

PUBLIC SECTOR REFORM
WASTE MANAGEMENT REFORM
PHARMACEUTICAL PROCUREMENT
PARLIAMENTARY OVERSIGHT OF BUDGETS
CONSTITUTIONAL MANDATES IN HEALTH
OPEN CONTRACTING
CAPACITY OF LOCAL GOVERNMENTS
ACCESS TO INFORMATION
E-LEARNING FOR CITY OFFICIALS
SOCIAL ACCOUNTABILITY IN EDUCATION



Cases in Outcome Harvesting

Ten pilot experiences identify new learning from multi-stakeholder projects to improve results



Cases in Outcome Harvesting

Ten pilot experiences identify new learning from multi-stakeholder projects to improve results



THE WORLD BANK

Copyright © June 2014
The World Bank
1818 H Street, N.W.
Washington, D.C. 20433, USA
All rights reserved

Jenny Gold coordinated the outcome harvesting pilot experiences with support from Ricardo Wilson-Grau. Sharon Fisher provided analysis, writing, editing, and design. Dawn Roberts provided support. Samuel Otoo provided overall guidance.

The following sector leaders and team members worked on the pilot outcome harvesting process for their respective cases:

1. Leadership for Results: Developing Capacity and Delivering Results toward Public Sector Reform in Burundi: Team leader Jose Edgardo Campos, with Benjamina Randrianarivelo, Kay Winning, and others.
2. Implementing Reform Initiatives in Solid Waste Management in Bosnia: Team leader Manuel Contreras, with Hirut M'cleod, Jose Edgardo Campos, and others.
3. Improving Governance in Pharmaceutical Procurement and Supply Chain Management in Kenya, Tanzania and Uganda: Team leaders Yvonne Nkrumah and Julia Mensah, with Marylou Bradley, Jilliane T Cabansag, and others.
4. Strengthening Parliamentary Oversight of National Budgets in Africa: Team leader Mitchell O'Brien, with Paulina Biernacka, Miraim Binsky, Sruti Bandyopadhyay, Vienna Marie Pozer, and others.
5. Priority Setting and Constitutional Mandates in Health: Team leader Maria-Luisa Escobar, with Leonardo Cubillos, Roberto Iunes, Antonio Paniagua, Janet Bonilla and Santiago Pereira, and others.
6. Improving Open Contracting Processes at the Country and Global Level: Team leader Marcela Rozo, with Robert Hunja, Marcela Rozo, Michael Jarvis, Sara Danish, Ousmane Deme, Felipe Estefan, Kathrin Frauscher, Norma Garza, Carey Kluttz, Lindsey Marchessault, Julia Mensah and Caroline Spruill, and others.
7. Strengthening Capacities of Local Governments in South East Europe: Team leaders Tamara Nikolic and Sabine Palmreuther, and others.
8. Strengthening Implementation of Legislation on Access to Information across Latin America: Team leader Marcos Mendiburu, with Luis Esquivel, Elsa Peraldi, and others.
9. Scaling up Capacity Development of City Officials and Practitioners across China Through eLearning: Team leader Mansha Chen, with Sheila Jagannathan, Sheng Li, and others.
10. Improving Social Accountability in the Philippines Education Sector: Team leader Megan McDermott, with Carolina Vaira, Keith McLean, Jennifer Shkabatur, and others.

Design: Sharon Fisher

Summary

It is often difficult to understand and document how change happens in complex development programs that involve multiple social actors—what was achieved and how did it happen? It is useful for teams to adaptively learn from results depending on the stage of the program and the questions teams want to answer about its results.

Tools such as outcome harvesting (from the Outcome Mapping Learning Community¹) offer methods to manage knowledge and learn from complex and difficult to monitor development processes. Such processes may involve profound development challenges, experimentation with new innovations, or country-led behavioral and institutional changes by social actors with different roles and capacities.

Understanding and interpreting milestones and outcomes—achieved or not achieved, planned or unexpected—can facilitate strategic, systematic knowledge sharing to improve results. The learning can be iterative during the program implementation cycle or retrospective to learn from an entire process, and reveal the key changes that mattered.

Other development partners have also used outcome harvesting and/or outcome mapping, such as the Ford Foundation, UK Department for International Development, Canadian International Development Agency, Oxfam, and Open Society Institute. The Overseas Development Institute supports the Outcome Mapping Learning Community, and the US Agency for International Development identifies outcome harvesting tools as useful for complex aspects of programs and strategies as a complement to performance monitoring.² An August 2013 discussion paper from the UN Development Programme evaluation office selected Outcome Harvesting as one of 11 promising innovations in monitoring and evaluation practice.³

Outcome Harvesting

Outcome harvesting is used to identify, monitor, and learn from changes in social actors, through harvesting bites of detailed outcome information with colleagues, partners, and stakeholders.⁴ The information describes what changed, for whom, when and where, why it matters to the development objective—the significance of the change—and how the program contributed to the change.

Outcome harvesting is useful for complex aspects of a program, when the significance of particular milestones and outcomes may be unknown in advance. There is often a need for learning to understand how change happened.

The harvesting process is stakeholder-centered and captures qualitative, tacit knowledge. It includes tools to substantiate and analyze this knowledge collaboratively and communicate progress toward impact to clients, management, and partners. The tools are flexible to adapt to a program's design and can provide useful details to inform the theory of change, implementation lessons, outcomes, and indicators.

Pilot Experiences

This report documents a “stage one” pilot to identify how outcome harvesting could be integrated with the World Bank's results management approach, for learning during a program's implementation and review stages. Specifically, the pilots examined how outcome harvesting tools could lend themselves to learning about how change happens in complex aspects of programs. For instance, what combination of interventions worked to advance particular changes, what behavioral and institutional changes were advanced, and what was the right mix of social actors involved to achieve results.

The initial pilots used outcome harvesting to review progress for 10 ongoing knowledge initiatives supporting World Bank programs or projects in strategic thematic areas (see table on next page).

Task teams participated in a hands-on workshop to introduce outcome harvesting. Then each team designed their outcome harvesting exercise to focus on complex aspects of the initiative where learning was most needed. They used a customized reporting format to harvest outcome information with team members, clients, and stakeholders over 1–2 months. The format was customized to include information on the context and challenges related to each recorded outcome or milestone.

The teams retrospectively harvested information from about 2–5 years of program results. The reported information was then verified for accuracy through substantiation feedback from stakeholders.

The analysis of each initiative's achievements included an outcome map to visualize the changes by timeline and actor and a change strategy map that summarized the outcome information to communicate the theory of change and results chain. (They used the Capacity Development and Results Framework as a basis for analysis.⁵) Then, task team members, clients, and stakeholders reviewed the cases to ensure mutual agreement on the analysis and presentation.

Learning and Resources

The World Bank has used the pilot experiences to customize an evolving toolkit of resources for learning across the program cycle. Key uses identified are:

- Rigorous knowledge management of complex, multi-actor processes
- Review results from complex program/project components to improve the benefit of interventions, sustainability and mix of actors involved

- Gather evidence and lessons from the change process that can complement other M&E tools
- Future pilots could identify how to use these tools to look for patterns of change across a thematic area or program portfolio, and how to build them into the design stage of program/project components.

For those with access to the World Bank Intranet, visit <http://outcomemapping> for the latest guides and tools. These resources and others are also available through the Outcome Mapping Learning Community at www.outcomemapping.ca.

NOTES

¹ See www.outcomemapping.ca

² USAID. December 2013. Discussion note: Complexity-Aware Monitoring

³ See <https://undp.unteamworks.org/node/370238>

⁴ An outcome is what each social actor (or change agent) did, or is doing, that reflects a significant change in their behavior, relationships, activities, actions, policies, or practice.

⁵ Otoo, S., N. Agapitova, and J. Behrens. 2009. The Capacity Development Results Framework. World Bank.

Table of Cases

No.	Title of Case	Development Objective	Sector/Global Practice	Page
1	Leadership for Results: Developing Capacity and Delivering Results toward Public Sector Reform in Burundi	Improve delivery of central and decentralized public services for citizens at all levels in Burundi	Public Sector Reform/Leadership	p9
2	Implementing Reform Initiatives in Solid Waste Management in Bosnia	Improve the value of municipal services for citizens in South East Europe.	Urban/Leadership	p23
3	Improving Governance in Pharmaceutical Procurement and Supply Chain Management in Kenya, Tanzania and Uganda	Improve citizen access to essential medicines in Kenya, Tanzania and Uganda.	Health	p31
4	Strengthening Parliamentary Oversight of National Budgets in Africa	Improve the benefits of public spending for citizens in Africa	Governance	p42
5	Priority Setting and Constitutional Mandates in Health	Improve the level and distribution of health outcomes by applying rights-based principles to health policy.	Health	p51
6	Improving Open Contracting Processes at the Country and Global Level	Improve the benefits of public goods and services for all citizens	Governance	p58
7	Strengthening Capacities of Local Governments in South East Europe	More livable and sustainable cities in South East Europe that provide a high quality of life for citizens	Urban	p69
8	Strengthening Implementation of Legislation on Access to Information across Latin America	Improve service delivery for citizens across Latin America	Governance	p83
9	Scaling up Capacity Development of City Officials and Practitioners across China Through eLearning	Improve public service delivery in China's rapidly growing urban areas	Public Sector Reform/Learning	p91
10	Improving Social Accountability in the Philippines Education Sector	Improve the quality of services and education performance of public schools for citizens in the Philippines	Governance/Education	p97

Conclusions from the Pilot Experiences

Going forward the World Bank could use outcome harvesting tools for results learning and knowledge capture from complex development programs where it is difficult to show impact—such as those that involve multiple actors, institutional changes, and empowerment processes. Outcome harvesting in particular is a highly adaptable tool that could be further piloted for portfolio-level learning across a large program as well as project-level learning.

Conclusions

The following conclusions on ways to use the outcome harvesting tools going forward are based on feedback from the task teams and clients involved in the pilot experiences.

Capture tacit and contextual knowledge from program implementation

- Outcome harvesting tools can capture precise information on a program that is not typically found in implementation reports. This information can cover context, behaviors, and institutions, and how interventions are designed to have a particular influence. These are details that often remain in the minds of implementers and are difficult to measure.

Use for systematic learning to maximize benefits of interventions

- Outcomes can be recorded in information systems during implementation of complex programs. Interviews, team journals, document reviews, focus groups, and surveys are all tools to harvest outcomes.
- Outcomes from a program or across a portfolio can be strategically harvested and reviewed at key points to test a theory of change and inform course corrections to maximize the benefits of interventions. Outcome harvesting tools can offer a context-specific lens to inform and complement learning from other M&E data including randomized experiments.

Triangulate outcomes with other data to validate results, particularly for small projects

- Outcome details can be harvested as part of a strategy and triangulated with other data sources

to validate program results. Outcome harvesting tools, for example, can be used to validate self-reported results by World Bank task teams. This triangulation can be especially helpful in experimental situations or in cases where project size is small and strong contextual information is required for learning.

Seek evidence and lessons from an implementation process

- Outcome harvesting tools can be used to gather evidence on key interventions and identify essential lessons, such as how best to adapt successful efforts to different contexts and how to choose the best mix of actors to involve. Teams recommended that precise learning could be used for informing program design and delivery, as well as defined areas for further operational research and evaluation.

Use for client reporting on results and promoting learning by doing

- Outcome harvesting offers a simple tool for clients to report on results, particularly from complex processes involving multiple actors at different levels.
- Clients can also use outcome harvesting tools to manage their own systematic learning during implementation, such as learning how to maximize the benefits of an intervention in their context.

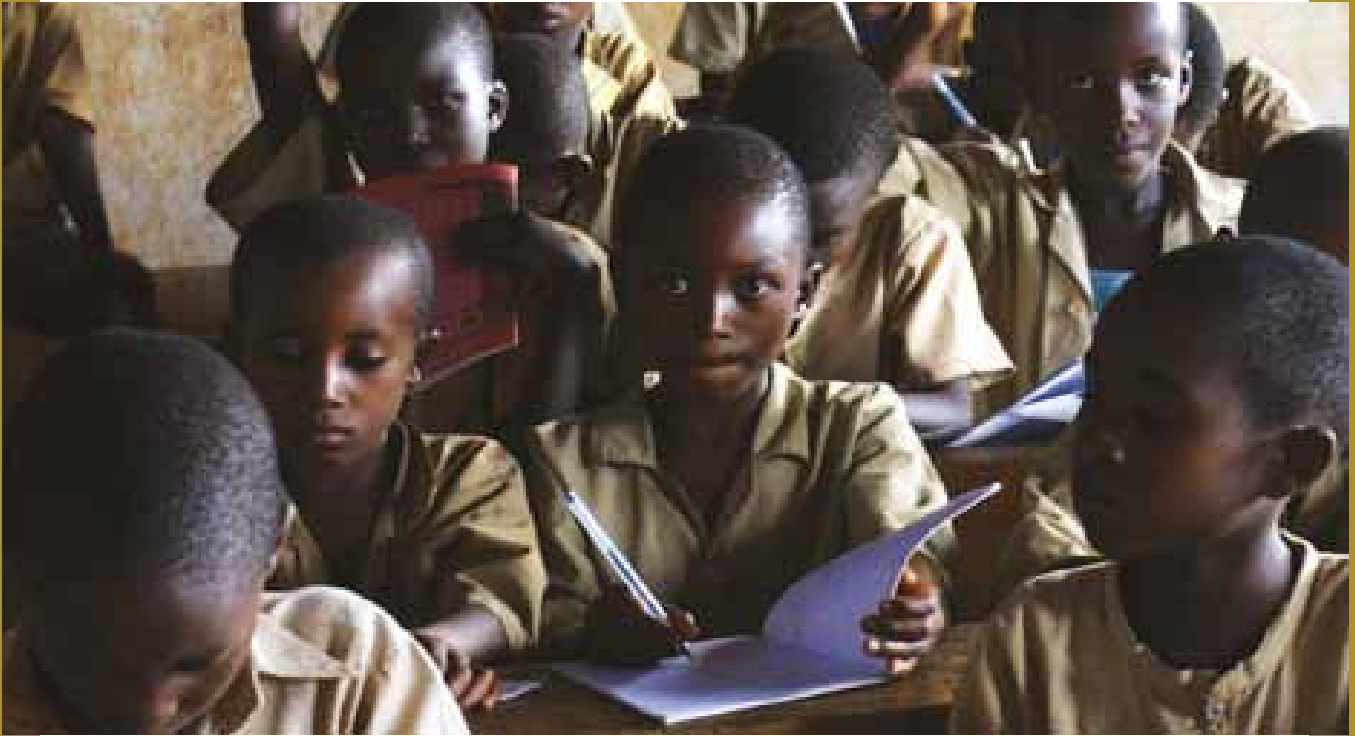
Challenges to Moving Forward

Outcome harvesting requires teams to plan for and report on actions taken by social actors, much of which is unrecorded or qualitative in nature. This requires a shift in mindset on results reporting—teams are more accustomed to reporting on interventions and major achievements, not information that lies in the “middle” and sits in the knowledge of team members and local actors.

Support is also needed, through advisory services and training in the process and tools and guidance on analysis, validation, and reporting of the collected data. Teams may require support to customize the outcome harvesting tools to a program’s implementation context and strategize the tools

to be most effective: harvest the most useful information; optimally complement other M&E and knowledge gathering activities; collect feedback from independent, knowledgeable persons on outcomes; and integrate learning on significant changes back into a program over time.

It is desirable to integrate the tools with organizational reporting and review processes, so that outcome information can be triangulated with other results information to inform learning.



Leadership for Results: Developing Capacity and Delivering Results Toward Public Sector Reform in Burundi

Since 2006, government leaders and teams in Burundi have engaged in collaborative problem-solving using results-oriented management tools. They have been learning how to overcome the institutional constraints that block the improvement of their public services and reforms and to draw lessons to scale-up solutions across ministries and sectors. The World Bank Institute (WBI) Leadership for Results (L4R) program in Burundi supported the government to develop and adapt the results-oriented tools, strategy, coaching and training for this program specific to their own context to achieve their reform goals.

To capture the change process toward development impact upon the civil service from outcomes delivered throughout the duration of this project, WBI mapped more than 40 outcomes¹ from this program using a customized outcome mapping tool². The outcomes show examples of changes from

Development Objective

Improve delivery of central and decentralized public services for citizens at all levels in Burundi.

Problem

As a fragile post-conflict state, Burundi must unblock constraints to help its civil service rebuild leadership that will be held accountable for delivering effective services to citizens, especially in remote areas. Problems include corruption, weak collaboration across government ministries, inefficient rules, limited adaptability and legitimacy of processes.

Specific Objectives

Strengthen public sector leadership and participatory strategies to rebuild services in priority areas; improve effectiveness of public service delivery for citizens; combat corruption and policy inefficiencies that hinder development outcomes; strengthen the National School of Administration (Ecole Nationale d'Administration, or ENA) to support results-focused learning within the civil service for improved project implementation.

the larger program that have impacted the entire civil service of Burundi. Outcomes were mapped to illustrate changes in the leadership and authorizing environment for results in the public sector, adaptive learning around results to rebuild the civil service at all levels and institutionalization of results across the civil service.

These visual maps present the sequence of outcomes achieved by change agents—the leaders and teams, coaches at different levels and other actors involved in the process. The maps illustrate how the outcomes connected and built on each other over time to form multi-actor, institutional processes for change to address the program’s objectives and goal.

WBI team members identified and formulated the outcomes, presenting an explanation of their significance and how WBI had contributed—directly or indirectly, in a small or big way, intentionally or not—by empowering the change agents to take new actions. Then, roughly 20% of the outcomes were independently substantiated for credibility in the mapping exercise.

BACKGROUND

In 2005, Burundi was emerging from a 12-year civil war. It had recently established a constitution, elected a President and prepared a national Poverty Reduction Strategy (PRS). A key challenge was how to meet results for citizens given its limited human capacity, limited resources and institutional problems. Government at all levels and especially in remote areas faced high turnover and low levels of capacity in staff to perform their responsibilities. Many constraints blocked improvements for citizens and reforms to strengthen governance, economic growth and other priorities: the public sector faced policy inefficiencies, a lack of accountability to citizens, dysfunctional communication between ministries and outdated policies.

Given these challenges and the concern of stakeholders to rebuild Burundi’s public sector, the new government wanted to develop leadership and management of project and implementation capacities within the public sector and learn how to generate results to advance priorities set by stakeholders in the PRS. Delivering on the newly elected President’s pledges in his five-year plan—which included free primary education and child health care—was important to demonstrate success in delivering

needed services and to gain political capital and trust.

Burundi’s political leaders embraced the new approaches of the L4R program, which included:

- High-level government retreats and oversight processes to prioritize results areas, provide an authorizing environment for change and encourage a culture of results and learning.
- The empowerment of leaders at different levels and their implementation teams to become results-focused and engage in efforts to iteratively identify solutions for increased effectiveness throughout the public sector.

Through the L4R program, leaders set specific goals for results improvements and engage with teams to pilot initiatives to experiment with solutions. The teams collaboratively track progress to adaptively learn from what works and does not work to address constraints and enable achievement of the desired results.

Through this program, the second Vice President requested WBI’s assistance to strengthen the capacities of the country’s leaders to drive change at the institutional level, accelerating the implementation of national programs aimed at delivering results for citizens. WBI offered advisory support to the L4R program’s steering committee, guidance and rapid results coaching to civil service leaders to adopt and integrate the results-focused management tools and support to ENA to train civil servants and develop a curriculum starting in 2010.

OUTCOME AREAS

The process of change from this program can be seen in three streams of outcomes that represent the major change paths, as seen in Figure 1:

- (1) Leadership and Authorizing Environment for Results
- (2) Results Toward Reforms Through Adaptive Learning-by-Doing
- (3) Embedded Results-oriented Problem-Solving in Public Sector.

All of the outcomes were analyzed and classified according to the types of change they achieved. They were then grouped based on how they connected to each other to form a story for change. The maps in Figures 2–5 summarize the outcomes and correspond to the numbers in brackets within the text.

Figure 1. Change strategy showing how change happened to advance progress toward goal

