

DEVELOPMENT CO-OPERATION DIRECTORATE

MEASURING THE IMPACT OF CAPACITY-BUILDING INITIATIVES

15th Workshop of the OECD Development Assistance Committee (DAC)'s Results Community

18-20 October 2023

This document contains background material presented during discussions in the session on measuring the impact of capacity-building initiatives at the 15th Annual Workshop of the DAC Results Community, "Learning Together for Better Results".

The workshop took place on 18-20 October 2023. It aimed to help development professionals use the new OECD Toolkit on results-based management (RBM), *Impact by Design*, and to benefit from a series of peer-learning sessions on a diverse range of topics faced by RBM practitioners.

The OECD DAC Results Community is an open community of practice dedicated to enhancing the impact of development co-operation. Its purpose is to foster exchange and drive collective learning among development co-operation providers, partners and other stakeholders.

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JT03534768

An illustration of a community workshop taking place in a large, ornate hall. The room features high ceilings, large arched windows, and decorative wall panels. A group of people, including men and women, are seated in rows of chairs, facing a long wooden table at the front of the room. Several individuals are standing behind the table, and one person is standing at a podium, addressing the group. The atmosphere is formal and professional.

2023 OECD/DAC Results Community Workshop

8. Measuring the Impact of Capacity-Building Initiatives



Juan Casado-Asensio

OECD, ENVIRONET Secretariat

2023 OECD/DAC Results Community Workshop

Capacity development: overview and trends among DAC members

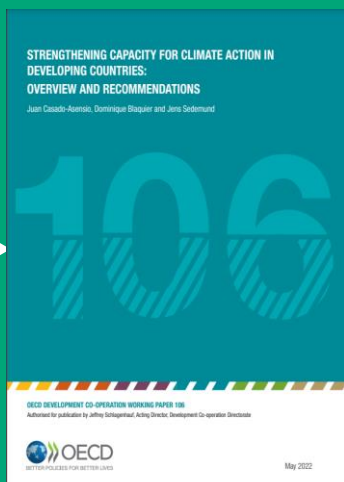
***Juan Casado-Asensio
Development Co-operation Directorate***

Overview

- No universally agreed definition
- But essential:
 - Social change
 - Long-term learning
 - Exchange of knowledge
- Donor engagement since 50s, picking up in 90s: 'buzzword'

- DAC Definition (2006): “*process whereby **people, organisations** and **society** as a whole unleash, strengthen, create, adapt and maintain capacity over time*”
- **Three levels (+ interactions):**
 - Individual competencies (knowledge, skills and ability to set and achieve objectives);
 - Organisational structures, functions and systems;
 - Enabling environment (policy, legal, regulatory, etc)

- OECD definition consistent with others (e.g. UNDP, academia)
- Broad range of modalities:
 - Workshops, seminars, trainings, education, scholarships
 - Exchange programmes, mentoring, peer-to-peer networks, helpdesks, consultations
 - Awareness raising, advocacy, media campaigns

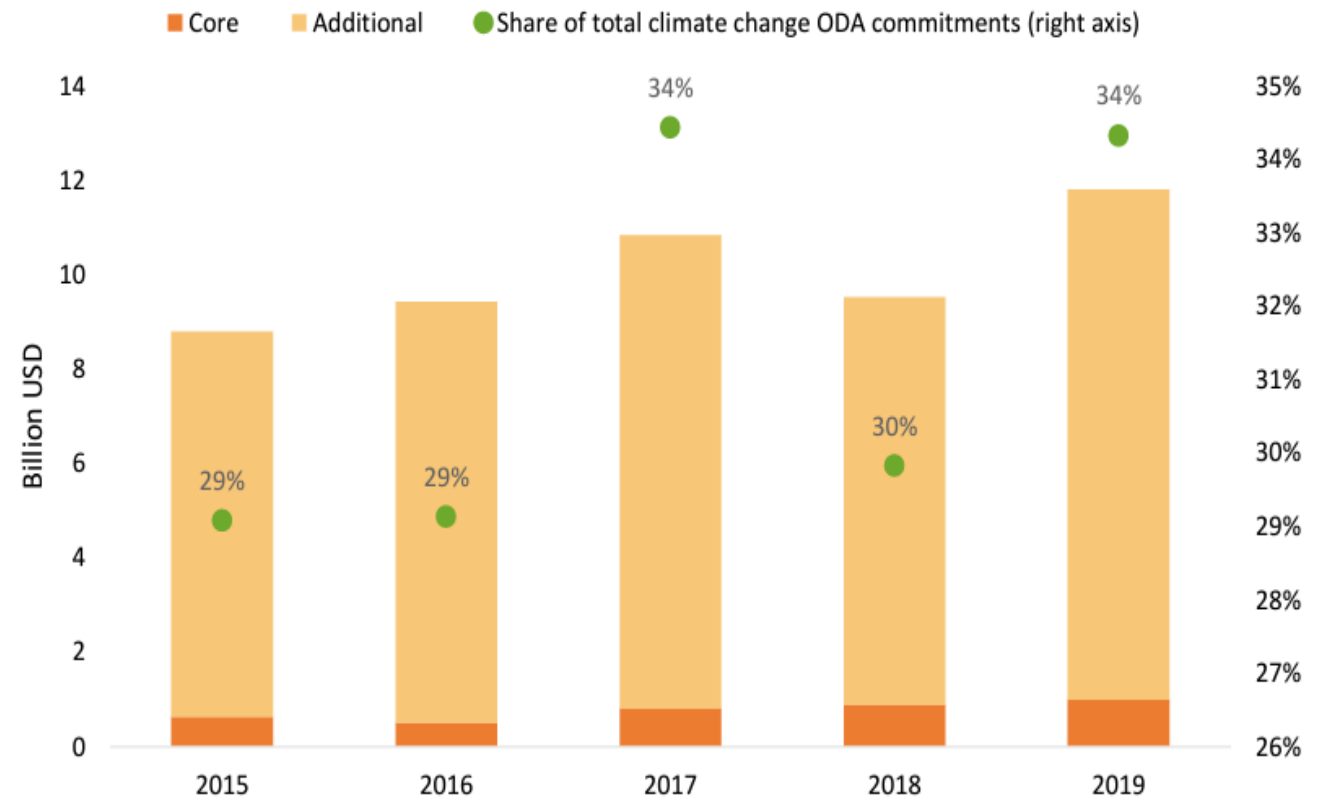


ODA trends, capacity and climate

- Important for DAC members (e.g. up to 1/3 of climate-related ODA)
- Key input for partner countries (even all ODA for climate!)
- But...
 - Despite knowledge of needs and bottlenecks, gaps persist or grow
 - Effectiveness and impact of interventions
 - Sustainability

