply side refers to organizational capacity challenges and policy inefficiencies, often involving the public sector, but also in the private sector and non-government. Table 2 provides examples of areas for targeting of particular constraints in a results framework.
Table 2. Examples of particular constraints to address in a results framework

<table>
<thead>
<tr>
<th>Problem area</th>
<th>Constraints</th>
</tr>
</thead>
</table>
| Weak multi-stakeholder ownership      | • Lack of commitment from social and political leaders  
• Incompatibility of social norms and values  
• Lack of stakeholder participation in setting priorities  
• Lack of information transparency  
• Insufficient stakeholder demand for accountability |
| Examples:                             | • Failure of government leaders to allocate needed resources for supporting key economic policies  
• Communities do not believe girls need formal education, despite increased number and accessibility of local school facilities  
• Limited participation of local communities in overseeing health services  
• Weak information to citizens on mining and natural resource activities  
• Weak citizen oversight to demand improvements in public spending, transparency and accountability |
| Inefficient policy instruments        | • Ambiguity in defining rights and responsibilities of stakeholders  
• Inconsistency  
• Lack of legitimacy  
• Lack of incentives for compliance  
• Difficulty of administration/implementation  
• Failure to minimize negative impacts  
• Insufficient flexibility  
• Susceptibility to corruption |
| Examples:                             | • Weak guidance to manage border smuggling  
• Judiciary rules not implemented due to inconsistencies with traditional laws  
• Agricultural policy contested by rural communities  
• Penalties not sufficient to deter fishing vessels from committing serious infractions in targeted fisheries  
• Burdensome registration requirements impede new business development  
• Artisanal mining policies lead to negative social/environmental consequences  
• Centralized policy formulation in education sectors limits mechanisms for community involvement in educational improvements to address local needs  
• Contracting regulations provide openings for corrupt practices |
| Weak organizational capacity          | • Ambiguity of mission  
• Failure to achieve outcomes  
• Operational inefficiency  
• Lack of financial viability and probity  
• Weak stakeholder communication and responsiveness  
• Lack of adaptability to anticipate and respond to change |
| Examples:                             | • Youth organizations have conflicting mandates and weak strategies  
• Weak community coverage of basic health service package  
• Lack of effective management processes and skilled personnel  
• Rates set by electricity provider do not cover costs of operation  
• Weak networks and processes to respond to community needs  
• No established system for school improvement based on new knowledge, practices and technology |
Objectives
In the results framework, the objectives describe a change or improvement in a particular constraint or problem. This way the results framework can roadmap local change management needs for reform processes. Specifying the particular constraint clearly will provide for more accountability when identifying related institutional level outcome indicators to monitor associated changes.

Module 4 discusses how to identify constraints and formulate measureable objectives for a results framework.

WHO needs to drive the needed changes, and HOW and WHEN is change expected to happen?

Change process
The change process describes how change or reform is expected to happen to achieve each objective—the local actors and expected new actions, behaviors and practices they are expected to realize. The change process is described in the results framework.

Change agents
The results framework focuses development efforts on empowering change agents—the local leaders, groups, coalitions, citizens and others—who need to influence new actions, behaviors and practices to advance the required outcomes. Who is expected to make the changes needed to achieve the objective?

In a fragile context, local leadership may need to be strengthened or newly engaged. Strategic thinking on how to strengthen local actors’ roles is often lacking, and thus there is too much reliance on unsustainable external expertise.

Progress markers
The results framework can identify new actions, behaviors and practices of local actors that are expected to mark significant and measureable progress toward objectives. These intermediate capacity outcomes serve as progress markers and can be planned across different time frames to sequence change processes, for example over 1-3 years. They detail the linked and collaborative roles of local actors in advancing each objective.

Intermediate capacity outcomes are used to describe the change management needs of local actors for each objective (table 3). Examples of these progress markers include shorter-term changes in the awareness, knowledge and skills, collaborative processes and implementation ability of local actors and groups.
Table 3. Examples of progress markers

<table>
<thead>
<tr>
<th>Intermediate capacity outcomes</th>
<th>Examples</th>
</tr>
</thead>
</table>
| Raised awareness and understanding | • Parliamentarians publicly declare they see the need for budget transparency  
• Community members demonstrate increased motivation for addressing environmental issues by attending public education sessions |
| Enhanced knowledge and skills | • CSOs have new skills to monitor economic policies and regulations  
• Local government staff have improved knowledge on public financial management |
| Improved consensus and teamwork | • Government and private sector agree on measures to reduce corruption  
• CSOs and communities partners on an action plan for strengthen community service delivery |
| Strengthened coalitions | • Coalition of CSOs work together with government to promote enhanced transparency and accountability in the mining sector  
• Coalitions of government and CSOs form to put in place measures for managing corruption in local government |
| Enhanced networks | • CSOs form an action committee to coordinate the monitoring of school performance information  
• Community networks strengthened to better monitor security agencies and justice activities |
| New implementation know-how | • Parliament approves new rules to incorporate state-of-the-art information communications technology to provide public access to budget information  
• Courts establish new process to handle case backlog and waiting time to access justice services. |

**Interventions**

Interventions should be prioritized and support the achievement of outcomes and the local actors advancing them. This allows for more innovative and context-specific solutions. Also, given budgetary limits, there is a need to prioritize the most appropriate and transformative interventions, i.e., in relation to advancing the results required for the goal by a mix of local actors.

Module 5 discusses how to roadmap change management processes for reforms in the results framework.

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**How the questions form a strategy**

Following the results logic, the results framework links these components so they can be used to design an integrated strategy that addresses institutional challenges and multi-stakeholder change requirements to strengthen results (table 4). This results framework provides the foundational results information to prepare:

- A strategy document
- A monitoring plan guided by outcomes in the results framework
- A budgetary framework guided by outcomes in the results framework
Table 4. Results framework components provide basis for an integrated and multi-stakeholder strategy

<table>
<thead>
<tr>
<th>Strategic questions</th>
<th>Results framework</th>
<th>Strategy document</th>
<th>Monitoring plan</th>
<th>Budget framework and plans</th>
</tr>
</thead>
<tbody>
<tr>
<td>Why</td>
<td>Development goals</td>
<td>Development goals</td>
<td>Outcomes indicators for goals</td>
<td>Budget decisions guided by outcomes and relevant outputs as well as other strategic guidance and experiences</td>
</tr>
<tr>
<td>What</td>
<td>Institutional constraints</td>
<td>Institutional constraints</td>
<td>Outcome indicators for objectives</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Objectives</td>
<td>Objectives</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Outcome indicators</td>
<td>Outcome indicators</td>
<td></td>
<td></td>
</tr>
<tr>
<td>For whom, when and how</td>
<td>Change agents</td>
<td>Change strategies</td>
<td>Outcome indicators for progress markers</td>
<td></td>
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<tr>
<td></td>
<td>Description of the expected changes</td>
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<tr>
<td></td>
<td>Progress markers</td>
<td></td>
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<tr>
<td></td>
<td>Timing of outcomes</td>
<td></td>
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<td></td>
<td>Outcomes to guide intervention planning</td>
<td>Priority interventions</td>
<td>Outputs</td>
<td></td>
</tr>
</tbody>
</table>
Module 1: Coordinating a Results Framework

This module guides you through possible steps to involve stakeholders in the creation of an outcome-based results framework.

- Build consensus on the need for a results framework
- Organize stakeholder involvement to optimize use of capacity
- Devise the activities to create the results framework

Starting the results framework preparation with a collaborative, open process and high-level support is essential for planning a legitimate, multi-stakeholder strategy. Organized collaboration with defined opportunities for constructive input maximizes capacity in a low-resource environment where planning for results may otherwise not be possible

✓ Build consensus on the need for a results framework

Stakeholders from all sectors of society should provide the knowledge inputs to create the results framework. Engage stakeholders from the start and tailor the process to the local context:

- **Obtain commitment** from high-level actors. It helps to have one or more “champions”—actors at a high level who support and actively promote the results framework and have enough clout to gain access to key stakeholders and resources (such as a minister).
- **Hold consultations** and make sure to get the right people in the room. Work with the champion(s) to ensure that meetings include relevant strategic stakeholders from civil society, government and the private sector, as well as donors and partners, so that they guide the design of the results framework.
- **Circulate a proposal** (or discussion note) that details the purposed activities to create the results framework, value added, timelines and budget.
- **Hold launch meetings** with high-level actors.

**Should we create a results framework?**

*Perhaps there are questions among stakeholders about whether a results framework is needed. See if the answer is yes when one of the following statements is posed. Then, it might be time to set the results framework in motion.*

- We need strong agreement from different stakeholders on development priorities.
- We need to better address the complex societal and institutional factors that slow results.
- We have persistent problem areas where multi-stakeholder action is required.
- Our development efforts focus on interventions rather than outcomes.
- Local ownership and empowerment is weak in our planning.
- Our development activities are fragmented across stakeholders and consequently difficult to manage or show impact.
- We want to build local empowerment into our development planning.
- Our development planning is not operationally integrated with monitoring and budgeting processes.
✓ **Organize stakeholder involvement to optimize use of capacity**

Who should be involved in creating the results framework? Involve leaders or key stakeholders who provide the required authorizing environment and guidance for the overall process. Involve a cascade of different actors to draw on the collective capacity of stakeholders. This is especially important in a low capacity setting, where the ability of an individual stakeholder to create the results framework process might be highly limited and broad ownership is critical.

- **Senior officials**, such as heads of office, can provide the authorizing environment and strategic input to ensure higher-level support for the results framework.
- **The coordinating team** within the country can provide oversight to the results framework creation. The team should have access to key stakeholders, resources and decision-makers, as well as responsibilities for planning and results management, which could be strengthened through the creation of the results framework.
- **Multi-stakeholder working groups or focal points representing thematic/topic areas** relevant to the results framework that include representation from government, civil society, private sector and donors. These groups can support the analytical work to create the results framework in their respective focus areas. The coordinating team can then consolidate inputs from the different groups.

✓ **Devis the activities to create the results framework**

An action plan can help coordinate what needs to be done for the results framework (table 5). The team should collectively decide on the plan. It can list specific actions with roles and responsibilities, target dates and status designations, with identified outputs. The work plan should have:

- Flexibility—allowing for adjustment based on learning acquired during the review process.
- Accountability—so all action steps have someone assigned and responsible for coordinating and facilitating progress in the required timeframe.
- Experimentation—so team members can feel free to experiment during the process.

**Table 5. Checklist to plan actions for the results framework**

<table>
<thead>
<tr>
<th>Work area</th>
<th>Examples of activities</th>
<th>Responsible person(s)</th>
<th>Timeframe</th>
<th>Supporting module</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coordinating a Results Framework</td>
<td>□ Hold consultation meetings with key stakeholders</td>
<td>Champion/coordinating team</td>
<td>Based on team decision</td>
<td>Module 1</td>
</tr>
<tr>
<td></td>
<td>□ Set up coordinating team</td>
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<tr>
<td></td>
<td>□ Organize multi-stakeholder focal points to complete results framework in each area</td>
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</tr>
<tr>
<td>Designing a Multi-Stakeholder Results Framework</td>
<td>□ Hold technical briefing and workshop to decide on results information required</td>
<td>Coordinating team</td>
<td>Based on team decision</td>
<td>Module 2</td>
</tr>
<tr>
<td></td>
<td>□ Agree on results framework template</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>□ Conduct training to guide focal points to collect and analyze information for the results framework</td>
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<tr>
<td></td>
<td>□ Plan to use the results framework to form the strategy</td>
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</tr>
<tr>
<td>Setting Goals</td>
<td>□ Identify a list of possible goals</td>
<td>Working groups with support from coordinating team</td>
<td>Based on team decision</td>
<td>Module 3</td>
</tr>
<tr>
<td></td>
<td>□ Review and prioritize the goals</td>
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<tr>
<td></td>
<td>□ Provide monitoring information</td>
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<tr>
<td></td>
<td>□ Agree on the connection between goals</td>
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</tr>
<tr>
<td>Module</td>
<td>Topic</td>
<td>Steps</td>
<td>Responsible</td>
<td>Based on</td>
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<tr>
<td>Module 4</td>
<td>Identifying Institutional Constraints, Objectives and Outcomes</td>
<td>□ Review and unpack deeper problems to results&lt;br&gt;□ Agree on particular constraints&lt;br&gt;□ Prioritize the constraints&lt;br&gt;□ Use constraints to set accountable objectives and measurable outcomes</td>
<td>Working groups with support from coordinating team</td>
<td>Team decision</td>
</tr>
<tr>
<td>Module 5</td>
<td>Developing a Change Management Roadmap</td>
<td>□ Identify change agents and change processes for reforms&lt;br&gt;□ Identify progress markers&lt;br&gt;□ Prioritize interventions&lt;br&gt;□ Outline change management needs in the results framework</td>
<td>Working groups with support from coordinating team</td>
<td>Team decision</td>
</tr>
<tr>
<td>Module 6</td>
<td>Strengthening Multi-Stakeholder Opportunities</td>
<td>□ Identify new problem areas or mutual opportunities for multi-stakeholder activities</td>
<td>Coordinating team with relevant working groups</td>
<td>Team decision</td>
</tr>
<tr>
<td>Module 7</td>
<td>Developing the Monitoring Plan</td>
<td>□ Define the components of a monitoring plan&lt;br&gt;□ Integrate the monitoring plan with the results framework&lt;br&gt;□ Choose appropriate indicators to monitor&lt;br&gt;□ Formulate the monitoring plan</td>
<td>Coordinating team with relevant working groups</td>
<td>Team decision</td>
</tr>
<tr>
<td>Module 8</td>
<td>Integrating Budget Planning and Implementation</td>
<td>□ Integrate budget process to outcomes in the results framework</td>
<td>Coordinating team with relevant working groups</td>
<td>Team decision</td>
</tr>
<tr>
<td>Module 9</td>
<td>Preparing and Validating the Strategy</td>
<td>□ Use the results framework to prepare and anchor the strategy&lt;br&gt;□ Review and validate the complete strategy</td>
<td>Coordinating team</td>
<td>Team decision</td>
</tr>
</tbody>
</table>

**Resources**

Appendix B: Terms of Reference Template for Working Group
Module 2. Overview of Designing a Multi-Stakeholder Results Framework

This module guides you through possible steps to outline the results framework for a strategy:

- Identify the results information required
- Agree on the results framework template to create and share information
- Guide stakeholders to use the results framework template to reach consensus on outcomes and priorities
- Decide how to use the results framework to guide implementation

Outlining the results framework collaboratively with stakeholders can help to ensure buy-in and understanding from different groups. This is an important step since the results framework builds a foundation for the entire strategy and its integrated pieces.

✓ Identify the results information required
At the start of the results framework process, relevant stakeholders and technical advisors should agree on the result information needed to construct the results framework and design the strategy—such as information on goals, constraints, objectives, outcomes indicators, local actors, change processes and interventions. The results framework can then be customized so stakeholders can use it to collect and analyze the required information. Discussing past lessons learned and how the new strategy needs to improve could facilitate this process.

Table 6 includes an example of the information included in a results framework to form a results-focused strategy that addresses goals, outcomes indicators, constraints and local change management needs. Ways to engage stakeholders to agree on the results information may include:

Hold a technical briefing to discuss the results logic and results framework, customize its components and outline the steps to build it with input from stakeholders.

Hold orientation workshops to build understanding around the results framework concepts, components and the information-gathering process, and introduce relevant tools.