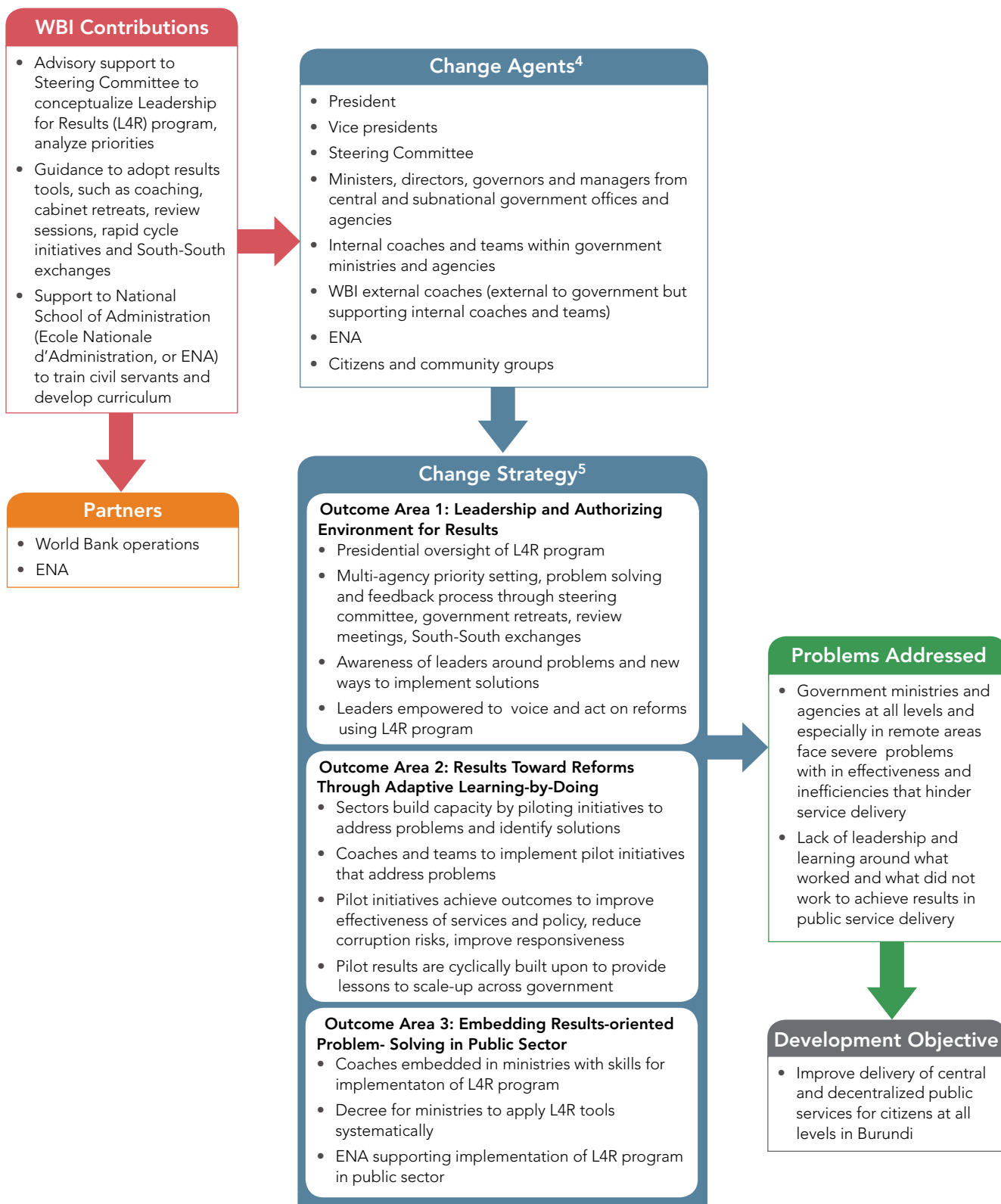
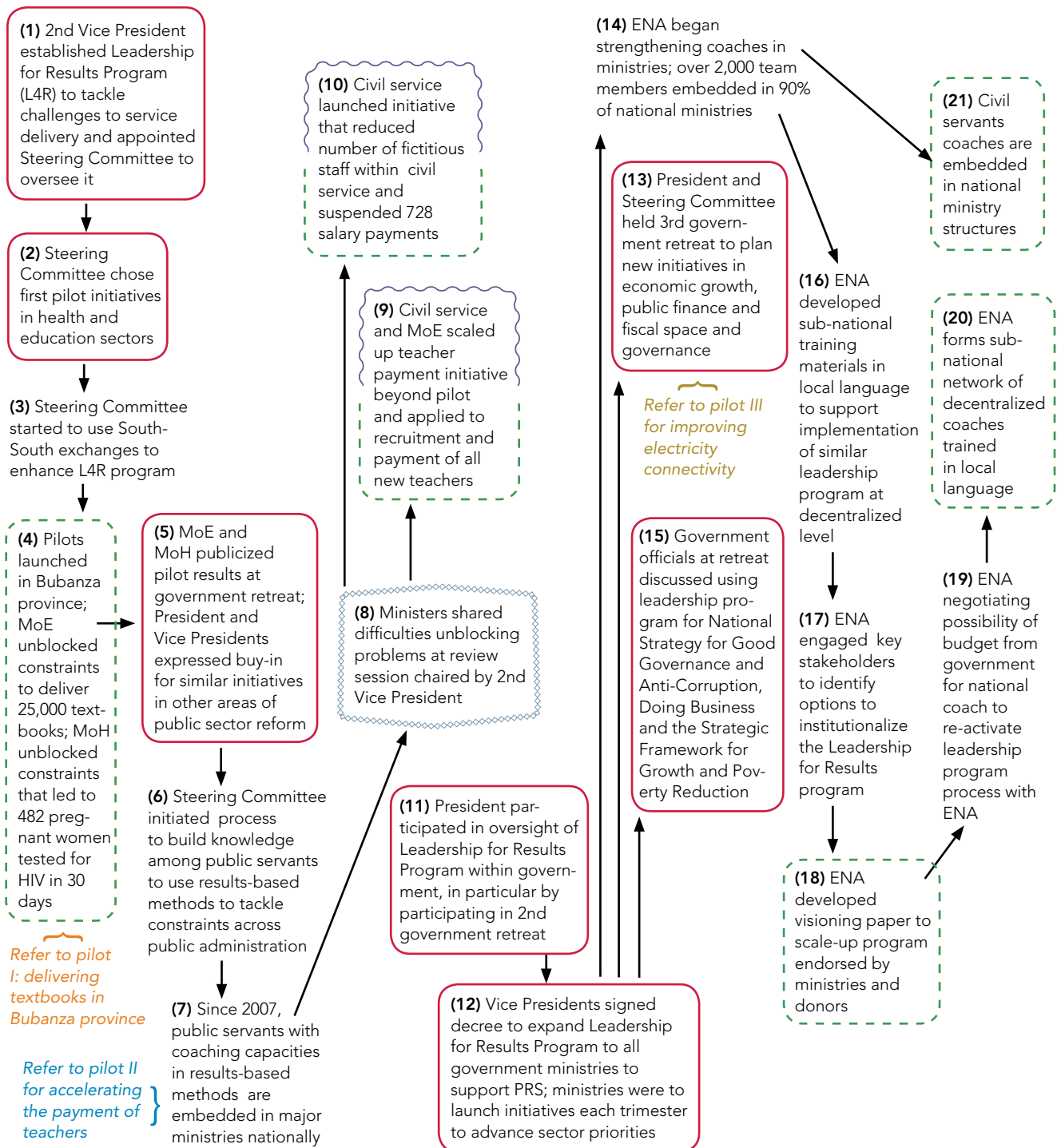


Figure 2. Map of outcomes showing changes linked and built over an eight-year timeframe



2006	2007	2008	2009	2010	2011	2012	2013
Institutional changes				Learning/capacity changes			
Outcomes related to societal, policy and organizational changes.				Other outcomes related to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions.			
— Leadership and participatory priority setting to strengthen public sector reforms				* Outcomes selected for substantiation; see sidebar.			
— Policy changes to combat inefficiencies and corruption							
- - - Effectiveness, adaptability and responsiveness of public service delivery							
Other outcomes							
◆◆◆ Outcomes that changed direction or thinking behind the initiative							

Outcome Area 1: Leadership and authorizing environment for results

Enabling a public sector leadership supportive of results-oriented action has been important to the overall change strategy of the L4R program.

From the start, the second Vice President of Burundi (Burundi has two Vice Presidents) initiated the L4R program to develop capacity within the public sector staff to problem-solve to address constraints in public services and advance governance and other reforms. The second Vice President headed a Steering Committee to provide a coordination mechanism that would sustain focus and action for the program. This provided a strong authorizing environment for the program's implementation. [1]³

In late 2006, the Steering Committee agreed that the first pilot initiatives to advance results in the PRS would be in the health and education sectors. [2] This decision was based upon initial scoping and analysis work undertaken through background studies in these sectors and a collaborative prioritization process. During the first government retreat the Steering Committee also started to use South-South exchanges to enhance their opportunities for learning under the L4R program, drawing upon experiences from Rwanda and Madagascar of using the L4R program in reform processes and international experts applying results-oriented management tools and adaptive leadership techniques to implement their development strategies. [3]

In May 2007, Ministries of Health and Education officials publicized the successful results of their first pilot initiatives at a high-level government retreat within this program, with the President, cabinet members and representatives from civil society organizations (CSOs) participating. Some examples of the results are that the Ministry of Health increased the number of pregnant women being tested for HIV in the province from 71 to 482 within 30 days, and the Ministry of Education delivered 25,000 textbooks throughout the province within 60 days instead of the normal time of around one year. [4] (The Ministry of Education pilot is described in Outcome Area 2.)

The pilots demonstrated solutions to overcome long-standing constraints in two priority sectors, jumpstarting results beyond expectations. This "demonstration effect" allowed stakeholders to see the potential for a transversal government program

that could support individual ministries as well as cross-sector teams to collaborate and find solutions to rebuild institutions and systems in Burundi. Based on this initial proof of results, the second Vice President committed to extend the L4R program. [5]

In June 2007, the second Vice President, as head of the Steering Committee, committed to build knowledge among public servants around the results-oriented management tools of the L4R program to tackle constraints across the public sector. To support this effort, he initiated a process to train coaches across the government. Ministries could then use the methods to jumpstart new initiatives and unblock those that had become stuck. [6]

As the L4R program expanded to additional ministries throughout the duration of the program, government retreats were organized periodically as a tool for oversight and review of initiatives as well as planning. The retreats also provided a forum for South-South exchanges to learn from officials in other African countries, such as Kenya, which had developed a similar public sector results-focused program. Key outcomes linked to the government retreat process included:

- Initiatives were implemented by a growing number of ministries by March 2009. During the government retreat held at this time, the President reviewed the progress of the results and learning from the ongoing initiatives under the L4R program and he, along with his two Vice Presidents, expressed further commitment to broaden and institutionalize the program's culture of results within the government to advance PRS results. [11]
- Following the second government retreat in March 2009, the Vice Presidents of Burundi agreed to sign a public decree to mandate expansion of the program across government. [12]
- In March 2011, the President and Steering Committee of the L4R program held a government retreat to prioritize solutions and plans to confront three areas where stronger results were critical: economic growth, public finance and fiscal space and governance. [13]
- In December 2011, a retreat was held to prioritize the use of the L4R program to implement the National Strategy for Good Governance and Anti-Corruption as well as improve the Doing Business indicators for Burundi. [15]

Initiatives using rapid cycle learning were cyclically launched following these high-level events to translate into action the recommendations emerging from each high-level retreat. Each retreat reinforced the continuing commitment of the government to use the L4R program to deliver results for Burundians. The President's involvement in oversight throughout the process and participation during all of these events ensured continued commitment to the program from leaders in government ministries, and encouraged their experimentation and learning around results.

Contribution of WBI to Outcome Area 1: WBI had influenced the second Vice President's commitment to act on the need for capacity development of public sector leaders and teams during a scoping mission to Burundi in May 2006, which secured the agreement of the then Vice Presidents to support a L4R program. WBI supported the creation of a new Leadership Steering Committee to initiate and oversee the implementation of the program. Background studies were recommended to understand the priority areas and inform the design of pilot initiatives to demonstrate the use of rapid results for problem-solving. WBI facilitated the use of rapid results and South-South exchange in the first cabinet retreats.

WBI facilitated the process of periodic government retreats by engaging senior leaders and experts from other African countries to provide peer perspectives, providing space for collaboration to analyze and learn from the pilot initiatives, providing technical assistance on using results-focused initiatives to design plans that would translate recommendations from the retreats into initiatives and constructing teams for executing each part. WBI also supported aligning priorities from the retreat held in March 2011 to the World Bank Strategy for Africa, and to the Doing Business Indicators and good governance program during the retreat held in December 2011.

Overall, this first stream of outcomes demonstrated the creation of an authorizing environment at the highest level across government. Presidential and ministerial leadership developed a blend of results-oriented management tools for the L4R program from multi-agency setting of priority areas for pilot initiatives. Government retreats and review meetings to demonstrate and provide feedback on the value of results were instrumental in building a culture of results.

Outcome Area 2: Results toward reforms through learning

A key part of the change strategy of the L4R program also involved the use of pilot initiatives to adaptively learn. In each pilot, teams of Burundian civil servants and community members were empowered to identify solutions to address specific systemic constraints. The solutions could be scaled-up and shared with other agencies facing similar problems.

Three pilots selected from over 400 initiatives implemented to date provide examples of the problem-solving process for results; the visual maps in Figures 3–5 correspond to their outcomes.

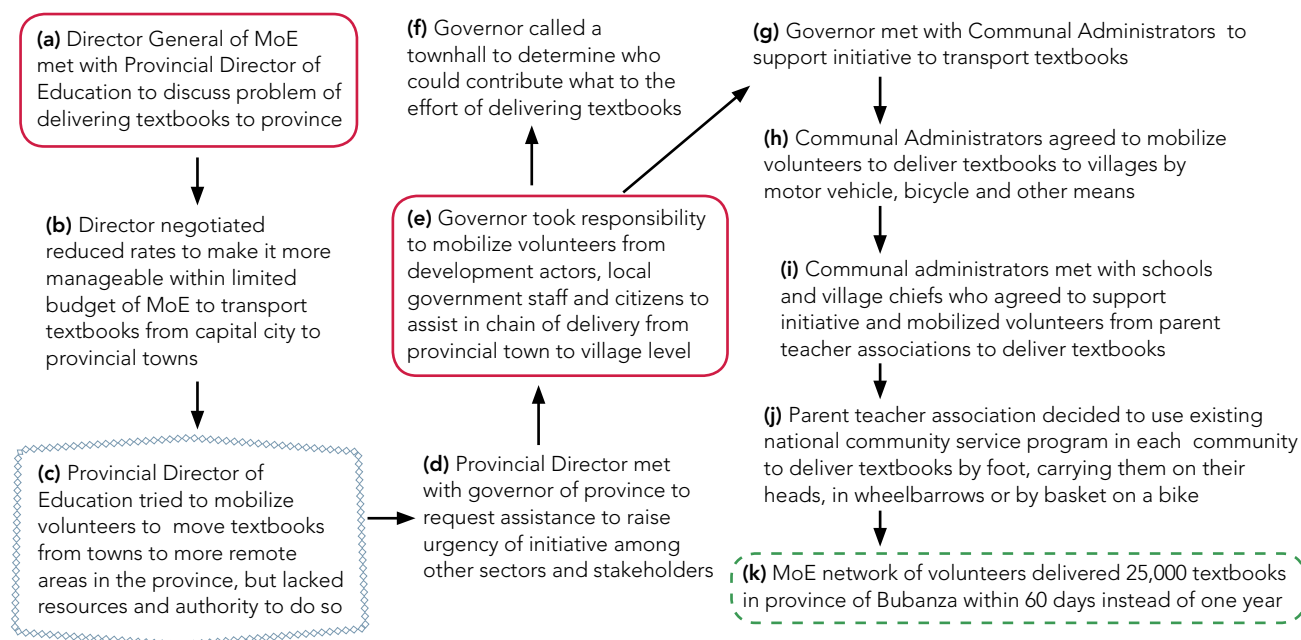
Pilot I: Delivering textbooks in Bubanza province (Figure 3)

Between November 2006 and January 2007, the Ministry of Education launched a successful pilot initiative for the L4R program in the province of Bubanza. It addressed the problem of textbooks reaching schools, since the system for distribution of textbooks had lapsed during the civil war. Through this pilot, provincial education officials, development partners and citizens collaborated to address constraints that blocked education service delivery and quality in the provinces, and they built a solution for efficient delivery of textbooks to schools. This outcome chain was one of the first demonstrations of results from the L4R program.

Attention to problem

The process began with the Director General of the Ministry of Education at the central government level meeting with the Provincial Director of Education in Bubanza province to discuss the problem of delivering textbooks to villages in the province. [a] This initiated a series of steps to address the problem. The Director General negotiated reduced transportation rates with transport companies and re-allocated funds to make it more financially manageable to transport books from the capital city to the provincial towns given the limited budget. [b] The Provincial Director of Education tried to mobilize volunteers in the province to assist in moving the textbooks to more remote areas. However, due to limited resources and authority the Provincial Director was unable to mobilize sufficient support. [c] Consequently, the Provincial Director met with the Governor of the province, who oversaw all sectors of service delivery in the province, to request assistance

Figure 3. Pilot I: Delivering textbooks to villages in Bubanza Province, November–May 2006



Institutional changes

Outcomes related to societal, policy and organizational changes.

- Leadership and participatory priority setting to strengthen public sector reforms
- ~ Policy changes to combat inefficiencies and corruption
- - - Effectiveness, adaptability and responsiveness of public service delivery

Learning/capacity changes

Other outcomes related to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions.

Other outcomes

- ◇◇◇ Outcomes that changed direction or thinking behind the initiative

to draw attention to the problem among stakeholders. [d] One lesson learned here was that creating the authorizing environment to address the problem required cross-sector support - reaching outside the education sector alone.

Collaborative problem-solving

The Governor of the province took responsibility and mobilized development actors, local government staff and citizens within his province to assist in the chain of delivery from the provincial to the village level. [e] The Governor called a townhall meeting that mobilized key actors for delivering textbooks from the provincial capital city to the communes, including from provincial directors in other sectors (agriculture, public works, transport, education), and development partners (development projects, NGOs, other) operating in the area. [f]

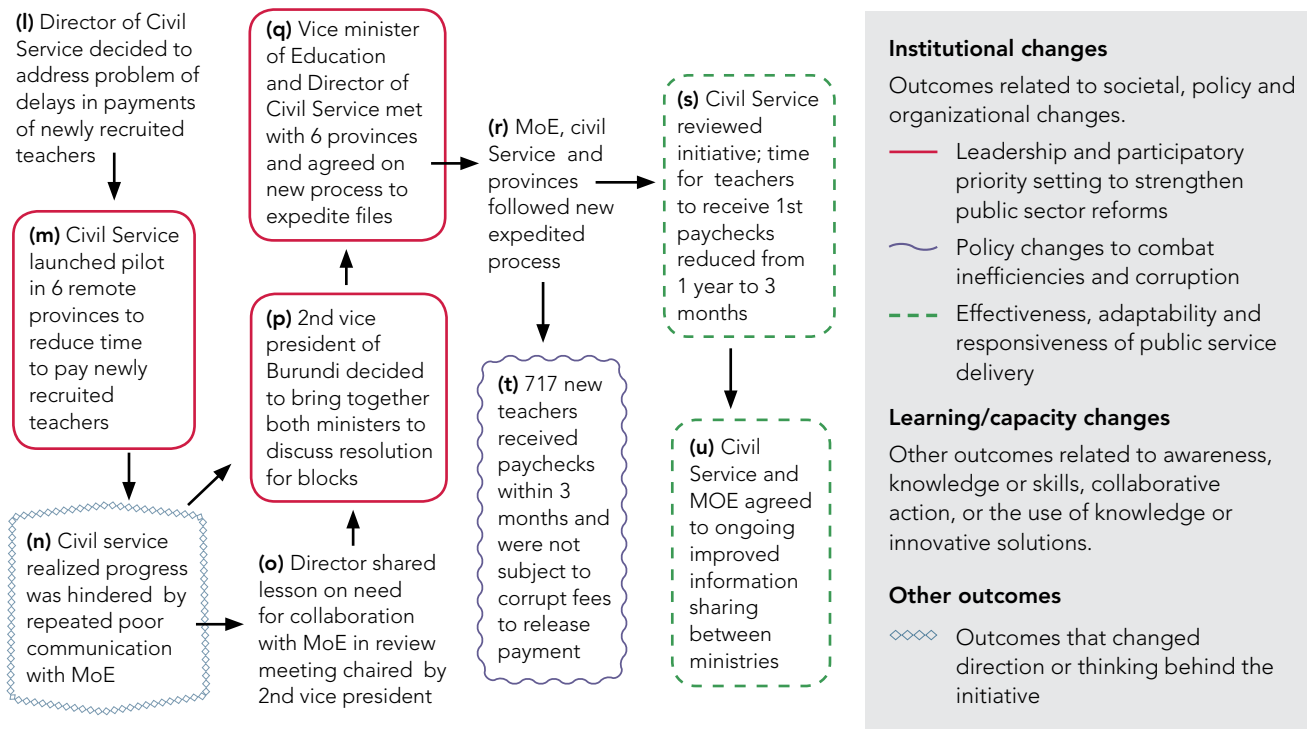
The Governor also met with the Communal Administrators (communes are sub-regions within

a province) and informed them of the initiative to transport the textbooks. [g] In this regard, the Governor used his authority to draw actors to work together to ensure an effective supply chain for the delivery of textbooks. His actions opened the possibility for a more sustained and cost-effective multi-stakeholder process, and ensured political will for action.

Textbooks delivered to villages

The administrators agreed to mobilize volunteers at the commune level to deliver textbooks from the communes to the villages by motor vehicle, bicycle and other means. [h] This opened the possibility for a more sustained, community-based effort. The administrators met with directors of schools and village chiefs, who agreed to support the initiative and mobilized volunteers in the Parent Teacher Association (PTA) to contribute to delivery. [i] The PTA decided to use the existing national community

Figure 4. Pilot II: Accelerating payment of teachers and reducing corruption, Sept 2007–March 2008



service program each Saturday morning in each community to deliver the books by foot, carrying the textbooks on their heads, in wheelbarrows or by basket on a bike. [j] The network of volunteers delivered 25,000 textbooks in the province within 60 days instead of the usual one-year timeframe. [k] The student-to-textbook ratio increased from 1:11 to 1:3 within 60 days; these textbooks had been awaiting delivery from the warehouse for 18 months.

In sum, this collaboration established a new type of supply chain to reach village schools. The province learned how to address a systemic constraint and develop their own system for distribution that would be a potentially long-term mechanism for ensuring timely delivery of textbooks.

Pilot II: Accelerating the payment of teachers and reducing corruption (Figure 4)

Inefficiencies, long delays and corruption existed around paying newly recruited teachers, for example, bribes by new teachers to officials for information on the processing of files or to move forward any delays in communicating their files to the Ministry of Civil Service. Under the L4R, between September 2007 and March 2008, the Ministry of

Education and Ministry of Civil Service collaborated on a pilot initiative to address these constraints. The outcome chain from this initiative shows how reform was achieved and scaled-up.

Attention to problem

In September 2007, the Director General of the Civil Service decided to address severe delays in the payment of new teachers by holding bureaucrats accountable to new rules, to encourage transparency and expediency in processing files, such as streamlining the documents required. [l] Despite the difficulty of such a reform in the post-conflict context, the Director General accepted both personal and institutional responsibility for problem-solving around the change process. The Director General and her team launched a pilot initiative in six remote provinces to reduce the time for payment. [m] Given that teachers constitute more than half of the employees within the civil service, the initiative had potential not only to advance universal primary education goals but also goals around improving the speed of payment to newly recruited civil servants (beyond teachers) more broadly.

By November 2007, the Director General realized progress was stunted. Poor communication

between the Ministry of Civil Service and Ministry of Education had repeatedly hindered progress. She committed herself to resolving the obstacles. [n] The problem was symptomatic of much broader difficulties in collaboration and communication within the government—and had caused hindrances in many other processes. In February 2008, the Director General shared her experiences and obstacles, expressing the need for stronger collaboration with the Ministry of Education in a review meeting for the initiative that was attended by the second Vice President of Burundi. [o]

Collaborative problem-solving

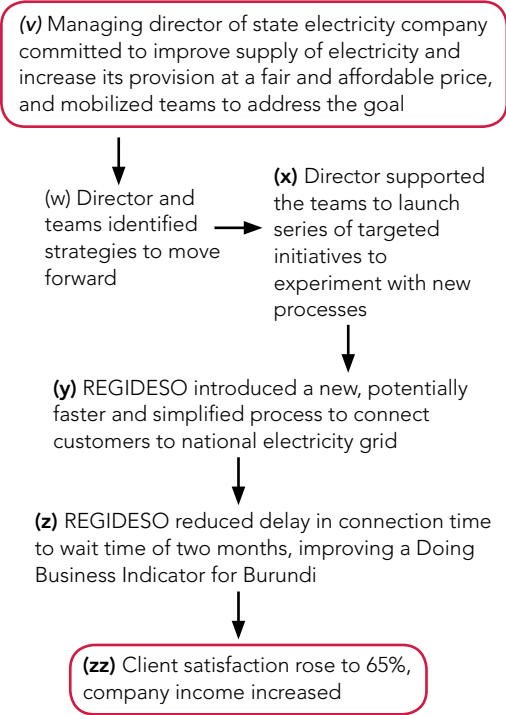
To help address this, the second Vice President decided to bring together both ministers to discuss the resolution for these blocks, focusing on the problem of processing files for new teacher payment. [p] This outcome underscores the importance of high-level oversight by authorities. In this instance, having high-level leaders involved in progress review of initiatives enabled the civil service to bring attention to issues that had become negative norms to discuss how to resolve them collaboratively. The challenge was a prolonged back and forth between the two ministries in processing files for new recruitments and payments, which it was possible to shorten. The meeting broke down the problem and identified potential solutions.

Efficient payment and reduced corruption

The Vice Minister of Education met with the Provincial Directors of Education in the provinces where the initiative was launched. (These Directors are responsible for the recruitment of new teachers and initiation of their files to recruit them.) They agreed on how the transmission of recruitment files for teachers could be expedited from the provinces to the central level. [q] That same month the Ministry of Education, Civil Service and the provinces began to follow the newly agreed upon expedited process. [r] All recognized the legitimacy of the new process because everyone decided on it, and the involvement of leaders at different levels provided the authority and ownership around the process for it to be enforced at all levels.

In March 2008, the director of the Civil Service and her team conducted a final review of the initiative and found they had been successful in reducing the time taken for newly recruited teachers in six

Figure 5. Pilot III: Improving connectivity to the electricity grid, June–September 2011



Institutional changes
 — Leadership and participatory priority setting to strengthen public sector reforms

Learning/capacity changes
 Other outcomes related to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions.

provinces to receive their first paycheck from around one year to just three months. [s] Within three months, 717 new teachers received their paychecks without being subject to corrupt fees to release the payment. [t] The Civil Service and Ministry of Education agreed to institutionalize the improved information sharing between ministries. [u]

In sum, these outcomes influenced the motivation of newly recruited teachers and delivery of education services. Since they received payment faster, they no longer needed to follow-up on processing of their files (reducing absences from their schools). These outcomes also facilitated long-term improvements in collaboration across the ministries and provided an example of a governance reform to combat corruption.

