Using Results Frameworks to Connect Development Outcomes, Management, Aid, Monitoring and Evaluation:

Emerging Research on the Principles Underpinning Country and Sector Results and Outcomes Frameworks

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Overview of presentation

- Context – changing paradigms in development and evaluation
- PhD research focus – why frameworks?
- Problem – low use of frameworks and implications
- Knowledge gap - principles underpinning frameworks and practice
- What are country and sector results and outcomes frameworks? Key terms. Examples – Uganda, New Zealand
- Changes to paradigms - reconceptualising development and evaluation
- Emerging good practice principles and implications
- Next steps in research

Context - development and evaluation

- New paradigms in development and aid are emerging:
  - shift of focus to developing countries becoming driving force of their own development and country systems
    - country system - "*national arrangements and procedures for public financial management, procurement, audit, monitoring and evaluation and social and environmental procedures*" (OECD, 2009)
    - countries and donors align activities and programs to these systems
  - rationale for increased emphasis on country systems and accompanying results frameworks is that donors have by-passed country systems and policies "*undermines the sustainability of the aid efforts and the ability of the countries receiving aid to manage their own future*" (OECD – DAC, 2009).
- New paradigms in evaluation are now required.

Frameworks – essential tool for results and outcomes

- The Paris Declaration of Aid Effectiveness includes five partnership commitments *" that need to be interpreted in light of <u>specific situation of each partner country</u>"*
  - *ownership, alignment, harmonisation, managing for results and mutual accountability*
  - Managing for results *"means managing and implementing aid in a way that focuses on the desired results and uses information to improve decision-making"* (OECD-DAC, 2006)

- Agreed principles:
  - *focusing on the dialogue on results at all phases of the development process*
  - *aligning programming, monitoring and evaluation with results*
  - *keeping measurement and reporting simple*
  - *managing for, not by results*
  - *using results information for learning and decision-making.* (OECD-DAC, 2006)

Research focus

- PhD research focus - principles underpinning country and sector results and outcomes frameworks
- Practitioner and researcher – involved in developing outcome frameworks for New Zealand and Papua New Guinea sectors/agencies, and for donor funded multi-country/project programs within the Pacific and S.E. Asia:
  - Experience shows it is important to consider the principles underpinning the use and architecture of the framework before developing frameworks (e.g. context, usability, structure, stakeholders, needs, outcome levels)
  - Frameworks draw on theoretical perspectives and approaches from three literature fields - development, management and evaluation
- Implications for practitioners (i.e. needs analysis, stakeholders, organisations, key outcomes, indicators, baselines, data, validity of analysis, robustness of evidence, reporting, decision-making, contribution, attribution, sustainability, information systems).

Country-led frameworks - use

- Aimed at enhancing evidence-based policy and decision-making
- *"Increasingly, emphasis is now being placed on strengthening national-level monitoring and evaluation systems led by countries"* (Ba Tall, K. 2009)
- However current use of results and outcomes <u>frameworks is limited.</u>
- To monitor the implementation of the Paris Declaration, 12 indicators of progress were identified and are measured nationally and monitored internationally (OECD, 2006)
- Indicator 11: "*Sound Frameworks to Monitor Results*" measures the number of countries with transparent and monitorable performance assessment frameworks to assess progress against:
  - (a) the national development strategies (b) sector programmes.
  - 2008 Survey Monitoring the Paris Declaration on the use of frameworks increased to 9% in 2008 from 7% in 2005 (OECD, 2009). Target for 2010 is to reduce the gap by one-third.

Knowledge gap

- Problem - current use of results and outcome frameworks is limited by countries and donors
- Research shows:
  - gap in the knowledge of the architecture for frameworks at country and sector levels
  - principles underpinning results and outcomes frameworks are not explicitly defined in the literature or practice
- Segone (2009) highlights there are still *"observed gaps between policy makers, statisticians, evaluators and researchers in both developed and developing countries"*
- Research is backed up by previous experience in the field
- Has implications for development and aid effectiveness, countries, donors and practitioners on approaches and architecture for frameworks, measuring development outcomes, capacity, and value for money from country and aid activities and programs – need to reconceptualise development evaluation.