Overall climate-related capacity development trends, 2015-19

Bilateral commitments, billion USD, constant 2019 prices



Source: (OECD, n.d.^[97])

Overall recommendations

More flexibility

CD needed and valued
Review current CD models
Donors as facilitators

More systemic approaches

Embed CD within development activities (and vice-versa)
Using all forms of capacity development

New partnerships

Focus on locally managed organisations, MSMEs, academia, communities

Regional and triangular co-operation

Make use of all modalities
Diversify the pool of donors available on the ground

Donor exit strategies

Longer timeframes (multi-year)
Landscape and integrated sector management
More evaluations

Thank you!

Juan.CasadoAsensio@oecd.org

Maurya West Meiers

World Bank

2023 OECD/DAC Results Community Workshop

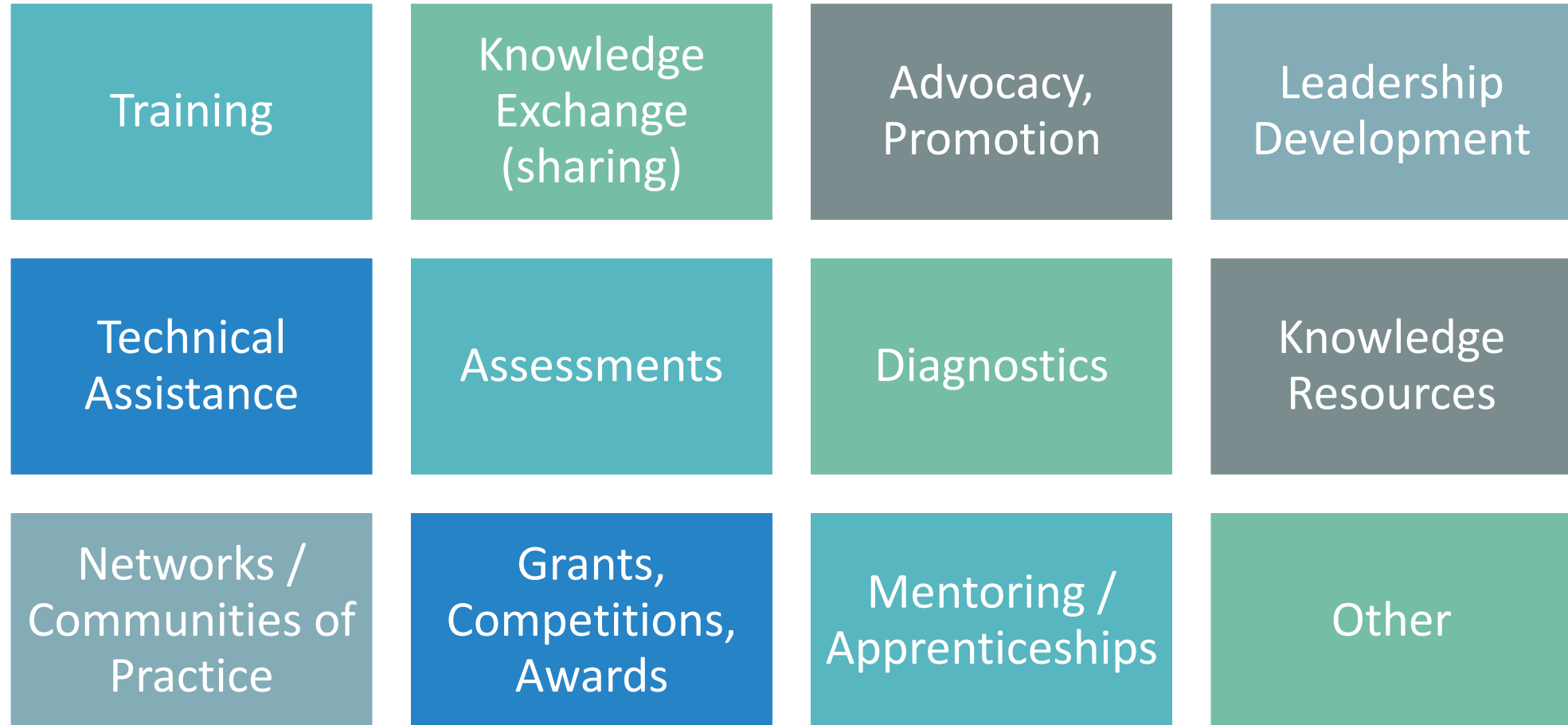
Measuring the impact of capacity- building initiatives

Maurya West Meiers, Senior Operations Officer, World Bank

October 19, 2023

Reminder on Capacity Development Modalities:

Training is necessary, but insufficient!