Example of how the government cyclically scales-up the lessons learned from the pilots: In March 2008, the Civil Service and Ministry of Education scaled up beyond the initial six provinces and applied the lessons to the recruitment and payment of new teachers throughout the country. [9] The previous initiative provided the learning and authorizing environment and acted as a key lever for scale-up of closer collaboration among the Ministry of Civil Service, Ministry of Education and Provinces.

In October 2008, the Ministry of Civil Service launched an initiative to reduce fictitious staff within the service, which resulted in the suspension of payment of 728 salaries to “ghost” individuals. Monthly savings are roughly equivalent to US \$530,759. On an annual basis, this was projected to total an amount of funds equivalent to the annual budget of the Ministry of Commerce—or half that of the Ministry of Civil Service. [10] In a country where government revenues are strained, making this significant amount of money available for other activities is valuable.

Pilot III: Improving connectivity to the electricity grid (Figure 5)

In Burundi there was a typical three-month wait time to connect new households and businesses to the national electricity grid. This was a key area to improve a Doing Business indicator for Burundi to increase access to electricity supply and was therefore a hindrance to the government’s desire to improve its Doing Business rankings to attract increasing foreign investment. The outcome chain that improved efficiency in connecting new customers to the national grid exemplifies an agency-level change management process:

Attention to problem

Following the second government retreat in 2009, the managing director of the state electricity company in Burundi, REGIDESO (within the Ministry of Energy, Water and Mining) committed to raising the quality of life in urban areas by improving the supply of electricity and increasing its provision at a fair and affordable price, and mobilized teams within the ministry to address the goal. [v] The director and teams analyzed the constraints and identified key strategies to move forward to advance the goal. These included: increasing the production of electricity; increasing the number of clients; increasing

the water supply rate; keeping client accounts up-to-date; reducing losses; and rehabilitating required equipment. [w]

Collaborative problem-solving

The managing director supported the teams to launch a series of targeted pilot initiatives between June and December 2009 to experiment with new processes by addressing particular constraints. For example, reducing the inspection period of client accounts from every three months to every two months: reducing the number of unpaid accounts that had not yet been disconnected and reducing delays in billing time of new customers from 6 months to 2 months. [x] It was important to improve services to build the image of REGIDESO in the eyes of their clients (it was very low).

Through these initiatives, REGIDESO introduced a new, potentially faster and simplified process to connect customers to the national electricity grid. This was a streamlined approach whereby clients make just one payment at the time of connection (rather than an application fee and later a connection fee), reducing administrative requirements and processing time. [y] Consequently, REGIDESO reduced the delay in connection time to a more reasonable wait time of two months. [z] Before the initiative was launched, the number of new clients connected per month was 100; after completion of the initiative this number had risen to 150 new clients per month. The managing director of REGIDESO provided a supportive environment for experimenting with new procedures for streamlining, which had been an ongoing process since 2008.

Increased customer satisfaction and company income

Results also supported an IFC government program on economic governance whose first phase involved improving Burundi’s ranking in Doing Business and resulted in Burundi appearing as one of the 10 most reformed African countries in the Doing Business Report of 2012 for improved business climate (elevating in ranking from 177 in 2011 to 169 in 2012).

In sum, REGIDESO learned how to address certain constraints and implemented a streamlined process to improve their efficiency in connecting new households and businesses to the national electricity grid.

SUBSTANTIATION OF OUTCOMES

To verify the accuracy of the outcomes mapped and enrich WBI's understanding of them, an external consultant selected four outcomes [1, 12, 14 and 20] and asked 10 people independent of WBI but knowledgeable about the change to review each and record whether they agree with the outcome as described. Four people responded to three outcomes [except 1]. Four of these substantiators fully agreed on the description of the outcomes and WBI's contribution to them and two provided additional information to clarify their significance. Excerpts of the substantiators' comments on the outcomes achieved:

"The approach is very good because after the training provided by the World Bank, it was time for the Government of Burundi to take ownership of this method to integrate it into the implementation of projects and programs. Otherwise, we would always be expecting World Bank experts to launch, on our behalf, projects to be executed in a short timeframe with tangible results. For the time being, most ministries have already integrated this method into the implementation of the action plans."

—Rosette Nizigiyimana, Vice-Minister of Civil Service

"The World Bank should consider giving further support to this program through a sustained program of ongoing evaluation. It should consider providing external coaches to help us better evaluate our performances in the rapid results, as often as necessary. It should extend the approach to other institutions, even private or parastatal ones."

—Odette Kayitesi, Minister of Agriculture

"Indeed, over the past few years, there has been an obvious change in the way projects in Burundi are managed and implemented using the system of results-oriented activity planning followed by the evaluation of results, using observable and verifiable indicators."

—Jérémie Ntiranyibagira, Director General of Human Resources to the General Staff of the Armed Forces

Thus, as demonstrated through these three initiatives, ministries and agencies used the L4R program to build an authorizing environment (Outcome Area 1) to execute their ideas for change to further the country's development goals. Through rapid, results-focused initiatives and rapid cycle learning (Outcome Area 2), they engaged collaboratively with teams to experientially learn what solutions worked and did not work to address each constraint. They used the program to structure pilot solutions to improve the effectiveness, responsiveness and efficiency of public services, reduce corruption and enhance government relationships centrally and sub-nationally. The successes offered learning to scale-up and build upon across government.

Contribution of WBI to Outcome Area 2: To support the implementation of these initiatives, WBI introduced rapid, results-focused initiatives with rapid cycle learning to Burundian officials for the L4R program to jumpstart and accelerate action for delivering results towards achieving national development agenda goals. WBI acted as initiators, conveners and as a resource for knowledge exchange to

support the pilots in the health and education sectors. Training was provided on conducting initiatives to the ministries and agencies and their staff, and WBI financially supported and mentored the international coaches and national coaches who were fundamental instruments in the problem-solving process empowered through these initiatives.

WBI supported the government through providing technical assistance launching and conducting mid-point and final reviews of the initiatives. For example, in the case of the initiative on the payment of teachers by the civil service, the review helped to distill lessons learned from this pilot and the learning was then used to feed into the design of similar follow-up initiatives across the country and ministries to improve results in the civil service more broadly. On a broader scale, WBI provided ongoing support and guidance to the government and Steering Committee to implement initiatives cyclically over the multiple years of the program to build successively on the results and learning of pilots.

Outcome Area 3: Embedding results-oriented problem-solving in the public sector

Institutionalization of the results-oriented management tools of the L4R program has been a progressive part of the change strategy within the design of this program.

In June 2007, the second Vice President, as head of the Steering Committee, had committed to build knowledge among public servants around the results-oriented management tools of the L4R program to tackle constraints across the public sector. As noted previously, he initiated a process to train coaches across the government. Since 2007, public servants with coaching capacities to use the results-oriented management tools have been embedded across all major ministries and agencies nationally. On a routine basis, the ministries started to engage teams to use rapid cycle learning to learn how to achieve priority results. [7]

Then, following the second government retreat in March 2009, the Vice Presidents of Burundi agreed to sign a public decree to mandate expansion of the program across government. [12] The decree, signed in July 2009, was instrumental to further institutionalize the results-oriented project management process of problem-solving by doing. Ministries launched initiatives using rapid cycle learning cycles iteratively, that is, each trimester, to address constraints and record and exchange progress to document and learn from.

While more than 2,000 team members have been introduced to rapid, results-focused initiatives, a key challenge to further institutionalization has been extending the results-oriented project management capacities across government. Institutionalization requires sub-national government use of the tools as well as building them into national ministries and building capacity in the government to train coaches on their own. Until 2011, coaches were trained by WBI and WBI national coaches.

Since 2011, ENA began to train teams and launch initiatives to extend results-oriented project management skills to improve performance. [14] This helped to anchor the curriculum and knowledge and skills required for the L4R program into the key national organization responsible for training civil servants. In 2012, ENA developed sub-national training materials in the local language to support implementation of the program in decentralized

contexts. [16] This further expanded the utility of the L4R program to reach areas where French was not widely used.

In 2012, ENA engaged stakeholders in consultations on options for institutionalizing the L4R program tools and practices within government ministries, as well as options for its financial sustainability within government. [17] This process provided key actors an opportunity to design a strategy to shape the integration and full ownership of the L4R program. ENA used the input to develop a strategic visioning paper incorporating the views of stakeholders. [18] The strategic visioning paper set a formal strategy for scale-up of the program, owned by all ministries and endorsed by donors.

In 2013, ENA began negotiations to secure government budget to strengthen the coordination of the L4R program. [19] This would be another step to continue the program within the government beyond WBI's support.

Overall, by 2013, ENA in partnership with WBI had intended to build a network of sub-national teams experienced in the use of rapid cycle learning to apply project management and results-oriented management skills and capacities. In addition, those trained previously by WBI are now internal coaches in teams within ministries at the national government level. [20] These individuals are sustaining and institutionalizing the culture of results progressively developed since 2006.

Contribution of WBI to Outcome Area 3: WBI contributed by providing results coaching, workshops and training to support the initial skills building in ministries. National results coaches were financed and guided who played a critical role in the process of preparation and signing of the decree through guidance to the Steering Committee.

WBI partnered with ENA to deliver coaching, workshops and training, including training coaches to be housed within ENA to guide future trainings. ENA was provided with training materials and expertise to integrate them into use by ENA trainers. WBI facilitated jointly with ENA the knowledge-sharing platform for decision-making on the strategy, and recruited a consultant to conduct interviews with donors and stakeholders who had been involved in the L4R program. The WBI-financed consultant helped to prepare the

draft strategic visioning paper based on interviews and discussions during the workshop.

CONCLUSION

Over the course of several years, the L4R program developed a culture of results among leadership and teams in the civil service as well as the capacity to apply project- and results-oriented management tools. The civil service can use the tools to problem-solve and learn which practical solutions work in what context to advance institutional change. The program helped to develop leaders and teams, skills and new behaviors in the civil service to systematically find and adopt innovative solutions for identifying and overcoming institutional constraints.

The problem-solving process addressed constraints such as breakdown in communications, weak collaboration, corruption vulnerabilities, organizational dysfunctions and inefficiencies. It engaged, motivated and empowered leaders and teams to take new actions to change problems and broke down barriers from those that have a vested interest in keeping the current inefficient system.

The emphasis on team-building is key to the success of the program. Working as a team with a strong authorizing environment from leadership empowers a shared responsibility for results as well as personal and joint accountability. It enables the government to develop and use their collective capacity to advance reforms, rather than overburden individuals in already low capacity environments. It helps to overcome hierarchical inefficiencies within government that can impede change, since authorization for the reform sits in another office. Teams are able to find innovative and effective solutions to problems in the country because of an enabling context for action that is overseen by the highest level of leadership in the presidency. Change is possible and solutions can be used to tailor lessons for scale-up within other parts of government or throughout the country.

The government retreat process helped align program outcomes from initiatives in ministries with development priorities for the country's growth, governance and social and economic transformation. Problems are systemically prioritized at the highest level with the Steering Committee, and then refined by senior leader champions in ministries and multi-actor teams. Through pilot initiatives, there is a

gradual progress to unblock constraints and further advance development goals and priorities.

Ministries across the Burundian civil service continue to use L4R tools without WBI support. They continue without oversight from the Steering Committee and World Bank Country Office, and in some cases, without requests from ministers to use the tools to address a specific problem. WBI does not currently know how many initiatives are running in the government at any given time but has been informed by ministries of agriculture, health and defense, in particular, that the tools are continuing to be used.

Key outcomes supporting this institutionalization of results-oriented practices within the civil service include: the Presidential decree to strengthen country leadership, embedded coaches within national ministries and agencies and inclusion of results training within ENA's curriculum in the local language to build a larger cohort of coaches across the country, particularly in provinces. The outcomes relating to ENA demonstrate ongoing capacity development within the civil service such that the program can be scaled-up to reach civil servants at all levels across the country. The government has also undertaken research on ways to further sustain the program and begun negotiations on how to finance the program fully from the government budget.

NEXT STEPS

To continue to advance the program's objectives the training of additional civil servants in the tools of the L4R program must still be addressed. Some ministries are more immersed in applying the tools and are consequently operating at a faster pace and encounter challenges in implementation when they collaborate with a ministry that is not as involved in applying the tools.

There is also an insufficient pool of high-quality results coaches. The existing pool is comprised of coaches who continue to support results-focused, rapid cycle learning teams in some ministries, and ENA coaches who do not have enough financial resources to expand the L4R program tools to the provinces. It is thus essential to continue to strengthen ENA's effectiveness and financial viability to provide regular training and re-training to coaches, as well as to anchor Burundian results coaches to the growing regional network of results coaches in Africa. Ongoing strengthening of coaches

inside ministries should also be reinforced in a continuous way through implementing results and rapid cycle learning.

In addition, the government retreat process should continue and be used as an opportunity to recognize and reward results champions. This will create a healthy competition, maintain the authorizing environment and capitalize on and learn from effective practices.

Burundi is reviewing the Presidential decree for the L4R program that is still active despite government turnover since 2009, and considering how to strengthen the supervision and M&E of the government action planning under a structure chaired by the presidency.

Overall the L4R program is now owned and led by Burundi. Ongoing support from WBI is expected to include advisory support for the final stages of coach development by ENA, the continued institutionalization of the program's processes within the government and integration of Burundi coaches within the Africa regional results coach network to help continue to build their knowledge and expertise. ■

NOTES

¹ Mapping outcomes—and related outputs and milestones—can help us learn from change processes that occur during program delivery that often seem complex and opaque because they involve multiple actors and address large development problems. An outcome is what each social actor (or change agent) did,

or is doing, that reflects a significant change in their behavior, relationships, activities, actions, policies or practice. The program may influence these changes, directly or indirectly, partially or wholly, intended or not. Outcomes are identified at two levels in relation to the goal: institutional changes relate to societal, policy and organizational changes; and learning/capacity changes relate to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions. These levels are based on the Capacity Development and Results Framework. The framework provides a systematic yet flexible approach to designing capacity development strategies and programs, monitoring and adaptively managing interventions, and evaluating and learning from their results.

² Outcome harvesting is a practical assessment tool from the outcome mapping community of practice. It can be used for real-time monitoring and evidence gathering from complex development processes that involve multiple stakeholders. It is based on a similar concept of locally driven change from the Capacity Development and Results Framework. The tool was customized to gather information on outcomes—and related outputs and milestones—to learn from what changed, for whom, when and where, the significance of the change and how the program contributed to each change.

³ The numbers in brackets correspond to the outcomes in Figures 2–5. The text that usually follows each outcome refers to its significance. The process of change the outcomes represent is seen in Figure 1.

⁴ Change agents are leaders, groups or organizations from government or non-state that drive change.

⁵ Change strategy refers to how change happened to advance progress toward the development objectives—the development problems addressed, types of outcomes achieved, WBI contributions, and partners involved. A change strategy may include different types of change processes or outcome areas depending on the complexity of the multi-actor institutional changes involved in a program.

FOR MORE INFORMATION

Project Contact

Benjamina Randrianarivelo, WBI Leadership team,
brandrianarivelo@worldbank.org

Email

WBI Capacity Development and Results team at capacity4change@worldbank.org

Website

www.worldbank.org/capacity

© Copyright 2013 World Bank

WBI's Capacity Development and Results team led the outcome mapping; Jenny Gold coordinated the exercise with support from Ricardo Wilson-Grau. Sharon Fisher provided editorial and design services. Samuel Otoo provided overall guidance.

ACKNOWLEDGMENTS

Thanks to Benjamina Randrianarivelo and Kay Winning, who led the mapping exercise.

Thanks to substantiators:

Odette Kayitesi, Minister of Agriculture
Andre Nduwimana, Director of ENA
Rosette Nizigiyimana, Vice-Minister of Civil Service
Jéréemie Ntiranyibagira, Director General of Human Resources to the General Staff of the Armed Forces



Implementing Reform Initiatives in Solid Waste Management in Bosnia

In Bijeljina, a city in northeastern Bosnia and Herzegovina, the solid waste management system was not financially stable. Consequently, in the fall of 2011, six representatives from the municipality of Bijeljina, its transport utility and dumpsite utility, embarked on a yearlong program to advance their solid waste management reforms. Their success in forming a coalition that could withstand the demands of implementation allowed them to deal with tough issues, such as citizens not paying fees, lacking the experience to implement solutions and adjusting their work processes in order to deliver results.

During the period of January–March 2013, the World Bank Institute (WBI) mapped the outcomes¹ of the Bijeljina experience using a customized outcome mapping tool². This case is a result of that mapping and examines the results of the Bijeljina reform team

Development Objective

Improve the value of municipal services for citizens in South East Europe.

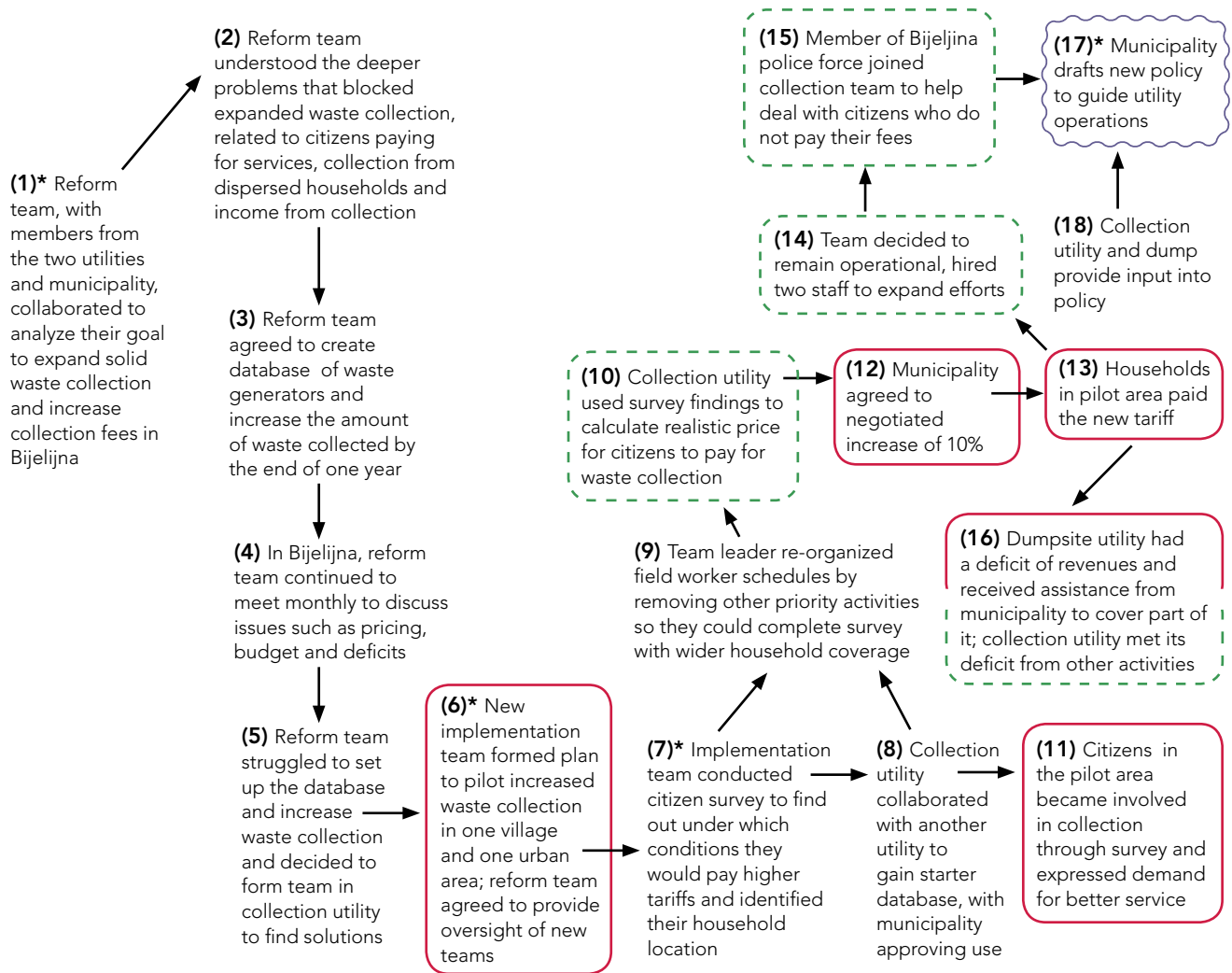
Problem

The inabilities of municipalities to create and manage financially viable solid waste management systems are due to a variety of political economy, institutional and adaptive challenges. This tension is heightened in a fragile context. In the city of Bijeljina in northeastern Bosnia and Herzegovina, waste collection was no longer a sustainable service. Challenges included citizens not paying fees, dispersed households, weak operations, poor communication and weak financial management.

Specific Objectives

To strengthen a cadre of reform-minded local, regional and national-level government officials and members of civil society to improve solid waste coverage through collaborative leadership strategies that mobilize stakeholders to make progress on complex adaptive problems.

Figure 1. Map of outcomes showing how changes connected and built over a two years



efforts, which occurred under WBI’s support to South East European (SEE) countries working on solid waste management reforms.

A visual map (Figure 1) presents the sequence of outcomes achieved by the change agents—municipal leaders, reform team members and an implementation team involved in the process. The map illustrates how outcomes connected and built on each other over time to form multi-actor, institutional

processes for change to address the Bijeljina reform team’s objectives and goal.

Through the outcome mapping process WBI identified and formulated the outcomes, presenting an explanation of their significance and how WBI had contributed—directly or indirectly, in a small or big way, intentionally or not—by empowering the change agents to take new actions. Then, roughly 20% of the outcomes were independently

substantiated for credibility in the mapping exercise (see page 6 sidebar).

BACKGROUND

The inability of municipalities to create and manage financially viable solid waste management systems is due to a variety of political economy, institutional and adaptive challenges. Often citizens and the state need to adapt how they engage with each other. This tension is heightened in a fragile country context where dysfunctional public service, resettled households and citizen behaviors are exasperated by years of conflict.

In the fall of 2011, WBI's Leadership Practice launched a yearlong Greater than Leadership (GTL) Program to help participating teams improve municipal services. The program began with an application process where teams submitted their reform proposals. This was followed by a five-day workshop with six municipal-level reform teams from Albania, Bosnia and Herzegovina, Kosovo, Macedonia, Montenegro and Serbia. During the workshop the teams were exposed to adaptive leadership, strategic communication, political economy and self-mastery concepts. They were also facilitated in conducting network/influence analysis on their reforms as well as identifying their own goals, work plans and potential Rapid Results Initiatives (RRI). An 11-month laboratory phase followed, during which time the teams innovated around how to implement their newly articulated goals.

The objective of the GTL program is to strengthen a cadre of reform-minded local, regional and national-level government officials and members of civil society to improve solid waste coverage through collaborative leadership strategies that mobilize stakeholders to make progress on complex adaptive problems. Beyond the concepts and tools that are shared, teams benefit from knowledge exchange amongst themselves as well as best practices and advice from technical experts.

The GTL Program built on the World Bank-Austria Urban Partnership Program on Strengthening Capacity Building of Local Governments in SEE countries. Through this program, WBI's Leadership practice was able to partner with the World Bank operational team in the region and WBI's Urban team to offer the GTL Program. This current case focuses on the experience of one of these reform teams as they coalesced and worked toward over-

coming the challenges they faced during their 11-month laboratory phase.