What are results and outcomes frameworks?

- **Terminology: No agreed terminology**

  Some terms needs to be redefined.

  Results Framework:
  A results framework (and diagram) shows the links between country strategic goals, higher level sector outcomes, country organisational structures, key stakeholder relationships and development partners (adapted from Binnendijk, 2001).

  Outcomes framework:
   A framework showing the hierarchy of key outcomes for a sector or overarching multi-program (adapted from Duignan, 2004). May include multiple outcome layers - sector, region, agency, individual.
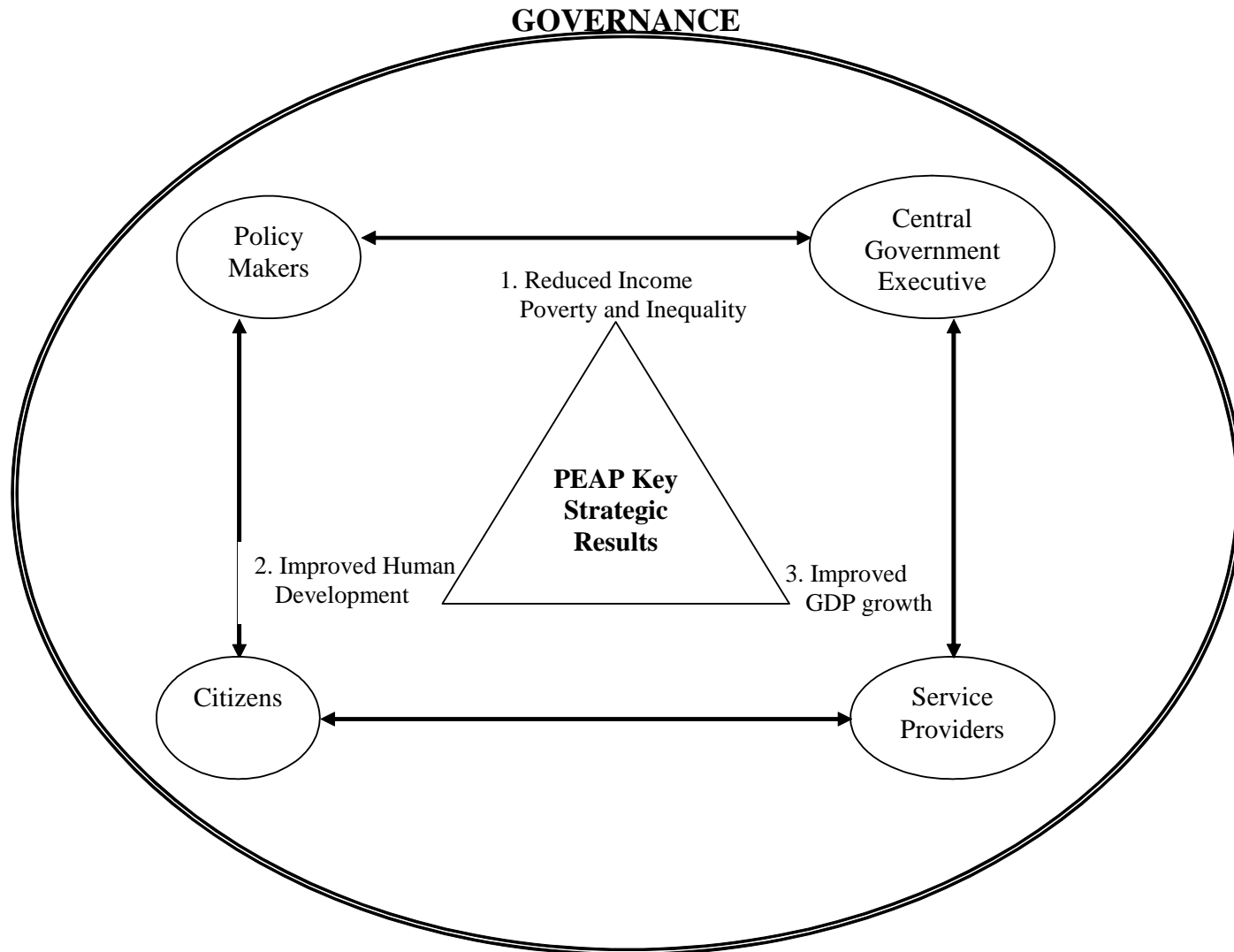
  Program logic model:
  Program logic (diagram) showing links between inputs-outputs-outcomes/impacts, context and assumptions.
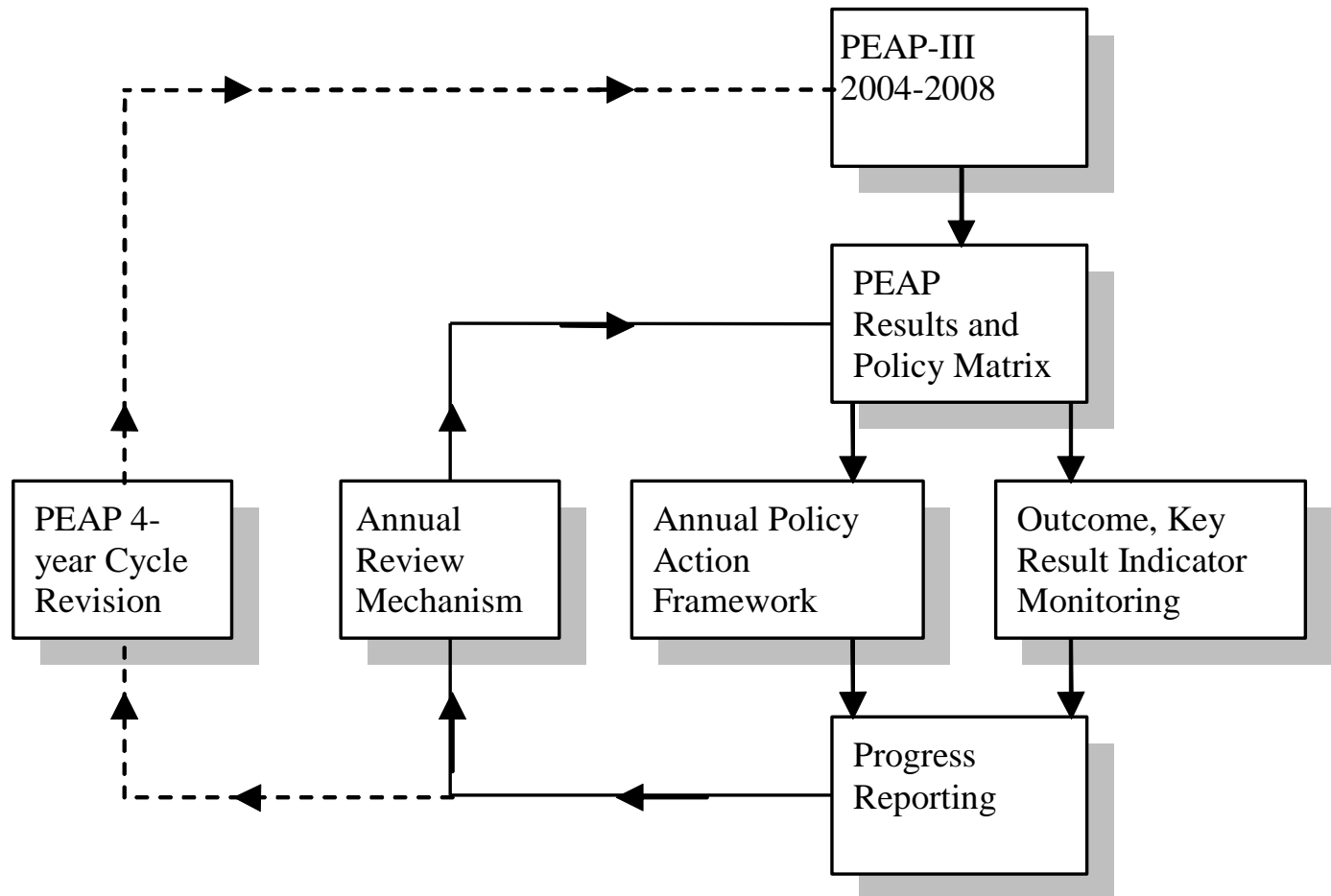
Other terms