Table 6. Multi-stakeholder information needed to create the results framework

<table>
<thead>
<tr>
<th>Component</th>
<th>Definition</th>
<th>How to collect it</th>
<th>Module</th>
</tr>
</thead>
<tbody>
<tr>
<td>Development goals</td>
<td>Social and/or economic benefit desired</td>
<td>Identify development goals at different levels, with corresponding development outcomes and indicators</td>
<td>3</td>
</tr>
<tr>
<td>Constraints</td>
<td>Problems that block achievement of a goal</td>
<td>Identify precise demand and supply side constraints to address in the country context</td>
<td>4</td>
</tr>
<tr>
<td>Objectives</td>
<td>Changes needed in the constraint or to further development outcomes for the goal</td>
<td>Use constraints and required achievements for development goals to form objectives with clear and measureable medium-term outcomes</td>
<td>4</td>
</tr>
<tr>
<td>Outcome indicators</td>
<td>Value to measure change in the objective, and the desired effects of priority interventions</td>
<td>Use objectives with clear and measureable medium-term outcomes to assign baseline value and target to achieve by the end of the plan period</td>
<td>4</td>
</tr>
<tr>
<td>Change agents</td>
<td>Local actors, such as citizens, groups or organizations to lead or influence changes to reach the objective</td>
<td>Identify strategic local actors (state and non-state) to support in driving changes</td>
<td>5</td>
</tr>
<tr>
<td>----------------</td>
<td>---------------------------------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------</td>
<td>---</td>
</tr>
<tr>
<td>Change process</td>
<td>Description of how change is expected to happen to achieve the objective</td>
<td>Describe how each local actor is expected to influence the objective including specific changes in their behaviors, actions or practices.</td>
<td></td>
</tr>
<tr>
<td>Progress markers</td>
<td>Mark progress of local actors (such as citizens, groups or organizations) toward medium-term reforms</td>
<td>Often outcomes related to improved knowledge and skills, collaborative processes and implementation know-how</td>
<td></td>
</tr>
<tr>
<td>Priority interventions</td>
<td>Priority activities and investments to support intermediate outcomes and contribute to the outcomes</td>
<td>Identify capacity and other development actions to support outcomes, taking into account prioritization and budget limits</td>
<td></td>
</tr>
</tbody>
</table>

✔ **Agree on the results framework template to create and share information**

Now that you have defined the “big picture” by agreeing on a list of required elements for your results framework, you need to agree on the format. This will provide the basis for a template, which you can use to collect and analyze information. The results framework should answer all of the strategic questions transparently—why, what, who, and how—that complete the results logic. Timing and sequencing of outcomes can also be included. It is the base for creating, sharing and using multi-stakeholder knowledge for multi-stakeholder development planning. Table 7 provides an example of a results framework template.

**Table 7. Example of a completed template addressing governance improvements**

<p>| Sector Goal: Strengthened transparent and inclusive democratic institutions and improved political governance at national and local levels. |
|---|---|---|---|---|
| Constraints | Objective and outcome | Change agents | Description of change process | Progress markers | Priority interventions |
| Stakeholder participation – Centralized government and legal framework limits participation of citizens in development processes and responsiveness to citizens | Improve citizen participation in social and economic development and the responsiveness of local government | Central government units | Collaboration between regional and local government and citizens to facilitate and legitimize participation in public policy and budgeting | Processes established to involve citizens in budget reporting and key public policy issues | Community consultations Voter education and outreach Review of constitution Make available budget information |
| | | Legislature | | | |
| | | County administration | | | |
| | | Civil society and community | | | |
| | Outcome Indicator: % of household receiving information on public policy through the mass media, community radio, etc. | | | | |</p>
<table>
<thead>
<tr>
<th>Transparency of information – Limited information to local communities on public policy and its benefits</th>
<th>Increase transparency of information to citizens on public policy, including decentralization</th>
<th>groups</th>
<th>Process will be established with civil society and community groups to improve information on public policy and decentralization in counties</th>
<th>Communication strategy and plan for decentralization in counties</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operational inefficiencies – Weak infrastructure and skill base hamper decentralization of services</td>
<td>Strengthen capacity to implement decentralization at the local and administrative level</td>
<td>Training and infrastructure investments to develop county-level government</td>
<td>Skills built among local government officials</td>
<td>Course programs on local governance</td>
</tr>
<tr>
<td>Demand for accountability – Fragmented boundaries and weak citizen involvement limit accountability for decentralized services</td>
<td>Strengthen local demand for viable decentralized social and economic development</td>
<td>Agreement of county government and community groups on needs and processes to improve service delivery, harmonize boundaries and monitor progress</td>
<td>Endorsed decentralization roadmap in each county</td>
<td>Consultations and planning sessions</td>
</tr>
<tr>
<td>Social norms and values – Diverse identities led to community divides and conflicts</td>
<td>Enhance notions of shared nationhood and national identity among Liberians</td>
<td>Improve community understanding, knowledge and dialogue on issues of unity</td>
<td>Citizen awareness on issues of unity</td>
<td>Studies on national unity issues and review of curriculum in schools</td>
</tr>
</tbody>
</table>

✓ Guide stakeholders to use the template to reach consensus on outcomes and priorities

The information to complete the results framework is compiled from the analytical work of stakeholders on its components: information on development goals, constraints, objectives, outcome indicators, change agents, change processes, progress markers and priority interventions agreed upon. A results framework template provides a platform to coordinate the analysis and collection of information from stakeholders, as well as to update the information as needed.

Plan the process to collect information with stakeholders. Steps for each content area are provided in other modules. Some ideas to coordinate information collection in a collaborative manner:

- Circulate a guidance note to stakeholders on how to complete the results framework.
- Conduct workshops with stakeholders to guide them on how to complete the results framework template.
- Train coaches to facilitate stakeholders or working groups to complete the results framework template.
- Compile existing knowledge and information for the results framework, such as analytical work from different sectors, information on existing commitments on results and budget limitations, including using focus groups (state and non-state) on key issues/themes.
Decide how to use the results framework to guide implementation

The results framework information comes together to guide the preparation of a strategy document (diagram 2). It is the backbone for results-focused strategy formulation. The results framework provides a roadmap for change from short-to-medium term. It integrates information from all thematic areas, political processes and experts, manages the information transparently so stakeholders gain confidence in the planning process and organizes all planning around a common result.

Diagram 2. Example of how the results framework information forms a strategy

The strategy it produces can guide effective development processes and strong locally owned results. It can guide multi-stakeholder activities, and integrated monitoring, medium-term expenditure framework and budget planning to coordinate development cooperation—all revolving around the agreed results information (diagram 3). The strategy thus encompasses the agreed results information of all of the stakeholders who participated in the creation of the results framework.
Diagram 3. Results framework provides integrating platform and open knowledge base for planning all development cooperation

Does your results framework have a strong results focus?
You may think you have a country-led results framework already, but are you positive? Take a look at your framework and answer the questions below.

☐ Are the goals meaningful to a broad set of stakeholders?
☐ Do multiple stakeholders own the results framework from different sectors?
☐ Does it highlight particular constraints that relate to deep-rooted challenges of government and non-government?
☐ Do objectives accountably respond to particular constraints to improve related results? Are the outcomes clear and measureable?
☐ Are local actors from government and non-government identified to support results achievements?
☐ Is the change management process clearly articulated for multi-stakeholder understanding?
☐ Are outcomes described first, with interventions planned last to innovatively support them?
☐ Are budget allocations based on the outcomes in the results framework?

If you answered no to any of the above questions, then this is not a results-focused framework! Or, the existing framework has scope for improvement.

Resources
☐ Appendix C: Results Framework Template and Guidance
Module 3. Setting Goals

This module guides you through possible steps to identify development goals for a results framework and multi-stakeholder strategy:

- Identify a list of possible goals with relevant stakeholders
- Review and prioritize the goals with stakeholders
- Provide monitoring information for each goal
- Agree on the connection between goals

Where do you want to be in the medium- to long-term in terms of benefits to citizens? The answer determines the goals for development efforts, but getting there poses several challenges: arriving at a consensus among diverse stakeholders; prioritizing goals for proper allocation of resources; specifying how to measure development outcomes toward achievement; and making sure relationships among goals make sense. These challenges are magnified in the fragile context.

✔ Identify a list of possible goals with relevant stakeholders

List the possible goals by examining the development situation—emerging results areas, planned activities, political commitments, results reporting. In doing this, clearly identify each possible goal. When goals are too vague to stakeholder needs, development efforts will go off course from the start, dragging the effectiveness of development plans down with it.

Goal statements should clearly anchor the expectations of stakeholders:
- Describe the highest level of social or economic benefit to achieve and the main beneficiaries—a development improvement.
- Be a meaningful articulation of stakeholder aspirations.
- Be reasonable to contribute to its achievement within a stated time frame.
- Be measurable over the medium- to long-term so progress can be monitored.

Table 8. Examples of thematic level goal statements

<table>
<thead>
<tr>
<th>Sector</th>
<th>Goal Statements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health and social services</td>
<td>• Increase access of poor and vulnerable populations to health services</td>
</tr>
<tr>
<td></td>
<td>• Improving the accessibility and quality of health services</td>
</tr>
<tr>
<td>Transportation</td>
<td>• Decrease road user costs and increase road safety</td>
</tr>
<tr>
<td>Education</td>
<td>• Increase access to secondary education</td>
</tr>
<tr>
<td></td>
<td>• Improve access and retention in basic education</td>
</tr>
<tr>
<td>Private sector</td>
<td>• Increase competitiveness of enterprises through improvements to the business environment</td>
</tr>
<tr>
<td></td>
<td>• Improve the benefits from extractive industries to the national budget and to communities affected by mining</td>
</tr>
<tr>
<td>Urban development</td>
<td>• Improve access to and satisfaction with basic infrastructure and social services</td>
</tr>
<tr>
<td>Agriculture and rural development</td>
<td>• Increase the productive capacity of the rural sector</td>
</tr>
<tr>
<td></td>
<td>• Promote environmentally sustainable practices in agriculture</td>
</tr>
<tr>
<td>Public sector governance</td>
<td>• Use public resources more efficiently and effectively</td>
</tr>
</tbody>
</table>
Development initiatives often require goals at different levels. For example, a national strategy may identify goals for different timeframes or themes. Table 9 provides examples of different types of goals for a strategy.

Table 9. Examples of goals at different levels

<table>
<thead>
<tr>
<th>Vision Goal</th>
<th>Multi-sector or Cross-cutting Goal</th>
<th>Thematic Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Statement should clearly describe <strong>long-term development improvement</strong> (e.g., income, health status, consumption, welfare, educational attainment)</td>
<td>Statement should clearly describe an expected <strong>medium-term development improvement</strong></td>
<td>Statement should clearly describe an expected <strong>medium-term, specific development improvements</strong> (e.g., education, governance, security)</td>
</tr>
<tr>
<td>Example: By 2030, to become a middle-income country characterized by sustainable and inclusive economic growth with improved quality of life for each citizen where the gap between the have-nots and the have-nots is drastically reduced.</td>
<td>Example: Peace, Security, Rule of Law: By 2017, to create an atmosphere of peaceful coexistence that is conducive to reconciliation and conflict resolution ensuring that security, access to justice, and rule of law is guaranteed to all.</td>
<td>Example: Security Sector: By 2017, to maintain a secure environment where peace and the rule of law are upheld to promote sustainable and equitable social-economic growth and development.</td>
</tr>
</tbody>
</table>

**DO**

- Clearly state goal in terms of the social and economic benefits expected
  - By 2018, improve access to essential and quality health services in urban and rural areas, with an emphasis on vulnerable groups
  - By 2025, provide access to quality educational opportunities at all levels in support of the social and economic development of the nation.

**DON’T**

- State goal so vaguely it is not meaningful to stakeholders
  - Revitalize the food and agriculture sector to contribute to shared, inclusive, and sustainable economic growth and development.
- Focus goal on addressing problems (this is what objectives are for)
  - Align and strengthen HIV/AIDS coordinating bodies to strengthen partnerships.

**GROUP DISCUSSION**

- Identify a list of relevant goal statements
  - In groups, identify goals that the strategy might address:
    - Identify desired results for the goal by a selected target date.
    - Identify main stakeholders (from government, private sector, civil society) and discuss how each views the goal and the results they desire.
    - Decide on a meaningful statement to describe the goal, which draws together the views of the main stakeholders.
✓ **Review and prioritize goals with stakeholders**

You now have a list of identified goals, but you also have a diverse group of vocal stakeholders. By arriving at a consensus on each goal, you can help to dispel the power struggles and indecisiveness that can hamper progress. Alignment around expected results is especially important in a fragile context when stakeholder priorities diverge or shift or coordination is highly fragmented.

**Focus goals with multiple stakeholders**

In groups, use the question in table 10 to focus each goal.
- Discuss and review each goal you came up with.
- If relevant, update the goal statements based on reaching a consensus on the responses.

**Table 10. Example of completed goal, from a discussion**

<table>
<thead>
<tr>
<th>Draft Vision Goal: To have a more secure and prosperous country in which there is sustainable peace and stability by 2030.</th>
<th>Who are the major stakeholders relevant to the goal?</th>
<th>What does the goal mean to each stakeholder? (Expected results)</th>
<th>How would each stakeholder observe progress of the goal? (Expected indicators)</th>
<th>What role does each stakeholder play in advancing the goal?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Security sector</td>
<td>Reduction in crime</td>
<td>Decrease in crime rates</td>
<td>Strengthen patrolling; Awareness raising to increase trust among citizens</td>
<td></td>
</tr>
<tr>
<td>Health sector</td>
<td>Reduction in HIV, particularly among youth</td>
<td>Reduction in number of youth with HIV</td>
<td>Awareness raising for prevention; Construction of clinics to support patients</td>
<td></td>
</tr>
<tr>
<td>Citizen group</td>
<td>Safe living environment free of violence; Sufficient income for the family</td>
<td>Decrease in violent incidents in the community; Increase in household income</td>
<td>Form neighborhood watch groups</td>
<td></td>
</tr>
<tr>
<td>Ministry of planning</td>
<td>Delivery of basic services (food, education, health) to vulnerable groups</td>
<td>Percentage of counties with essential health package</td>
<td>Identification of vulnerable groups and support to public and private sectors for improved service delivery</td>
<td></td>
</tr>
</tbody>
</table>

**Final Vision Goal (update to consider perspective of stakeholders; goal may break into several statements):** By 2030, substantially eliminate socio-economic vulnerability for all citizens due to violence, extreme poverty, food insecurity and prevalence of HIV.
Prioritize goals
Which goals are most urgent to address? Why? Prioritizing among different goals can be a contentious process, so agreeing on and setting prioritization criteria is essential.

Prioritize goals
Use the following criteria within your group to prioritize a list of goals (scale of 1-3):
• Relative importance of addressing the goal, compared to another goal
• Probability of addressing the goal with reasonable success
• Complexity of the change processes required to address the goal
• Spread of beneficiaries across government and non-state
• Time frame of the change and whether results might be observed over the medium term
• Budgetary aspects of addressing the goal given ceilings and priorities facing each sector/ministry/agency.

✓ Provide monitoring information for each goal
Now, how will progress toward each goal be monitored and measured? Measurement information is necessary to make timely adjustments as needed and learn what works and does not work in practice, and to provide a better basis for providing performance-based budgetary allocations.

Table 11. Example from monitoring plan for education sector goal

<table>
<thead>
<tr>
<th>Education sector goal statement</th>
<th>Outcome indicator(s)</th>
<th>Baseline</th>
<th>Target</th>
<th>Data source</th>
<th>Responsibility</th>
<th>Reporting frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>By 2017, increase equitable education and training opportunities at all levels for citizens</td>
<td>1. Percentage of illiteracy rate reduced 2. Gross enrolment increased 3. Improved completion rate for girls 4. Increased enrolment in higher education</td>
<td>59% 60% 74% To be determined</td>
<td>75% 90% 94% To be determined</td>
<td>Ministry of Education 2010/2011 School Census Database; Country Study 2012–Ministry of Education</td>
<td>Ministries of Education, Finance, MPEA, Justice, etc.</td>
<td>Every two years</td>
</tr>
</tbody>
</table>

Identify monitoring information for the goals
Take a look at your group’s goal and come up with relevant indicators to monitor the progress. Limit to the most relevant 2–3 outcome indicators.
• Come up with baseline and targets. Think in particular what the target would be for a certain date (taking into account realistic resources to achieve the target).
• List potential sources for data and information collection.
• Specify who will collect the data and information (such as a ministry or group) and when it will be reported and to who.
✓ **Agree on the connection between goals**

What are the relationships between goals at different levels? That is, how are longer-term and medium-term goals connected? Sometimes goals at different levels go in different directions or overlap and conflicts need to be resolved. Otherwise, strategies can be fragmented, with stakeholders addressing a range of overlapping, repetitive or even opposing agendas across different time frames.