OUTCOME AREAS

Figure 1 shows the outcomes of the Bijeljina reform team's efforts to reach their 11-month goal to create a database on waste generators in the municipality of Bijeljina by July 31, 2012 and to increase the amount of waste collected by 20% in Bijeljina by Dec 31, 2012. The process of change they pursued can be seen in the four areas of outcomes (Figure 2) that are detailed in the following sections.

Outcome Area 1: Municipal Commitment to Expand Collection Coverage

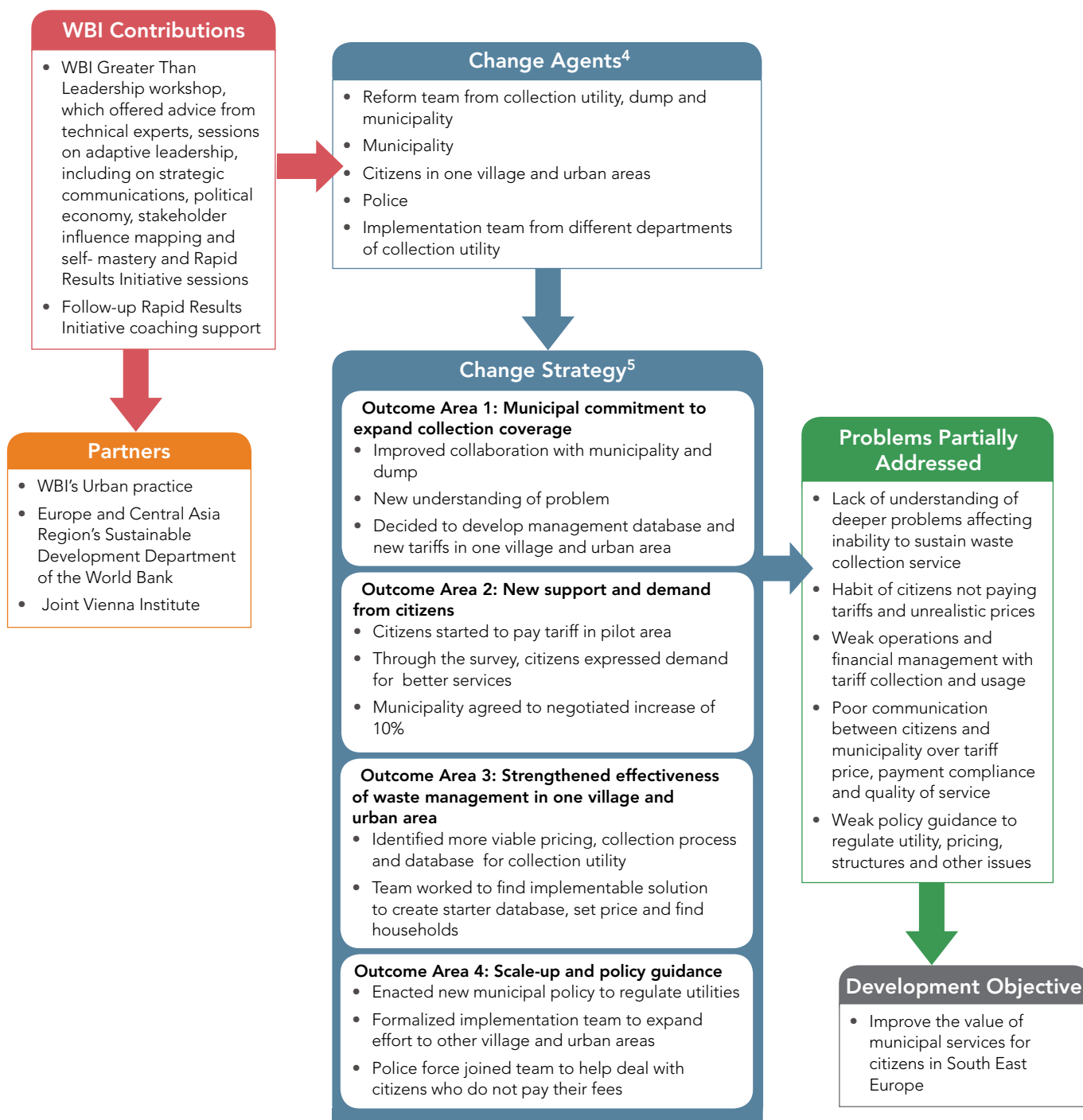
In the municipality of Bijeljina, six senior officials from the municipality, collection utility and dump utility formed an informal coalition or reform team to make progress on improving solid waste management services, in particular coverage of the services in the town and surrounding rural area. In December 2011, during the GTL workshop application process, the reform team collaborated to analyze the problem of having insufficient funds to sustain the municipalities' solid waste collection and dumpsite services. The team set a reform goal to expand solid waste collection and increase service fees collected from households over 11 months. [1]³

This new alignment triggered a collaborative process among the reform team members. Eventually it enabled the team to work together to start to break down the difficult medium-term reform of improving the sustainability of municipal services into workable pieces that could be more reasonably addressed within one year.

In January 2012, at the GTL workshop, the reform team further refined their goal and the constraints to reach it. They understood that expanding solid waste collection and increasing service fees was not a simple technical exercise and particular institutional constraints needed to be addressed. [2] These constraints included the weak financial sustainability of the utilities' services, operational efficiencies in delivering the services, poor citizen engagement and inefficient regulations. For example:

- The collection and dump utilities were running their services on a deficit. To become profitable the collection utility needed to collect the "correct" fees from all households so they could then

Figure 2. Change strategy showing how change happened to advance progress toward goal



pay a fair price for dumping waste at the dumpsite.

- Both utilities lacked accurate data on the location and number of households they collected waste from. This inaccuracy was due to disrupted land-use post conflict, with disorganized and undocumented construction of homes. Households no longer aligned to pre-war boundaries, making it difficult to collect waste from households with no responsible payer, no road access and multiple families combined together in close land areas.
- Citizens no longer had the habit of paying for waste collection services since the war and did not leverage channels to demand improvements in the services.
- The municipality needed to strengthen its policy framework for governing public utility services, including the provision of a guide for information-sharing among utilities and the setting of fee rates and developing processes to enforce compliance with rules and regulation.

The reform team agreed to address these root problems by focusing on creating a database of household waste generators in the municipality as well as increasing the amount of waste collected by the end of the year by 20%. [3] Previously there was no consensus among the municipality, collection utility and dump utility around the problem or how to focus reform efforts. Starting in January 2012, the reform team met monthly to discuss problems such as pricing and budget deficits and possible solutions to implement their goal. [4] The team had developed a common sense of urgency to continue working together to implement the goal.

WBI provided technical support to applicants before the GTL workshop in January 2012 to help them re-think the nature of their problem, goal and stakeholders. During the GTL workshop, WBI provided technical expertise and learning on adaptive leadership, personal mastery, coalition-building diagnostics, strategic communication and Rapid Results Approach.

In February 2012, the reform team recognized they were struggling to create their database and increase waste collection. To find solutions to this obstacle they decided to set up a second team within the collection utility who would become a RRI "implementation team." [5] Six staff members from different job areas were assigned to the team

because they had to do the work of designing and verifying a database as well as increasing the coverage area for collection of waste in Bijeljina. Together they developed a results-based goal and detailed work plan to increase coverage while setting up and verifying a database in one rural area and one heavily congested urban street in Bijeljina. The reform team agreed to provide oversight to the effort. [6] Meanwhile, the implementation team tested out solutions they could later scale-up across the municipality.

WBI invited teams in the GTL workshop to submit applications for Rapid Results coaching support during the laboratory phase when teams implement their reform goal in their respective municipalities. The RRI support was targeted at teams that needed to find new solutions to implement their goal. By request of the Bijeljina Reform Team, WBI provided a Rapid Results coach to support the implementation team over the approximately 65 days they had to unblock the implementation obstacles facing the reform team's achievement of their 11-month goal. WBI encouraged the reform team to oversee the RRI process so that lessons from the RRI could be institutionalized with full support of the municipality, collection and dumpsite utilities.

Outcome Area 2: New Support and Demand from Citizens

Between April and June 2012, the Bijeljina implementation team carried out a citizen survey in the pilot area. They planned to use the field-based survey to inform the location of households to develop the database and find out under which conditions citizens would pay higher fees for waste collection services. Close to half of the citizens surveyed were willing to pay more for waste collection services but at small increments. A little over 25% thought the current price was too high and almost half found the cost to be realistic. But, only half of the citizens surveyed were happy with current service provision provided by the collection utility. [7]

Through the survey, citizens became involved in scrutinizing the utility's services and expressed their demand for better services. [11] This was important to change citizens' behaviors in terms of social norms around paying for services and to engage citizens in voicing their demands for services improvements. The increasing citizen demands also provided a political incentive for elected officials in

SUBSTANTIATION OF OUTCOMES

To verify the accuracy of the outcomes mapped and enrich WBI's understanding of them, the external consultant selected 4 outcomes [1, 6, 7, 17] and asked 7 people independent of WBI but knowledgeable about the change to review each and record whether they agree with the outcome as described. Five people responded: 5 fully agreed with the outcome description as formulated and WBI's contribution to it; regarding significance, 1 fully agreed with the description and 4 provided additional information to describe the significance. Excerpts of the substantiators' comments on the outcomes achieved:

"The reform team from Bosnia and Herzegovina comprised 6 members: 1 member from the municipality of Bijeljina (today the city of Bijeljina), 3 members from the public enterprise regional landfill EKO-DEP, 1 member from the utility Komunolac and 1 member from the directorate for construction and development of the city of Bijeljina."
—*Dragan Lazic, Eko Dep, Bijeljina*

"The agreement, the plan and key steps have been achieved [toward the goal of increasing the amount of waste collection]. However, the coverage has not yet been increased by 20% under the specified deadline."
—*Milorad Zekic, Head, Komunolac utility*

"Today, the main goal—to cover the whole municipality with waste collection—is almost done. The 11-month goal to increase coverage for 20% failed because the goal was too complicated for so small a time period. But, the Rapid Results Initiative [implementation and achievement of certain outcomes in a shorter time period] made good preparation for the long-term goal. WBI had a huge impact on the creation of the reform team and made our work much easier and more organized."
—*Bojan Miric, Komunolac utility staff, Rapid Results Initiative team leader*

the municipality to support efforts to increase collections and solid waste coverage.

In July 2012, the Bijeljina municipality agreed to a negotiated collection price increase of 10% for waste collection services, which fell within citizens' willingness to pay. [12] In the second half of 2012, households in the pilot area of the Bijeljina municipality paid the new tariff. [13] The municipality's agreement to the price increase showed new trust in the collection utility's methodology.

WBI contributed RRI coaching support to help the implementation team tackle the issue of engaging citizens and the municipality. The team did the work on the ground, having been empowered through the Rapid Results process.

Outcome Area 3: Strengthened Effectiveness of Waste Management in One Village and Urban Area

From April to June 2012, the leader of the implementation team in the Bijeljina collection utility re-organized the field workers' schedules so they could give priority attention to the reform goal. This cleared their workload so that they could complete surveying citizens and the work plan to create the

database and increase waste collection in one rural and one urban area of Bijeljina. [9] This outcome shows how the authorizing environment in the collection utility changed to allow the implementation team to efficiently operate and adapt processes to address the reform goal, which was previously a low priority.

WBI provided advisory support to the team leader during the RRI and at the mid-point review.

In May 2012, the collection utility collaborated with another utility to obtain a starter household database, with the Bijeljina municipality approving the terms of use. [8] The collaboration was unprecedented and helped the implementation team solve the problem of having no household database to base its collection activities. It also increased support from the municipality, since the municipality had to approve the use of the database. The citizen survey could then help to validate and build on information in the database.

In June 2012, the Bijeljina municipality and collection utility used data from the citizen survey to calculate a price for waste collection that reflected the costs incurred by the utility. This new price included the higher cost for dumpsite fees. [10] A

realistic price is a critical step toward a financially viable solid waste management system. Price identification is tricky because the price must cover the costs of collecting and dumping the waste. For the price not to be inflated, both the collection utility and dump utility must work efficiently. Previously, the utilities did not have a transparent method to calculate pricing or a procedure to communicate the pricing process to the community.

In December 2012, the Bijeljina municipality agreed to cover 20% of the dumpsite utility's deficit of 43% of total revenues, thus reducing the deficit to 35%. The collection utility covered their deficit by using income from other activities, such as street cleaning. [16] This demonstrated a step to move to a more sustainable business model and improve financial viability of the utilities. It also showed the new political will of the municipality to subsidize the dump utility's operations.

WBI facilitated the GTL workshop and RRI coaching to empower a process for the municipality and utilities to address the challenge of pricing on their own. WBI helped the municipality understand the revenue challenge related to solid waste management.

Outcome Area 4: Scale-up and Policy Guidance

In 2012, the Bijeljina implementation team decided to remain operational to continue to scale-up coverage beyond the pilot area. [14] By keeping the implementation team operational, the problem-solving process and reform solutions to improve solid waste management are becoming institutionalized. The implementation team expanded to include a member of the Bijeljina police force to help the utility manage compliance challenges of households paying their fees. [15] This engagement shows that the collection utility has a clear mandate and strong support from the municipality to scale-up waste management service reforms beyond the pilot.

In January 2013, the Bijeljina municipality drafted a new policy to guide utility operations, to which the collection utility and dump utility provided input. [17, 18] These outcomes provided guidance that previously was absent and which was necessary to regulate utilities and scale-up reforms to make sure they provide the required value to citizens. They also

demonstrated the new collaboration between the municipality and utilities.

WBI contributed RRI coaching to reinforce the idea that representatives from other agencies or groups outside the municipality and utility could join the implementation team.

CONCLUSION

The outcomes achieved in Bijeljina describe the experience of one reform team that joined the GTL program. Over one year, the Bijeljina reform team became an informal coalition that raised the urgency and political commitment to improve solid waste management services in the municipality. They improved communication and relations among two utilities and the municipality, providing an authorizing environment to carry out difficult reform activities.

The Bijeljina reform and implementation teams uniquely adapted solutions to address institutional changes that previously blocked improvements in solid waste management services and produced outcomes they could build on. This illustrates a municipal-led process by which local teams identified how to advance their own reforms.

For example, they leveraged a simple citizen survey to address social norms around paying fees for services and the lack of a way to channel citizen demand for service improvements. They addressed operational inefficiencies in the utilities by re-organizing staff to implement reform activities, identifying household locations so service fees could be collected and creating a database for collection activities. Financial viability was addressed by developing a transparent process to calculate service fees and secure subsidy support from the municipality to account for the remaining deficit. The municipality addressed policy inefficiencies, drawing on lessons from the pilot to inform new regulations to guide utilities' services and solid waste management.

NEXT STEPS

The new regulations put in place by the municipality should help to ensure continued improvements in solid waste management services in the municipality. Implementation and monitoring of the regulation by the municipality will be important, along with continued logistical support to utilities to carry them out.

The continuity of the reform and implementation teams beyond the one-year pilot period points to an

ongoing effort to scale-up the outcomes achieved in the pilot throughout all town and rural areas of the municipality.

As the reform team members look to the future their concerns will move to the next stages of improving solid waste management services, such as recycling and monitoring the current solid waste management system. While the existing solid waste management system established in Bijeljina is expected to improve over time, it is realistic to expect new liabilities for improvement of the entire system to appear. ■

NOTES

¹ Mapping outcomes—and related outputs and milestones—can help us learn from change processes that occur during program delivery that often seem complex and opaque because they involve multiple actors and address large development problems. An outcome is what each social actor (or change agent) did, or is doing, that reflects a significant change in their behavior, relationships, activities, actions, policies or practice. The program may influence these changes, directly or indirectly, partially or wholly, intended or not. Outcomes are identified at two levels in relation to the goal: institutional changes relate to societal, policy and organizational changes; and learning/capacity changes relate to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions. These levels are based on the Capacity Development and Results Framework. The framework provides a systematic yet flexible approach to designing capacity development strategies and programs, monitoring and adaptively managing interventions, and evaluating and learning from their results.

² Outcome harvesting is a practical assessment tool from the outcome mapping community of practice. It can be used for real-time monitoring and evidence gathering from complex development processes that involve multiple stakeholders. It is based on a similar concept of locally driven change from the Capacity Development and Results Framework. The tool was customized to gather information on outcomes—and related outputs and milestones—to learn from what changed, for whom, when and where, the significance of the change and how the program contributed to each change.

³ The numbers in brackets correspond to the outcomes in Figure 1. The text that usually follows each outcome refers to its significance. The process of change the outcomes represent can be seen in Figure 2.

⁴ Change agents are leaders, groups or organizations from government or non-state that drive change.

⁵ Change strategy refers to how change happened to advance progress toward the development objectives—the development problems addressed, types of outcomes achieved, WBI contributions, and partners involved. A change strategy may include different types of change processes or outcome areas depending on the complexity of the multi-actor institutional changes involved in a progra

FOR MORE INFORMATION

Project Contacts

Manuel E. Contreras, WBI Leadership team, mcontreras@worldbank.org

Email

WBI Capacity Development and Results team, capacity4change@worldbank.org

Website

www.worldbank.org/capacity

© Copyright 2013 World Bank

WBI's Capacity Development and Results team led the outcome mapping exercise; Jenny Gold coordinated with support from Ricardo Wilson-Grau. Sharon Fisher provided editorial and design services. Samuel Otoo provided overall guidance.

ACKNOWLEDGMENTS

Thanks to Hirut M'cleod, Manuel Contreras and Jose Edgardo Campos, WBI Leadership team members involved in the project and mapping exercise.

Thanks to:

Dragan Lazic, Eko Dep, Bijeljina
Dragisa Marjanovic, Head, Eko Dep
Bojan Miric, Komunolac staff, Rapid Results Initiative team leader
Mihailo Nestorovic, Directorate for Urban Development Bijeljina
Bjorn Phillip, Senior Urban Specialist, World Bank
Velimir Sljepcevic, Board Member Eko Dep
Milorad Zekic, Head, Komunolac Utility



Improving Governance in Pharmaceutical Procurement and Supply Chain Management in Kenya, Tanzania and Uganda

Since 2010, Kenya, Tanzania and Uganda have made significant progress in strengthening multi-stakeholder engagement to facilitate greater transparency, accountability and efficiency in Pharmaceutical Procurement and Supply Chain Management (PSM). The increased collaboration between state and non-state actors, which has emerged as a result of this engagement, is integral to improving access to essential medicines, the goal of WBI's Improving Governance in Pharmaceutical Procurement and Supply Chain Management Initiative.

In January–March 2013, WBI mapped the outcomes¹ of this initiative using a customized outcome harvesting tool². This visual map (Figure 1) presents the sequence of outcomes achieved

Development Objective

Improve citizen access to essential medicines in Kenya, Tanzania and Uganda.

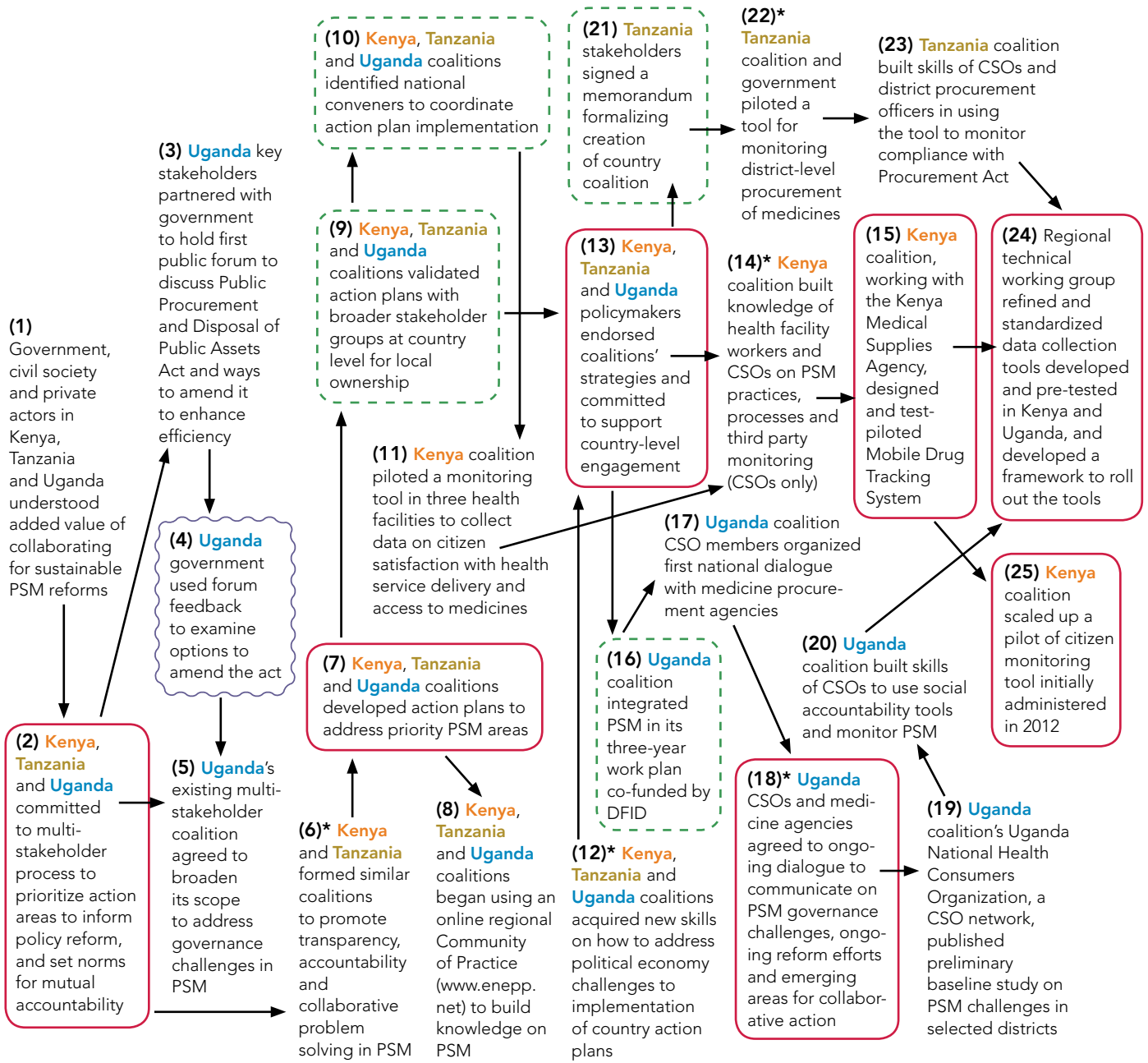
Problem

Challenges in pharmaceutical procurement and supply chain management—such as poor coordination between varied actors, inefficiency and misallocation of public resources—result in waste and limit citizens' access to essential medicines at affordable prices and of good quality.

Specific Objectives

Strengthen transparency, accountability and efficiency in government pharmaceutical procurement and supply chain management to promote value for money and achieve more with less.

Figure 1. Map of outcomes showing how changes connected and built over a four-year timeframe



2010	2011	2012	2013
Institutional changes Outcomes related to societal, policy and organizational changes		Learning/capacity changes Other outcomes related to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions.	
— Regional and country commitment and priority setting/transparency and accountability of PSM		* Outcomes selected for substantiation; see sidebar.	
~ Efficiency of PSM policy			
- - - Effectiveness of multi-stakeholder action			

by change agents—the leaders, coalitions and organizations involved in the process. The map illustrates how the outcomes connected and built on each other over time to form multi-actor, institutional processes for change to address the initiative’s objectives and goal.

WBI team members identified and formulated the outcomes, presenting an explanation of their significance and how WBI had contributed—directly or indirectly, in a small or big way, intentionally or not—by catalyzing or empowering the change agents to take new actions. Then, roughly 20% of the outcomes were independently substantiated for credibility in the mapping exercise.