- **Theory of change:** Description of the intended changes at a country, sector or program level.

- **Management activities:** Organisation activities such as planning, implementing, monitoring and evaluation, reporting, decision-making, accountability.

- **Intervention**: Planned activities to contribute to key outcomes.

- **Sustainable intervention results:** Includes sustained capacity of target groups, sustained activities by organisations, sustained capacities of organisations and sustained idea or service model **(**Rogers, P. & Williams, B. 2008).

- **Evidence-based policy:** Developing policy based on performance/monitoring and evaluation data.

Example: Uganda - PEAP Key Strategic Results within Greater Accountability Framework (Tumusiime-Mutebile, 2002)

GOVERNANCE

Policy Makers

Central Government Executive

1. Reduced Income Poverty and Inequality

PEAP Key Strategic Results

2. Improved Human Development

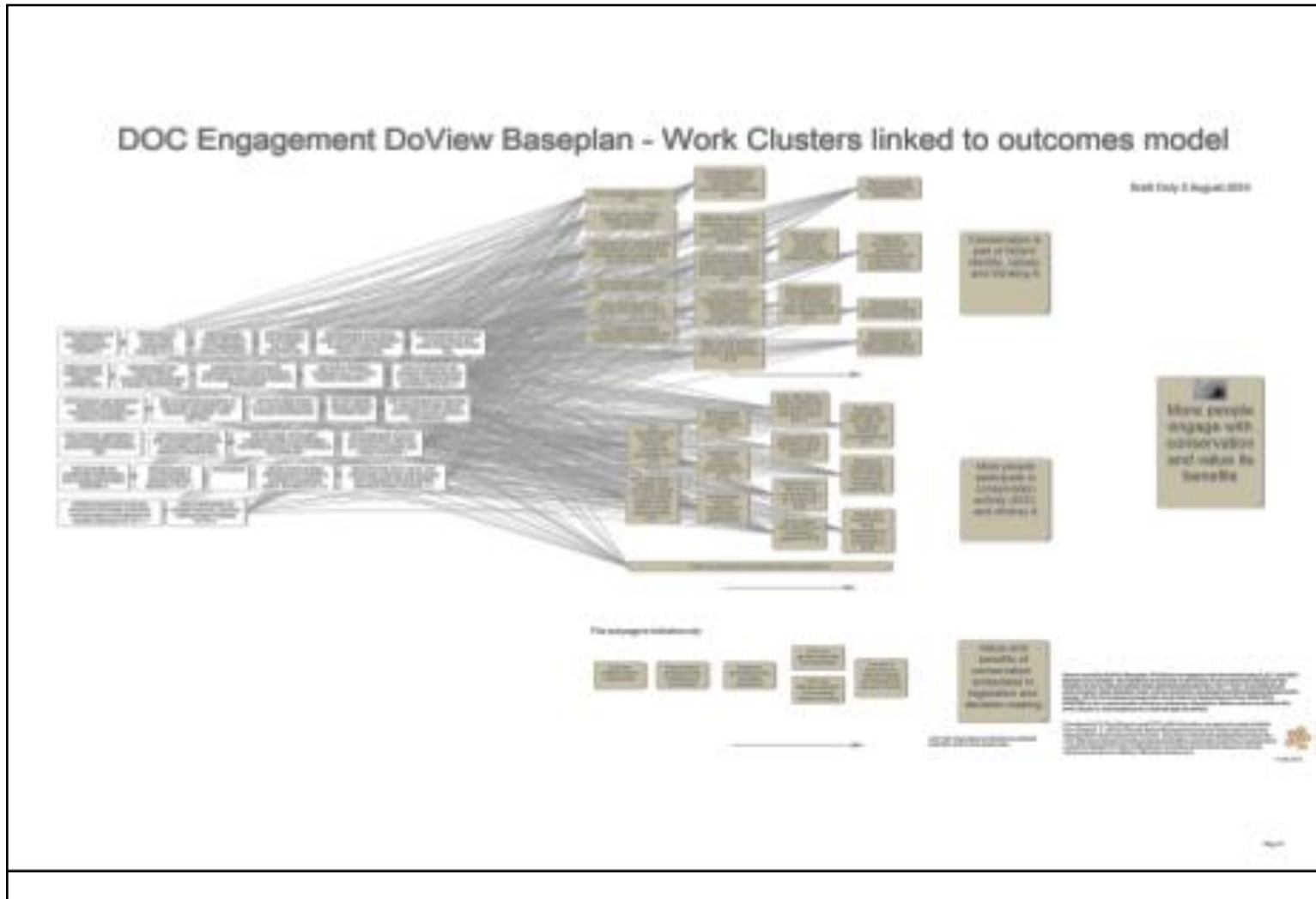3. Improved GDP growth

Citizens

Service Providers
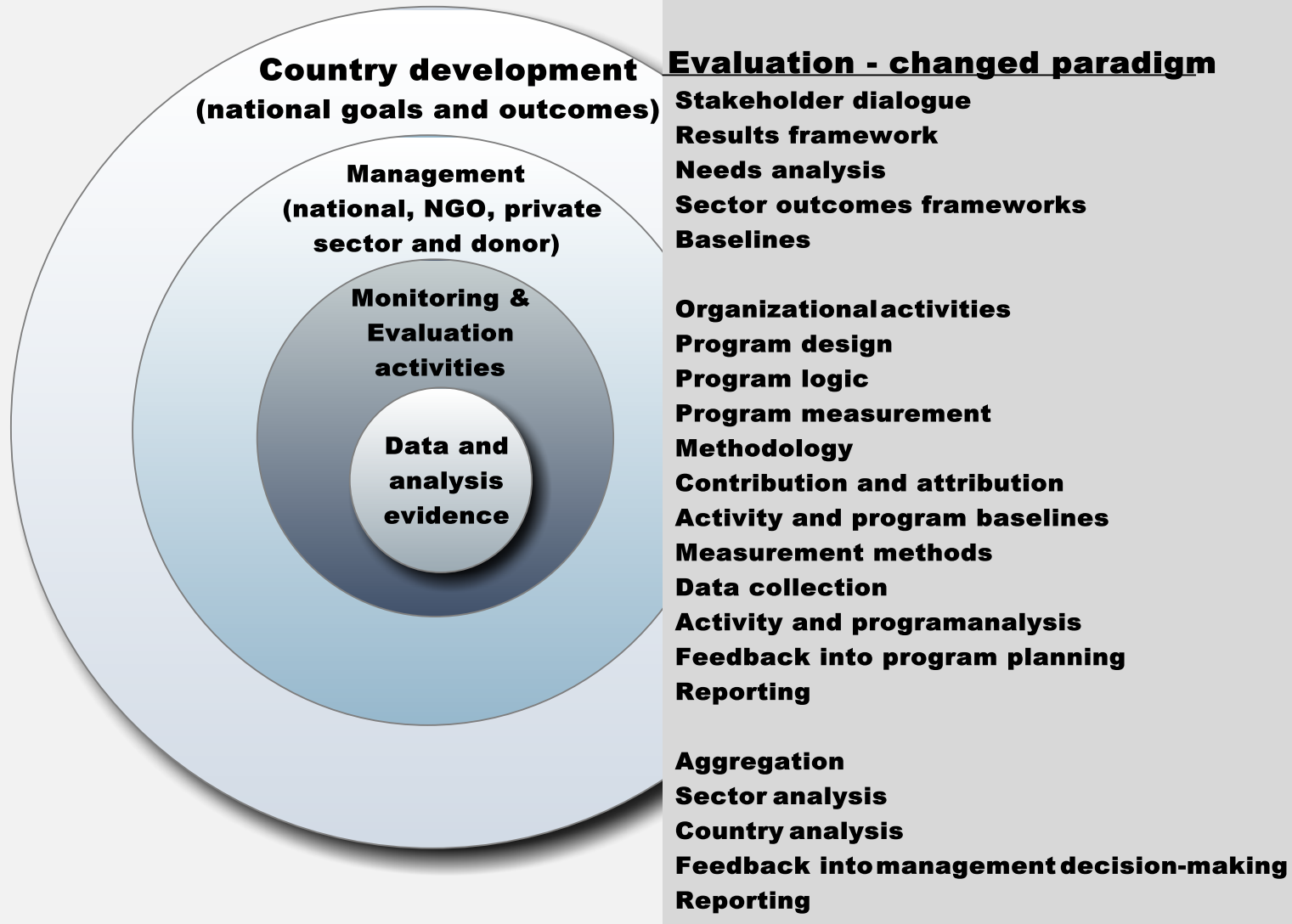
Uganda results review framework