FAO Example of CD Modalities contributing to the three CD levels

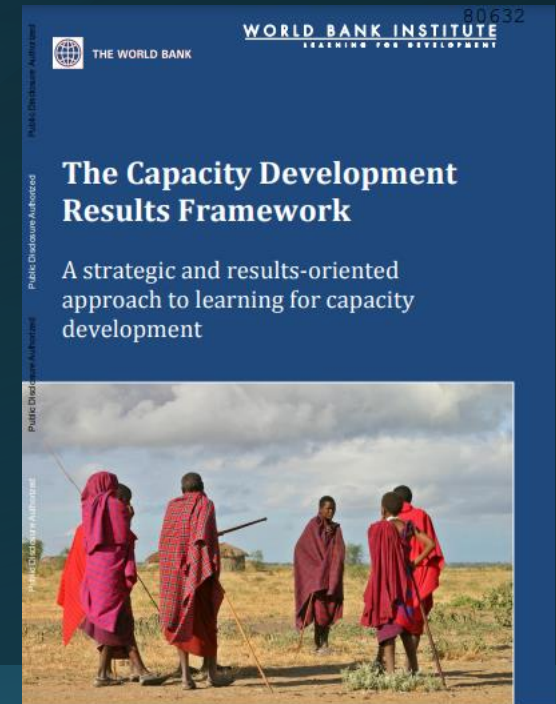
Figure 1: Key CD modalities used by FAO



Source: FAO CD Learning Module 1 (2015a)

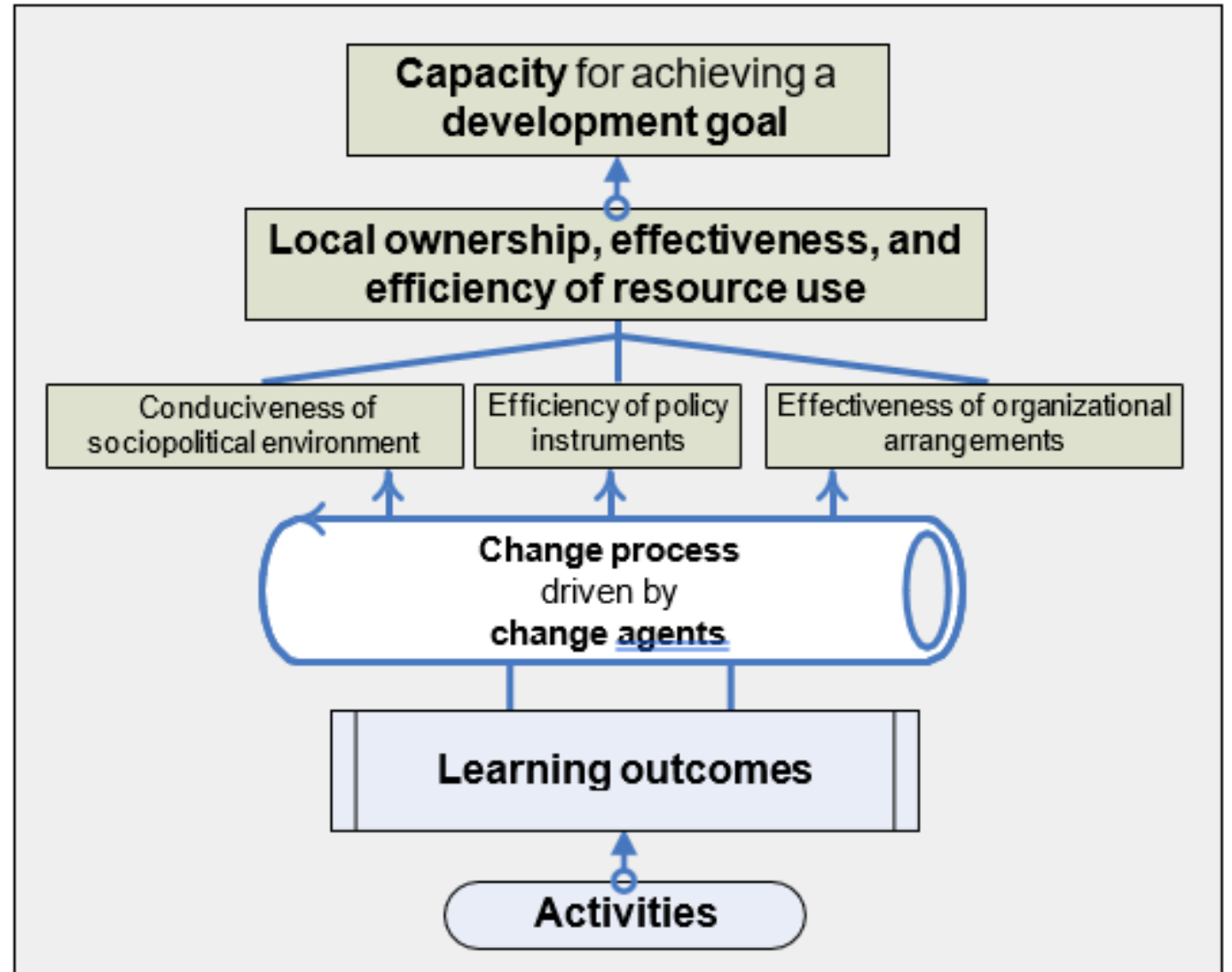
Section A. CD Results Frameworks, Indicators and Evidence

- Source for Section A Info: *The capacity development results framework : a strategic and results-oriented approach to learning for capacity development*, World Bank
- <http://documents.worldbank.org/curated/en/482971468188374127/The-capacity-development-results-framework-a-strategic-and-results-oriented-approach-to-learning-for-capacity-development>