BACKGROUND

According to the European Health Care Fraud and Corruption Network and the World Health Organization, annual global health expenditure stands at about US \$5.3 trillion. Of this outlay, US \$750 billion (18%) is spent in the pharmaceutical market, while consumers lose about US \$300 billion more to human error and corruption. Together, total expenditure for pharmaceuticals and the cost of corruption combined exceeds US \$1 trillion, or approximately 1/5th of what is spent globally on health care.

Pharmaceutical procurement is particularly prone to poor governance, since it entails complex processes that involve many stakeholders, including government ministries, procurement agencies, manufacturers, hospitals, distributors and citizens as the ultimate clients. When pharmaceutical procurement and supply chain systems work effectively, they offer high levels of quality, cost-effectiveness, product availability, transparency, accountability and value for money in the use of public funds.

The effort to improve these systems is especially critical in emerging markets, where pharmaceutical spending is 20–30% higher than the global average. International reference prices and cross-country knowledge sharing are thus critical to low-income countries obtaining fair prices on the global pharmaceutical market.

In 2010, WBI’s Health Systems and Open Governance practices jointly launched the Improving Governance in Pharmaceutical Procurement and Supply Chain Management Initiative in Kenya, Tanzania, and Uganda. The initiative focuses on addressing weak governance in PSM, including legal and regulatory issues, organizational inefficiencies, challenges of

information asymmetries and poor multi-stakeholder coordination and collective problem solving.³

The initiative seeks to create and build the capacity of multi-stakeholder coalitions comprising public and private sectors and CSOs (including academia, media and faith-based organizations) in Tanzania, Kenya and Uganda. Through capacity development, WBI provides the coalitions with cutting-edge tools to build strong relationships across stakeholder groups, understand and address the political economy of health sector reforms, enhance technical understanding of pharmaceutical PSM issues and engage demand-side actors in generating evidence-based data to inform policymaking. These capacity development components are intended to strengthen collaborative action toward reforms, which is expected to accelerate PSM change processes and ultimately improve access to medicines.

Tanzania, Kenya, and Uganda have initiated country-level processes that have the potential to reform pharmaceutical PSM processes. They possess both technical and leadership capacity enhanced through structured learning, knowledge exchange and peer-to-peer learning that facilitate regional multi-stakeholder-led efforts to improve governance in PSM.

OUTCOME AREAS

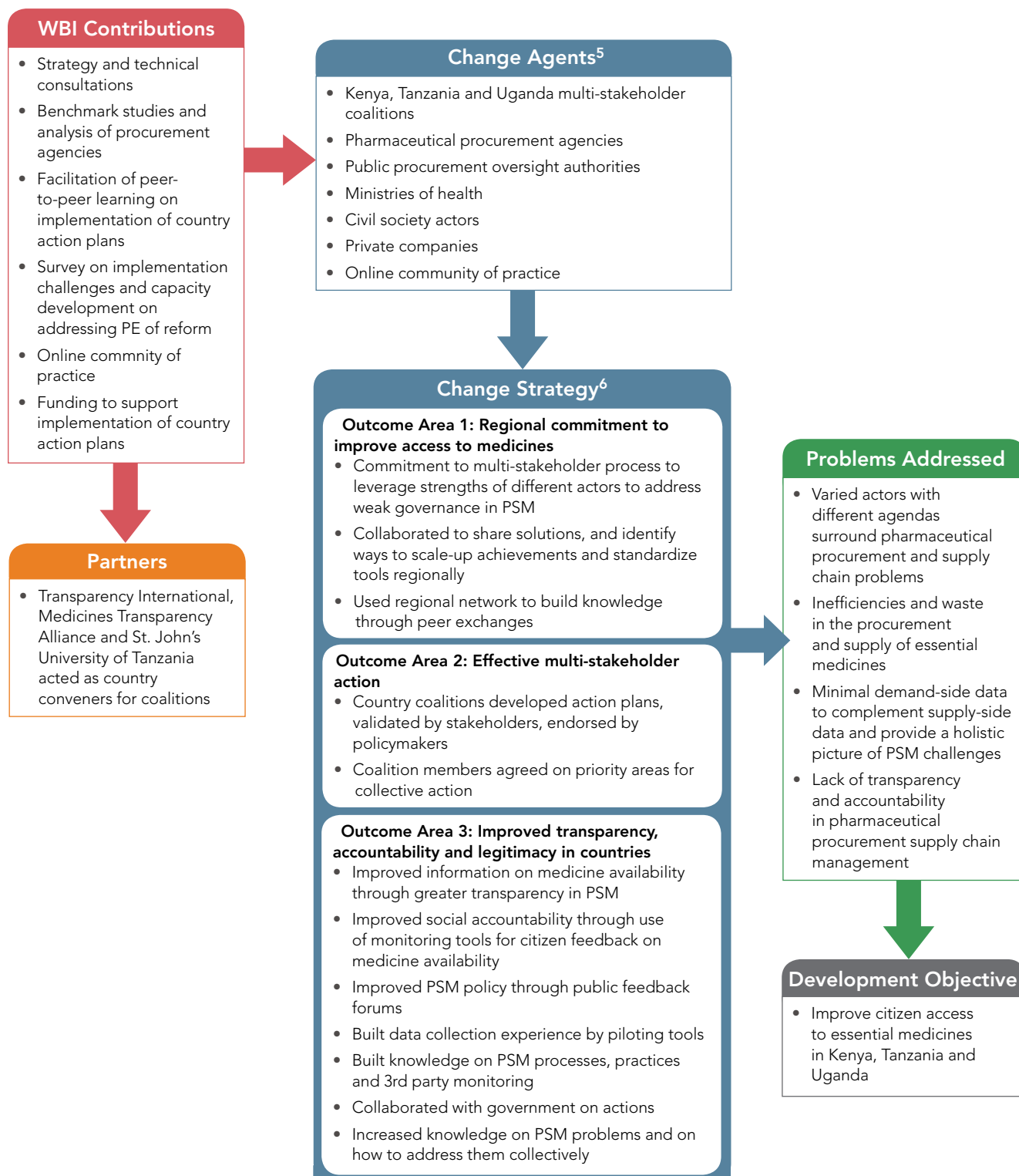
The process of change from this initiative can be seen in three areas of outcomes that represent the major change paths (Figure 2). All of the outcomes were analyzed and classified according to the types of change they achieved. They were then grouped based on how they connected to each other to form a story for change.

Outcome Area 1: Regional commitment to improve access to medicines

In this initiative, regional and country-level commitment helped drive effective and sustained actions.

In June 2010, pharmaceutical procurement agencies, public procurement oversight authorities, ministries of health, civil society actors and private companies in Kenya, Tanzania and Uganda acknowledged governance weaknesses in PSM and came together regionally to discuss approaches for achieving more sustainable reforms. These actors recognized the limitations of working through the customary approach of “silos,” with little collaboration across stakeholder groups.

Figure 2. Change strategy showing how change happened to advance progress toward goal



Stakeholders realized the value presented through synergistic approaches to problem solving, and, therefore, committed to pursuing a more systematic, collaborative approach to influence reforms. [1,2]⁴

More importantly, stakeholders viewed working together as a critical strategy toward making inroads at a time when health policy reform was a national priority in all three countries. The collaborative address of systemic challenges in PSM promised

to leverage stakeholder strengths and expertise; create a level playing field for constructive dialogue between multiple stakeholders; facilitate consensus building about reform priorities; and establish mutual accountability for results.

WBI held extensive consultations at the country level to elicit stakeholder feedback on a proposed concept note for a multi-stakeholder approach for strengthening good governance in pharmaceutical PSM. Through facilitated discussions, WBI helped stakeholders understand the link between the slow progress on PSM and working in silos and demonstrated the potential for state and non-state actors to work collaboratively for stronger and more effective reforms.

In April 2011, the country stakeholders began using a regional online Community of Practice (CoP) to build knowledge and commitment of stakeholders on PSM (see www.enepp.net). [8] The CoP had more than 350 members from all three countries by February 2013. Having a CoP became important for advancing regional knowledge exchange between practitioners in all three countries, and providing a “safe” space to share challenges, innovative solutions and resources to help move forward sensitive reforms.

WBI designed, developed and launched the online platform during a regional workshop in Kenya, held April 2011. WBI facilitated membership of participants at the workshop and other stakeholders at the country level from the public, private and civil society sectors and development partners.

In April 2012, representatives of multi-stakeholder coalitions in each country gathered regionally to discuss their respective challenges, explore approaches for addressing the political economy of reforms, reprioritize their action plans and set realistic timelines. [12] This refinement of country action plans was necessary since the multi-stakeholder coalitions were experiencing implementation challenges and needed to review their priorities to identify areas where they could have the most impact. A key concern across the coalitions was how to address perceived mistrust between actors, as well as promote a more equitable balance of power among stakeholders to ease coordination, forge collaboration and facilitate attainment of shared objectives. The country coalitions also prioritized the role of demand side actors in generating an evidence base on health

service delivery and access to medicines at the facility level to better inform policy dialogue.

WBI administered a survey to members of the multi-stakeholder coalitions in Kenya, Tanzania and Uganda in late 2011 to understand the implementation challenges the coalitions faced and identify areas where WBI could provide capacity development and technical assistance. WBI’s Greater than Leadership Program designed a five-day workshop for the coalitions on “Strengthening Multi-stakeholder Coalitions Through Leadership Action.” WBI also provided funding to accelerate implementation of the refined action plans.

In October 2012, a regional team of experts representing government and civil society from Kenya, Tanzania and Uganda refined, standardized and finalized data collection tools developed and pre-tested by the coalitions. The technical working group of experts also developed a monitoring and evaluation framework to guide the refinement, finalization and rollout of the tools. [24] They identified the need for two supplementary data collection tools: a Citizen Empowerment Tool to determine the existence of and assess the efficacy of Grievance Redress Mechanisms in receiving and responding to citizen feedback on health service delivery, as well as a Stock Monitoring Tool to track stock levels of tracer medicines in selected health facilities in all three countries. The set of harmonized tools will aid cross-country comparison and analyses to gain a broader picture of citizen satisfaction with health services, access to medicines and citizen empowerment across the region.

WBI facilitated the technical working group meeting to refine, standardize and finalize the data collection tools, as well as develop supplementary tools and outline an appropriate M&E framework.

So, over 30 months multi-stakeholder processes had leveraged the strengths of different actors to address weak governance in PSM. These commitments materialized through: improved regional recognition of the value of state and non-state actors engaging collaboratively on PSM; enhanced regional networking to build knowledge, shared solutions and identified ways to scale-up achievements; and development and review of new and innovative data collection tools to generate demand-side evidence to complement national data on health service delivery and access to medicines.

SUBSTANTIATION OF OUTCOMES

To verify the accuracy of the outcomes mapped and enrich WBI's understanding of them, the external consultant selected 5 outcomes [6, 12, 14, 18, 22] and asked 15 people independent of WBI but knowledgeable about the change to review each and record whether they agree with the outcome as described. Thirteen people responded and all "fully agreed" with the description as formulated of the outcome and its significance. Excerpts of the substantiators' comments on the outcomes achieved:

"The commitment of the high-level policy makers was important to the work of the PSM coalition as it will enable their work get the recognition and support it needs in high-level decisionmaking that affects the PSM. The bringing together of the PSM Coalitions and high-level policy makers needed a champion and WBI played that role well and in a timely manner."

—*Ramadhan Mlinga, Chief Executive Officer, Public Procurement Regulatory Authority, Tanzania*

"While such multi-stakeholder coalitions are important, they need to be better aligned with overall World Bank engagement in the country level and contribute to better policy dialogue on improving participation of stakeholders and enhanced transparency. Therefore, I would like to see much stronger emphasis on linkage with the Bank's long-term engagement in the outcome. This way, WBI contributions will provide more sustainable gains."

—*Gandham N.V. Ramana, Lead Health Specialist, World Bank*

"To improve lives of the citizens can only be successful with support of the government (high-level policy makers), failure to which interventions increasingly achieve minimal results. Working with government senior officials has enabled the civil society to fill in gaps within the policy system, a key gap being monitoring of impact of the government expended resources. Then direct feedback to high-level policy makers. The Kenya Medical Supply Agency has been a key beneficiary of this type of CSO monitoring of their services."

—*Debra Gichio, Program Officer, Transparency International, Kenya*

"This meeting [National Medicines Dialogue in May 2012] brought a number of agencies and CSOs together. Most especially the district CSOs were able to meet the executive directors of the National Drug Authority, Joint Medical Stores, National Medical Stores and Ministry Of Health. In fact one of the participants said 'now this is a dream come true because I have always wanted to see National Medical Stores.' "

—*Robinah Kaitiritimba, Executive Director, Uganda National Health Consumers Organisation*

Outcome Area 2: Effective multi-stakeholder action

Multi-stakeholder coalitions became important to address PSM in the country context. In 2011, an existing multi-stakeholder group in Uganda—Medicines Transparency Alliance (MeTA)—agreed to broaden its scope to become the country coalition to address governance challenges in PSM. [5] Rather than establish a new multi-stakeholder coalition, it was important to leverage existing capacity by joining forces with MeTA, which has been in Uganda since 2007 and has established networks with both state and non-state actors. Consequently, MeTA integrated PSM in its three-year plan co-funded by the United Kingdom Department for International Development (DFID). [16] This secured funding for the broadened mandate of MeTA to address PSM and gave it more credibility to do so. It was a quick win for the coalition by building on its existing networks.

At the same time, various actors from Kenya and Tanzania formed similar multi-stakeholder coalitions to promote greater transparency, accountability and collaborative problem solving in PSM. [6] In Kenya, the Forum for Transparency and Accountability in Pharmaceutical Procurement (FoTAPP) was established in May 2011. The group comprises public sector agencies, including the Ministry of Health, Kenya Medical Supplies Agency, Public Procurement and Oversight Authority, Kenya Anti-corruption Commission and the Pharmacy and Poisons Board; civil society; donor partners; the private sector; and academia.

In Tanzania, 22 organizations, including the Public Procurement Regulatory Authority, Ministry of Health and Social Services, Food and Drugs Authority, and Medical Stores Department, as well as 13 CSOs, signed a Memorandum of Understanding to formally launch the coalition. [21] The coalition has since expanded its members.

Formalization of the coalition was important in the country context to create a legitimate entity recognized by government, private sector and civil society as the vehicle for promoting transparency, accountability and efficiency in PSM. Each country coalition developed action plans to, for the first time, tackle country-specific PSM challenges through a multi-stakeholder approach. [7] The key was building a shared understanding of priorities and responsibilities among the different stakeholders. In view of resource constraints and competing priorities, the coalitions tried to identify areas where they could achieve quick and high-impact outcomes.

WBI facilitated and convened a regional workshop in Kenya in April 2011 and attended by coalition representatives. At the event, WBI provided tools and resources to guide stakeholders in establishing country coalitions, developing country action plans and identifying common areas of interest where all three countries could engage and share their experiences through the regional CoP. WBI also provided input on Memoranda of Understanding.

Beyond establishing the core membership of the country coalitions, each country group held broader national consultations to seek broad-based buy-in for the country action plans developed and to ensure local ownership for priority areas of collaborative engagement. [9] With this endorsement at the national level, the coalitions identified country conveners responsible for coordinating multi-stakeholder activities. [10] This effort established a focal point or secretariat for the coalitions' day-to-day functioning, including organizing meetings and following up on decisions.

WBI provided guidance to the country consultation processes led by the coalitions, and contacted World Bank staff in the country to facilitate relationships with key government stakeholders.

By April 2012, high-level policymakers from Kenya, Tanzania and Uganda had endorsed the country action plans and committed themselves to supporting activities of the country coalitions [13]. Up until this moment, the government representatives in the coalitions had limited authority to commit to specific interventions, which often relied on the buy-in and political willingness of higher-level officials, such as heads of agencies, within the public sector. This formal endorsement from policy makers:

- Demonstrated political support for the coalition's PSM strategies

- Linked coalition activities to relevant country reforms
- Helped establish supporting relationships between policymakers and the coalitions necessary for strengthening partnership with the government
- Helped lay the groundwork for joint demand- and supply-side data collection and other activities that the coalitions prioritized in their strategies

WBI convened a high-level policy dialogue among the country policymakers in Uganda, Kenya and Tanzania in April 2012 after recognizing the difficulties that the country coalitions faced in gaining traction on their activities and priorities. WBI facilitated knowledge exchange between the country conveners in Uganda, Kenya and Tanzania, and guided the sharing of experiences on how to formalize the multi-stakeholder coalitions in-country.

In sum, building on regional commitment, multi-stakeholder country coalitions mobilized in Uganda, Kenya and Tanzania to take action to achieve improved practices in PSM.

Outcome Area 3: Improved transparency, accountability and efficiency

Since 2010, the coalitions have contributed to improving open dialogue around governance vulnerabilities in pharmaceutical PSM, and in working together to pilot innovative solutions to ensuring greater transparency, accountability and efficiency in PSM. Key country-specific achievements include:

Uganda Coalition—Medicines Transparency Alliance (MeTA)

In July 2010, MeTA, in partnership with the Public Procurement and Disposal of Public Assets Authority (PPDPA), held the first public forum to discuss the 2003 Public Procurement and Disposal of Public Assets Act and opportunities to amend it to enhance efficiency in procurement of essential medicines, among other things. [3] This action tested the multi-stakeholder approach in engaging non-state actors in providing input into ongoing legislative reform. This led the PPDPA to review the act that governed its activities, examining options for amendments. [4] The success demonstrated the power of multi-stakeholder collaboration and signalled a shift in the way the PPDPA traditionally engaged, which previously involved minimal engagement with non-state actors.

In May 2012, MeTA—under the leadership of Uganda National Health Consumers Organisation (UNHCO)—organized the first national dialogue on medicines. [17] This meeting brought together key agencies, particularly the National Medical Stores, the National Drug Authority, the Drug Monitoring Unit, and the Joint Medical Stores of the Ministry of Health and pharmaceutical councils. The CSOs and medicines agencies agreed to an ongoing dialogue to openly collaborate and communicate on PSM governance challenges. [18] This dialogue helped establish trust between the agencies and coalition and created legitimacy for the coalition to address PSM challenges.

In June 2012, UNHCO also published a preliminary baseline study—based on research from four districts in Uganda—that helped identify key gaps in PSM and highlighted interventions where the coalition could leverage its comparative advantages. [19] The study helped to provide up-to-date information on PSM challenges and further grounded the proposed interventions and priorities of the coalition within the country context.

Also in June 2012, MeTA trained CSOs on social accountability tools and their role in monitoring PSM at the health facility level. [20] This training started to build the capacity of CSOs to monitor PSM, as well as to raise awareness about effective and transparent PSM processes.

WBI contributed funding for the coalition to organize and implement national dialogue activities and helped create a platform for open discussion between the medicine agencies. At the request of PPDPA, WBI provided examples of similar acts in Africa to help them think through amendments for Uganda. WBI leveraged resources from UNHCO to engage technical experts to develop the baseline study to inform the coalition's priorities. WBI organized a Regional Training of Trainers' Workshop on PSM attended by Uganda coalition members.

Kenya Coalition—Forum for Transparency and Accountability in Pharmaceutical Procurement (FoTAPP)

In June 2012, FoTAPP developed and test-piloted a Citizen Monitoring Tool in three health facilities in Nairobi County to collect data on citizens' level of satisfaction with health services and their access to medicines—in terms of physical availability as well as affordability. [11] The tool enabled citizens to

provide feedback on their level of satisfaction with health services. The success of the exercise also indicated the potential for demand-side data collection to generate evidence to inform policy dialogue. The coalition also built knowledge of health facility workers and CSOs on PSM practices and CSO monitoring. [14] This training built the understanding of both supply- and demand-side actors on their roles to improve outcomes in access to medicines. Such understanding is required both for the effective use of monitoring tools and for building consensus on reform possibilities.

Additionally, FoTAPP, working closely with the Kenya Medical Supplies Agency (KEMSA), designed and test-piloted a Mobile Drug Tracking System (MDTS). The MDTS provides citizens, community health workers, health facilities and health management committees with real-time information on medicine availability in selected health facilities. For patients with specific diseases—tuberculosis, HIV/AIDS, diabetes—this system is especially useful to track the availability of medicines in health facilities, making it more efficient to obtain life-saving drugs and reduce transaction costs. [15] It allows the tracking of medical commodities from KEMSA warehouses to health facilities, making it easier for the demand-side to monitor delivery of essential medicines. The development of this tool also represents a practical example of collaboration with government on the delivery of demand-side tools.

In February 2013, FoTAPP completed a pilot of a more extensive data collection exercise in 20 health facilities in nine counties across the country. This scaled up the pilot of the Citizen Monitoring Tool initially administered in 2012. [25] The roll out of the data collection exercise will provide a baseline to help measure the impact of the coalitions' interventions over the next five years and determine efficacy of the multi-stakeholder approach in facilitating PSM reforms and improving access to medicines.

WBI provided the Kenya coalition funding to support the development of the Citizen Monitoring Tool for data collection, the capacity building workshop, and in collaboration with KEMSA, to engage an ICT consultant to design software for the MDTS. WBI provided technical support to the team in developing a proposal for funding through the Social Development Civil Society Fund, which selected the coalition as a recipient of US \$100,000 to support scale up of the Citizen Monitoring Tool pilot.

Tanzania Coalition

In June 2012, the Tanzania coalition, in partnership with the Public Procurement Regulatory Authority, developed a procurement monitoring tool to examine the processes used to procure pharmaceuticals at the district level and to determine their compliance with the Public Procurement Act. [22] They, along with the Muhimbili University of Health and Allied Sciences and St. John's University of Tanzania, also trained CSOs, district procurement officers from Dodoma region and representatives of the Medical Stores Department and test-piloted the tool in six districts in the Dodoma region. [23]

Given the substantial resources allocated to pharmaceutical procurement at the district level, the coalition prioritized procurement monitoring to ensure resources were being used efficiently and in compliance with Public Procurement Act. Such monitoring would help advocate value for money in PSM and contribute to improved access to medicines. The coalition is working closely with the regulatory authority to prioritize reform areas based on recommendations from the final procurement monitoring report.

WBI reviewed the draft procurement monitoring tool and provided substantive comments for enhancement.

In sum, the multi-stakeholder country coalitions in Uganda, Kenya and Tanzania are increasingly taking actions to improve transparency, accountability and efficiency in PSM through inclusive dialogue to influence policy; generation of baseline data that help prioritize reform areas for collaborative action; capacity development for key actors, especially CSOs; and innovative tools to monitor PSM at the facility level. Also important is the involvement of both supply- and demand-side actors to strengthen their respective roles in the country context to improve access to medicines.

CONCLUSION

Improving transparency, accountability and efficiency in PSM was pursued through collaboration between government and civil society actors, regionally and through country coalitions. Traditionally, the two stakeholder groups have not worked together to address challenges in PSM; rather, they worked in silos, with minimal communication and cooperation. Through the development of joint country action plans, the multi-stakeholder coalitions achieved

milestones in improving partnership, specifically around the design and implementation of both demand- and supply-side tools to monitor PSM.

In **Uganda**, the successful launch and public dialogue around findings of a preliminary baseline study on PSM challenges—organized by MeTA—created a platform for continued engagement with National Medical Stores, Joint Medical Stores and the Ministry of Health. All three partners are now collaborating with the coalition to design and pilot four data collection tools in 10 districts across Uganda.

In **Kenya**, the coalition partnered for the first time with KEMSA to pilot an innovative MDTS, which allows citizens and health workers to access real-time information on medicine availability in selected health facilities.

In **Tanzania**, the coalition—in collaboration with the Public Procurement and Regulatory Authority—designed and piloted a procurement monitoring tool for use by district officers to assess the level of compliance with the Public Procurement Act.