Figure 1: The PEAP Results Review Framework:

New Zealand example: Outcomes framework, program contribution and aggregation (Duignan, 2010)

Reconceptualised relationships between country and sector development and evaluation

Country development
(national goals and outcomes)

Management
(national, NGO, private sector and donor)

Monitoring & Evaluation activities

Data and analysis evidence

Evaluation - changed paradigm

Stakeholder dialogue
Results framework
Needs analysis
Sector outcomes frameworks
Baselines

Organizational activities
Program design
Program logic
Program measurement
Methodology
Contribution and attribution
Activity and program baselines
Measurement methods
Data collection
Activity and program analysis
Feedback into program planning
Reporting

Aggregation
Sector analysis
Country analysis
Feedback into management decision-making
Reporting

(Averill, 2010)

Emerging good practice principles underpinning country and sector results and outcomes frameworks (Averill, 2010)

Principles	Practice
1. Focus results and outcomes frameworks on achieving change.	Identify what changes are needed and the theories of change.
	Results framework includes different components such as key development goals, stakeholder relationships, key outcomes frameworks and measurement.
	Outcomes frameworks include hierarchy of "real world" outcomes for sector.
	Management activities and programs are mapped onto outcomes frameworks.
2. Consider power dynamics.	Need to focus on understanding power dynamics, relationships, capacity and knowledge.
3. Understand regional variations within countries.	Consider differences within regions, groups and communities in the outcome framework architecture.
4. Understand multi-cultural context and validity.	Consider multicultural context in the personnel, architecture of outcomes framework, methodology, indicators, role of narrative stories, interpersonal relationships, and theory of approaches for activities and interventions.

Principles	Practice
5. Monitor and evaluate for unintended consequences.	Theory-based approach of results and outcomes is a tool not a "straight jacket."
6. Ensure architecture of results and outcomes frameworks remains at useable levels.	Consider all the aspects of the changed paradigms for evaluation. Keep details at useable level and then can enhance at later stages. Timeliness and feedback into decision-making is important.
7. Monitor and evaluate for sustainability of results.	Consider the methodology and data collection tools to monitor and evaluate for sustained results.
8. Focus on developing and using frameworks, and building capacity.	Need to work in teams to develop and use frameworks, and build capacity which will assist sustainability and robustness of data- evidence.

Next steps in research

- Research process:
  - key informant interviews
  - case study fieldwork:
    - New Zealand
    - Papua New Guinea
    - Samoa
    - Laos.
- Examine different perspectives of stakeholders and the use of results and outcomes frameworks
- Present and write papers during research process.

Further details

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