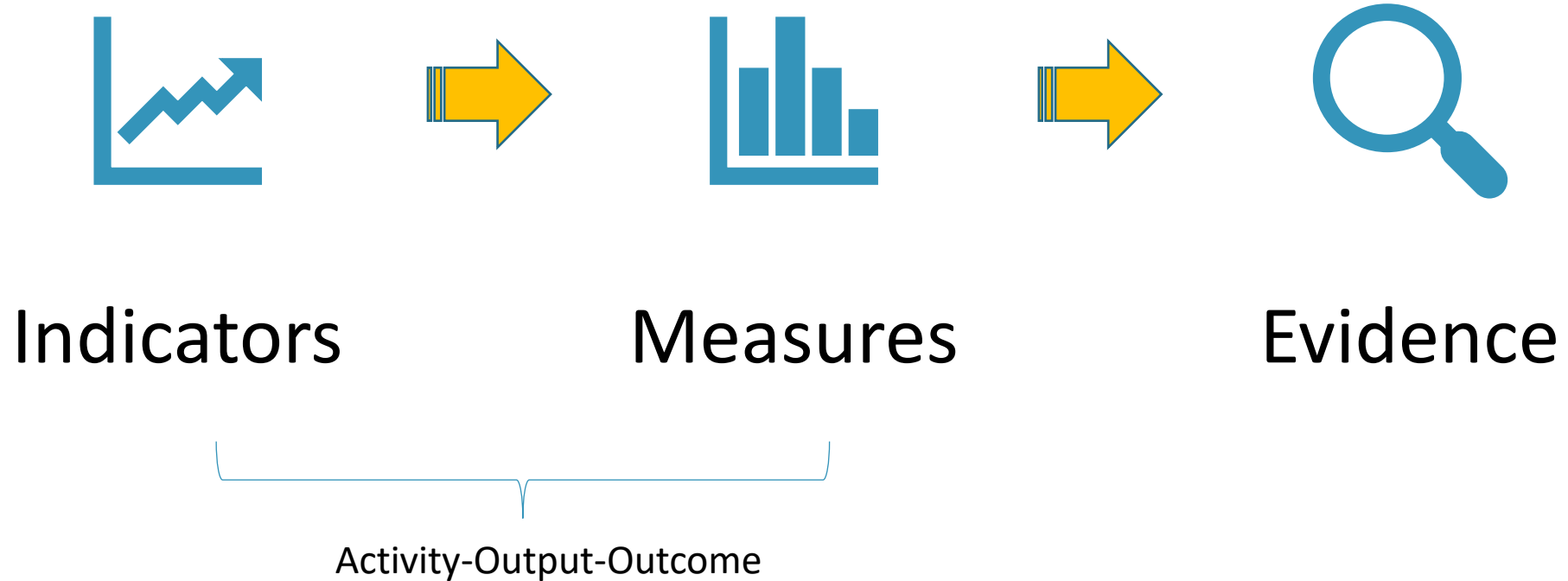


Principal Elements of the Capacity Development Results Framework

Figure 2.1 Principal elements of the Capacity Development Results Framework



To support your higher-level development objectives, plan for multiple and layered



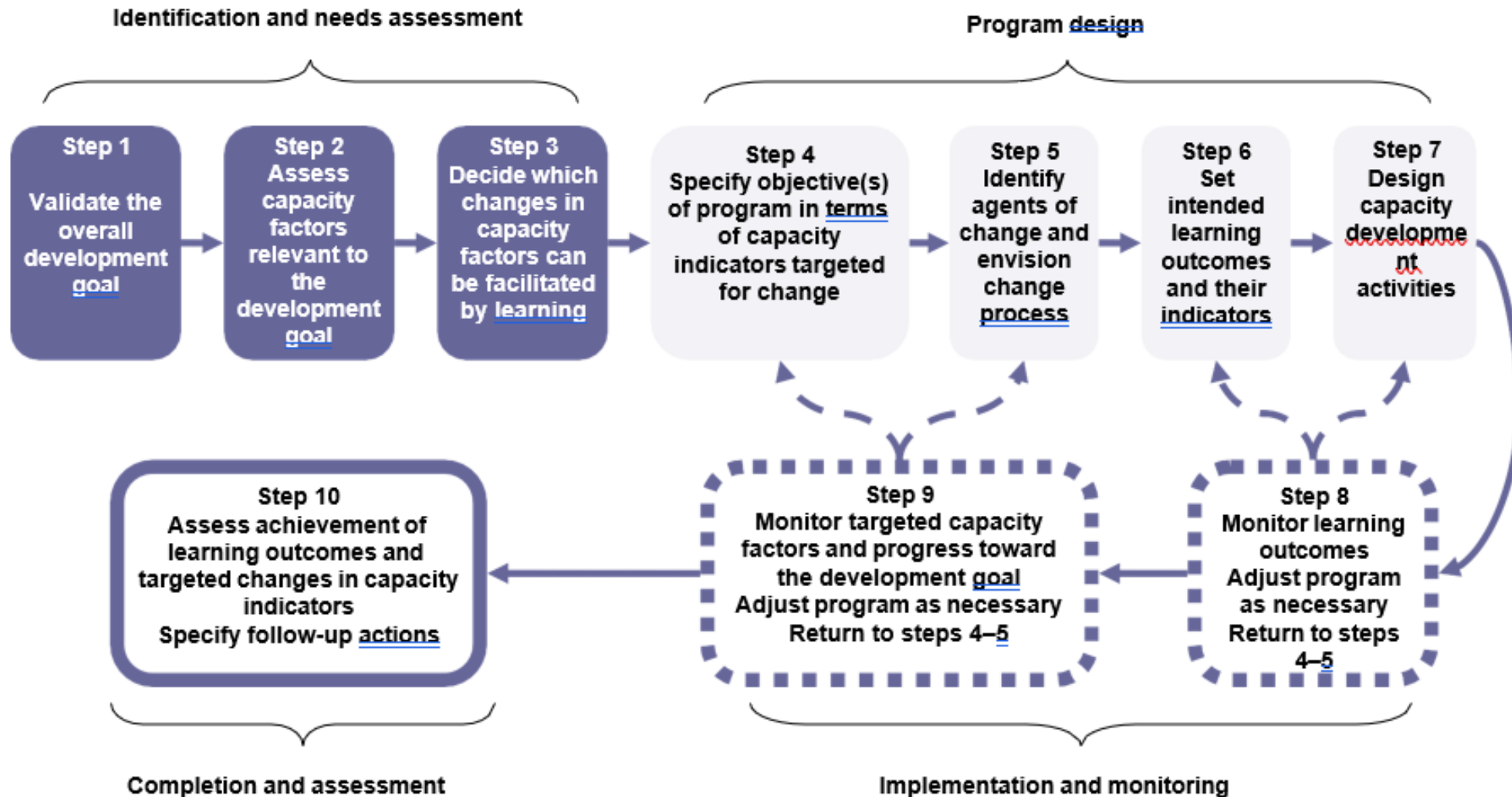
Six learning outcomes and associated generic learning objectives (CDRF)