Another area of progress has been capacity development of coalitions, particularly of civil society, to better understand, monitor and advance advocacy around PSM reforms, with an emphasis on greater transparency, accountability and efficiency.

Many of the CSOs trained through this initiative are leading data collection exercises on health service delivery in their respective communities. The initiative has also published a Training of Trainers Manual as a guide for civil society actors interested in implementing social accountability mechanisms to improve service delivery, with a focus on access to medicines.

NEXT STEPS

Because of the change processes, the coalitions are empowered to advance outcomes of their own. There is local ownership of the process, and key relationships—especially with government—have been formed that should provide a foundation and impetus for advancing outcomes.

Nonetheless, a key challenge that remains is to ensure the full participation of the private for-profit sector to facilitate broader stakeholder engagement, support longer-term sustainability as well as sustain the momentum for reform.

Further, the importance of grounding coalition priorities in local contexts has become clear. The

coalition-building experience in three countries shows how country dynamics often influence the ability and agility of the coalition. Kenya succeeded in moving quickly with its country action plans because it has a more favorable enabling environment—including a relatively mature democracy, sophisticated technology and close relationship with a government client eager to integrate citizen and demand-side feedback. It is important to understand the local dynamics in each country context and work within that framework to identify local champions that have the capacity to move reforms quickly and bring the coalition along.

Now, a key strategy for the initiative is to share the experience and early results of implementing the coalition-building approach to improving governance of PSM in East Africa. Lessons learned will provide practical guidance on the “how to” of coalition building in health service delivery and provide recommendations on applications in other country contexts. For example, the capacity developed within the coalitions can be applied to monitoring

health service delivery in general, which is an area of increased demand.

In addition to continuing to contribute to outcomes in the three areas, new outcomes are expected, particularly around implementation of joint interventions to address emerging issues that will be highlighted in the data collection exercise from all three countries. ■

NOTES

¹ Mapping outcomes—and related outputs and milestones—can help us learn from change processes that occur during program delivery that often seem complex and opaque because they involve multiple actors and address large development problems. An outcome is what each social actor (or change agent) did, or is doing, that reflects a significant change in their behavior, relationships, activities, actions, policies or practice. The program may influence these changes, directly or indirectly, partially or wholly, intended or not. Outcomes are identified at two levels in relation to the goal: institutional changes relate to societal, policy and organizational changes; and learning/capacity changes relate to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions. These levels are based on the

FOR MORE INFORMATION

Project Contacts

Yvonne Nkrumah, Senior Operations Officer,
WBI Health Systems practice, ynkrumah@
worldbank.org

Julia Mensah, Extended Term Consultant,
WBI Health Systems practice, jmensah1@
worldbank.org

Email

WBI Capacity Development and Results
team at capacity4change@worldbank.org

Website

www.worldbank.org/capacity

© Copyright 2013 World Bank

WBI's Capacity Development and Results
team led the outcome mapping; Jenny
Gold coordinated the exercise with support
from Ricardo Wilson-Grau. Sharon Fisher
provided editorial and design services.
Samuel Otoo provided overall guidance.

Photo by Simone D. McCourtie, World Bank

ACKNOWLEDGMENTS

Thanks to Marylou Bradley and Jilliane T Cabansag, and team members involved in the project and mapping exercise.

Thanks to:

Dr. Gandham N.V. Ramana, Lead Health Specialist, World Bank
Jackie Iduiso, Key Account Manager, International Business Africa,
Merck Sharpe and Dohme

Dr. Eva Ombaka, Director Consultant Business Network
International Tanzania Pwani

Dr. Ramadhan Mlinga, Chief Executive Officer, Public Procurement
Regulatory Authority, Tanzania

Wachuka W. Ikuu, Senior Operations Officer, World Bank

Dr. John Munyu, Chief Executive Officer, Kenya Medical Supplies
Agency

Debra Gichio, Program Officer, Transparency International, Kenya
Robinah Kaitiritimba, Executive Director, Uganda National
Health Consumers Organisation

Moses Kamabare, General Manager/CEO of National Medical
Stores

Apollo Muhairwe, Operations Officer, World Bank

Dr. Laurent Shirima, Director of Capacity. Building and. Advisory
Services, Tanzania

Emmanuel Malangalila, Consultant, World Bank

Joseph Mhando, Dean and Senior Lecturer, School of Pharmacy,
St. John's University of Dar es Salaam

Capacity Development and Results Framework. The framework provides a systematic yet flexible approach to designing capacity development strategies and programs, monitoring and adaptively managing interventions, and evaluating and learning from their results.

² Outcome harvesting is a practical assessment tool from the outcome mapping community of practice. It can be used for real-time monitoring and evidence gathering from complex development processes that involve multiple stakeholders. It is based on a similar concept of locally driven change from the Capacity Development and Results Framework. The tool was customized to gather information on outcomes—and related outputs and milestones—to learn from what changed, for whom, when and where, the significance of the change and how the program contributed to each change.

³ While the Improving Governance in Pharmaceutical Procurement and Supply Chain Management Initiative was established in 2010, over the years it has become part of the global movement on “Open Contracting,” a multi-sector effort that seeks to promote greater transparency and accountability in the award and implementation of public sector contracts.

⁴ The numbers in brackets correspond to the outcomes in Figure 1. The text that follows each outcome refers to its significance. The process of change the outcomes represent is in Figure 2.

⁵ Change agents are leaders, groups or organizations from government or non-state that drive change.

⁶ Change strategy refers to how change happened to advance progress toward the development objectives—the development problems addressed, types of outcomes achieved, WBI contributions, and partners involved. A change strategy may include different types of change processes or outcome areas depending on the complexity of the multi-actor institutional changes involved in a program.



Strengthening Parliamentary Oversight of National Budgets in Africa

Since 2009, African Public Accounts Committees (PACs)¹ and the Southern African Development Community Organization of Public Accounts Committees (SADCOPAC)² and Eastern African Association of Public Accounts Committees (EAAPAC)³ regional networks have made strides in improving the benefits of national budgets for citizens. By participating in these networks, which focus on sharing practitioner experience and developing regional good practice, the PACs identified country-level reforms needed to strengthen the parliaments' capacity to engage in open and collaborative budget processes. WBI supported the peer and action learning processes within the networks as part of its Parliament Open Budgeting Program. As a result, members of Parliament

Development Objective

Improve the benefits of public spending for citizens in Africa.

Problem

Parliaments must ensure public money serves citizens, while limiting the corruption, fraud, misconduct and inefficiencies that reduce confidence in public services.

Specific Objectives

Strengthen effectiveness of parliaments in forming, implementing and overseeing budgets; improve legitimacy and efficiency of audit process; and increase transparency and accountability of budget processes.

and staff were able to bolster their roles in forming, implementing and overseeing their respective country budgets.

In January–March 2013, WBI mapped the outcomes⁴ of this initiative using a customized outcome mapping tool⁵. This visual map (Figure 1) presents the sequence of outcomes achieved by change agents—the PACs and regional networks. The map illustrates how the outcomes connected and built on each other over time to form multi-actor, institutional processes for change to address the initiative's objectives and goal.

WBI team members identified and formulated the outcomes, presenting an explanation of their significance and how WBI had contributed—directly or indirectly, in a small or big way, intentionally or not—by catalyzing or empowering the change agents to take new actions. Then, roughly 20% of the outcomes were independently substantiated for credibility in the mapping exercise.

This case highlights a few examples of the outcomes achieved by the SADCOPAC and EAAPAC regional network members.

BACKGROUND

There is a global trend toward greater openness in government finances. Transparent budgetary practices can ensure funds raised by the state for public purposes will be spent as promised, while maximizing the benefits. One crucial component of a transparent system of resource allocation is independent assurance of the integrity of public budgeting through an audit process, and the scrutiny of its results by representatives of the people, in the form of parliament. PACs play an increasingly important role in this good governance, transparency and financial stability.

Public financial management systems are framed by the budget processes: budget formulation and the approval of the budget by parliament (ex ante phase), implementation of budget provisions by ministries and the audit and oversight of budget implementation by parliament (ex post phase).

WBI seeks to enhance the flow of information around the formulation and oversight of the budget to strengthen participation, transparency and accountability of national public financial management systems. This is accomplished by strengthening regional networks of PACs to serve as platforms for sharing experiences and building their technical

capacity to scrutinize implementation of national budgets.

In four years, parliaments in African countries engaged in the WBI program have made progress in enhancing how their countries' national budgets respond to reform needs and how public officials are held accountable for implementing government programs. The process of change for this initiative can be seen in four areas of outcomes (Figure 2) that are detailed in the following sections. These outcomes were analyzed and classified according to the types of change they achieved, then grouped based on how they connected to each other to affect change.

OUTCOME AREAS

Outcome Area 1: Improved Relations Among Parliaments in Africa on Reforms

Consensus, collaboration and learning from experiences among PACs in the **SADCOPAC and EAAPAC regional networks** are an essential part of the change process of this initiative.

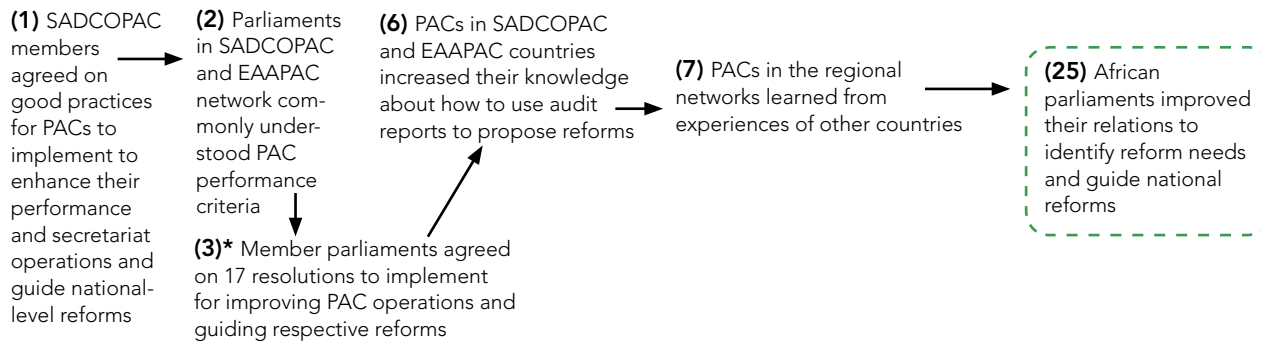
In 2009, members of SADCOPAC reached a consensus on a set of good practices for PACs to implement in the region to enhance their performance and secretariat operations and guide national-level reforms. [1]⁶ "The Good Practice Guide for Public Accounts Committees" identifies key issues parliaments face during the audit stage of the budgetary process to ensure proper oversight of spending of public money. It documents practices that have proven useful elsewhere in dealing with this challenge.

WBI co-hosted regional capacity development activities within SADCOPAC. The activities provided guidance on global PAC good practices and facilitate South-South knowledge exchange. WBI also assisted SADCOPAC in developing its Good Practice Guide.

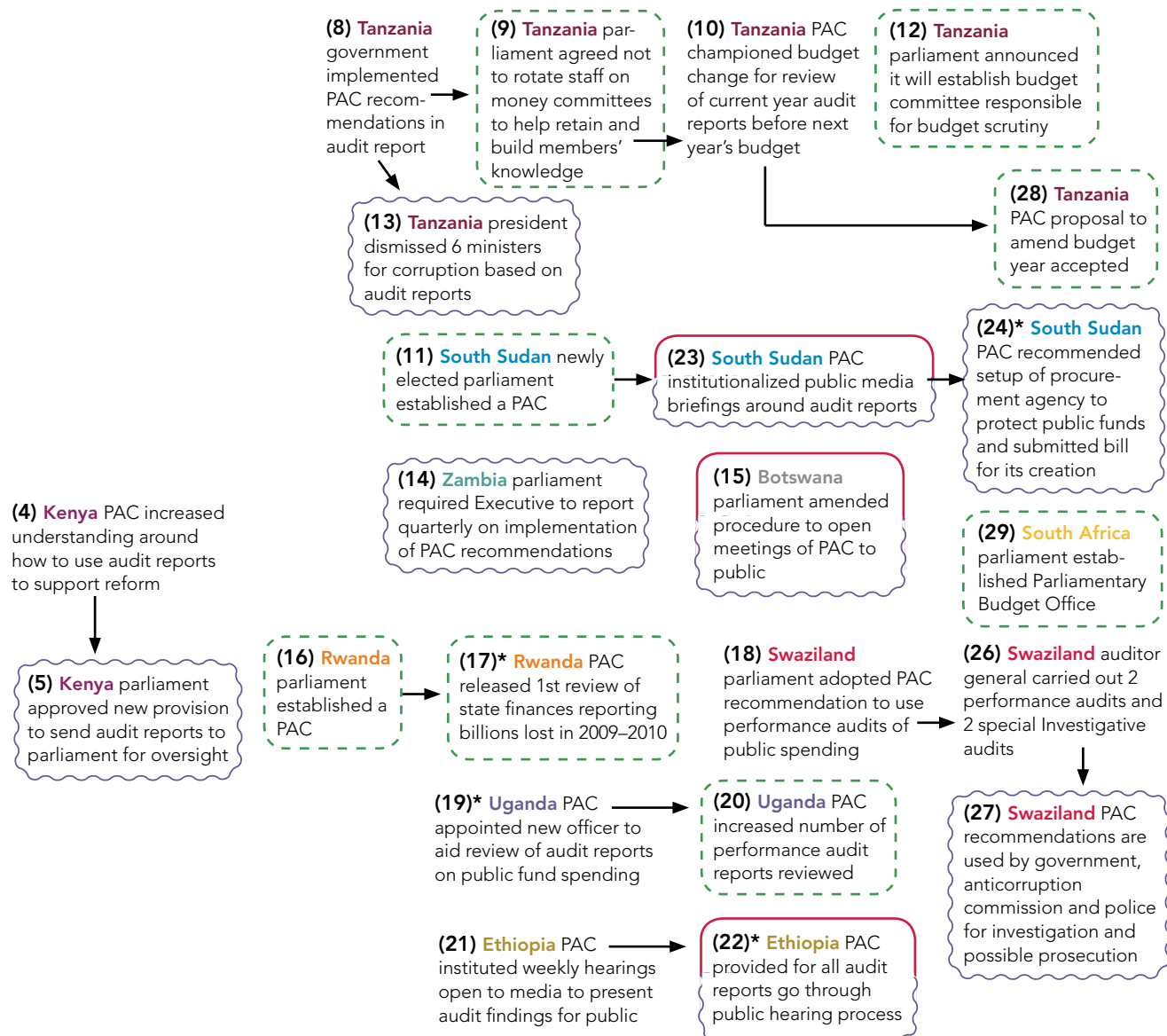
In May 2011, PAC members of the regional networks collaborated to use the good practices to reach a common understanding on PAC performance criteria. This initiated a South-South learning process to support national-level change. [2] The members agreed on 17 resolutions to improve the operations of PACs and guide national-level reforms in public accounts management to implement in their respective parliaments within Africa. [3] The

Figure 1. Map of outcomes showing changes connected and built over a five-year timeframe

REGIONAL OUTCOMES

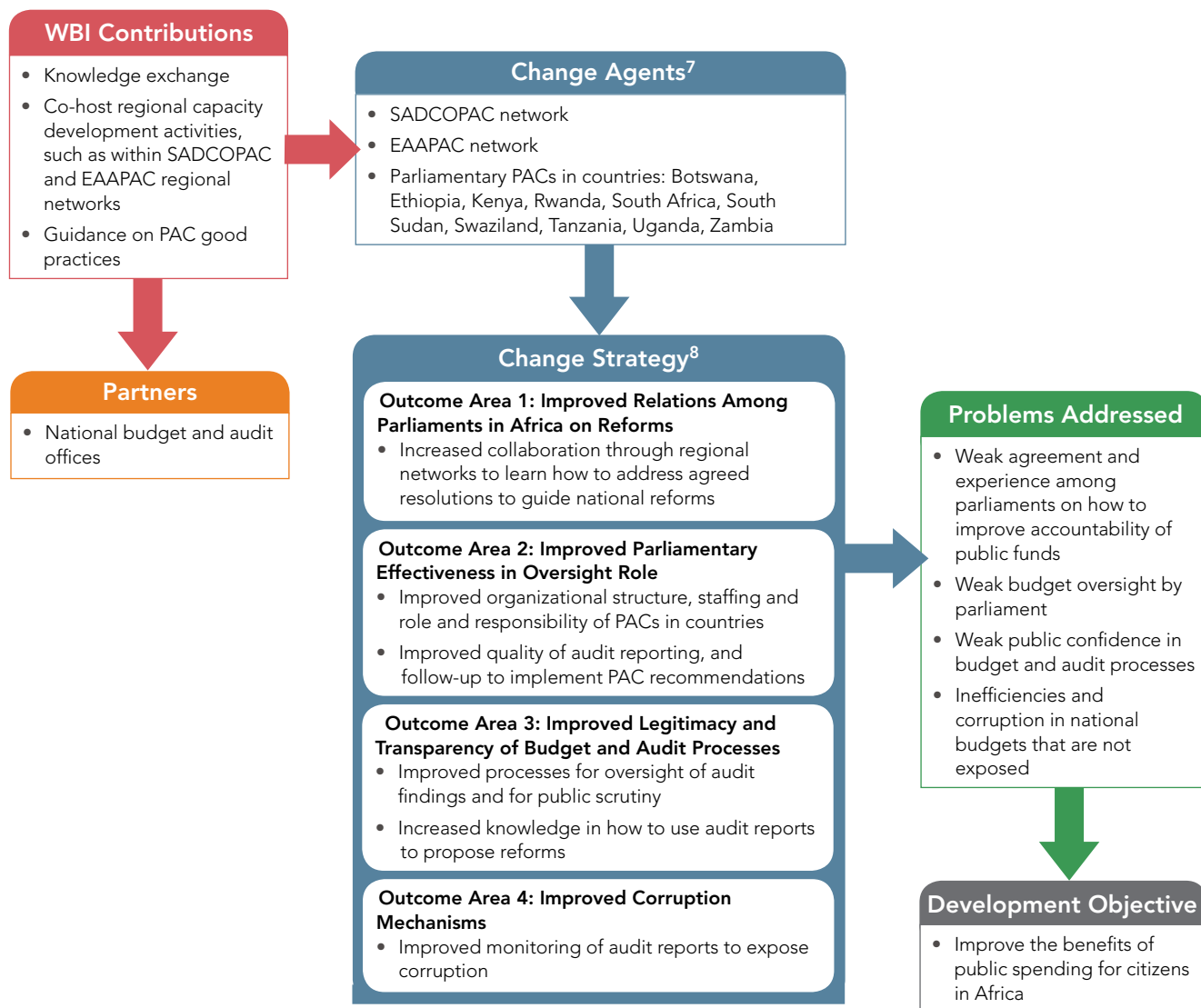


COUNTRY CHANGES AS A RESULT OF REGIONAL OUTCOMES



2009	2010	2011	2012	2013
Institutional changes Outcomes related to societal, policy and organizational changes.			Learning/capacity changes Other outcomes related to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions.	
— Transparency of budget and audit processes			* Outcomes selected for substantiation; see sidebar.	
~ Legitimacy of budget process and corruption mechanisms				
- - - Parliamentary effectiveness in oversight role				

Figure 2. Change strategy showing how change happened to advance progress toward goal



reforms aim to hold the executive accountable for better resource allocations for citizens.

Later in 2011, PACs in the regional networks gained insights into how PACs in other countries use performance audit reports to scrutinize the extent government departments are implementing the budget economically, efficiently and effectively. [7]

WBI co-hosted the May 2011 Accountability Conference of EAAPAC and SADCOPAC and provided guidance on PAC good practices and formulation of resolutions. WBI co-hosted regional capacity development activities within the networks on using performance audits to assess the effectiveness and efficiency of government spending.

In sum, these regional changes increased and expanded relations among African parliaments and South-South learning through regional networks to address 17 resolutions to guide national reforms [25].

Outcome Area 2: Improved Parliamentary Effectiveness in Oversight Role

Effective organizational arrangements are key to provide for continuity and successful implementation of good practices to help improve budget oversight.

In April 2011, the **Rwanda** parliament established a new PAC to examine financial misconduct within public institutions and report misuse of public funds to the plenary to decide punitive measures. [16] No

parliamentary body previously had this responsibility in spite of evidence that public funds were stolen each year.

In 2012, the **Tanzania** parliamentary staff supporting the money committees no longer rotate. [9] Rotating staff meant a constant need for staff training, which negatively influenced the work of members of parliament. Also in 2012, the Tanzania PAC began championing a change of the budget year so that they could receive the budget in April and complete its review by the end of June. [10] The PAC proposal was accepted and since 2013 the budget year has been amended. [28] The PAC set the ground for the reform and started the change process based on the proposal from the National Audit Office.

Amending the budget year schedule enhances parliament's role in the budget process/cycle—by reviewing the current year's audit reports before the budget for the following year is formulated, parliament links ex post scrutiny with ex ante engagement.

WBI co-hosted regional capacity development activities on effective parliamentary participation in the budget process within the SADCOPAC network to empower its members to take action on the agreed good practices. WBI also provided guidance and enabled knowledge exchange on good practices on the role of parliament in the effective and timely review of the national budget.

In 2012, the **Uganda** appointed a permanent liaison officer in the parliament. [19] The liaison officer will make it easier for PAC members to understand and review audit findings and hold the government accountable for spending of public funds. Then in 2013, the Uganda PAC started to review performance audit reports. Two subcommittees have been established within the PAC to increase the number of the reviews. [20] Performance audits examine not just executive spending but also development program effectiveness.

WBI co-hosted the November 2011 Annual General Meeting of SADCOPAC and in May 2012 the Effective Public Financial Accountability course in the Southern and Eastern African Region Conference. These events provided guidance on how to improve relations among PACs and Auditor General Offices to hold government accountable.

In 2012, the **Swaziland** parliament adopted a recommendation proposed by its PAC chair to

strengthen the office of the auditor general to carry out performance as well as financial audits.⁹ [18] The auditor general has since carried out two performance audits and two special investigative audits [26].

WBI co-hosted the May 2011 Accountability Conference that provided guidance on good practices in performance auditing.

In 2013, the Speaker of the House in the **Tanzania** parliament announced the new Parliamentary Budget Committee, after a yearlong proposal from the PAC to establish a distinct committee for scrutiny of the draft budget. The plan was then postponed to establish a separate secretariat for the budget committee. [12] This reform will enhance the parliament's role in the budget process and ensures the PAC can review audit findings before the budget is formulated. Enhancing parliamentary oversight function by establishing budget committees is critical in enforcing financial accountability, combating fraud and corruption and promoting good governance in the public sector. This increases voter confidence that their tax monies are used responsibly, which, in turn, increases public confidence in the credibility of government institutions.

WBI co-hosted the EAAPAC Annual General Meeting in October 2012, at which the Ugandan and Kenyan delegations presented on parliamentary budget offices and budget committees. The Tanzanian delegation engaged in this peer-to-peer learning and has started to apply new knowledge. WBI provided guidance and supported the exchange of knowledge on good practices among members of parliament from the region.

In 2012, members of the newly elected **South Sudan** parliament established a PAC. [11] The PAC is charged with examining and investigating financial misconduct within public institutions, and reporting cases of misuse of public funds to the plenary to decide on punitive measures.

In 2013, the parliament in **South Africa** established a Parliamentary Budget Office. [29] The budget office is to provide more independent analysis to parliament on the state of the nation's finances, the government's estimates and trends in the economy. Upon request from a committee or parliamentarian, the office could estimate the financial cost of any proposal for matters over which parliament has jurisdiction.