By outlining each goal statement and its monitoring information in one template, stakeholders are able to see how well all of the goals fit together and re-think and adjust goals as needed for better coordination. Module 7 discusses creating a monitoring plan.

**Resources**

- Appendix D: Focusing goals with multiple stakeholders
Module 4. Identifying Institutional Constraints, Objectives and Outcomes

This module guides you through possible steps to identify constraints and objectives for a results framework and multi-stakeholder strategy:

- ✓ Review and unpack deeper barriers to results with stakeholders
- ✓ Agree on particular constraints
- ✓ Prioritize the constraints
- ✓ Create a summary of the constraints
- ✓ Use constraints to set accountable objectives and measureable outcomes
- ✓ Provide monitoring information for each constraint and objective

Identifying the deeper problems in relation to a goal is what helps stakeholders decide how to strengthen results, especially important when so many problems exist in a fragile context. Deciding on specific constraints to address can support the planning of more transformational development efforts for stronger and faster results.

✓ **Review and unpack deeper barriers to results with stakeholders**

Through document reviews, analytical work, workshops, or consultations, stakeholders can review knowledge on institutional problems and particular constraints.

Consider common areas of problems to the achievement of goals:

- Weak multi-stakeholder ownership, relating to commitment, citizen involvement and transparency among other problems
- Inefficiencies in the policy environment, resulting in corruption, non-compliance, legitimacy, outdated laws and poor implementation among other problems
- Weak organizational capacity (weak strategies, inefficient processes, poor responsiveness, misconduct, etc.) to deliver services and achieve required outcomes

A multi-stakeholder diagnostic can help to unpack opportunities for change in the local context. It should examine problem areas on both the demand and supply sides (diagram 4). To facilitate the understanding of problems, the diagnostic helps to break them down into constraints that are observable and measurable (Table 2 in Introduction to Results Logic section). If the problem is too broad or just grazes the surface, it needs to be probed deeper to understand the root constraints that need to be addressed. Otherwise, the analysis may offer limited value for decision-making, especially in a fragile state setting.
Diagram 4. Break down broad problems in country context for deeper results

Goal: To reduce the degree of malnutrition among young children

Broad problem: Malnutrition among young children has contributed to the slow growth and development of children. This is due in large part to the lack of relevant information on health and nutrition and to some influences from existing social norms and values.

Demand side challenges

- Willingness to go to health center over traditional healer; fear of blame (social norms and values)
- Local leaders from government, education and health organizations are not committed to setting specific guidelines to recognize and combat malnutrition (commitment from leaders)

Supply side challenges

- Many teenage mothers are often unprepared—education, resource access and understanding of basic nutrition and childcare—and lack community support to decide on good health choices (social norms and values)
- Reach of preventative education, that is, in schools and health centers, to community (achievement of outcomes)
- Women do not receive information on health and nutrition from formal services (adaptability)

✔ Agree on particular constraints

Based on the existing knowledge and diagnostic work, stakeholders should agree on constraints critical for stronger development outcomes. Remember:

Be specific. Focus on the most relevant constraints. It is important to delve deeply into each problem.

Be relevant. The institutional challenges need to be identified carefully in that there is agreement that their address will help to strengthen results.

Be inclusive. The constraints need to relate to challenges of government and non-government, where relevant.
Identify constraints
Examine and discuss particular constraints to advancing the goal in the local context.
• Share your knowledge to identify 2-3 main problems, thinking deeply about each, and obtaining relevant evidence, where relevant.
• Identify the precise area of each constraint.

✓ Prioritize the constraints
Stakeholders observe constraints and reform opportunities differently and different challenges require response at different times. Use available analytical and qualitative evidence, including local knowledge of stakeholders, to support deciding priority constraints, especially in fragile countries.

Prioritize constraints
Use the following criteria with relevant stakeholders to prioritize the list of constraints to address for a goal (scale of 1-3):
• Relative importance of addressing the constraint, compared to another constraint.
• Probability of addressing the constraint with reasonable success.
• Complexity of addressing the constraint.
• Spread of beneficiaries across government and non-government.
• Timeframe of the change and whether results might be observed over the term.
• Relationship to other constraints so that related problems could be addressed during the same time period.
• Budgetary aspects of addressing the constraint given ceilings and priorities.
Sequence constraints
Use a large paper to map constraints for each goal along the timeline, such as 3-5 years.
- Draw a timeline and place the constraints on it in the order to be addressed.
- Draw lines to connect constraints with related results.
Earlier constraints should help to improve the probability of successfully tackling other constraints.

Table 12. Example of prioritizing constraints
Use shading to indicate how important each constraint is to advancing the goal—a darker color can indicate the most important or priority constraints. A group approach to reaching consensus via the sector working group helps to legitimize the prioritization process.

Goal: Improve export growth to strengthen the country’s economic development

<table>
<thead>
<tr>
<th>Constraint</th>
<th>Description in local context</th>
<th>Importance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Stakeholder Ownership (demand side)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lack of commitment from social, political leaders</td>
<td>Government officials and private sector leaders do not understand the value of export growth to the economy</td>
<td>2*</td>
</tr>
<tr>
<td>Incompatibility of social norms and values</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Lack of stakeholder participation in setting priorities</td>
<td>Private sector leaders are not involved in setting priorities for economic development, including export growth</td>
<td>2</td>
</tr>
<tr>
<td>Lack of information transparency</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Insufficient stakeholder demand for accountability</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td><strong>Policy Instruments (supply side)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ambiguity in defining rights and responsibilities of stakeholders</td>
<td>Private sector leaders could engage in export activities if more opportunities, such as lending instruments, were available</td>
<td>3</td>
</tr>
<tr>
<td>Inconsistency</td>
<td>There is no long-term planning around export growth</td>
<td>2</td>
</tr>
<tr>
<td>Lack of legitimacy</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Lack of incentives for compliance</td>
<td>Many barriers in the policy environment prevent private sector enterprises from engaging in export activities</td>
<td>1</td>
</tr>
<tr>
<td>Difficulty of administration</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Failure to minimize negative impacts</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Insufficient flexibility</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Susceptibility to corruption</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td><strong>Organizational Arrangements (supply side)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ambiguity of mission</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Failure to achieve outcomes</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Operational inefficiency</td>
<td>Utility companies could reduce costs and increase reliability to improve export activities</td>
<td>3</td>
</tr>
<tr>
<td>Lack of financial viability and probity</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Lack of stakeholder communication and support</td>
<td>Government and private sector leaders do not engage in regular dialogue on export growth</td>
<td>2</td>
</tr>
<tr>
<td>Lack of adaptability to anticipate and respond to change</td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>

* 1 refers to greater importance, and 3 refers to lesser importance.
Create a summary of the constraints

Summarizing the constraint information can facilitate multi-stakeholder planning and further prioritization around constraints and how to address them.

In Table 13, it is now easy to tell which constraints are the most important. You can also tell where the synergies are by seeing how some constraints may appear in more than one sector. In this example, the lack of stakeholder participation in setting priorities, lack of incentives for compliance and failure to achieve outcomes overlap sectors and indicate they are the highest priority constraints to address.

Table 13: Example of a diagnostic summary of constraints

<table>
<thead>
<tr>
<th>Institutional Capacity Constraint</th>
<th>Sectors</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Export Growth</td>
</tr>
<tr>
<td>Stakeholder Ownership (demand side)</td>
<td></td>
</tr>
<tr>
<td>Lack of commitment from social, political leaders</td>
<td>1*</td>
</tr>
<tr>
<td>Incompatibility of social norms and values</td>
<td>2</td>
</tr>
<tr>
<td>Lack of stakeholder participation in setting priorities</td>
<td>1</td>
</tr>
<tr>
<td>Lack of information transparency</td>
<td></td>
</tr>
<tr>
<td>Insufficient stakeholder demand for accountability</td>
<td>1</td>
</tr>
<tr>
<td>Policy Instruments (supply side)</td>
<td></td>
</tr>
<tr>
<td>Ambiguity in defining rights and responsibilities of stakeholders</td>
<td>3</td>
</tr>
<tr>
<td>Inconsistency</td>
<td>2</td>
</tr>
<tr>
<td>Lack of legitimacy</td>
<td></td>
</tr>
<tr>
<td>Lack of incentives for compliance</td>
<td>1</td>
</tr>
<tr>
<td>Difficulty of administration</td>
<td></td>
</tr>
<tr>
<td>Failure to minimize negative impacts</td>
<td></td>
</tr>
<tr>
<td>Insufficient flexibility</td>
<td></td>
</tr>
<tr>
<td>Susceptibility to corruption</td>
<td>3</td>
</tr>
<tr>
<td>Organizational Arrangements (supply side)</td>
<td></td>
</tr>
<tr>
<td>Ambiguity of mission</td>
<td>3</td>
</tr>
<tr>
<td>Failure to achieve outcomes</td>
<td>1</td>
</tr>
<tr>
<td>Operational inefficiency</td>
<td>3</td>
</tr>
<tr>
<td>Lack of financial viability and probity</td>
<td></td>
</tr>
<tr>
<td>Weak stakeholder communication and responsiveness</td>
<td>2</td>
</tr>
<tr>
<td>Lack of adaptability to anticipate and respond to change</td>
<td>1</td>
</tr>
</tbody>
</table>

* 1 refers to greater importance, and 3 refers to lesser importance.
Use constraints to set accountable objectives and measureable outcomes

Objectives describe the desired changes in the constraints that the strategy will address. Institutional constraints and objectives together are used to frame change management needs to reach a goal.

An institutional change objective should:
- Describe a desired change in one or more capacity constraints, not describe an intervention.
- Provide a base for measurable outcomes at the institutional level.
- Be meaningful and practical for local actors to influence.
- Describe a medium-term outcome that is realistic to achieve during the planning time frame.

Several constraints in different areas could feasibly have one objective when the reforms are inter-related and measured by a similar outcome indicator.

<table>
<thead>
<tr>
<th>DOS &amp; DON'Ts</th>
<th>DO Describe a Change in a Constraint</th>
<th>DON'T Describe an Intervention</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improving the preparation of young mothers to make basic nutrition and childcare decisions through expanded community support</td>
<td>Organize community health clubs to provide mothers with relevant information regarding health and nutrition</td>
<td></td>
</tr>
<tr>
<td>Specifying the rights of citizens infected and affected by HIV</td>
<td>Sensitize the general public on the rights of citizens infected and affected by HIV</td>
<td></td>
</tr>
<tr>
<td>Improving management efficiency and outcomes of government services in urban infrastructure work</td>
<td>Train employees in urban infrastructure issues</td>
<td></td>
</tr>
</tbody>
</table>

Identify objectives
- Select 1-2 constraints.
- Brainstorm on a potential opportunity for reform or change, and decide on an objective that describes the desired change.
- Brainstorm on an outcome indicator to measure progress for the objective.

<table>
<thead>
<tr>
<th>Constraint</th>
<th>Description in local context</th>
<th>Proposed objective</th>
<th>Proposed outcome indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of stakeholder participation in setting priorities</td>
<td>Community civil society groups do not participate in decision-making process regarding local delivery of public services</td>
<td>Increase the participation of community civil society groups in decisions regarding local public services</td>
<td>Participation rate of community stakeholders in government decisions regarding local public services</td>
</tr>
</tbody>
</table>
✓ **Provide monitoring information for each constraint and objective**

How will progress on the constraints be monitored and measured for each objective? Measurement information is necessary for change management: to make timely adjustments as needed and to learn what works and does not work in practice.

Stakeholders need to first determine the most appropriate indicators and the baseline and target for them. They can then specify the data source and/or the data collection method, including who will be responsible and when the data should be monitored and reported (table 14).

Constraints and objectives should be carefully managed in case of changing circumstances and priorities. Stakeholders can regularly check to make sure they remain up-to-date.

**Table 14. Example from Liberia case of monitoring information for objective**

<table>
<thead>
<tr>
<th>Objective</th>
<th>Indicator(s)</th>
<th>Baseline</th>
<th>Target</th>
<th>Data source</th>
<th>Responsibility</th>
<th>Reporting frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Objective 1.1 Increase access to basic, post-basic and tertiary education for all children</strong></td>
<td>Percentage increase in gross enrollment nationwide/basic education</td>
<td>60%</td>
<td>90%</td>
<td>Ministry of Education 2010/2011 School Census Data Base; Country Study 2012 – Ministry of Education/UNICEF</td>
<td>Ministries of Education, Finance, MPEA, Justice, etc.</td>
<td>Every two years</td>
</tr>
<tr>
<td></td>
<td>Percentage increase in school facilities in 5 counties - Post-basic education</td>
<td>35%</td>
<td>70%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Increase in completion rates for females at the secondary level nationally</td>
<td>74%</td>
<td>90%</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Sector goal:** By 2017, increase equitable education and training opportunities at all levels for sustainable development.

**Constraint:** Weak achievement of outcomes in basic education for children 6-15 years

**Resources**
- Appendix E: Guiding Questions to Identify Constraints
- Appendix E: Prioritizing Constraint(s) and Objectives Template
Module 5. Developing a Change Management Roadmap

This module guides you through possible steps to use the results framework to outline a change strategy that guides implementation of reforms by stakeholders:

- Review the operational context
- Identify change agents and change processes for reforms
- Identify progress markers and monitoring information
- Prioritize interventions
- Outline change management needs in the results framework

Most planning skips the change strategy aspect, which limits the potential for results. The change strategy is a resource to guide local actors collectively to take actions that advance expected results. It answers key reform questions, related to who will drive what changes, how they will be empowered to do so and what are supporting interventions to effect that change.

Why is a change strategy important?

**Transparency outlines theory of change for multiple stakeholders**

The change strategy outlines the theory of change behind each objective, which is often discussed in planning but not recorded. This facilitates multi-stakeholder understanding around expected outcomes and their roles in achieving them for effective planning. It can also be reviewed with stakeholders at key points to ensure results are on track, learn what works and make adjustments to planned efforts based on changes in the country context.

**Builds local actors into planning**

The change strategy outlines expected behaviors, action and practices by local actors from government and non-government to advance each objective. It can also be used to direct capacity development services and other resources to support local actors’ results.

**Bridges short-to-medium term expected results**

The change strategy outlines expected results from the short-to-medium term to support effective planning across different timeframes, which is often challenging in a fragile context.

**Review the operational context**

First, review knowledge on the operational context of each identified constraint and objective for reform:

- Confirm that addressing the particular constraints is expected to strengthen results
- Clarify the corresponding objectives to address the constraints
- Verify the outcome indicators expected for each objective
- Review any existing implementation strategies. Are results on track, and if not, what is missing to amplify change?

If the operational context is clear, it is time to answer the “how,” “who” and “when” questions by mapping the change management needs for the results framework: local actors, expected change process, progress markers and supporting interventions. Table 15 provides an example of the information included in a change strategy.
Table 15. Information in the results framework that forms a change strategy

<table>
<thead>
<tr>
<th>Constraints</th>
<th>Objective and outcome</th>
<th>Change agents</th>
<th>Description of change process</th>
<th>Progress markers</th>
<th>Priority interventions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Constraint - Weak achievement of outcomes</td>
<td>Assure equitable access to free basic education for all children and youth, including girls and the disabled, with improved outcomes</td>
<td>Ministries of Education and Gender, CSOs, Schools</td>
<td>Government will support educational outcomes among children 6-15, with a focus on disadvantaged communities through infrastructure, establishing strategies to help reduce barriers to school attendance, and establishing benchmark processes with communities and CSOs to monitor schools.</td>
<td>Government and communities agree to extend free and compulsory education, Consensus reached on benchmarks for school monitoring, CSOs skilled and organized to monitor schools, New strategies to implement programs to reduce barriers to school success, including early reading for grades 1-3</td>
<td>Community meetings, Makeshift schools replaced with new structures, Training on monitoring skills, Community assessments and action plans</td>
</tr>
<tr>
<td>Primary school performance and reading outcomes are low, especially among disadvantaged communities.</td>
<td>Outcome indicators: - Increased net enrollment and completion rates for male and females at every education level, especially in counties with initially low rates; - Improved performance on standardized tests at all school levels in every county</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

✔ Identify change agents and change processes for reforms

Identify change agents
What country actors, groups or organizations will lead or influence the changes to achieve each objective? Local actors initiate and manage changes during implementation, driving progress toward the objectives. Actors accomplish this by taking on roles to achieve particular outcomes.