Learning outcomes	Generic learning objectives	
1. Raised awareness	Participant understanding of an issue or situation improved Participant attitude improved Participant confidence improved Participant motivation improved	Altered Status
2. Enhanced skills/knowledge	New skills/knowledge acquired New skills/knowledge applied	
3. Improved consensus/teamwork	Discussion initiated/resumed/activated Participatory process initiated/expanded Consensus reached Action steps/plan formulated/improved Collaboration increased/improved	Altered Processes
4. Fostered coalitions/networks	Discussion initiated/resumed/activated Participatory process initiated/improved Informal network(s) created/expanded Formal partnerships or coalitions created/expanded	
5. Formulated policy/strategy	Stakeholders involved in process Policy/strategy needs assessment completed Stakeholder agreement reached Action steps/plan formulated Monitoring and evaluation plan designed Policy/reform/strategy/law proposed to decision-makers	New Products
6. Implemented strategy/plan	Implementation steps formulated Monitoring and evaluation initiated Implementation steps initiated Implementation know-how improved	

Examples of indicators, measures and evidence for six learning outcomes (CDRF)

Learning outcomes	Generic results indicator	Specific results indicator	Measures of indicators	Evidence
Raised awareness	Participants' motivation increased	Private sector representatives are motivated to participate more actively in the dialogue with the government	Number of participant private sector representatives who report increased motivation	Feedback from participants, website forum
Enhanced skills	New skills/ knowledge used	Trained reform commission staff use new skills to perform their regulatory impact evaluations responsibilities	Share of trained staff who use new skills to assist Ministries with evaluations and ensure quality control	Statistics from the regulatory reform commission
Improved consensus/ teamwork	Reach stakeholder agreement	Improved consensus among stakeholders during regulatory impact evaluation process	Share of respondent stakeholders who agree with conclusions of published regulatory impact evaluation	Web-based survey of stakeholders involved in regulatory impact evaluation
Fostered coalitions/networks	Formal partnership created	Created informal knowledge- sharing networks between national and international community of regulatory practitioners	Share of respondent regulatory practitioners report receiving help/advice through the network	Responses to survey of regulatory practitioners
Formulated policy/strategy	Strategy proposed to decision-makers	Regulatory Reform Strategy proposed to the Parliament	Official strategy document submitted by the regulatory reform commission to the Parliament	Information from the Parliament
Implemented strategy/plan	Client implemented new strategy or plan	Implement impact evaluation action plan for public consultations with the stakeholders	Consultation process established and functioning	Information from the ministries on the number of consultations held

The CDRF program cycle: a step-by-step view



Section B. Models for Assessing CD

Common models for assessing learning

Kirkpatrick's 4 Levels

Kaufman's 5 Levels (Societal Value Added)

Phillips 5th Level - Financial Return on Investment

Kraiger's 3 Types of Objectives: Cognitive, Skills, Affective

Brinkeroff's Success Case Methods (SCM)

Kirkpatrick's 4 Levels



Level 1: Reaction (Satisfaction)

Example, did they like it?



Level 2: Learning

Example, did they learn?



Level 3: Behavior (Application)

Example, were they able
to apply what they
learned?



Level 4: Results (Value)

Example, did their
application add value for
the organization?

Usually assessed through surveys, pre-tests/post-tests, structured observations, etc.

Typically assessed through broader 'evaluations' with differences in eval questions asked and eval design approaches

Immediate / Early

WHEN?

Later

Kirkpatrick's 4 Levels In Use

Level of Evaluation	Stakeholder Interest	Difficulty to Assess	Value of Information	Frequency of Use
1. Reaction	Participants	Easy	Lowest	Frequent
2. Learning				
3. Behavior				
4. Results				
	Management	Difficult	Highest	Infrequent

Section C. Attribution and Contribution + Time Considerations

Some key CD challenges on achieving and assessing higher levels of results....



MULTIPLE PATHWAYS to Results

- **Non-linear**
- **Layered** modalities / interventions



TIMING

- **Latent capacity** - Utilization and performance changes are often/usually not immediate.
- **'Standing capacity'** considerations.
- **Dependencies on other things** need to fall into place for full utilization/changes to occur – usually.



MEASUREMENT DIFFICULTIES

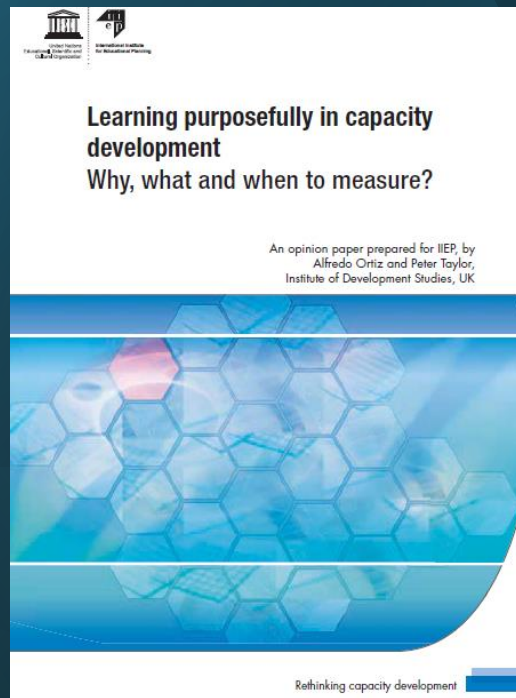
- **Expertise** required on assessment tools (e.g., psychometricians for testing, survey and stats experts, etc).
- **Suspect recall** of CD subjects.
- **Qualitative-heavy approaches** – expensive to do well.
- **Assessment of Organizational and Enabling Environment Levels** – **Hard and expensive** to assess systems and societal changes (complexity, etc.)