SUBSTANTIATION OF OUTCOMES

To verify the accuracy of the outcomes mapped and enrich WBI's understanding of them, the external consultant selected five outcomes [3, 17, 19, 22 and 24] and asked 10 people independent of WBI but knowledgeable about the change to review each and record whether they agree with the outcome as described. Six people responded to four outcomes [except 19]. Four of these substantiators fully agreed on the description of the outcomes and their significance and two provided additional information to clarify these. Excerpts of the substantiators' comments on the outcomes achieved:

"There is a significant need to centralize and streamline procurement into one institution strictly regulated. Such an institution shall minimize the huge public funds lost in the procurement process. This is due to the fact that all institutions procure and dispose independently without checks and supervision."

—Ayaga Garang, PAC Clerk, South Sudan

"All reports go through a hearing but do not reach the level where we account both to the public and parliament. This is a serious gap in our country because of the lack of a vibrant multi-party system."

—Hon. Seif Girma, PAC Chair, Ethiopia

WBI co-hosted regional capacity development activities within the regional networks. WBI provided guidance and secured South-South knowledge exchange on the importance of efficient parliamentary oversight of the public funds.

In sum, these outcomes exemplify how parliaments in the participating countries are improving their organizational effectiveness, including the timely and independent review of national budgets. They are establishing PACs, increasing performance auditing of budget effectiveness, improving efficiencies in committee structure and clarifying roles and responsibilities of staff.

Outcome Area 3: Improved Legitimacy and Transparency of Budget and Audit Processes

Public confidence on budget and audit reports is often weak due to a lack of transparency and legitimate processes.

Throughout 2011, PACs in the regional networks increased their knowledge about how to use audit reports to propose reforms. For example, in Zambia the PAC reviewed three of the 12 performance audit reports published by the National Audit Office and added to the reports' recommendations to guide how ministries respond to the office's recommendations. [6] This increased the PAC's experience and know-how to use national audit reports to publicly propose government reforms. The PAC had previously thought that it required a lot of experts, time and money to develop and review performance audit reports, but then discovered they were able to manage with their current resources.

WBI sponsored regional network events that provided learning on the role of performance audits and their impact on good governance.

The **Kenya** PAC increased its understanding of how to better use audit reports to support reform. [4] In 2010, the Kenya parliament approved the provision in its new constitution for the auditor general to send all of its audit reports, including performance audit reports, directly to parliament for oversight. [5]

In 2012, the **Zambia** parliament amended its rules of procedure so that the executive must provide quarterly progress reports of the implementation of PAC recommendations and resolutions. [14] Previously, the reports were submitted on an annual basis, making it more difficult to monitor implementation and enforcement of PAC recommendations. The same year, the **Botswana** parliament amended its rules of procedure to open PAC meetings to the public. [15] The first meeting open to the public took place in May 2012. Examinations in public is expected to improve transparency in the handling of public funds and enhance PAC's oversight role.

In 2012, the **Tanzania** government started implementing the PAC's recommendations included in the audit performance reports made by the National Audit Office. [8] For example, the recommendations included establishing a dedicated division in the corresponding ministry to address fire outbreaks.

WBI co-hosted capacity development activities within the regional networks that included guidance on the role of the PAC in tracking its recommendations, open public hearings and parliament's role

to exert pressure on the executive to secure openness about its activities and press for improvement and efficiency in public services. WBI also provided guidance on the importance of performance audit reports and their role in scrutinizing public expenditures.

In 2012, the **Ethiopia** PAC instituted in parliament routine hearings every Wednesday and Friday that are open to the media. The PAC calls witnesses to provide testimony on issues raised in the audit report. [21] Including the media is an important mechanism for public accountability, verifying audit reports and increasing their objectivity and legitimacy. The same year, the Ethiopia PAC increased the use of performance audits, and all performance audit reports go through a public hearing process to increase accountability of the executive to the public and parliament. [22] As a result, the PAC is able to determine value for money of public funds. This is also an opportunity for the government to approach the PAC to find solutions to implementation problems.

In 2013, the **South Sudan** PAC institutionalized a pre-media briefing for public hearings. [23]

WBI co-hosted the SADCOPAC Annual Conference in September 2012. It provided guidance on opening hearings to the media and using performance audit reviews to track spending. WBI presented a training workshop for new PACs on audit reports and public inquiries, including a mock hearing in which parliament presented a pre-media briefing to media practitioners and discussed how to strengthen their communication.

This set of outcomes exemplifies how parliaments in the PAC networks are upgrading the legitimacy and transparency of budget processes by improving the use of audit findings to propose government reforms to benefit the public. They also increasingly require all audits to go through public hearings to make the process more accountable to citizen demands.

Outcome Area 4: Improved Corruption Mechanisms

African governments are increasingly using PAC recommendations as a mechanism to expose the corruption that had hindered the benefits of public spending for citizens.

In May 2012, the **Tanzania** president dismissed the ministers of finance, energy, tourism, trade,

transport and health amid allegations of government corruption under pressure following reports tabled in the National Assembly by the PAC, Parastatal Organizations Accounts and Local Authorities' Accounts. [13] In Tanzania there are two main forms of abuse of power: petty corruption, which is mainly associated with small bribes, and big corruption, which mostly involves large sums of money with political figures involved. Actions taken by PAC members, based on the controller and auditor general's annual report, tackled big corruption that has hampered economic growth.

In 2012, the **Rwanda** PAC released its first review of state finances, which reported Rwf 9.7 billion (US\$16.3 million) lost in 2009–2010 as a result of weaknesses in government operations. The PAC formed recommendations for government reforms. [17] The review established the imperative for parliament to act on these discrepancies in public spending.

By 2013 in **Swaziland**, government agencies, the Anticorruption Commission and police have used PAC recommendations to investigate the actions of individuals for possible prosecution. [27]

WBI co-hosted regional capacity development activities within SADCOPAC that emphasized the oversight role of parliament and the Auditor General Office. The countries followed the good practice guidance provided on the role of parliament in curbing corruption.

In 2013, the **South Sudan** PAC recommended to their government to establish a National Procurement Institution to prevent fraud, waste and corruption in public funds spending, and they submitted a bill to create the institution in parliament. [24] If approved, the National Procurement Institution would be a major mechanism to tackle corruption in South Sudan.

WBI sponsored the May 2012 Namibia Conference that examined procurement process and accountability, at which members of the South Sudan PAC attended.

In sum, this outcome area shows how participating countries are increasingly using PAC recommendations to expose, investigate and take actions on corruption.

CONCLUSION

Due to this initiative, progress was made in four areas: (1) Improved relations among parliaments

in Africa through PAC networks for peer learning around reform good practices; (2) Improved effectiveness in using audit reports and parliamentary procedures to scrutinize implementation of national budgets; (3) Improved legitimacy and transparency of budget and audit processes; and (4) Improved corruption mechanisms and policy guidance.

However, weaknesses still exist: more enhancements for the networks' operations so the secretariats are strengthened in knowledge management, communication, monitoring and evaluation; and further capacity development of PACs to carry out reforms for budget and audit processes, particularly to improve transparency and accountability to citizens.

Progress to date and the potential to advance is strong because responsibility for implementation of reforms at the country-level rests with individual PACs. Based on good practice, the change agents have been empowered to start and nurture change processes in their respective parliaments and to share their experiences and lessons learned within the networks.

Future support should be based on the self-identified needs of the networks' membership and information sharing, coordination and monitoring of the joint projects' activities should be strengthened. Also, more should be done for the Portuguese-speaking members of the network.

NEXT STEPS

WBI aims to provide ongoing support to the regional networks through:

- Strengthening operations of network secretariats.
- Providing guidance on good practices and facilitating further exchange of knowledge and lessons.
- Encouraging network members to continue engaging in a change process.
- Expanding the networks to include new members and foster sub-communities that respond to informational needs of different change agents (for example, a community of PAC clerks and a community of Portuguese-language parliaments).

By strengthening secretariat operations and M&E systems, WBI anticipates the networks will have enhanced capacity to secure funds from additional development partners once this project is complete. There is ongoing demand and commitment from network members to provide in-kind contributions and participate in learning network activities.

The rate and range of outcomes are anticipated to increase over time. It is expected the *rate* of outcomes will increase to reflect an increase in the number of network activities and improved knowledge management strategy. It is expected the *range* will increase since the engagement model is predicated on change agents identifying and sharing development challenges with networks to benefit from others' experiences in designing their responses. The

FOR YOUR INFORMATION

Project Contact

Mitchell O'Brien, WBI Social Accountability practice, mobrien@worldbank.org

Email

WBI Capacity Development and Results team at capacity4change@worldbank.org

Website

www.worldbank.org/capacity

© Copyright 2013 World Bank

WBI's Capacity Development and Results team led the outcome mapping; Jenny Gold coordinated the exercise with support from Ricardo Wilson-Grau. Sharon Fisher provided editorial and design services. Samuel Otoo provided overall guidance.

ACKNOWLEDGMENTS

Thanks to Paulina Biernacka, Miraim Bensky, Sruti Bandyopadhyay and Vienna Marie Pozer of the WBI Social Accountability team involved in the project and mapping exercise.

Thanks to:

KAGGWA Mustapher Abdullah, Parliamentary Diplomacy Expert, Rwanda
Parminder Brar, Lead Financial Management Specialist, World Bank
Ayaga Garang, PAC Clerk, South Sudan
Hon. Seif Girma, PAC Chair, Ethiopia
Kifle Gizaw, PAC Clerk, Ethiopia
Mathew Kileo, PAC Clerk, Tanzania

Photo by South Africa government

range in the outcomes will represent the diversity of the countries in the network and reforms they try to implement. ■

⁹ In financial audits, auditors use standard procedures and rely on accounting principles to determine the financial health of an organization. Performance audits determine whether an agency program is efficiently and effectively delivering the intended results.

NOTES

¹ PACs are the committees in parliament tasked with scrutinizing the government's implementation of the national budget. Their primary source of information is audits reports prepared by the Supreme Audit Institutions.

² SADCOPAC members are Angola, Botswana, DRC, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Swaziland, Tanzania, Zambia and Zimbabwe.

³ EAAPAC members are Burundi, Ethiopia, Kenya, South Sudan, Rwanda and Uganda.

⁴ Mapping outcomes—and related outputs and milestones—can help us learn from change processes that occur during program delivery that often seem complex and opaque because they involve multiple actors and address large development problems. An outcome is what each social actor (or change agent) did, or is doing, that reflects a significant change in their behavior, relationships, activities, actions, policies or practice. The program may influence these changes, directly or indirectly, partially or wholly, intended or not. Outcomes are identified at two levels in relation to the goal: institutional changes relate to societal, policy and organizational changes; and learning/capacity changes relate to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions. These levels are based on the Capacity Development and Results Framework. The framework provides a systematic yet flexible approach to designing capacity development strategies and programs, monitoring and adaptively managing interventions, and evaluating and learning from their results.

⁵ Outcome harvesting is a practical assessment tool from the outcome mapping community of practice. It can be used for real-time monitoring and evidence gathering from complex development processes that involve multiple stakeholders. It is based on a similar concept of locally driven change from the Capacity Development and Results Framework. The tool was customized to gather information on outcomes—and related outputs and milestones—to learn from what changed, for whom, when and where, the significance of the change and how the program contributed to each change.

⁶ The numbers in brackets correspond to the outcomes in Figure 1. The text that usually follows each outcome refers to its significance. The process of change the outcomes represent can be seen in Figure 2.

⁷ Change agents are leaders, groups or organizations from government or non-state that drive change.

⁸ Change strategy refers to how change happened to advance progress toward the development objectives—the development problems addressed, types of outcomes achieved, WBI contributions, and partners involved. A change strategy may include different types of change processes or outcome areas depending on the complexity of the multi-actor institutional changes involved in a program.



Priority Setting and Constitutional Mandates in Health

Since 2010, in barely three years, coalitions¹ that formed regionally and nationally in Latin American countries have influenced institutional changes in favor of the constitutional right to health. These changes not only united seven Latin American countries (Argentina, Brazil, Chile, Colombia, Costa Rica, Peru and Uruguay), but also have had an international ripple effect, with countries in Africa and the Middle East identifying a need for similar multi-stakeholder processes. WBI's Constitutional Mandates in Health initiative supported the emergence of these coalitions.

In January–March 2013, WBI mapped outcomes² of this initiative using a customized outcome mapping tool.³ The visual map (Figure 1) presents the sequence of outcomes achieved by change agents—the leaders, coalitions and organizations involved in

Development Objective

Improve the level and distribution of health outcomes by applying rights-based principles to health policy.

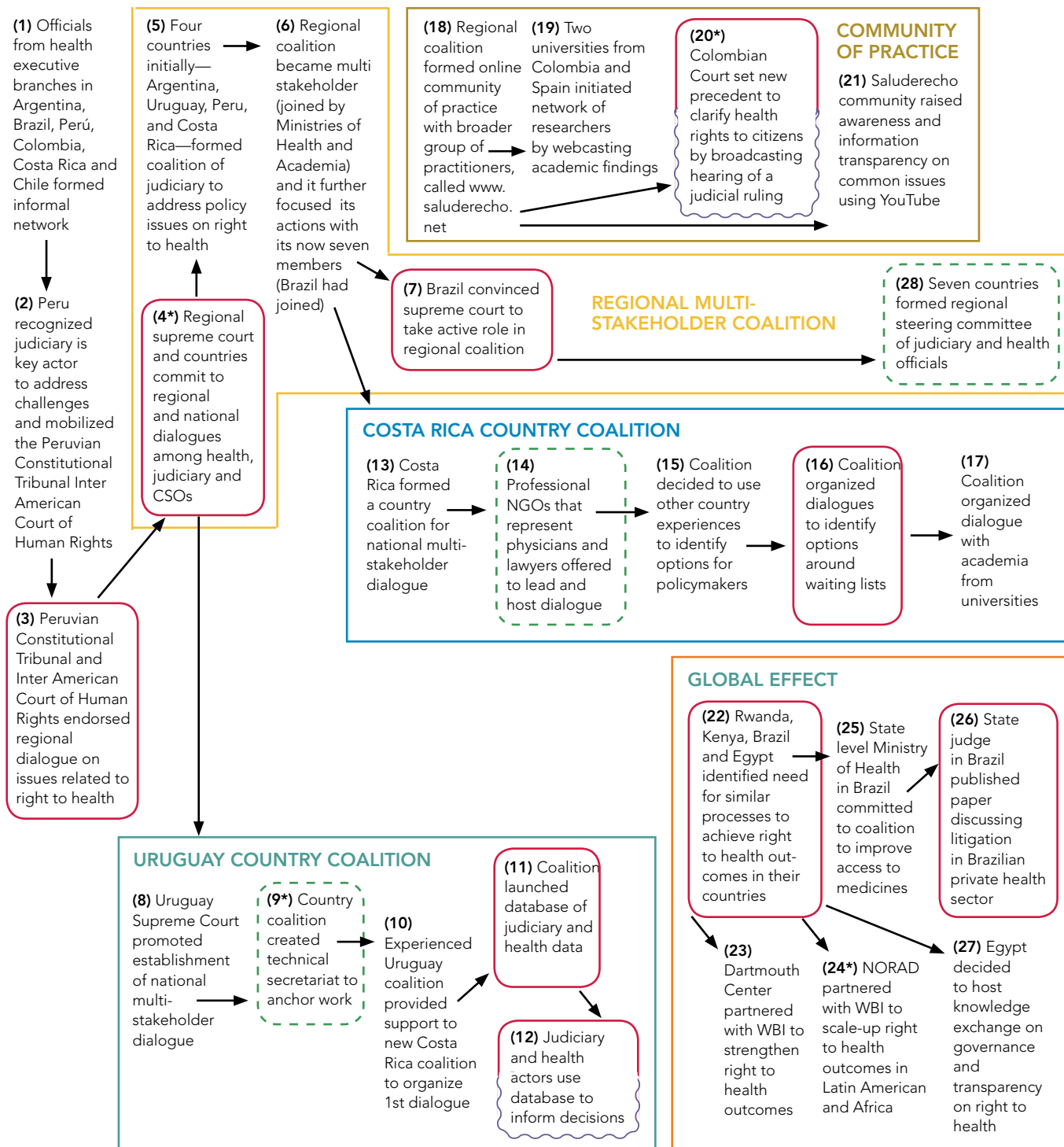
Problem

In recent years and in different settings, citizens are increasingly litigating their health rights. Courts are favorably responding to these petitions and they are holding States accountable for their (in)actions. However, this increasing trend of litigation may have negative unintended consequences (such as, it may be regressive since the poorest may not be benefitting) while its potential positive consequences may not be fully exploited (such as improved service delivery).

Specific Objectives

Enhance the effectiveness of health and judiciary arrangements, and the transparency, accountability and participatory process for setting priorities and delivery services to realize the right to health for all citizens.

Figure 1. Map showing how the outcomes connected and built over a four-year timeframe



2010	2011	2012	2013
Institutional changes Outcomes related to societal, policy and organizational changes.		Learning/capacity changes Other outcomes related to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions.	
— Ownership of health and judiciary systems/transparent and participatory priority setting that progressively realize right to health		* Outcomes selected for substantiation; see sidebar.	
~ Efficient policy to respond to citizens' right to health			
- - - Effectiveness of health and judiciary arrangements to realize citizens' right to health			

the initiative. It illustrates how key outcomes to date have connected and built on each other over time to form multi-actor, institutional processes for change to address the initiative's objectives and goal.

WBI team members identified and formulated the outcomes, presenting an explanation of their significance and how they had contributed—directly or indirectly, in a small or big way, intentionally or not—by catalyzing or empowering the change agents to take new actions. Then, roughly 20% of the outcomes were independently substantiated for credibility in the mapping exercise.

BACKGROUND

Most Latin American countries have enshrined in their constitutions articles granting their citizens the right to health. Since the majority of these constitutions also provide mechanisms that expedite the judicial protection of this right, individuals can seek swift court protection. This implies that the actions of the judiciary and civil society now play a critical role in holding the State accountable in realizing the right to health.

As the number of litigated cases on the right to health increased dramatically since the 1990s, the majority of litigation demands the provision of services already included in the basic list (revealing difficulties in complying with policies) or the supply of new and expensive technologies (revealing difficulties in setting or enforcing priorities). While lawsuits may provide individual access to health services, the judicialization of this right can collide with the limited availability of resources faced by health systems, and may even increase inequality in access to healthcare.

WBI's Initiative on Constitutional Mandates in Health is based on the theory of collaborative change: because these multiple actors view the same problem from different perspectives, their joint action becomes an effective mechanism in finding innovative solutions toward the progressive and sustainable realization of the right to health. In this sense, these multi-stakeholder collaborative processes contribute to improve the level and distribution of health outcomes across Latin America.

OUTCOME AREAS

The change strategy achieved so far by this initiative can be seen through areas of outcomes (Figure 2) that are described in the following sections. The

areas include changes in: leadership of judiciary and health officials; multi-stakeholder arrangements to realize the right to health; transparent and participatory decisions to strengthen policy; and global learning to scale-up right to health outcomes. These outcomes were analyzed and classified according to the types of change they achieved, then grouped based on how they connected and built on each other to affect change.

Outcome Area 1: Leadership of health and judiciary officials

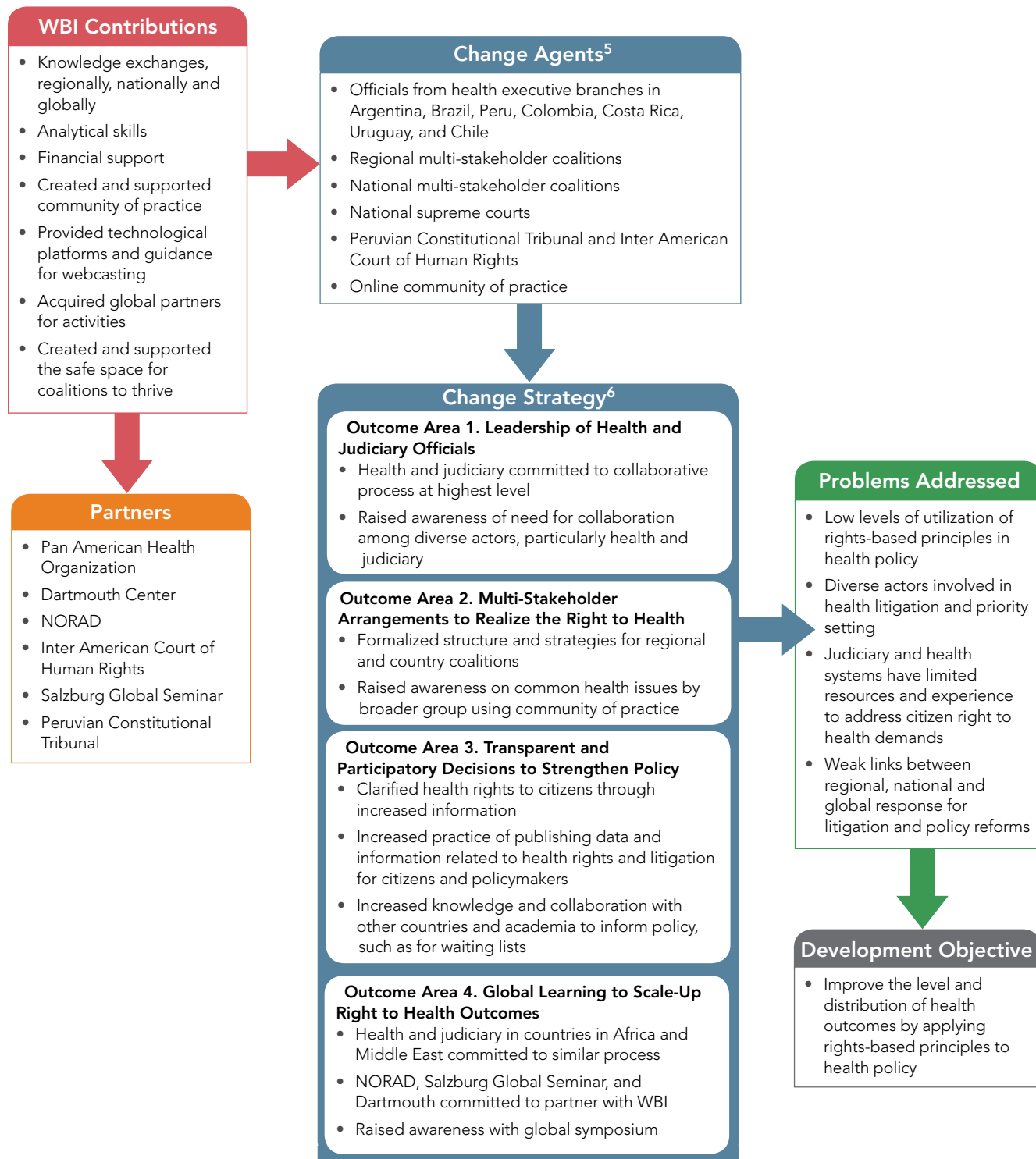
Judiciary and health officials have not customarily communicated with each other on challenges related to litigation on the right to health in their countries, yet the decisions of the courts affect the health sector.

Initially in 2010, officials from the health ministries of Argentina, Brazil, Peru, Colombia, Costa Rica, and Chile who faced similar challenges regarding increasing litigation on the right to health formed, for the first time, an informal network. [1]⁴ The network aimed to share experiences and lessons learned on issues related to litigation on the right to health in their countries and in the region. This knowledge exchange led health officials in Peru to realize that a network among health executives alone could not address the problems and judiciary leadership was required. They mobilized the Peruvian Constitutional Tribunal to become involved in the right to health dialogue. [2]

After a process of engagement led by the Peruvian Constitutional Tribunal, in April 2011 the Inter American Court of Human Rights endorsed the regional dialogue on the right to health. Consequently, both courts committed to co-host the first and second Regional Latin American Symposia in June and December 2011. [3] As the first courts to support an open conversation on the need for collaboration, their leadership encouraged strong engagement of judiciary branches of government in the participating countries.