Change agents can be:
- Individual leaders—such as government officials, policymakers, prominent religious or cultural figures, health care providers, community leaders
- Organizations—such as from government, civil society or private sector
- Groups—such as networks, communities of practice and coalitions, which bring different actors together

Multiple change agents might be needed to build enough critical mass to achieve scale and make results last. For example, strengthening parliamentary oversight could involve parliament itself, a multi-stakeholder watch group that put pressure on parliament for better accountability and local development organizations that help enhance skills of parliamentary staff to improve oversight.

To identify change agents:
- Reflect on the participation needed from various sectors of society.
- Specify the expected roles of local actors in advancing the objective. Since agents’ relationships and influence may vary over time, an adjustment of roles or regular review of agents may be needed. New agents may also emerge.
Identify change agents
In a group, identify change agents for each objective
  • What different types of agents might take on roles at different times or alongside each other to advance the identified objective?
  • Which agents are most critical (primary change agents), who can have the greatest influence on the changes?

Describe the expected change process for reforms
How is change expected to happen to achieve each objective, improving on the particular constraints? Describing the expected changes associated with the reform process helps to determine how to improve the institutional environment. In other words, describe how local actors will be involved and major actions and progress markers expected to advance the objective. The description might also include major resources or investments.

Describe the change process
In a group discussion, describe the change process for each objective:
  • Discuss the objectives and what might be expected to change.
  • Describe your understanding of how each objective might be achieved in 2-3 lines—including new behaviors, actions or practices expected by local actors to support the results.

✓ Identify progress markers and monitoring information
What intermediate capacity outcomes are important to mark progress on the objectives? These outcomes related to change management lie at the heart of any capacity development effort. They mark an improvement in the ability or disposition of local actors to take actions to effect changes toward the objective. These changes in behaviors, actions, and practices can be used to report on and manage change toward the objective.

In other words, to achieve each objective ask whether any of the following outcomes need to be achieved by local actors, and focus on the most important ones (2-3) that can serve as progress markers:
  1. **Raised awareness**, such as increased understanding of the benefits of modern farming schemes among small farmers.
  2. **Enhanced knowledge or skills**, such as enhanced skills of women and girls to take leadership on issues of peace and inclusivity.
  3. **Improved consensus and teamwork**, such as improved consensus and teamwork between ministry of information and civil society organizations for public awareness campaigns on legal literacy.
  4. **Strengthened coalitions**, such as rural development committees established.
  5. **Enhanced networks**, such as strengthened network of community health volunteers.
  6. **New implementation know-how**, such as new gender-sensitive human resources policies adopted.

The intermediate capacity outcome should:
  • Offer the most meaningful reporting on change toward the objective.
  • Be reasonably measured over defined time periods, as a shorter-term progress marker.
  • Be observable in that a change agent must do something new or different.
The change strategy should identify particular change agents and progress markers to help them succeed. This will require an assessment of their knowledge and skills, relationships, implementation know-how and resource needs. For example, advocacy skills, knowledge and expertise in the area, existing partnerships and influence within the surrounding community and key networks, and experience implementing projects.

**DO**

**State behavioral change, actions and practices to be taken by local actors**
- Improved collaboration between local business leaders and government officials on planning and funding infrastructure initiatives
- Improved understanding of government and non-state groups on land reform needs
- Enhanced skills of civil society to conduct third party monitoring
- Coalition of private sector and government on HIV prevention established
- Agreement between communities and schools to extend free and compulsory education for grades 7-9
- New know-how of communities to monitor new land use policy

**DON’T**

**State the intervention**
- Training in monitoring
- Communications strategy drafted
- Life skills training in schools
- Community meetings
- Distance learning program

**GROUP DISCUSSION**

**Identify progress markers**
In a group discussion, identify 2-3 progress markers toward each objective
- Review the examples provided, thinking about their meaning in the specific context
- Identify 2-3 intermediate capacity outcomes that could represent important milestones to mark progress toward the objective
- Write each progress marker in the local context, including the change agent it would support

How will each progress marker be monitored and measured? Measurement information is necessary to learn what works and does not work based on results achieved. Stakeholders can first determine the most appropriate indicators and the baseline and target for them. They can then specify how the data will be collected, who will be responsible for collecting the data and when the data should be monitored and reported.

Progress markers can be identified for different timelines toward the objective. Let’s say, for example, that the objective is to change the mindset of parents on the benefits of education for girls by 2015. There could be one progress marker every year toward 2015:

- Progress marker 1: Raised awareness of village leaders on benefits of girls’ education (2012)
- Progress marker 2: New know-how on conditional cash transfer for sending girls to school implemented (2013)
- Progress marker 3: Improved motivation of parents to send girls to school (2014)
**Prioritize interventions**

What types of interventions will support agents in achieving the target outcomes? Examples of interventions include:

- Mobile campaign on best practices
- Regional or local strategic planning workshops
- New cadre of coaches or specialists recruited
- Training and technical support in topic area
- Membership drive for multi-stakeholder coalition
- South-south knowledge exchange to learn know-how from other countries
- Team-building retreat

Some things to remember when prioritizing interventions:

- **Customize.** Emphasize context-specific, flexible solutions, whether traditional skills-based training or dynamic coalition building and network empowerment.
- **Innovate.** Technology and media innovations—from social media to mobile marketing—can help access just-in-time learning, facilitate peer exchange and obtain immediate feedback.
- **Evaluate.** Examine the risks and uncertainties that may occur through time with interventions; iteration between design and implementation is to be expected.
- **Investigate.** Take into account learning styles, audience demographics, sequencing of activities and nature of the content.
- **Be realistic.** Take into account absorptive, physical, human and budgetary/financial constraints (past expenditure levels and ceilings, where available), to ensure realism in identifying and prioritizing interventions.

Interventions may also include infrastructure, technology, human and other resource inputs to support the objective, such as new schools, hospitals and bridges and recruited professionals.

**Outline change management needs in the results framework**

Now all of the elements for the change strategy have been collected. The answers to the following questions should be on hand and mapped into a diagram or another format that will then populate the results framework and *be transparent* to stakeholders:

- Who are the agents to drive the change?
- How will the agents be empowered to drive the change?
- What are the progress markers to track results by local actors (such as new behaviors, actions and practices)?
- What are priority interventions and resources to support the objective, taking into account limited budgetary limits?
- When will the change be planned?

**Resources**

- Appendix F: Checklist for Reviewing Objectives
- Appendix F: Checklist for Identifying Change Agents
- Appendix F: Intermediate Capacity Outcomes
- Appendix F: Checklist for Identifying Progress Markers
Module 6. Strengthening Multi-Stakeholder Opportunities

This module guides you through possible steps to use the results framework to strengthen multi-stakeholder activities that can improve effectiveness in addressing development problems:

- Review the results framework for common problems and mutual opportunities
- Identify new areas where multi-stakeholder activities could improve effectiveness

Integrating multi-stakeholder initiatives strategically takes planning to another level, to strengthen results and effectiveness in difficult problem areas. The strategy can empower local actors from government, civil society and private sector to collectively find appropriate and lasting solutions to shared challenges.

The identification of high-priority institutional constraints impeding the achievement of a development goal (Module 4) and the individuals and groups who can serve as change agents in addressing those constraints (Module 5) frame the desired capacity development results. Once the change logic of these priority results is understood, from shorter-term progress markers to longer-term institutional changes, a range of capacity development support services can be drawn from to design multi-stakeholder, country-owned solutions ranging from structured learning to collaborative services and platforms for coalition-building and innovation.

Examples of multi-stakeholder activities used by WBI to support countries include:

- **Open knowledge**: Connect countries and people to global knowledge, especially from the South, and promote learning on the "how to" of reform. Examples are structured learning, middle-income countries as sources of South-South knowledge exchanges and knowledge brokering among networks.
- **Collaborative governance**: Coalesce multi-stakeholders to collaborative action, especially non-government actors. Examples are citizen engagement through information and communications technology, open aid partnerships and oversight by civil society.
- **Innovative solutions**: Scan, incubate and scale-up innovations to broaden sources of finance and leverage technologies. Examples are geo-mapping, competitions and grant challenges and a development marketplace.

- **Review the results framework for common problems and mutual opportunities**

Review the information in the results framework to identify areas where stakeholders face common or related problems and could better coordinate development efforts across stakeholders to create more effective, as well as dynamic, implementation strategies.

The results framework provides the following information to identify common problems or synergistic opportunities to guide planning of multi-stakeholders activities:

- **Common or related constraints or problems** that face different stakeholders
- **Common change agents** to engage in reform processes, such as leaders, groups or organizations that are required for multiple efforts
- **Progress markers** describing common needs of local actors, such as new awareness, skills, collaboration or innovations in implementation processes
Interventions such as activities, resource inputs and outputs planned to empower the change agents and contribute toward the outcomes. For example, different stakeholders may repeat the same types of activities without collaborating.

Identifying related problems or areas of mutual interest is especially important for stakeholders who may not have previous experience working collaboratively, but have comparative advantages to work together, that is, each can each bring part of the change process to the table. For example, in a fragile country working to strengthen local governance, local non-state actors might have limited opportunities to participate in decision-making to steer the development process.

This pervasive problem impedes the achievement of development objectives across sectors, and the solution—fostering the participation of local communities in setting priorities—will likely require a series of intermediate changes (progress markers) to engage and empower a broad range of stakeholders:

- Local government and non-government stakeholders will need to reach a consensus that the participation of local communities and the private sector in decision-making is valuable and essential for effective development.
- Local government bodies and their personnel will need to develop the knowledge, skills and systems to elicit and incorporate input from non-state actors into the development process.
- Local community members, the private sector, and civil society organizations will need increased awareness and know-how about how to participate in local public sector decision-making processes.

A comprehensive diagnosis of institutional constraints and the defining of targeted intermediate capacity outcomes is critical for practitioners to move beyond conventional training activities to identify transformational, multi-stakeholder learning activities that advance results.

Identify new areas where multi-stakeholder activities could improve effectiveness

Agree on particular problem areas where effectiveness improvements could be gained through new multi-stakeholder activities.

Diagram 5 presents an example of a plan to strengthen multi-stakeholder efforts of government and non-government to address a common problem. Previously solutions were planned in silos by each of the actors involved. Addressing the problem collectively from both sides can give it higher political attention, limit overburdening of actors with weak capacity, help reduce cost and support faster and more broadly supported results.
Diagram 5. Identity common problems to strengthen multi-stakeholder activities

<table>
<thead>
<tr>
<th>Common constraint/ problem</th>
<th>Change agents newly collaborating</th>
<th>Progress markers - Change management needs</th>
<th>Priority interventions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Limited involvement of community leaders in decisions on local policy</td>
<td>Policies of local government lack community support and recognition</td>
<td>Community coalition established by community groups and government to influence local policy</td>
<td>Community leaders and groups understand key issues and participate in policy discussion</td>
</tr>
<tr>
<td></td>
<td>Community leaders, CSOs and government officials from agriculture, health, education, justice, and administrative offices</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Module 7. Developing the Monitoring Plan

This module guides you through possible steps to develop a monitoring plan for the results framework and strategy:

- Define the components of a monitoring plan
- Integrate the monitoring plan with the results framework
- Choose appropriate indicators to monitor
- Formulate the monitoring plan to measure progress
- Make the monitoring plan operational

Linking a monitoring plan to the results logic of the strategy is especially important. Measurement information is used to monitor progress toward achieving different levels of results from the shorter to medium/long term.

Results monitoring is concerned with measuring progress in achieving objectives, outcomes and longer-term development goals. A monitoring plan in this way tracks progress along the results chain (diagram 6).

The same stakeholders that create the results framework can be guided to create the monitoring plan. This provides for stronger ownership over the indicators to monitor, local fit and operational links to the results framework, since they have the best understanding of the priorities and outcomes that it sets.

Diagram 6. Results chain

- **Impact (level of goal)**: Widespread improvement in society
- **Medium-term Outcomes (level of objectives)**: Institutional changes and improved development actions
- **Progress marker outcomes (include Intermediate Capacity Outcomes)**: Changes in local actors, groups or organizations' behaviors, actions and practices resulting from program outputs
- **Outputs**: Products and services designed to achieve results
- **Interventions**: All activities planned for the strategy
- **Inputs**: Resources committed to interventions
Define the components of a monitoring plan
Table 16 defines the components of a typical monitoring plan. The components should be agreed across stakeholders for consistency.

Table 16. Key monitoring terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
<th>Example (public finance sector)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outcome indicator</td>
<td>The “value” or the unit for which the degree of change will be assessed.</td>
<td>Average time taken by taxpayers to comply with tax obligations</td>
</tr>
<tr>
<td>Baseline</td>
<td>The “original situation” pertaining to a result (based on indicator data). Baseline data is usually collected at the start of an initiative to track progress over time but in some cases may not be available.</td>
<td>One year time taken by taxpayers to comply with tax obligations</td>
</tr>
<tr>
<td>Target</td>
<td>The “changed situation” pertaining to a result (based on indicator data) expected by a specified point in time. The target value is usually specified for both annual and end of the strategy periods but the approach depends on what is realistic for implementing the monitoring arrangements.</td>
<td>Six months time taken by taxpayers to comply with tax obligations</td>
</tr>
<tr>
<td>Data source</td>
<td>Where the data on the indicator are available or the method used to collect the data. The instrument used to collect the data is often described (such as annual survey, direct field observations, administrative data system) or a formal data collection is listed (such as Demographic and Health Survey).</td>
<td>Client survey</td>
</tr>
<tr>
<td>Responsibility for monitoring indicator data.</td>
<td></td>
<td>Tax committee</td>
</tr>
<tr>
<td>Reporting arrangements</td>
<td>The timing for indicator data collection and reporting (that is, at what intervals and to whom).</td>
<td>Biannual, to the government tax department</td>
</tr>
</tbody>
</table>

Integrate the monitoring plan to the results framework
The monitoring plan provides the measurement information for the strategy and results framework. Diagram 7 shows how the outcomes in the results framework integrate with the monitoring and plan for a coherent strategy around results. All of the outcomes included in the results framework should have associated indicators with M&E arrangements in the monitoring plan.
Choose appropriate indicators to monitor

Indicators are the quantitative or qualitative variables that provide a means of verifying results. Outcome indicators help to answer two fundamental questions:
1. How will we know achievement when we see it?
2. Are we moving toward achieving our desired outcomes?

Since indicators are the “value” or unit for which the degree of change will be assessed. They can include for example, frequencies, percentages, averages, medians, costs, ratios and comparisons. Indicators can hail from primary data sources (such as administrative, budget, or personnel data; surveys; interviews; and direct observation), and secondary data sources (collected by other organizations for other purposes, such as financial market or demographic health survey data).

Some rules to keep in mind when choosing indicators:

- **Use existing indicators where possible** before planning to rely on additional data collection or evaluation activities. Often relevant information is available through administrative data and regular data collections. Many goal-level indicators are measured through surveys conducted every 3-5 years (such as Doing Business surveys, Demographic and Health Surveys).
- **Limit the number of indicators**. Assign one indicator for each identified outcome. Monitoring needs to be feasible.
- **Provide a clear definition of each indicator**, including plans for disaggregation (region, gender, age, etc.).
- **Decide on priority, measurable outcomes** before assigning indicators. Sometimes a broad goal statement or objective needs to be translated into a smaller number of measurable aspects. The decision of what to measure will depend on the context.
- **Make sure each indicator is SMART:**
  - **Specific**: Does the measure assess the stated result as closely as possible?
  - **Measurable**: Is what is being measured clearly specified? Would another party be able to understand and report objectively on the measure?
  - **Attributable**: Are changes generated by interventions?
  - **Realistic**: Can the data be obtained at reasonable cost and with enough frequency to assess progress on a regular basis?
  - **Time-bound**: Can the indicator be measured within the timeline of a project, program, or strategy?
Table 17. Sample indicators

<table>
<thead>
<tr>
<th>Level</th>
<th>Statement</th>
<th>Example of an indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sector goal (Water,</td>
<td>Increase access to safe water supply and sanitation and improve hygiene</td>
<td>Percentage of rural and urban population with access to protected drinking water</td>
</tr>
<tr>
<td>Sanitation and Hygiene)</td>
<td>practices</td>
<td>collection points</td>
</tr>
<tr>
<td>Objective</td>
<td>Improve equitable access to environmentally friendly sanitation services</td>
<td>Numbers and percentage of communities with environmentally friendly sanitation services</td>
</tr>
</tbody>
</table>

When indicators are decided, how will they be monitored? Use the following questions as a guide.