UNDERSTANDING OF CD

- Assessors and decision-makers often have **poorly informed understanding of practices and literature of CD**, Knowledge, Learning, Performance, Etc..

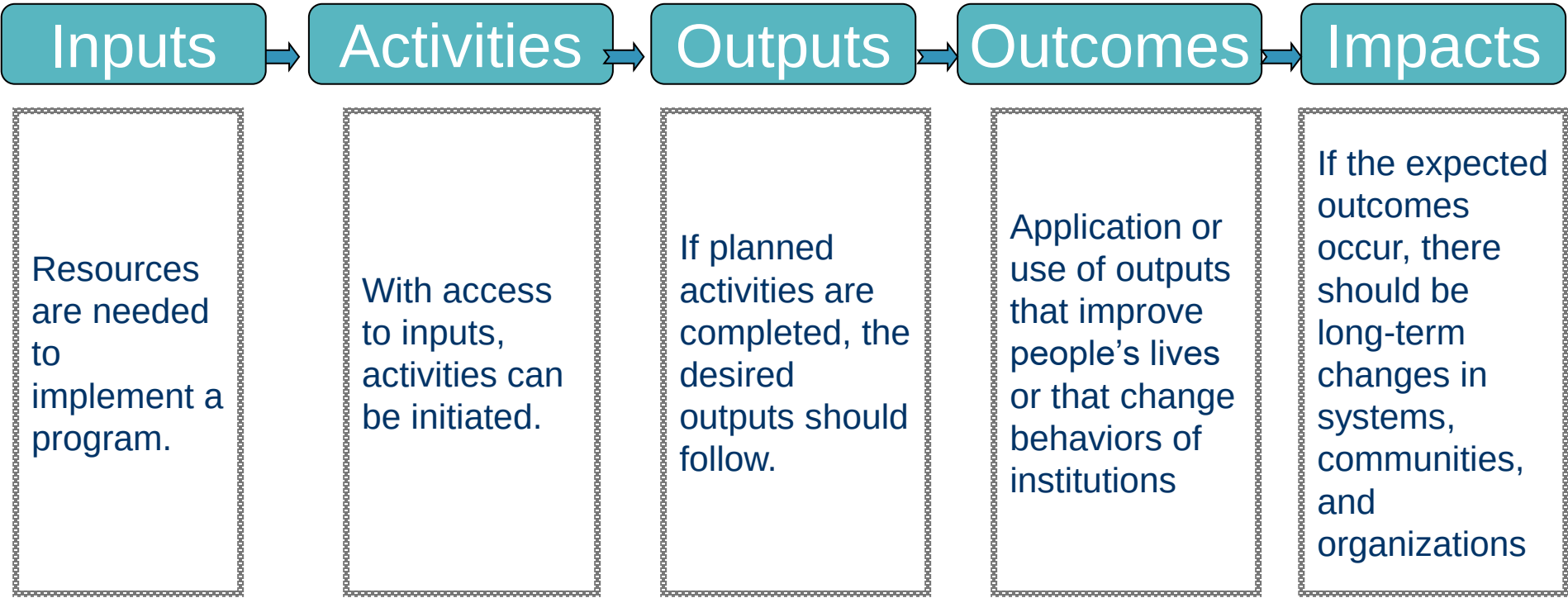
Standing Capacity



See Ortiz and Taylor for more info on standing capacity and their categorization of (1) basic functionalities; and (2) organizational talents.

- CD interventions and assessments should consider **‘standing’ or ‘reserve’ capacities when needed in the future**— not only those capacities that generate immediate performance changes.
- Instead, we should plan for individual, organizational and system changes beyond what we do routinely. **Do we have standing capacity to deal with the non-routine matters?**
- **Examples:**
 - Individual level - Office workers (non-health specialists) trained and certified to administer 1st aid / CPR – can administer when needed.
 - Organizational and system levels
 - Health system responses to pandemics.
 - Banking sector systems able to deal with shocks – through CD of bank stress testing, regulatory compliance arrangements, etc.

How to read a logic model



The planned work

The intended results

Diminishing Control

Some results can be negative.
Increased manufacturing output could lead to economic improvements (positive) but more pollution (negative).