- What is the current situation (baseline) of the indicator?
- What is the desired situation (target) for the indicator? (taking into account likely available human and budgetary resources)
- Where is the data available? Or, how will it be collected?
- Who is responsible for collecting and reporting on the data?

✔ Formulate the monitoring plan to measure progress toward goals, objectives and progress markers

Goals

First, reach agreement on what to measure by reviewing goal statements for priority measurable outcomes. Prioritizing goals where possible reduces the number of indicators tracked and resources needed for data collection.

Decide how to measure the key outcome(s) by assigning indicators and data sources. Then, set the baseline against which change can be measured and the situation expected by a specified point in time. Finally, choose who is responsible for collecting and reporting the data and how often.

Table 18. Example of a monitoring plan for an education sector goal

<table>
<thead>
<tr>
<th>Education sector goal statement</th>
<th>Indicator(s)</th>
<th>Baseline</th>
<th>Target</th>
<th>Data source</th>
<th>Responsibility</th>
<th>Reporting arrangements</th>
</tr>
</thead>
<tbody>
<tr>
<td>By 2017, increase equitable</td>
<td>1. Percentage</td>
<td>59%</td>
<td>75%</td>
<td>Ministry of Education 2010/2011 School Census Data Base; Country Study 2012 – Ministry of Education/UNICEF</td>
<td>Ministries of Education, Finance, Justice, etc.</td>
<td>Every two years</td>
</tr>
<tr>
<td>education and training</td>
<td>of illiteracy</td>
<td>60%</td>
<td>90%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>opportunities at all levels</td>
<td>rate reduced</td>
<td>74%</td>
<td>94%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>for sustainable</td>
<td></td>
<td>To be</td>
<td>To be</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>development</td>
<td></td>
<td>determined</td>
<td>determined</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Provide monitoring information for a goal
- Review your group’s goal statement and prioritize it into one or more measurable outcomes.
- Come up with relevant indicators to monitor progress toward the goal.
- Come up with baseline and target values. Think in particular what the target would be for a certain date in time.
- List potential data sources or methods for data collection, using existing data and/or country systems where feasible.
- Specify who will collect the data (such as a ministry or agency) and when.

Objectives
First, reach agreement on what to measure by translating the objective into a clear statement and reviewing it for measurable outcome(s). Each of these statements should focus on what is going to be transformed rather than just listing project activities. Ideally, there should be no more than three objectives listed per goal.

Some statements of objectives have bundled multiple outcomes. Prioritization or consolidation is recommended throughout this process to reduce the number of objectives and indicators tracked and resources needed for data collection.

Decide how to measure the key outcome(s) by assigning indicators and data sources. Then, set the baseline against which change can be measured and the situation expected by a specified point in time. Finally, choose who is responsible for collecting and reporting the data and how often.

Table 19. Example of a monitoring plan for education sector objectives

<table>
<thead>
<tr>
<th>Education sector objective statements</th>
<th>Indicator(s)</th>
<th>Baseline</th>
<th>Target</th>
<th>Data source</th>
<th>Responsibility</th>
<th>Reporting arrangements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Increase availability of education data for policy decisions</td>
<td>Availability of annual sector statistics by May of each year (yes/no)</td>
<td>No</td>
<td>Yes</td>
<td>School Census</td>
<td>Ministry of Education Planning Department</td>
<td>Annual</td>
</tr>
<tr>
<td>Strengthen the local management of education services</td>
<td>Share of basic education schools managed by local school management committee or PTA (%)</td>
<td>0</td>
<td>80% (year)</td>
<td>School Census</td>
<td>Ministry of Education Planning Department</td>
<td>Annual</td>
</tr>
</tbody>
</table>
Provide monitoring information for objectives

- Review your group’s objectives and prioritize them into measurable outcomes (1-2 outcomes per objective).
- Come up with relevant indicators to monitor progress toward the objectives.
- Come up with baseline and targets. Think in particular what the target would be at for a certain date in time.
- List potential sources for data collection (try to build on existing sources).
- Specify who will collect the data (such as a ministry or agency) and frequency.

Progress markers:

First, reach agreement on which priority changes in the abilities or dispositions of changes agents (individuals or groups) are needed to support progress towards each objective. These changes reflect intermediate capacity outcomes, which should be stated in specific terms so as to be measurable.

For intermediate capacity outcomes to serve effectively as progress markers, they should be achievable in the short- or medium-term (1 to 3 years), reflect changes that are realistic given the resources and scope of the intervention, and be measurable using existing data or relying on a data collection exercise with minimal burden and cost. Country systems and administrative records should be used when possible to monitor and document progress markers.

Decide how to measure the key intermediate outcome(s) by assigning indicators and data sources. Then, set the baseline against which change can be measured and the situation expected by a specified point in time. Finally, choose who is responsible for collecting and reporting the data and how often.

Table 20. Example of a monitoring plan for education sector progress markers

<table>
<thead>
<tr>
<th>Education sector intermediate outcomes</th>
<th>Indicator(s)</th>
<th>Baseline</th>
<th>Target</th>
<th>Data source</th>
<th>Responsibility</th>
<th>Reporting arrangements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strengthened consensus among key stakeholders on the need to strengthen local management of educational services</td>
<td>Agreement on a standard formal charter and guidance outlining the composition, responsibilities, and authority for a local school management committee (yes/no)</td>
<td>No model charter exists; counties have not started the process of developing their own charters</td>
<td>Model charter has been developed and adopted by the Ministry of Education; all counties have started local process of developing charter</td>
<td>Country administrative data, reported quarterly to the Ministry of Education</td>
<td>Ministry of Education Planning Department</td>
<td>Annual</td>
</tr>
<tr>
<td>Increased skills and knowledge of basic education teachers</td>
<td>% of basic education teachers who are certified</td>
<td>0% Certification program recently launched</td>
<td>40%</td>
<td>School Census</td>
<td>Ministry of Education Planning Department</td>
<td>Annual</td>
</tr>
</tbody>
</table>
✓ **Make the monitoring plan operational**

Once the monitoring plan is complete, it can be helpful to set up an implementation plan that outlines a detailed roadmap and promotes accountability and improvement. It should designate roles and responsibilities for all key stakeholders involved in monitoring, at various levels (national and local), how the information will be shared with stakeholders and used for program improvements, and the budget for monitoring infrastructure and activities.

Within a strategy document, a comprehensive section should summarize the key monitoring strategy elements. The details can be worked out and reflected in a subsequent implementation plan, to include:

- Definitions and terms, so stakeholders have a common understanding.
- Institutional arrangements, so stakeholders at all levels and from all sectors understand their roles and responsibilities.
- Constraints and lessons learned from monitoring activities in previous strategies.
- Information management systems that are available or are in need of fine-tuning.
- Use of data by government and non-government and the principles of a sound system.
- Budget cycle for monitoring.
- Capacities, challenges and needs for monitoring, such as next steps to build data systems and strengthen monitoring capacity at each level.
- Description of how the results framework, monitoring plan and budget plan fit together
- List of core indicators if available and the principles used for selection (to be placed in an annex).

Monitoring is often a long-term effort, requiring persistence. It helps to keep in mind certain characteristics to help ensure the effectiveness and efficiency of the monitoring system.

- Strong demand by key decision-makers with clear incentives to use the monitoring information.
- Diagnosis of existing monitoring constraints as a starting point.
- Influential champion to promote institutionalization of monitoring.
- Structural arrangements that ensure monitoring objectivity and quality.
- Reliable data systems and steps to enhance their reliability and adequacy.
- Regular evaluation of the monitoring system itself to find any pitfalls and map out improvements.

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**Resources**

- Appendix G: Example Indicators for Measuring Objectives
- Appendix G: Monitoring Plan Template and Guidance
Module 8. Integrating Budget Planning and Implementation

This module outlines steps to link budget processes to outcomes in the results framework. It is not intended to be a complete resource on budget processes for planning and implementation, but underscores the reality that planned results can only be achieved if needed resources are allocated.

- Use ownership and outcomes of results framework to integrate budget processes with results
- Use prioritization criteria to ensure the outcome orientation of the budgetary planning and implementation processes
- Integrate reporting and decision-making around outcomes and budget processes

Too often, planning for development results is not adequately linked to the budget cycle. Therefore, this gap severely constrains alignment of planned outcomes with actual outcomes, given that actual budgetary allocations and execution determine final results. Using the results framework and outcomes to guide the budgeting process will promote enhanced prioritization, transparency, accountability and ownership from stakeholders. Linking the budget process to results also improves value for money, a challenge that often plagues countries.

Development strategies and plans have a tendency to be unrealistic “wish lists” that respond to planned interventions, but with little prioritization and links with budgetary processes and realistic allocation levels (“budget ceilings”). Fragile countries in particular, given their immense needs for attaining an accelerated sustainable development path, face significant problems in strengthening the links between planning and budgeting activities and results management. An outcome-based budget helps address this challenge by linking and integrating budget activities to a clear results framework that outlines priorities for goals, objectives and prioritized interventions.

The same stakeholders that create the results framework can be guided to work with budget teams to integrate strategic outcomes to budget processes, whereby the activities are prioritized according to clearly defined budgetary ceilings (often issued by Ministries of Finance to sectoral ministries). This results framework provides for a stronger ownership base to conduct outcome-based budget planning, since stakeholders agree on the outcomes and priorities that it sets. The results framework can:

- Help to reconcile requirements and costs with available resources (human and financial), as more realistic budgetary proposals by line ministries.
- Enable sharper review and adjustment of budget proposals by the Ministry of Finance, Cabinet and Parliament or Congress, and hopefully non-state stakeholders.
- Promote appropriate, evolving and complementary roles of public and private sectors, while recognizing that limited public resources should focus on public goods, and catalyzing public-private partnerships and private investments.

✓ Use ownership and outcomes of results framework to integrate budget processes with results

The results framework provides the ownership of outcomes and priorities to guide change. The monitoring plan, if properly constructed and used, is the vehicle by which to track, measure and ensure change, and the budget plan is a key tool to ensure available funding covers the “right” expenditures, thereby making the results framework operational.
Weak links between results planning and budgeting systems pose obstacles for attempts to integrate the two. Many of the common problems include (one or more can apply to many countries):

- Multiple sector plans that are not fully linked to the strategy
- Additional national development strategies that exist alongside the strategy
- Inadequate reflection of strategy and/or sector priorities in budget allocations
- A budget that is unrealistic and not implemented as planned
- Reporting on the budget that is limited to inputs
- Strategy reporting not linked to the budget and decision-making processes.

Linking the results framework and the budget entails a participatory process of using the agreed outcomes and priority interventions along with other national criteria to review and prepare the budget. For example, the following supporting steps should be included in the planning and budgetary processes:

- The Ministry of Finance outlines a calendar for budget planning and execution activities, budget framework and budgetary ceilings (by different sectors/ministries) that are negotiated, taking into account the national goals and feedback from stakeholders.
- Government sectoral ministries use the results framework to establish clear outcomes and prioritized interventions with stakeholders.
- Government sectoral ministries estimate their expenditures, based on the national level criteria and the information in the results framework on outcomes and priorities for government and non-government.
- The budget review process gives scrutiny to how proposed expenditures support the proposed outcomes and priorities, at the national and sectoral levels.
- The budgetary monitoring of activities should track the actual expenditure allocations and corresponding outputs that arise from each of the priority interventions, with a view to ensuring that priority activities receive full allocations and are effectively implemented (including timely and efficient procurement processes). Diagram 8 illustrates these budgetary links in the planning and implementation cycle.

Diagram 8. How information from the results framework feeds into the budget plan
Questions to ask in a mock budget planning session

- Does the Ministry of Finance have a clearly defined medium-term expenditure framework and supporting processes, including the setting and issuance of budgetary ceilings?
- Is there sufficient ownership in, understanding and capacity of ministries, cabinet and the parliament to follow an effective medium-term expenditure process? Does the Ministry of Finance provide adequate orientations in the budgetary cycle, with clear links to the planning aspects?
- What is the process and supporting mechanisms/tools in laying the foundations for designing and implementing effective medium-term expenditure frameworks that will be linked to an outcome-based results framework?
- Envision that US$100 million of public resources are available for a fragile country of 3.5 million persons. Assign various roles to the members of your group (representatives from key stakeholder groups, including key sectoral ministries, private sector, civil society).
- What would be the steps and planning tools you would take to allocate this budget to ensure the achievement of strategic outcomes in the results framework? Provide a brief roadmap and hypothetical budgetary framework table to cover three core sectors/themes, applying the above principles.

Consider a strategic and medium-term aspect to budgeting

The use of a medium-term perspective and time horizon (for example, 3 to 5 years) in the budget process can help to translate longer-term policy objectives into both a medium and shorter-term (annual) budgetary allocation decisions. This perspective also recognizes that outcomes often cannot be achieved in only one year, and therefore continuity of prioritized expenditures is vital.

A medium-term expenditure framework (MTEF) is a tool and process to enable prioritizing public expenditures according to outcomes and available resources. This can then be operationalized by detailed budget estimates of expenditures by spending institutions/sectoral Ministries within a predetermined budgetary structure and estimated and allocated expenditure ceilings (usually coordinated by the Ministry of Finance, and preferably in close coordination with the equivalent Ministry of Planning and Development).

The creation of an MTEF and corresponding annual budgetary framework linked to an outcome-based results framework leads to decision-making that reconciles (generally by the Ministry of Finance) the estimated costs of existing and new programs and prioritized activities, based on outcomes with an estimate of likely available resources.

Introducing a strategic and medium-term perspective into the budget process can help to:

- Promote a stronger link between planning and budgeting, in both the medium and short term.
- Facilitate the prioritization of development objectives that leads to enhanced expenditure allocation efficiencies (“spending on the right things” to achieve desired outcomes) and technical efficiencies (including percentage of allocations actually spent in a given year and corresponding outputs).

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1 In some countries, the Ministry of Planning and Ministry of Finance have been merged into one single Ministry, which can facilitate a more coherent planning and budgetary processes and related M&E.
✓ Use prioritization criteria to ensure an outcome orientation of the budget process

The following are good practice criteria in public expenditure prioritization work\(^2\) for working groups of stakeholders from different thematic or sector areas to prioritize interventions while preparing their sectoral/thematic MTEF and annual budgets:

- **Alignment** of budgetary allocations with strategic goals, objectives and outcome indicators in the results framework
- ** Appropriateness of government and non-government roles**, as reflected in the budgetary allocations, such that public expenditures are focused on funding public goods, and also catalyzing public-private sector partnerships and private investments.
- **Potential socio-economic benefits** and synergies based on available information, including comparative economic returns, inclusive benefits, emerging benefits from the current development plan, synergy with other sectors that can stimulate additional benefits.
- **Strength of stakeholder priorities** and consensus based on consultations and feedback.
- **Past performance and capacity** of implementing agencies to absorb, manage and account for the public expenditures.
- **Balance** in public expenditures allocations and execution, including: (1) recurrent and capital expenditures (vis-à-vis sustainable benefits); (2) geographic budgetary allocation balance; and (3) stakeholder budgetary allocation balance.

✓ Integrate reporting and decision-making around outcomes and budget processes

Institutional separation between budget, monitoring and strategy reporting mechanisms and decision-making still prevail in many developing countries, especially fragile ones. Budget reporting is usually limited to financial information on expenditures and inputs and outputs versus allocations based on outcomes and their links to results achieved.

Without linking to reporting and decisions, challenges may include strategy reports that focus on outcomes without drawing learning around how outcomes were supported by activities and corresponding spending, and annual progress reports that do not feed into political and sector/thematic decision-making processes.

Therefore, it is highly recommended that the monitoring and evaluation system for public expenditures endeavor to integrate expenditure tracking with the results framework, along the lines outlined.

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\(^2\) There are numerous public expenditure reports and toolkits which provide further details on "good practices", which can be adapted to each country situation (for example: (1) Evaluating Public Spending: A Framework for Public Expenditures Reviews, prepared by Sanjay Pradhan, Discussion working Paper 323, World Bank, 1996; and (2) Public Investment Efficiency Guidance Note: An Indicator-Based Approach (prepared by Anand Rajaram et al, World Bank, 2006).
Module 9. Preparing and Validating the Strategy

This module provides possible steps to:

- Use the results framework to prepare and anchor the strategy
- Review and validate the complete strategy with relevant stakeholders

Preparing and validating the strategy is an important final step to ensure stakeholders are on the same page with the strategy design and subsequent budgetary process (as outlined in Module 8). It also helps to ensure implementation guidance is documented for development cooperation over the strategy period.

The final national development plan includes the strategy document, with core components of a multi-stakeholder results framework, monitoring plan and budget framework—all revolving around the same results logic and chain. Stakeholders and partners can use these documents to coordinate development activities and monitoring for the period of the strategy, such as 3-5 years.

Use the results framework to prepare and anchor the strategy

The results framework provides multi-stakeholder information on outcomes and priorities for write-up of the strategy. Other complementary information such as studies and findings from analytical studies and citizen surveys may also be used to prepare/underpin the strategy.

What is meant by the strategy document

The strategy document presents a synopsis of the strategy design for stakeholders, partners and donors to ensure common understanding of priorities and expected outcomes, based on a sound results chain. It describes for stakeholders:

- The context for the strategy, including challenges and opportunities and evidence for action.
- Priority goals, objectives and outcomes and the transformative and prioritized changes needed to make these achievable, based on the results framework.
- Guidance on planning and measurement of results, to make sure adjustments can be made and tangible results are reported.
- Current and future complementary roles and responsibilities for stakeholders, donors and partners.

Sample outline for the strategy document

A. Background or context for the strategy (what are the main constraints to achieving the strategic goals)
B. Summary of experiences and lessons learned from previous strategies
C. Strategy (includes information for each sector/theme and level as relevant)
   1. Context
   2. Goals
   3. Constraints
   4. Objectives and outcomes
   5. Change agents and change processes
   6. Intermediate outcomes (or progress markers)
   7. Priority interventions (taking into account realistic budgetary ceilings)
   8. Implementation arrangements
D. Coordination of interventions to support planning and effective implementation
E. Summary of results framework and monitoring arrangements
F. Resource mobilization strategy
G. Budget framework
H. Appendices:
  Complete results framework
  Complete monitoring plan
  Multi-year financing plan and associated budgetary framework (annual and medium-term)

✓ **Review and validate the complete strategy with relevant stakeholders**

It is time for all relevant stakeholders to review and validate the draft strategy document. The results framework provides a sound basis for this validation and any further adjustments to ensure a strong alignment and coherence. Key government stakeholders could include the cabinet, parliament (especially key committees), as well as strategic civil society groups, NGOs and private sector actors. They should reach consensus on the strategy, including revisions, and confirm their willingness and commitment to support the implementation strategy.

Ensure stakeholders from all sectors, along with partners and donors, have a common understanding and agree upon:

- Desired goals, objectives and monitorable outcomes and the changes and resources (human and financial) necessary to make these happen
- Planning, monitoring and reporting of results, including roles, responsibilities, data sources and schedule
- Inter- and intra-sectoral coordination to support effective implementation of the strategy and priority activities

This approach can be done through structured consultation sessions or formal review meetings and circulating the strategy and results framework for feedback and comment. Follow up on the documents to reflect the feedback and recommendations.

**Resources**

- Appendix H: Checklist for Strategy Document Content
<table>
<thead>
<tr>
<th>TERMS</th>
<th>DEFINITIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adaptive management</td>
<td>Reviewing and revising strategies with stakeholders based on results achieved or not achieved and improved understanding of a given context.</td>
</tr>
<tr>
<td>Change agents</td>
<td>Social actors that drive or initiate change toward the advancement of a reform (change process) by taking on roles to achieve the needed outcomes. Examples include leadership teams, organizations, coalitions, groups or individuals.</td>
</tr>
<tr>
<td>Baseline</td>
<td>The “original situation” pertaining to a result (based on indicator data). Baseline data is usually collected at the start of an initiative to track progress over time but in some cases may not be available.</td>
</tr>
<tr>
<td>Capacity</td>
<td>Availability of resources and the efficiency and effectiveness with which societies deploy these resources to identify and pursue their development goals on a sustainable basis.</td>
</tr>
<tr>
<td>Capacity development</td>
<td>Involves the empowerment of social actors through learning, knowledge, information and innovation to effect transformational and sustainable change in institutions, which in turn supports the achievement of the development goal.</td>
</tr>
<tr>
<td>Change strategy</td>
<td>Describes all of the change processes for the reforms for a given goal, that is, for all of the related objectives.</td>
</tr>
<tr>
<td>Change process</td>
<td>Process by which local actors bring about progress markers and outcomes toward an objective.</td>
</tr>
<tr>
<td>Development goal</td>
<td>Defines the medium- or long-term economic or social benefit expected to advance through implementation of the development strategy.</td>
</tr>
<tr>
<td>Indicator</td>
<td>The “value” or the unit for which the degree of change will be assessed. For example, indicators can include frequencies, percentages, averages, medians, costs, ratios, percentage changes and comparisons.</td>
</tr>
<tr>
<td>Institutional capacity areas</td>
<td>Three operational areas to address problems faced by stakeholders in advancing development outcomes: (1) Multi-stakeholder inclusive ownership; (2) Efficiency of policy and other formal incentive instruments that guide stakeholder behavior toward the goal; and (3) Effectiveness of organizational arrangements established.</td>
</tr>
<tr>
<td>Institutional characteristics</td>
<td>Set of characteristics used to guide a diagnosis of particular constraints or opportunities to advancing development outcomes.</td>
</tr>
<tr>
<td>Institutional constraints</td>
<td>Particular problems faced by government and non-government actors that impede results toward a goal.</td>
</tr>
<tr>
<td>Intermediate outcomes</td>
<td>An improvement in the ability or disposition of change agents to take actions to effect changes toward development outcomes. These changes in behaviors, relationships, processes and actions include raised awareness, enhanced knowledge and skills, improved consensus and teamwork, strengthened coalitions, enhanced networks, and new implementation know-how.</td>
</tr>
<tr>
<td>Progress marker</td>
<td>A short-term change identified to mark progress toward achieving the objective.</td>
</tr>
<tr>
<td>Intervention</td>
<td>Short-term product, process or activity that is time-bound and observable.</td>
</tr>
<tr>
<td>Public goods</td>
<td>Refers to the types of expenditures that will generate broader social-economic benefits, and which are non-exclusionary (for example, constructing a rural road, that will benefit broad groups of beneficiaries without excluding any particular stakeholder group).</td>
</tr>
<tr>
<td>Results logic</td>
<td>The development goals, objectives, outcomes, change processes, change agents, progress markers, and interventions agreed upon.</td>
</tr>
<tr>
<td><strong>Results framework</strong></td>
<td>Outlines the results logic for the strategy, including the development goals, objectives, outcomes, change processes, change agents, progress markers, and interventions agreed upon.</td>
</tr>
<tr>
<td>-----------------------</td>
<td>--------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Stakeholder</strong></td>
<td>Individual, group or institution with an interest or commitment to the program.</td>
</tr>
<tr>
<td><strong>Objective</strong></td>
<td>A medium-term outcome or transformation in an institutional constraint that the strategy intends to address to advance a goal.</td>
</tr>
<tr>
<td><strong>Target</strong></td>
<td>The “changed situation” pertaining to a result (based on indicator data) expected by a certain date.</td>
</tr>
</tbody>
</table>
Appendix B: Terms of Reference Template for Working Group

“Title of Working Group”

Background

[DESCRIPTION OF CURRENT DEVELOPMENT SITUATION, PROPOSED STRATEGY UNDER DEVELOPMENT AND WHY THE RESULTS FRAMEWORK IS NEEDED]

The working group is [NAME OBJECTIVE]

Scope of Work

In reference to the above background, the working group is expected to work in collaboration with [NAME REPRESENTATIVE STAKEHOLDERS FROM GOVERNMENT AND NON-GOVERNMENT AS RELEVANT], with coaching/advisory support from [NAME]:

A. Conduct analytical work and information gathering collaboratively as a team to create a results framework. This includes:
   • Analyze information on goals for your sector or thematic area and agree on priority goals for the planning period (such as 3-5 years)
   • Analyze and decide on particular institutional constraints or problems that impede results for each goal
   • Agree on objectives and outcomes that address the constraints
   • Roadmap the change management needs expected for successful achievement of each objective (including local actors, change processes, progress markers and supporting interventions)

B. As a team, review and agree on the priorities and outcomes in the results framework

C. As a team, use the results framework to agree on areas to strengthen multi-stakeholder coordination around outcomes

D. Submit the complete results framework to the coordinating team to prepare a strategy that addresses the outcomes and priorities set in the results framework. Results frameworks from all of the working groups will be aggregated to form a common strategy.

E. Use the information in the results framework, including goals, objectives and progress markers, to decide on a monitoring plan.

F. Use the outcomes in the results framework to prepare a budget framework for your thematic areas or sector of focus.

The working group will meet weekly to complete the work for the strategy and join planned training and workshop sessions to guide the work. Each member will engage with the advisor supporting the working group to adapt and use appropriate planning and results tools to conduct the work.

Expected Outputs

The working group is expected to produce the following outputs:

• A results framework and M&E plan owned by all members and the represented stakeholders
• A summary report stating goals, priority constraints, objectives and a change strategy with priority interventions for development planning
• A summary report on proposed areas to strengthen multi-stakeholder activities for effectiveness and stronger results

Timeline

The working group is expected to submit their report by [DATE]
Appendix C: Results Framework Template

- Fill out one template for each thematic or sector goal.
- Content to complete each areas of the template should be developed iteratively by the working group, moving from left to right.

**Goal:** What is the social and/or economic benefit to address for this sector, and for whom?

*E.g. Provide access to quality educational opportunities at all levels and to all, in support of social and economic development of nation*

<table>
<thead>
<tr>
<th>Constraints</th>
<th>Objectives</th>
<th>Outcomes</th>
<th>Change agents</th>
<th>Description of change process</th>
<th>Progress markers</th>
<th>Priority interventions</th>
</tr>
</thead>
<tbody>
<tr>
<td>E.g. Social norms - Enrolment rates are low, especially for girls, due to lack of support among families</td>
<td>E.g. Increase school enrolment especially in rural and poor areas (with a focus on girls), via larger involvement of communities and families in support of the school system</td>
<td>E.g., -Enrolment ratio in primary/secondary education -Gender parity index in primary enrolment Progress marker: Changes in community attitudes</td>
<td>E.g. Community leaders Church leaders Local school boards and school administrators</td>
<td>E.g. Communities engage in dialogue and networking to promote benefits of school enrolment, especially for girls. This should lead to greater commitment to involvement in educational system by communities and families, and motivate them toward ensuring children (especially girls) register for and attend school. This must be accompanied by improved mechanisms for school-community dialogue, and greater focus on delivery of quality education for rural/poor communities overall.</td>
<td>E.g. Raised awareness, increases commitment and motivation of rural/poor urban communities for higher school enrolment Increased knowledge and skills among local school administrators and educational officials in methods for enrollment incentives, community engagement and dialogue</td>
<td>E.g., Conduct workshops and sensitization sessions for parent and community groups; Creation and monitoring of system for student feeding services and take-home rations for adolescent girls.</td>
</tr>
</tbody>
</table>

2. 

3. 

**Formulate the goal**

- Should be measurable and meaningful to the relevant stakeholders
- Should describe an expected social or economic benefit for citizens that stakeholders’ efforts are expected to advance
- Focus the goal as much as possible to align priorities around the goal. Vague goal statements will weaken the results focus and lead to lost opportunities in terms of development solutions.
Identify constraint(s)
- Institutional demand and supply side constraints relating to specific challenges or opportunities, for example: stakeholder ownership (transparency, citizen demand for accountability, social norms, other), policy inefficiencies (corruption, illegitimate rules, other), and organizational dysfunctions (mandates, systems, adaptability, communications, other)
- Recommended: identify up to 6 major constraints for each goal, being as specific as possible

Identify objectives and corresponding outcomes
- Each objective should be based on an identified constraint or opportunity
- Clearly describe the change or improvement that is needed in the context
- Recommended: Use the most important constraints, with no more than 4 objectives per goal, each with no more than 2 corresponding indicators

Identify change agents
- Identify key groups, organizations, leaders who are critical for empowerment and to advancing the objective

Describe change process
- Summarize the new behaviors, actions and practices expected by each change agent, such as how they will act, interact or implement policy, strategies or plans differently over the planned time frame
- Describe how investments will support the objective, if relevant
- Recommended: Describe the change process in no more than 5 sentences

Identify progress markers
- Select those most important to the strategy's results and to facilitating coordinated planning for achieving key results
- Types of intermediate capacity outcomes to identify related to interventions for change management:
  1. Raised awareness
  2. Enhanced knowledge and skills
  3. Improved consensus and teamwork
  4. Strengthened coalitions
  5. Enhanced networks
  6. New implementation know-how
- Need to be clear, precise and measurable
- Recommended: no more than 3 intermediate capacity outcomes per objective, each with no more than 2 corresponding indicators

Identify interventions/deliverables:
- Deliverables are not results in themselves – they support the achievement of objectives and progress markers, with a strong link to the expected outcomes.
- Do not require indicators, but they can be used as benchmarks during implementation
- Prioritized interventions should take into account likely budgetary constraints and related ceilings
Appendix D: Focus Goals with Multiple Stakeholders

Use the table in a stakeholder meeting to discuss the goal(s). It helps to clarify stakeholders’ perspectives around expected results and focus the goal statement. The table can be used for goals at different levels.

**Draft Goal:**

<table>
<thead>
<tr>
<th>Who are the major state and non-state stakeholders relevant to this goal?</th>
<th>What does this goal mean to this stakeholder?</th>
<th>How would this stakeholder measure progress of this goal?</th>
<th>What role does this stakeholder play in advancing this goal?</th>
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</tbody>
</table>

**Final Goal:** (updated to consider perspective of main stakeholders)

Priority measurable outcomes (3-5 at most):
Appendix E: Guiding Questions to Identify Constraints

**Purpose:**
Use the questions to identify and probe more deeply on problems that constrain or enable the advancement of each goal. Identifying constraints is needed to form objectives.

**How to use:**
Use the questions in a group meeting. The questions are designed for use across different sectors/thematic areas but can be customized. Make sure the group’s responses describe in detail each constraint/problem related to the current situation. Not all types of constraints may be important for every goal.
- Review each problem in turn and how it might relate to a constraint in the context.
- Read the questions to explore the group’s knowledge and experience related to each problem area. Review information on the problem in the context, which goes beyond broader, surface problems and takes into account the perspectives government and non-government.
- Agree on which types of constraints/problems are most relevant to strengthen results. As you explore further, new constraints may become relevant.

<table>
<thead>
<tr>
<th>Stakeholder Ownership</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of constraint</td>
</tr>
</tbody>
</table>
| □ Lack of commitment from social and political leaders | Social and political leaders consistently and frequently support the sector goal through public statements, decisions, votes, and other actions demonstrating their commitment. Leaders demonstrate sound ethics and integrity related to the goal, faithfully honoring their pledges of support. They do not engage in activities or missions that undermine progress toward the goal. | • Have sufficient elected officials (e.g. parliamentarians) expressed public support for the sector goal?  
• Have political leaders made official decisions in support of the SG?  
• Has legislation supporting the SG been formally proposed?  
• Has legislation supporting the SG been adopted?  
• Is a substantial portion of resources allocated to support the SG by political leaders?  
• Do the public records include statements in support of the SG by social leaders? |
| □ Incompatibility of social norms and values | The social norms and widespread beliefs that shape the behavior of local stakeholders are compatible with the sector goal. | • Is there general support among stakeholders for the goal?  
• How compatible is the behavior of stakeholders with the goal?  
• Do customs or mores exist that punish individuals for supporting the goal? |
| □ Lack of stakeholder participation in setting priorities | Priority-setting processes related to the sector goal include opportunities for all stakeholders to express opinions without fear of repression. These opportunities are communicated with adequate time for stakeholder engagement. Stakeholders actively participate through these mechanisms. Government and other public service entities are responsive to the views expressed by of civil society and other relevant parties. | • Is there a formal consultative process for setting priorities related to the goal?  
• Does the priority setting process ensure full involvement and participation of civil society?  
• Does the priority setting process ensure full involvement and participation of the private sector?  
• Have stakeholders formally participated in priority setting related to the goal (e.g., attending public gatherings, submitting comments during a designated comment period, etc.)?  
• Have the majority of stakeholders expressed views reflected in the S goal priorities? |
| □ Insufficient stakeholder demand for accountability | Stakeholders know their rights related to the sector goal. They claim those rights and communicate their grievances and | • Do citizens understand their rights with respect to the goal?  
• Does the government have any instruments for accountability available for |
proposals for change to the government. If public officials and public service providers fail to meet expectations or are using allocated resources for unintended purposes, stakeholders hold them accountable. Stakeholders organize and collectively appeal unfavorable decisions concerning the goal. Stakeholders demand and utilize instruments of accountability (e.g. government scorecard information).