Assumptions & Risks

Other Factors –
External or Internal

Typical Level and Timing Differences for Monitoring and Evaluation



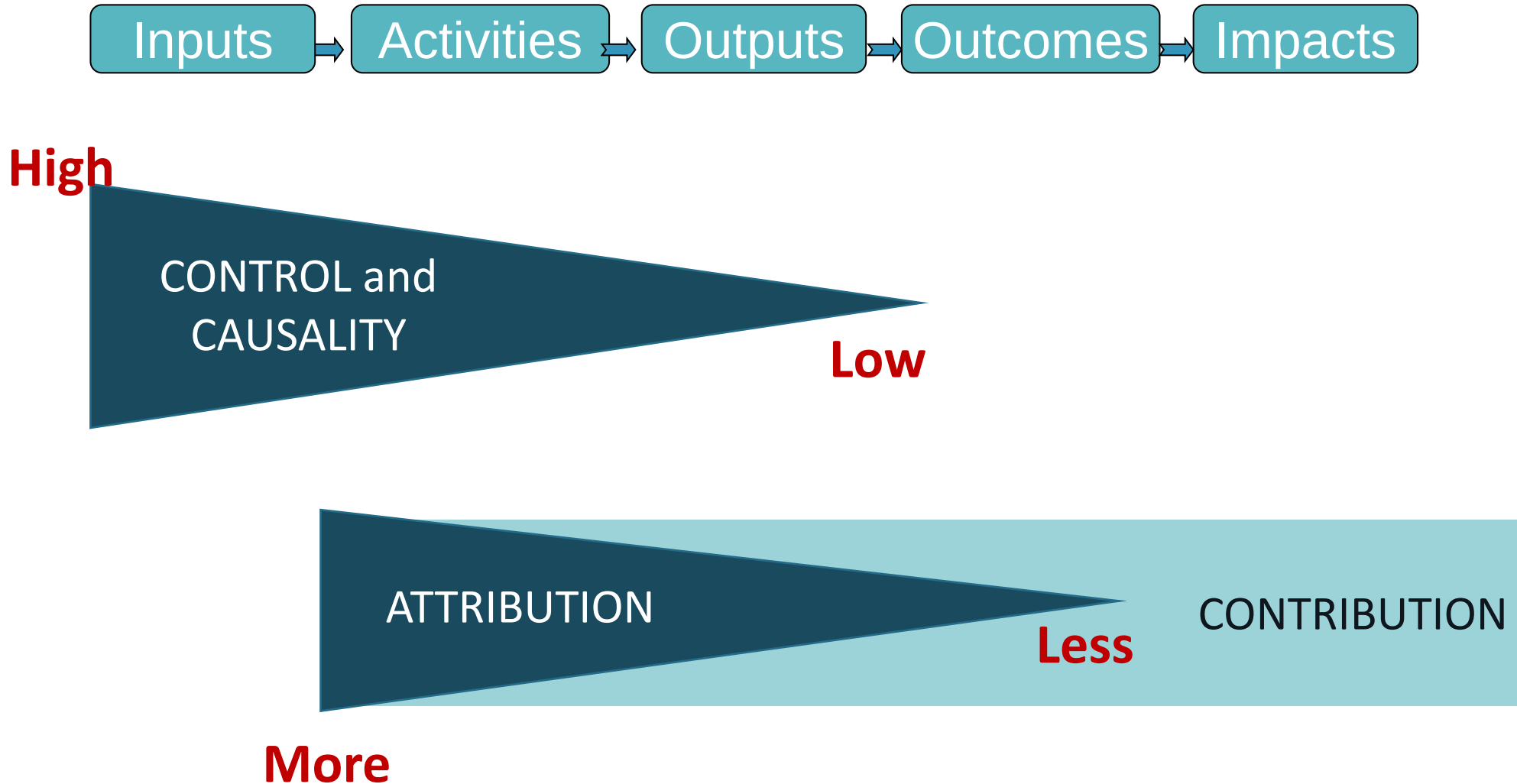
Sample Monitoring Questions:

How much are we...
How often are we...
Who participated...

Sample Evaluation Questions:

What happened after...
Was it worth it to...
Who benefited from...

Considerations: Control, Causality, Attribution, Contribution





Final Takeaways

If planning to assess CD initiatives, consider these tips:

- Engage experts in both CD and CD assessments.
- Consult CD (and/or Knowledge, Learning, Performance) literature. Also, Systems and Complexity literature.
- Look at models for CD planning and assessment – provided here and elsewhere.
- In the *evaluation design*, work with your stakeholders on what you want to know, who wants to know it, how it will be used, and the level of precision needed.
- Plan for piloting some initial changes, iterations, and refinements.
- Remember that CD is a long-haul activity----but highly worthwhile when done right and with a long-term approach in mind.

Resources

- Various CD guides from MDBs, bilaterals, OECD, research organizations, non-profits, etc.
- The capacity development results framework: A strategic and results-oriented approach to learning for capacity development, World Bank
- Learning purposefully in capacity development: Why, what and when to measure? An opinion paper prepared for IIEP, by Alfredo Ortiz and Peter Taylor, Institute of Development Studies, UK
- Kirkpatrick's Four Levels of Training Evaluation
- Roger Kaufman Resources (various)
- Performance Evaluation: Proven Approaches for Improving Program and Organizational Performance (Research Methods for the Social Sciences), Ingrid J. Guerra-López
- Understanding Dimensions of Organizational Evaluation Capacity. American Journal of Evaluation, 34(3), 299-319. Bourgeois, I., & Cousins, J. B. (2013).
- International Society for Performance Improvement (various resources)
- American Evaluation Association (various resources and journal articles)