• Are public officials and other public service providers held accountable for meeting obligations related to the goal?
  • Are government officials and other service providers held accountability for goal-related policies? If so, how?
  • How often are accountability instruments such as formal appeal process employed?

☐ Transparency of information to stakeholders

Government and other public service entities provide accurate, relevant, verifiable, and timely information about the sector goal to all stakeholders. They also explain actions concerning the goal in terms that stakeholders can use to participate in setting priorities, monitoring progress, and evaluating actions of public officials responsible for the goal. Any information influencing decisions related to the goal is fully disclosed to stakeholders.

• Are stakeholders informed about the SG?
  • Are stakeholders satisfied with the information provided by the government about the SG?
  • Is there an information source related to the SG available to stakeholders?
  • Does the government frequently issue communications related to the SG?
  • Is the content of government communications related to the SG verifiable with information provided by independent sources?

<table>
<thead>
<tr>
<th>Policy Instruments</th>
<th>Type of constraint</th>
<th>Description</th>
<th>Examples of assessment questions</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Ambiguity in defining rights and responsibilities</td>
<td>The rights and responsibilities of stakeholders related to the sector goal are clearly defined and communicated. Stakeholders share a common understanding of the policy goal and the purpose of any specified regulations. The authorities and processes concerning the policy instrument are clearly identified and communicated to stakeholders. Stakeholders understand the objectives, rights and responsibilities prescribed by the policy instrument.</td>
<td>• Are the sector goal and its objectives clear to stakeholders?  • Do stakeholders know their rights and responsibilities prescribed by the policy instrument?  • Are the processes related to the policy instrument clear to stakeholders (i.e., formulation, application, revision, appeal, monitoring and enforcement authorities)?  • Was there sufficient communication to stakeholders describing the policy instrument (e.g. announcements, articles, documents, etc.)?</td>
<td></td>
</tr>
<tr>
<td>☐ Inconsistency</td>
<td>The policy instrument related to the sector goal is consistent with policy instruments for other goals. The objectives, rights and responsibilities established by the policy instrument related to the goal do not conflict with those for other goals.</td>
<td>• How often do the rights and responsibilities conferred by the policy instrument conflict with existing rules, laws, regulations, or standards?  • How often do different policies’ rights and responsibilities conflict with each other?  • Are the sector goals supported by the government mutually reinforcing?</td>
<td></td>
</tr>
<tr>
<td>☐ Lack of legitimacy</td>
<td>The policy instrument is formulated based on an informed, transparent, participatory, and deliberate process. The policy instrument conforms to recognized principles and standards and is perceived as desirable and appropriate within the local system of norms, values, beliefs, and definitions. Stakeholders and unaffiliated expert reviewers perceive the</td>
<td>• Is the policy instrument compatible with the local norms and values?  • Are the sanctions and incentives specified by the policy instrument consistent with its goal?  • Does the policy instrument adhere to internationally recognized standards?  • Are stakeholders’ rights to appeal assured by the policy instrument?  • Do stakeholders perceive the policy instrument as fair?</td>
<td></td>
</tr>
</tbody>
</table>
| **Lack of incentives for compliance** | The policy instrument facilitates desired economic and social exchange activities related to the sector goal. It minimizes uncertainty, time, information and other costs to participants in these transactions, and provides sanctions for non-compliance. | • Do stakeholders practice self-policing, self-auditing, or self-disclosure options to avoid enforcement penalties imposed by the policy instrument?  
• How high are time and information costs of compliance with the policy instrument?  
• Are stakeholders' behaviors affected by subsidies or taxes prescribed by the policy instrument?  
• Is there a merit system that rewards stakeholders for compliance? |
| **Difficulty of administration** | The policy instrument is administratively easy for the regulatory or governing body to implement. Implementation incurs only those administrative costs required to achieve the intended policy outcomes related to the sector goal. Administrative tasks are defined and allocated with consideration of duty bearers' competencies, existing responsibilities and available resources. | • What are the costs of implementing the policy instrument?  
• What is the cost of monitoring and evaluating the effectiveness of the policy instrument?  
• Are duty bearers able to easily administer the policy instrument?  
• Are duty bearers able to perform administrative tasks required by the policy instrument as part of their pre-existing responsibilities?  
• What is the share of administrative tasks (e.g. information collection or distribution) required by the policy instrument that can occur using existing systems? |
| **Failure to minimize negative impacts** | The policy instrument minimizes unintended negative impacts in sector goal-related transactions. Targeted beneficiaries, non-beneficiaries, and other non-regulated stakeholders do not experience foreseeable unintended costs or ill effects as a result of the policy instrument. | • Do targeted beneficiaries experience significant unintended negative externalities from the SG?  
• Do non-beneficiaries experience significant unintended negative externalities?  
• Are a substantial number of regulated and non-regulated stakeholders affected by severe negative externalities?  
• Can the policy instrument achieve its desired objectives without unintended negative consequences? |
| **Insufficient flexibility** | The policy instrument is predictably flexible in addressing varying situations. It allows for timely revision when the social and political circumstances change. The policy instrument is explicit in defining the conditions under which its terms should be revised. | • Does the policy instrument explicitly define the conditions under which the terms of the instrument should be revised to better support the sector goal?  
• Are stakeholders confident that the policy addresses changes and contingencies in a predictable manner?  
• Is the policy instrument revised in a timely manner e.g., when there are changes in social and political circumstances underlying the SG?  
• How often are key terms redefined during policy implementation to ensure that services reach the targeted beneficiaries as envisioned?  
• Does the policy allow for timely adjustment in response to unforeseen interactions with other policies? |
| **Susceptibility to corruption** | The policy instrument minimizes opportunities for corruption, rent seeking, state capture, or corruption occur in a significant portion of | • Does rent-seeking, state capture, or corruption occur in a significant portion of |
seeking and regulatory capture. It includes mechanisms to monitor and report corruption, and provides credible and enforceable penalties for corrupt behavior. The policy instrument does not reflect the efforts of vested interests to manipulate the economic and legal environment to secure undue privileges or compensation at the expense of the greater public good.

SG-related transactions?
- Does the policy instrument have any loophole that can be taken advantage of by officials?
- Do most transactions related to the policy instrument require human interaction or individual decision-making where corruption could take place?
- Are there provisions in the policy instrument for effective monitoring and reporting on corruption?
- Does the policy instrument provide credible and enforceable punishment mechanisms and penalties for corrupt behavior?
- Are targeted beneficiaries able to receive services without having to pay a bribe or experience other types of corruption?

Organizational Arrangements

<table>
<thead>
<tr>
<th>Type of constraint</th>
<th>Description</th>
<th>Examples of assessment questions</th>
</tr>
</thead>
</table>
| ☐ Ambiguity of mission   | The vision and mission statements of the organization are clearly articulated and strongly aligned with the goal. Relevant stakeholders recognize the mandate of the organization.                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | • Is there an explicit statement of the organization’s vision and mission with respect to the sector goal?  
• Are the vision and mission of the organization frequently communicated to stakeholders?  
• Can stakeholders accurately describe the organizational goals with respect to the sector goal?                                                                                                                                                                                                                                                                                                                                                                                                          |
| ☐ Failure to achieve outcomes | The organization/group consistently seeks to achieve outcomes that lead directly to the goal.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | • Is there documented evidence about implementation of standards, practices, or activities at the organizational level that are linked directly to the goal (e.g., vaccinations, blood screening, hazardous waste cleanup, etc.)?  
• Are there reports from the targeted beneficiaries receiving satisfactory services from the organization as envisioned?  
• Does the organization conduct self-assessments to determine progress towards achieving desired outcomes that support the goal?  
• Do the stakeholders agree that the outcomes achieved by the organization contribute to the achievement of the sector goal?  
• Are there independent external assessments that confirm that the organization contributed to the goal?                                                                                                                                                                                                                                                                                                                                                                                      |
| ☐ Operational inefficiency | The strategies, inputs, processes, and technology of the organization are managed to optimize the quantity and quality of outputs, relative to the cost of accomplishing its work toward the goal.                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | • How do outputs compare with performance benchmarks?  
• What share of products and services are delivered in the expected time frame?  
• What level of product quality do the error rates and quality assurance scores indicate?  
• Are customers satisfied with the products and services they received? Is there evidence of their satisfaction?  
• What is the average delivery time for a service or product?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
<th>Questions</th>
</tr>
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</table>
| Lack of financial viability and probity     | The organization secures sustainable funding to cover its operating costs and allocates funds in accordance with business needs. Financial management includes the tracking of expenditures to inform future budget forecasting, decision-making and accountability reporting. Organizational systems and practices support and enforce transparent financial management, including the reporting of externally verified accounts to ensure that resources are allocated effectively to achieve its publicly stated goal. | • Does the organization allocate adequate financial resources for achieving its objectives?  
• Does the organization use a mechanism or process for accurate budget forecasting?  
• Is there sufficient reserve funding to withstand temporary interruptions in income?  
• Is the ratio of liabilities to assets sufficiently low?  
• Are the projections for future income and expenses suitable to achieving the goal?  
• Were there significant changes in institutional net worth in the last reporting period?  
• Is there a policy requiring senior managers to complete annual financial statements?  
• What share of funds is allocated through a transparent process?  
• Is there frequent internal and/or external auditing of the financial management process?  
• Does the organization comply with regulations for standard public sector accounting practice?  
• Would a random sample of contracting decisions be confirmed by an independent procurement review panel?  
• What percentage of donor funding is captured in organization’s fiscal reports according to budget classifications by program and object of expenditures? |
| Weak stakeholder communication and responsiveness | The organization seeks to obtain the support of stakeholders for its work related to the sector goal. The organization’s decision-making and operational processes involve consultations and proactive communications with stakeholders. | • Does the organization provide stakeholders with relevant and timely information concerning its goal-related performance?  
• Are stakeholders frequently involved in organizational decisions through established mechanisms?  
• Is feedback from stakeholders integrated into operational processes?  
• Are the majority of stakeholders satisfied with organization’s goal-related work?  
• Are there actions taken by stakeholders to support organizational activities? |
| Lack of adaptability to anticipate and respond to change | The organization/group regularly monitors its internal and external environment for information relevant to the sector goal. It is proactive in adapting its strategy accordingly. The organization encourages innovation in strategies, processes and products; manages knowledge; rewards performance; and creates and/or adapts to new technologies. | • Does the organization regularly monitor the external environment for innovations related to the goal?  
• Does the organization regularly monitor and evaluate its processes, products and strategies to find areas for improvement and innovation?  
• Does the organization regularly revisit its strategy, processes, and results?  
• Does the organization use formal structures and processes that support learning?  
• Does the organization use knowledge repositories? |
<p>| | |</p>
<table>
<thead>
<tr>
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<tbody>
<tr>
<td>• Does substantial collaboration across teams occur frequently?</td>
<td></td>
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<tr>
<td>• Does the organization frequently participate in communities of practices?</td>
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<tr>
<td>• Is there an employee performance management system?</td>
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<tr>
<td>• Was the organization recognized as innovative (e.g. through attribution of awards by benchmarking authorities)?</td>
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</tbody>
</table>
Appendix E: Prioritizing Constraint(s) and Objectives Template

Use the tables in a group meeting to prioritize constraints and objectives for each goal.

- Review the list of challenges or constraints in each demand and supply side area and identify which ones are important for the specific context.
- Describe each constraint in the context and how it slows or impedes advancement of the goal.
- Rank the importance of the constraint to advancing the goal during the specified time frame, using the following criteria:
  a. Relative importance of addressing the constraint, compared to another constraint
  b. Probability of addressing the constraint with reasonable success
  c. Complexity of the change processes required to address the constraint
  d. Spread of beneficiaries across government and non-government
  e. Time frame of the change and whether results might be observed over the short-to-medium term
  f. Inter-relationships among the constraints so that related problems could be addressed comprehensively during the same time period
  g. Budgetary aspects of addressing the constraint given budgetary ceilings and priorities facing each stakeholder.
  h. Sequence for addressing the constraints
- Use the information on the constraint to draft a related objective

<table>
<thead>
<tr>
<th>Type of constraint</th>
<th>Challenge/constraint in context</th>
<th>Relative importance (scale of 1-3)</th>
<th>Draft objective</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>
Appendix F: Checklist for Objectives

Groups should review the current objectives within the results framework and select up to six that meet the following criteria for the monitoring plan for each goal.

- Relate to an identified major constraint impeding the achievement of one or more goals
- Reflect an observable medium-term change expected to be achieved with a reasonable probability of success
- Reflect a needed change of cross-cutting significance
  - For example:
    - Shortcomings with roads contribute to problems in multiple sectors, notably agriculture and education
    - Problems with land rights and titling hinder progress with agriculture and business development
    - A lack of basic preventative healthcare measures allow for disease outbreaks, which can derail economic and institutional recovery
- Collectively reflect a spread of beneficiaries across government and non-government
- Cover needed inter-relationships to address the goal in different ways or in sequence (such as in the community vs. public sector)
Appendix F: Checklist for Identifying Change Agents

Use the checklists in a group meeting to identify change agents that are critical for achieving the objectives for each goal.

1. Review the characteristics of change agent to determine how they might ensure successful achievement of objectives.
2. Review the checklist of possible local actors from the government, civil society and private sectors.
3. Check off the agents that are relevant to the goal based upon your experience.

Possible characteristic of agents of change

- Influence, voice and leadership over the needed changes
- Existing networks, partnerships, position and or relationships
- Ability to build consensus on key change challenges
- Ability to widely implement the needed changes
- Communication skills or national voice
- Knowledge, skill base and experience related to the needed outcomes
- Other… (agents of change may also be nurtured/developed over time)

Potential local actors to drive or influence needed changes

- Government officials
- Government agencies
- Policymakers
- Senior officers from a national coalition
- Private sector associations
- Youth groups
- Community associations
- Women’s associations
- Religious or cultural leaders
- Practitioner network
- Civil society leadership
- Media representatives
- Other
Appendix F: Intermediate Capacity Outcomes

An intermediate capacity outcome is an improvement in the ability of stakeholders (or change agent) to take actions.

The results framework can use intermediate capacity outcomes to identify progress markers toward objectives. Specifically progress markers that to describe the change management needs of local actors for each objective. Progress markers can be planned across different time frame to sequence change processes, for example over 1-3 years. They detail the actions of local actors in advancing each objective and how the actions of different actors are expected to build on each to achieve the required change.

Six types of intermediate capacity outcomes described below can be used to guide the formulation of progress markers.

<table>
<thead>
<tr>
<th>Raised awareness</th>
<th>Enhanced knowledge or skills</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>Increased disposition to act, through, for example, improved</em></td>
<td></td>
</tr>
<tr>
<td>• Understanding,</td>
<td></td>
</tr>
<tr>
<td>• Attitude,</td>
<td></td>
</tr>
<tr>
<td>• Confidence, or</td>
<td></td>
</tr>
<tr>
<td>• Motivation</td>
<td></td>
</tr>
<tr>
<td><em>Increased ability to act, through</em></td>
<td></td>
</tr>
<tr>
<td>• Acquisition of new knowledge or skills, or</td>
<td></td>
</tr>
<tr>
<td>• Application of new knowledge or skills</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Improved consensus and teamwork</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>Strengthened disposition or ability to act through improved collaboration within a group of people tied by a common task. This may involve for example, among team members, a stronger agreement or improved</em></td>
</tr>
<tr>
<td>• Communication,</td>
</tr>
<tr>
<td>• Coordination,</td>
</tr>
<tr>
<td>• Cohesion, or</td>
</tr>
<tr>
<td>• Contributions by the team members to the common task</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Strengthened coalitions</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>Strengthened disposition or ability to act through improved collaboration between individuals or groups with diverse objectives to advance a common agenda. This may involve, for example,</em></td>
</tr>
<tr>
<td>• Stronger agreement on a common agenda for action,</td>
</tr>
<tr>
<td>• Increased commitment to act,</td>
</tr>
<tr>
<td>• Improved trust among members, or</td>
</tr>
<tr>
<td>• Improved ability of the coalition members to leverage their diverse strengths</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Enhanced networks</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>Strengthened disposition or ability to act through improved collaboration between individuals or groups with a common interest but not a formal common agenda for action. This may involve, for example,</em></td>
</tr>
<tr>
<td>• Improved processes for collaboration,</td>
</tr>
<tr>
<td>• Stronger incentives for participation in the network, or</td>
</tr>
<tr>
<td>• Increased traffic or communication among network members</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>New implementation know-how</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>Strengthened disposition or ability to act, arising from</em></td>
</tr>
<tr>
<td>• Formulation of policies, strategies, or plans, or</td>
</tr>
<tr>
<td>• Implementation of policies, strategies, or plans</td>
</tr>
<tr>
<td>This may involve, for example, discovery and innovation associated with learning by doing.</td>
</tr>
</tbody>
</table>

Deciding on the ICOs to be achieved requires assessing what local actors need to advance a change process. Once stakeholders identify these outcomes, they can plan support interventions in a more concrete way by:

- **Identifying change agents**: Who are the local actors that will drive change? For example, agents may be individuals or groups of individuals in an organization, such as senior-level officials from the ministry of finance who hold lead responsibility for budget planning.
• **Defining progress markers:** What are local actors expected to do differently to advance the objective? Are changes expected in behaviors, relationships, processes or development actions? For example, improved consensus might be an agreement reached within the ministry of finance among the departments of budget, finance, and accounting on the process for implementing a medium term budget framework.

• **Developing an implementation approach:** What are the most appropriate interventions to achieve the targeted progress markers? For example, which activities would be appropriate for enhancing skills in government to implement a medium term budget framework? A conventional approach would be to conduct a training course on budgeting for local officials. However, semi-structured learning activities—such as peer-to-peer knowledge exchanges or an action-learning workshop—might be more appropriate. Considering the outcomes to achieve helps stakeholders to identify non-conventional activities that could be transformational in the local context to advance results.

<table>
<thead>
<tr>
<th>Progress marker</th>
<th>Examples of Objectives</th>
<th>Examples of Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>Raised awareness</td>
<td>Improve participant confidence and motivation to implement budget reform</td>
<td>Number and percentage of staff in line ministries targeted by a program who report</td>
</tr>
<tr>
<td></td>
<td></td>
<td>improved confidence and motivation to implement budget reform</td>
</tr>
<tr>
<td>Enhanced knowledge or skills</td>
<td>Enhance staff ability to apply new skills in medium term budget planning</td>
<td>Number and percentage of finance division staff trained in macro-economic forecasting</td>
</tr>
<tr>
<td></td>
<td></td>
<td>who apply the tools in planning a medium term budget</td>
</tr>
<tr>
<td>Improved consensus and teamwork</td>
<td>Improve communication and coordination among departments of the ministry of finance on an action plan for implementing a medium term budget framework</td>
<td>Improved communication and coordination within the ministry of finance among the</td>
</tr>
<tr>
<td></td>
<td></td>
<td>departments of budget, finance, and accounting contributed to move forward the</td>
</tr>
<tr>
<td></td>
<td></td>
<td>action plan for implementing a medium term budget framework</td>
</tr>
<tr>
<td>Strengthened coalitions</td>
<td>Advance multiple stakeholders’ common agenda for action to implement a medium term budget framework</td>
<td>Joint plan of action to implement a medium term budget framework moved forward by</td>
</tr>
<tr>
<td></td>
<td></td>
<td>ministry of finance, planning commission, and line ministries</td>
</tr>
<tr>
<td>Enhanced networks</td>
<td>Strengthen the ability of stakeholders with varying agendas but connected by common interests to apply technical standards</td>
<td>Application of common technical standards among community of practice of local budget directors</td>
</tr>
<tr>
<td>New implementation know-how</td>
<td>Formulate the ministry of finance and line ministries’ implementation strategy for the medium term budget framework through an experiential participatory process</td>
<td>Strategy for implementation of medium term budget framework developed by ministry of finance and line ministries, based on a learning-by-doing approach</td>
</tr>
</tbody>
</table>
Appendix F: Checklist for Identifying Progress Markers

Use the checklist in a meeting to identify the types of progress markers that are important to each goal.

**Each progress marker should:**
- Be an important milestone to track progress toward the objectives
- Be clear, precise and measurable
- Be achievable in the target time frame

**Types of intermediate capacity outcomes related to change management:**
- **Raised awareness**, e.g., Increased motivation of private sector representatives to participate more actively in dialogue with government
- **Enhanced knowledge or skills**, e.g., Finance division staff ability enhanced to apply new skills in budget planning
- **Improved consensus and teamwork**, e.g., Agreement reached between ministry of finance and planning commission to work together on budget framework
- **Strengthened coalitions**, e.g. Rural development committees established
- **Enhanced networks**, e.g., Community of practice created on results focused planning
- **New implementation know-how**, e.g., Revised legal and regulatory framework reflecting new business processes adopted

<table>
<thead>
<tr>
<th>Types of Intermediate Capacity Outcomes</th>
<th>Examples of change management outcomes that could be specified</th>
<th>Describe relevant outcome(s) in context</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Raised awareness</strong>: Do the agents of change need to understand the current challenges related to the objective and their role in achieving it?</td>
<td>New understanding</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Attitude/confidence/ motivation improved</td>
<td></td>
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<tr>
<td></td>
<td>Other _____________</td>
<td></td>
</tr>
<tr>
<td><strong>Enhanced knowledge and skills</strong>: Do the agents of change need to gain knowledge and technical skills to achieve the objective?</td>
<td>Acquisition of new knowledge or skills</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Application of new knowledge or skills</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Other _____________</td>
<td></td>
</tr>
<tr>
<td><strong>Improved consensus and teamwork</strong>: Do the agents of change need to coordinate, communicate or cooperate in their work to achieve the objective?</td>
<td>Communication improved</td>
<td></td>
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<tr>
<td></td>
<td>Cohesion/contributions initiated/expanded</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Consensus reached</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Coordination increased/improved</td>
<td></td>
</tr>
<tr>
<td>Types of Intermediate Capacity Outcomes</td>
<td>Examples of change management outcomes that could be specified</td>
<td>Describe relevant outcome(s) in context</td>
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<tr>
<td>----------------------------------------</td>
<td>---------------------------------------------------------------</td>
<td>----------------------------------------</td>
</tr>
<tr>
<td><strong>Strengthened coalitions:</strong>* Do the agents of change need to have a common agenda for action and vision for how they will achieve the objective?</td>
<td>Common agenda for action initiated</td>
<td>Common interest reached/advanced</td>
</tr>
<tr>
<td></td>
<td>Commitment to act created/expanded</td>
<td>Processes for collaboration established/expanded</td>
</tr>
<tr>
<td></td>
<td>Trust expanded/reached</td>
<td>Incentives for participation agreed upon</td>
</tr>
<tr>
<td></td>
<td>Leveraging of strengths initiated/expanded</td>
<td>Action steps/plan formulated</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Traffic/ action generated</td>
</tr>
<tr>
<td></td>
<td>Other ____________________</td>
<td>Other ____________________</td>
</tr>
<tr>
<td><strong>Enhanced networks:</strong>* Do the agents of change need to collaborate with partners to achieve the objective?</td>
<td>Common interest reached/advanced</td>
<td>Common interest reached/advanced</td>
</tr>
<tr>
<td></td>
<td>Processes for collaboration established/expanded</td>
<td>Processes for collaboration established/expanded</td>
</tr>
<tr>
<td></td>
<td>Incentives for participation agreed upon</td>
<td>Incentives for participation agreed upon</td>
</tr>
<tr>
<td></td>
<td>Action steps/plan formulated</td>
<td>Action steps/plan formulated</td>
</tr>
<tr>
<td></td>
<td>Traffic/action generated</td>
<td>Traffic/action generated</td>
</tr>
<tr>
<td></td>
<td>Other ____________________</td>
<td>Other ____________________</td>
</tr>
<tr>
<td><strong>New implementation know-how:</strong>* Do the agents of change need to create and/or implement a policy, strategy or plan that helps them achieve the objective?</td>
<td>Policies, strategies, or plans formulated</td>
<td>Policies, strategies, or plans formulated</td>
</tr>
<tr>
<td></td>
<td>Policies, strategies, or plans implemented</td>
<td>Policies, strategies, or plans implemented</td>
</tr>
<tr>
<td></td>
<td>Other ____________________</td>
<td>Other ____________________</td>
</tr>
</tbody>
</table>
Appendix G: Example Indicators for Measuring Objectives

All objectives should be based on institutional capacity.

Assigning effective indicators to monitor the achievement of objectives requires thinking through how these changes in identified capacity constraints can be observed and measured to confirm that the capacity development outcomes have been achieved.

The process of selecting indicators should always include consideration of existing data sources and/or the feasibility of collecting the relevant data. Changes in stakeholder perspectives or behaviors are often tracked via survey data whereas changes in the operational efficiency of an organization might be captured through the analysis of existing administrative records.

The following tables provide examples of indicators used in existing World Bank projects to assess the achievement of objectives. These examples demonstrate how changes in specific characteristics related to the outcome could be observed and measured to assess whether the targeted objective is being achieved.

### Examples of Indicators to Assess Changes in the Strength of Stakeholder Ownership

<table>
<thead>
<tr>
<th>Development Goal</th>
<th>Objective</th>
<th>Indicator</th>
<th>Data Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Promote environmentally sustainable urban transport</td>
<td>Increased use of Bus Rapid Transit System</td>
<td>Percentage of surveyed residents who perceive that walking and cycling have become safer and more comfortable in project area</td>
<td>Intercept Surveys</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Proportion of Bus Rapid Transit System riders accessing the system through bicycles or on foot</td>
<td></td>
</tr>
<tr>
<td>Establish a functioning local government system</td>
<td>Improved transparency of information regarding decentralization efforts</td>
<td>Percentage of households that reported hearing about government efforts from an official source: How do you hear about what the government is doing?</td>
<td>Institutional Reform and Capacity Building Project National Public Services Survey</td>
</tr>
<tr>
<td></td>
<td></td>
<td>-no source</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>-relatives, friends, neighbors, co-workers</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>-community bulletin board</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>-village headman/headwoman</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>-paramount or section chief/chiefdom officials</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>-newspaper</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>-radio</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>-TV</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>-Other</td>
<td></td>
</tr>
<tr>
<td>Improve public services in targeted urban areas</td>
<td>Increased participation of community stakeholders in decisions regarding local public services</td>
<td>Participation rate of poorest and vulnerable community members in planning and decision-making meetings</td>
<td>Management Information System of Oversight Consultant</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Participation rate of women in planning and decision-making meetings</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Percentage of <em>kelurahans</em> (urban wards) with established community boards of trustees</td>
<td></td>
</tr>
</tbody>
</table>
### Examples of Indicators to Assess Changes in the Efficiency of Policy Instruments

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

### Examples of Indicators to Assess Changes in the Effectiveness of Organizational Arrangements

<table>
<thead>
<tr>
<th>Development Goal</th>
<th>Objective</th>
<th>Indicator</th>
<th>Data Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improve sustainable access to safe water supply</td>
<td>Increased financial viability of the Water and Sewerage Authority</td>
<td>Operational cost ratio (percentage cost recovery) of Water and Sewerage Authority</td>
<td>Audited Financial Statements of Water and Sewerage Authority</td>
</tr>
<tr>
<td>Improve employment rates</td>
<td>Increased level of employment of individuals using labor office services</td>
<td>Percentage of respondents, ages 14 and older, who indicated they found their job through the labor office</td>
<td>Living Standards Measurement Survey</td>
</tr>
<tr>
<td>Improve land tenure security</td>
<td>Reduced cost of land registration process at test department</td>
<td>Per unit cost and time of regularization process</td>
<td>Intendance titling information system</td>
</tr>
</tbody>
</table>
### Appendix G: Monitoring Plan Template

<table>
<thead>
<tr>
<th>Result</th>
<th>Indicator(s)</th>
<th>Baseline</th>
<th>Target</th>
<th>Data Source</th>
<th>Responsibility</th>
<th>Reporting Arrangements</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>What unit of change should be used to measure the desired state or transformation?</td>
<td>What is the current status?</td>
<td>What value should be reached by the target date?</td>
<td>Where is the data available? Or how will it be collected?</td>
<td>Who is responsible for monitoring the indicator?</td>
<td>How often should the data be monitored and reported?</td>
</tr>
<tr>
<td>Sector goal 1:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Objective 1.1:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Progress marker 1.1.1:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Progress marker 1.1.2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Objective 1.2:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Progress marker 1.2.1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Objective 1.3:</td>
<td></td>
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</tbody>
</table>

**Guidance:**
Completing the Monitoring Plan requires teams to focus on and determine the following elements:

- **Indicator** – The ‘value’ or the unit for which the degree of change will be assessed. For example, indicators can include frequencies, percentages, averages, medians, costs, ratios, percentage changes and comparisons.

- **Baseline values.** Without identifying a current or recent value for an outcome indicator, practitioners will find it difficult or impossible to determine whether the desired progress is
happening. The construction of baseline values for outcome indicators can be based on available secondary data sources, which can be refined through subsequent work.

- **Target values.** Teams should consider how quickly the value of indicators can be expected to change. Medium-term outcomes might have targets set for one (end) or two (midterm and end) points over the CPS period. Shorter-term outcomes are likely to be monitored more frequently and could have annual targets. Factors to consider in setting targets include:
  
  o **Baseline situation.** How has the relevant organization or policy performed over the previous few years?
  
  o **Expected funding and resource levels.** What change is feasible given resources and organizational capacity to deliver activities and outputs?
  
  o **Level of priority.** What performance are stakeholders demanding? Have targets already been set in relevant policy documents?
  
  o **Flexibility.** How might internal or external resources change during the designated period?

If, in setting targets, teams determine that a particular outcome is likely to take longer than the designated period to achieve, they should circle back to the previous steps to rethink and refine the strategic objective and progress marker(s). This is a particularly important in a fragile country context where shorter-term gains in institutional capacity are critically needed for sustaining longer-term development.

- **Data sources or methods for data collection.** Practitioners should again think through how the value of each indicator will be assessed, relying on the use of existing data sources or proven methods where possible.

- **The agent(s) responsible for collecting or providing the data.** Often, multiple field-based agents are required to provide data or reports to a central body, and it is critical that teams determine how this data can be reliably collected, compiled and analyzed. A specific unit within a ministry, agency or other organization (such as a non-state actor) should be accountable for monitoring each indicator

- **Designated intervals (frequency) at which the data will be collected or provided.** The timing of monitoring will be determined in part by the availability of data. In addition, the frequency of monitoring should be designed around reporting and decision-making requirements: information should be available when it is needed.
Appendix H: Checklist for Strategy Document Content

- Background or context for the strategy
- Summary of experiences and lessons learned from previous strategies

- Strategy (includes information for each sector/theme and level as relevant)
  - Context
  - Goals
  - Constraints
  - Objectives and outcomes
  - Change agents and change processes
  - Intermediate outcomes
  - Priority interventions
  - Implementation arrangements

- Coordination of interventions to support planning
- Summary of results framework and monitoring arrangements
- Resource mobilization strategy

- Budget framework

- Appendices:
  - Complete results framework
  - Complete monitoring plan
  - Budgetary framework and financing plan