Marta Collu

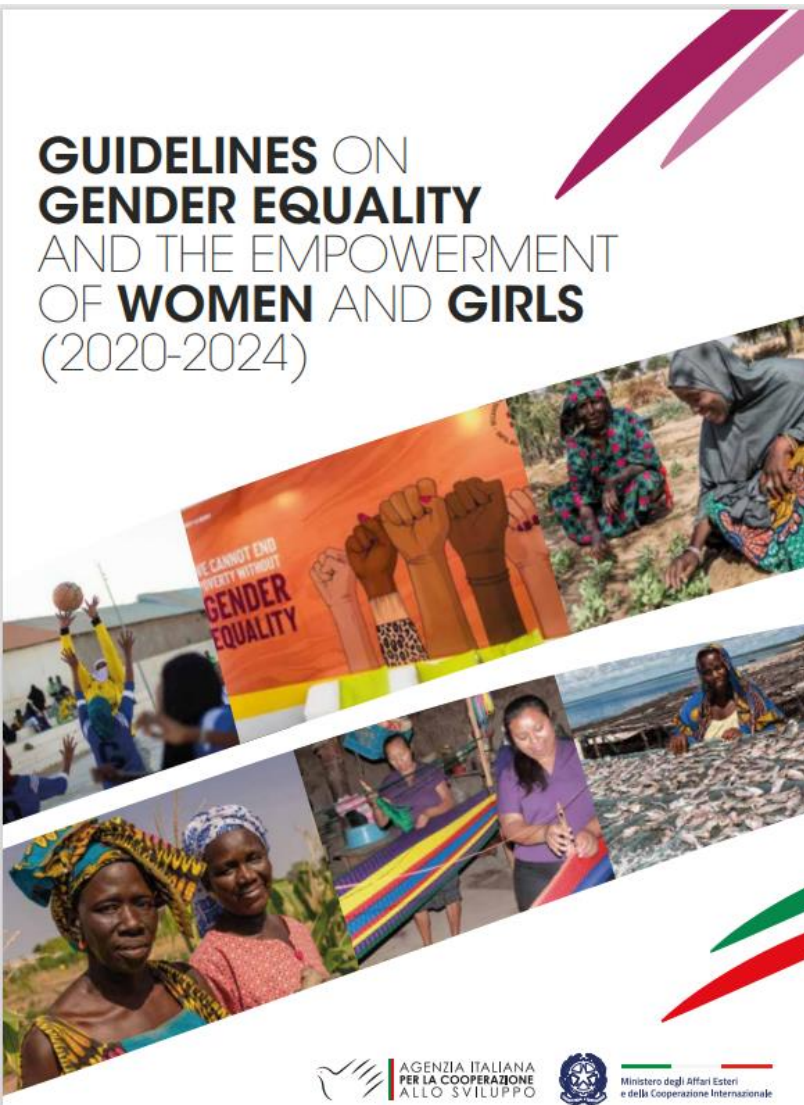
AICS, Italy

2023 OECD/DAC Results Community Workshop

Operational Manual on Gender analysis: the AICS approach

Marta Collu – *Gender Focal Point*

Operational Toolkits on Gender Equality



Guidelines' commitment:

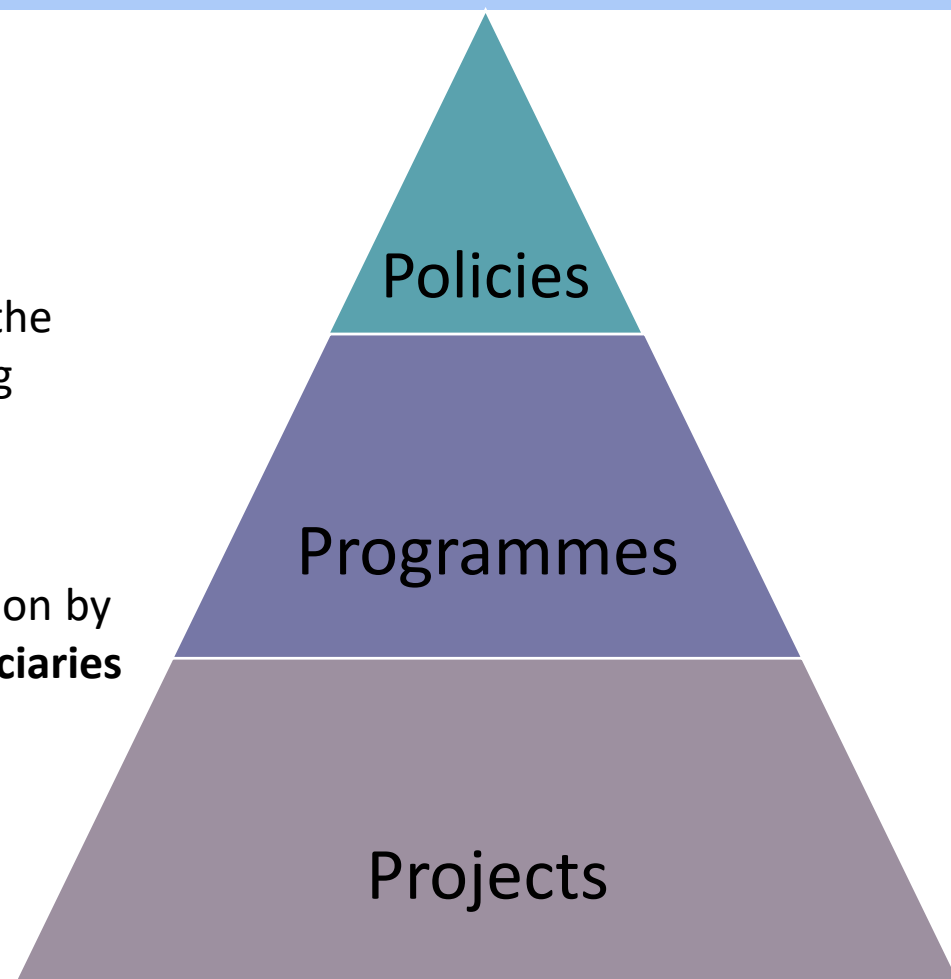
AICS will start developing tools to ensure that each initiative, whether bilateral or multilateral, contains gender analysis, gender- and age-disaggregated data and a monitoring and evaluation system including gender indicators



**MANUALE
PER L'ANALISI DI GENERE**

Operational Manual on Gender analysis: **OBJECTIVE**

- ❖ Provide a standardized and consistent **methodology** for the elaboration of **gender analysis**
- ❖ Enhancing technical **staff competencies** for the promotion of gender equality and promoting gender **mainstreaming** in all its action.
- ❖ Support policies/programme/project design/implementation/monitoring/evaluation by **CSOs, local partners, authorities and beneficiaries** (to be translated in EN, FR and SP)



Operational Manual on Gender analysis: **DRAFTING PROCESS**

Zero draft:

- AICS Rome – Gender focal point and expert
- AICS Dakar – Gender focal point

Rev1

- AID Effectiveness Team

Rev2

- Thematic Offices (Environment; Economic Development; Human Development; Food Security; Humanitarian Aid and Fragility; CSO & Private Sector)
- AICS Field Offices (Gender focal points)

Final draft

- Ministry of Foreign Affairs and International Cooperation

- ❖ **Data collection:** primary and secondary data (“how to collect primary data?”)
- ❖ **Monitoring and Evaluation:** update the monitoring and evaluation system to be gender-responsive
- ❖ **Implementation:** human resources and time frame
- ❖ **Cultural and institutional change:** gender analysis based on data as a value (“why are gender analysis important?”)