In June 2011, during the first Regional Latin American Symposium, the regional Supreme Court justices decided to promote multi-stakeholder dialogues with regional and national health authorities on the realization of the right to health. [4] Such leadership encouraged the participating countries to consider multi-stakeholder perspectives in their decision-making process on right to health issues.

Figure 2. Change strategy showing how change happened to advance progress toward goal



Then, in June of 2012, the Brazilian Supreme Court decided to host the Third Latin American Symposium in June 2013. [7] This decision is noteworthy given Brazil’s leading regional role in knowledge developments on the right to health, its strong endorsement of a regional multi-stakeholder dialogue and its working methodology representing

a strategic and technical milestone. It also signals the possible leverage of these countries to work together long-term to improve the right to health.

WBI contributed to these outcomes by acting as a convener, researcher and facilitator, supporting the country officials to form the informal network. WBI also organized knowledge exchanges for health

SUBSTANTIATION OF OUTCOMES

To verify the accuracy of the outcomes and enrich WBI's understanding of them, the external consultant selected four outcomes [4, 9, 20 and 24] and asked 13 people who are independent of WBI but knowledgeable about the change to review each and record whether they agree with the outcome as described. Nine people responded. Eight fully agreed with the description, significance and contribution of WBI to outcomes 4, 9 and 20. One provided additional information to clarify the description, significance and contribution of outcome 24. Excerpts of the substantiators' comments on the outcomes achieved:

"In general, I feel that the establishment of the secretariat [that anchors the Uruguayan stakeholder work], although essential, should be considered as just the first step in dealing with so complex and sensitive a topic. Its success will depend on its permanence over time and the incorporation of new members."

—*Nilza Salvo, Director of CEJU and Minister of the Court of Civil Appeals, Uruguay*

"I think that bringing the parties together [at the First Latin American Symposium on the Right to Health and Health Systems in Costa Rica] is a first step toward understanding of both positions, which can eventually facilitate commitments in decision-making."

—*Ana Virginia Calzada Miranda, President, Supreme Court of Costa Rica*

"Dissemination of the judicial hearing, but not the judgment, as the text would seem to suggest, guarantees not only the right of everyone to have access to public information on the problem of the regulation and control of resources earmarked for financing health systems, but also will afford the general public a means of obtaining direct information on the follow up of Ruling T-760 of 2008, issued by the Constitutional Court of Colombia, which directs the competent authorities to correct the regulatory lapses that affect the health system in order to ensure the effective exercise of this basic right."

—*Jorge Ivan Palacio, President, Colombia's Constitutional Court*

"I feel that the way in which the WBI addressed the issue [technical secretariat] is quite adequate, because it offered its collaboration while encouraging local stakeholders to seek their own means of analysis and discussion. This has made it possible to take advantage of both external experience and internal contributions."

—*Leticia Gómez, Head of Legal Department, National Resources Fund of Uruguay*

executives, which identified the need for judiciary involvement. After developing an approach to health that was interesting for the judiciary, WBI engaged these courts in the regional Latin American symposia, and helped co-organize events that allowed for a safe space for discussion among strategic partners. WBI also invited potential champions within the Brazilian judiciary branch to the second Latin American Symposium in December 2011 and to participate in the Roundtable on Universal Health Coverage and the Right to Health in Washington, D.C. in June 2012.

In sum, the change strategy of this initiative included outcomes to raise awareness of the need for judiciary, health and other stakeholder collaboration to address right to health issues. These changes strengthened the leadership and commitment of health and judiciary officials at the highest level to address the problems, especially among governmental health and judiciary officials in seven Latin

American countries (Argentina, Brazil, Chile, Colombia, Costa Rica, Peru and Uruguay).

Outcome Area 2: Multi-stakeholder arrangements to realize the right to health

Multi-stakeholder arrangements were not yet in place to support regional and national dialogue among judiciary, health and other stakeholders to inform policy issues on the right to health. Since 2011, regional and country level multi-stakeholder processes have emerged to engage stakeholders.

Regional coalition

At the regional level, in June 2011, four countries initially—Argentina, Costa Rica, Peru and Uruguay—formed a coalition of judiciary to address policy issues on right to health. [5] Priority actions included systematizing judiciary data, building the capacity of judges to understand health system decisions and health systems to understand judiciary decisions, and developing a broader network of practitioners

outside the regional or country coalition membership for awareness-raising and dialogue.

At the second regional symposium, in December 2011, the regional coalition became multi-stakeholder (joined by ministries of health and academia). The coalition further focused its actions with its now seven members (Brazil, Colombia and Chile had joined), to improve knowledge on how to address right to health issue they could address. In early 2013, Evangelina Castilho Duarte, a Brazilian judge from Minas Gerais, published a paper in the journal *I Justiça & Cidadania* discussing the main issues related to litigation in the Brazilian private health sector. [26] Judge Duarte's reflections illustrated the acquisition of new knowledge during her participation in the First Global Seminar on the Right to Health and Health Systems. Judge Duarte is a key actor in the Minas Gerais multi-stakeholder coalition.

In addition, Egypt decided to host knowledge exchanges to improve governance and transparency issues related to the right to health. [27] And Kenyan and Moroccan delegations are joining the Third Latin American Symposium on the Right to Health (June 2013).

The Norwegian Agency for Development Cooperation (NORAD) also began collaborating with WBI to expand implementation of the right to health model. [24] This partnership has the potential to support Latin American and African regional activities, as well as content development on the issue. Partnering with key global players validates the value proposition that underscores this initiative, and it also enhances outreach and effectiveness.

WBI contributed by conceptualizing strategic complementarities between the global and regional activities. WBI co-organized the first global symposium on the right to health in Austria in November 2012 and invited Egypt to participate, linking to another WBI initiative in the Middle East and North Africa on improving governance and social accountability in health services. WBI also co-sponsored the Learning Exchange Seminar on Operationalizing Human Rights in Development in Oslo in 2012 with NORAD.

Thus, in late 2012 and early 2013, the regional coalition had expanded its influence to countries outside of Latin America. Several of the outcomes here described helped advance the scale-up of this

learning process around how countries and development partners conceptualize, understand and support actions to address the right to health.

CONCLUSION

The ultimate goal of WBI's Constitutional Mandates Initiative is to increase the level and distribution of health outcomes. It is advancing this goal by supporting new collaborative leadership among judiciary and health officials, as well as the creation of effective multi-stakeholder processes to influence policy around the right to health.

Multi-stakeholder coalitions have the potential to understand the underlying causes of the rapid increase in litigation from different perspectives and to act accordingly. They can also potentially increase the level of fairness and effectiveness arising from the health system and from the judiciary system as well. The achieved outcomes described in this case demonstrate how coalitions can have a positive effect, by increasing transparency and participatory decisions to inform policy options to address rights to health. In the process, change agents are empowered in the most advanced countries such as Uruguay, Costa Rica and Brazil, where coalitions are already leading the discussions and the agenda.

That being said, understanding the causes of litigation and effectively transforming them into improved policies—thus contributing to the realization of the right to health—is a lengthy and complex task. This is, therefore, not a on-off engagement but rather a dynamic process in which coalitions will encounter new challenges that will need innovative and adaptive solutions. Many challenges still exist—for example, fiscal and administrative costs of litigation or para-judicial conflict resolution mechanisms are a challenge in upcoming coalition discussions.

Even though the results obtained so far have been mainly concentrated in Latin America, the flexibility of the change strategy supported by this initiative has drawn interest from countries globally that face right to health challenges and lack practices to address them. There is also an increasing interest to use this initiative to systematically and adaptively learn how to apply rights-based principles to context-specific health policy needs of countries.

NEXT STEPS

Over the next two years, new outcomes to improve the efficiency of policy instruments and strengthen

the effectiveness of multi-stakeholder arrangements are expected. Four categories of outcomes will most likely arise:

1. Appearance of new pieces of legislation or administrative policies aimed at improving the effectiveness and transparency of the decisions made in the judiciary and health sectors.

2. Improved health service delivery, particularly benefiting the poor and marginalized.

3. Increased number of qualitative and quantitative assessments of the causes and ultimate impact of health litigation.

4. New countries working with multi-stakeholder coalitions. ■

societal, policy and organizational changes; and learning/capacity changes relate to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions. These levels are based on the Capacity Development and Results Framework. The framework provides a systematic yet flexible approach to designing capacity development strategies and programs, monitoring and adaptively managing interventions, and evaluating and learning from their results.

³ Outcome harvesting is a practical assessment tool from the outcome mapping community of practice. It can be used for real-time monitoring and evidence gathering from complex development processes that involve multiple stakeholders. It is based on a similar concept of locally driven change from the Capacity Development and Results Framework. The tool was customized to gather information on outcomes—and related outputs and milestones—to learn from what changed, for whom, when and where, the significance of the change and how the program contributed to each change.

⁴ The numbers in brackets correspond to the outcomes. The text that usually follows each outcome refers to its significance. The process of change represented by the outcomes can be seen in Figure 2.

⁵ Change agents are leaders, groups or organizations from government or non-state that drive change.

⁶ Change strategy refers to how change happened to advance progress toward the development objectives—the development problems addressed, types of outcomes achieved, WBI contributions, and partners involved. A change strategy may include different types of change processes or outcome areas depending on the complexity of the multi-actor institutional changes involved in a program.

NOTES

¹ The stakeholders in the coalitions include executive, legislative and judicial branches as well as other government institutions at the central and sub-national levels, health care organizations, physicians, patients, academic institutions, civil society organizations and the private sector. Source: Brochure *“Creating a Sustainable Platform for Multi-Stakeholders to Coalesce and Address the Progressive Realization of the Right to Health.”*

² Mapping outcomes—and related outputs and milestones—can help us learn from change processes that occur during program delivery that often seem complex and opaque because they involve multiple actors and address large development problems. An outcome is what each social actor (or change agent) did, or is doing, that reflects a significant change in their behavior, relationships, activities, actions, policies or practice. The program may influence these changes, directly or indirectly, partially or wholly, intended or not. Outcomes are identified at two levels in relation to the goal: institutional changes relate to

FOR MORE INFORMATION

Project Contact Maria-Luisa Escobar, WBI Health Systems practice manager, mescobar@worldbank.org

Email WBI Capacity Development and Results team at capacity4change@worldbank.org

Website www.worldbank.org/capacity and www.saluderecho.net

© 2013 World Bank

WBI's Capacity Development and Results team led the outcome mapping; Jenny Gold coordinated the exercise with support from Ricardo Wilson-Grau. Sharon Fisher provided editorial and design services. Samuel Otoo provided overall guidance.

ACKNOWLEDGMENTS

Thanks to the WBI Health Systems practice team members involved in the project and mapping exercise: Leonardo Cubillos, Roberto lunes, Maria-Luisa Escobar, Antonio Paniagua, Janet Bonilla and Santiago Pereira. Thanks to all of the persons that provided information to document this case.



Improving Open Contracting Processes at the Country and Global Level

Since late 2011, significant if initial changes in contracting practices have been made on the ground in several countries worldwide. These changes are a positive step that could lead to better governance, with citizens receiving goods and services they deserve so that development outcomes can be achieved. On the country level, key stakeholders established collaborative processes to tackle such issues as contract disclosure and monitoring. On the global level, key players committed to develop and promote global norms and data standards to improve open contracting (OC) practices. Making these advances in OC was borne out of development efforts by several countries with support from WBI's OC team.

Development Objective

Improve benefits of public goods and services for all citizens.

Problem

Failings in public contracting—such as corruption, opaque processes and weak compliance—impede the achievement of development outcomes in countries, limiting economic growth and social benefits.

Specific Objectives

Open government contracting to more public scrutiny and participation; increase disclosure of public contracts; increase non-state participation in public contracting in a systemic and collaborative manner; improve open contracting practices in key sectors; and combat corruption and inefficiencies in public contracting.

In January–March 2013, WBI mapped more than 30 outcomes¹ from these efforts using a customized outcome mapping tool². These visual maps present the sequence of outcomes achieved by change agents—the leaders, coalitions and organizations involved in the process. Outcomes were mapped at the global level and from country efforts in Ghana, Mongolia, Nigeria and Uganda to show examples of changes that are part of a larger program. The maps illustrate how the outcomes connected and built on each other over time to form multi-actor, institutional processes for change to address the development objectives and goal.

WBI's OC team members identified and formulated the outcomes, presenting an explanation of their significance and how WBI had contributed—directly or indirectly, in a small or big way, intentionally or not—by catalyzing or empowering the change agents to take new actions. Then, roughly 20% of the outcomes were independently substantiated for credibility in the mapping exercise. Each outcome identified is mapped, numbered and described in the context of a strategy to catalyze change.

BACKGROUND

Contracts are at the core of how countries operate—they are at the nexus of revenue generation, budget planning, resource management and delivery of public goods. Governments around the world spend an estimated US \$9.5 trillion every year through contracts.

Yet, contracting information is often unavailable for public scrutiny, and the resources spent through these contracts are often poorly managed or misappropriated. These problems are particularly troubling in the wake of a global financial crisis when pressure to account for use of limited resources is greater than ever. When companies, governments and citizens continue to be affected by ineffective and unfair contracting practices, theft and waste, everyone pays the price.

Failings in public contracting are undermining development due to weak compliance with regulation, corruption, inefficient and opaque contracting processes and poor oversight of contract implementation. For example, service delivery in many parts of the world has been hampered by collusion, delays, poor delivery and high costs. Over the years a number of governments have reformed public contracting legislation mainly by strengthening procedure

and due process. These reforms have had limited impacts because they have not fully addressed the lack of public information and citizen engagement, among other reasons.

To address these shortcomings and improve the capacity of public contracts to deliver better outcomes for citizens, the OC initiative was launched as a collaborative movement. OC emerged as a result of collaboration between WBI and the German government aid agency Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and has since solidified into an Open Contracting Partnership (OCP) led by steering group members from governments, civil society and multilaterals. This collaboration builds on WBI's work with OC coalitions from diverse sectors in more than 30 countries, to monitor and give feedback to governments on contract award and performance and to make contracts open, accountable and easily understood.

Furthermore, the broad OC framework and its multi-stakeholder coalition building approach serves as an umbrella under which the WBI Health Systems practice carries out their Pharmaceutical Procurement and Supply Chain Management work.³ In addition to health, the multi-stakeholder work covers sectors of extractive industries (for example, in Ghana), education (for example, in Uganda), and infrastructure (for example, in Nigeria or Mongolia), where benefits of OC are sought. This case study includes examples of outcomes in each of these areas.

OUTCOME AREAS

The process of change from the OC initiative can be seen in four areas of outcomes (Figure 1) that represent the major change paths. All of the outcomes were analyzed and classified according to the types of change they achieved. They were then grouped based on how they connected and built on each other to form a story for change.

Outcome Area 1: Global commitment and priority setting

See figure 2 map for the following outcomes.

Open contracting steering group and champions

In 2011, GIZ partnered with WBI to tackle the problems of opacity within, and poor oversight of, government contracting. They convened leaders

Figure 1. Change strategy showing how change happened to advance progress toward goal

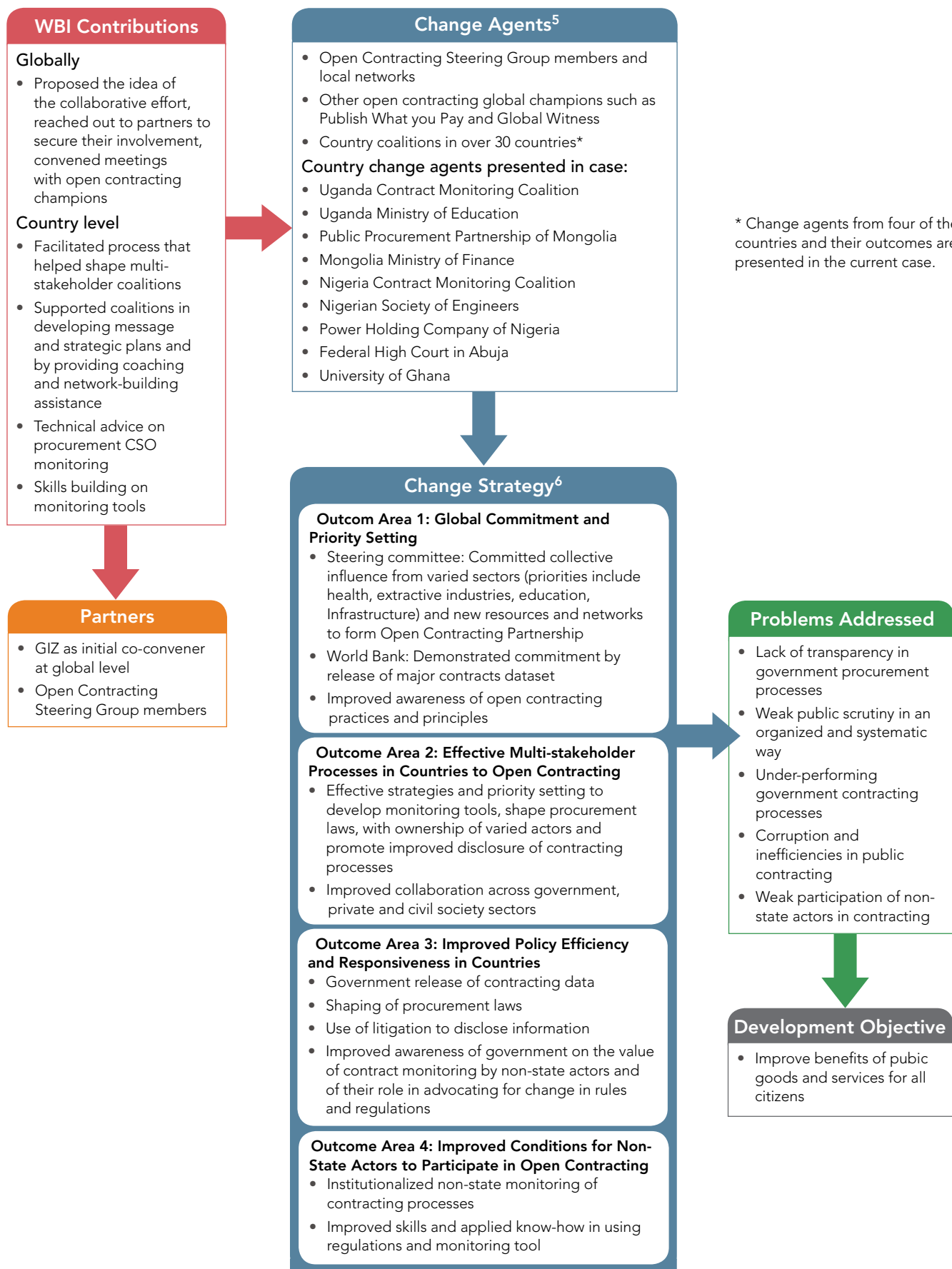
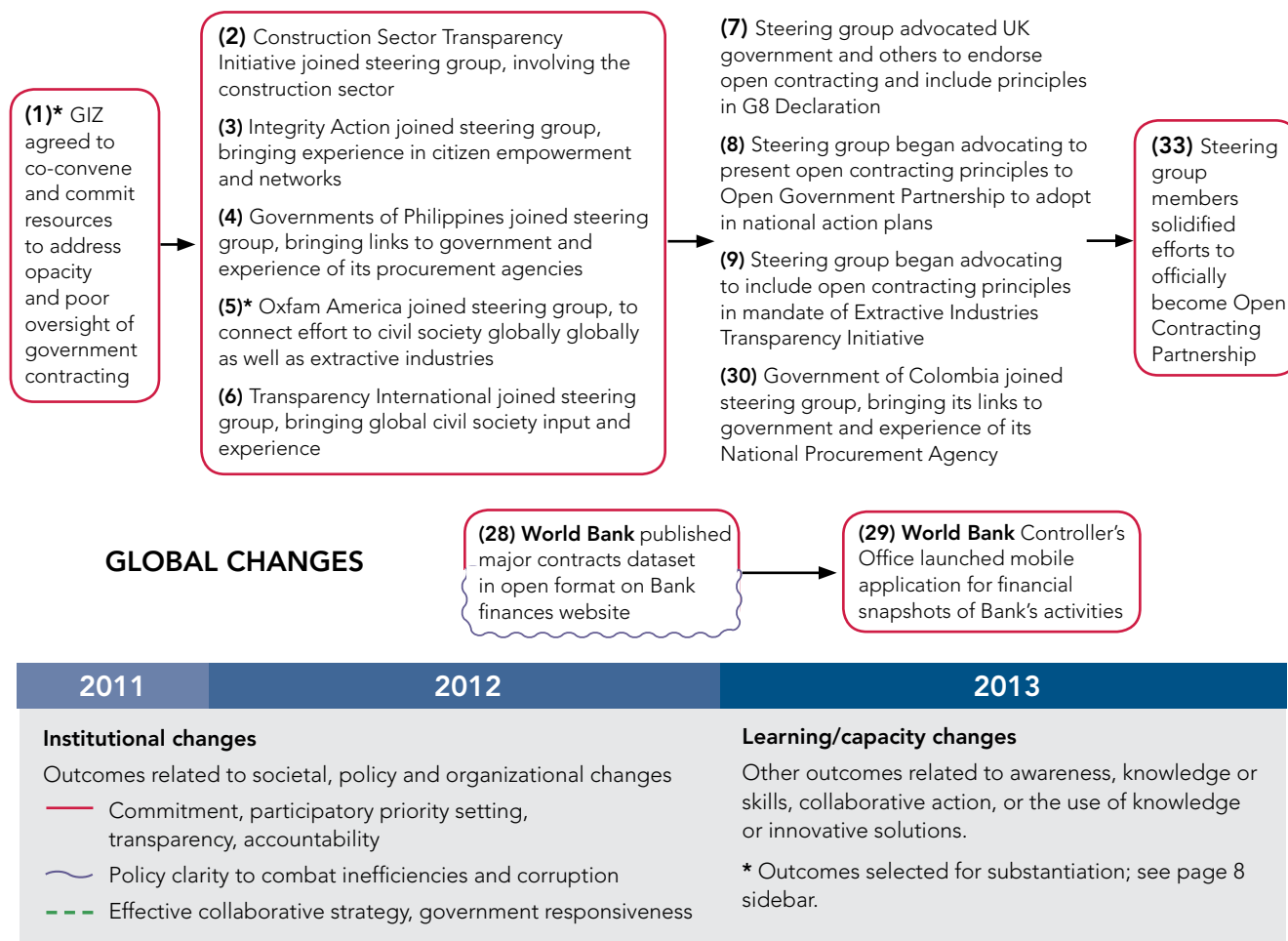


Figure 2. Map of outcomes showing global changes linked and built over three years



and innovators to involve champions who could make contract disclosure and monitoring the social norm. GIZ pledged staff time and approximately US \$400,000 for events and research toward the effort. [1]⁴ The co-convening model between GIZ and WBI attracted reputable partners to join the OC process to help realize the vision.

Through a consultation process between 2012 and 2013, additional organizations joined the OC leadership team: Construction Sector Transparency Initiative (CoST), Integrity Action (formerly Tiri), Oxfam America, Transparency International (TI), the Philippines' Government represented by the Procurement Policy Board and the Colombian Government represented by the National Procurement Authority, Colombia Compra Eficiente. [2, 3, 4, 5, 6 and 30] They became members of the OC steering group that co-designs and co-funds OC activities. Each organization committed considerable resources to the common effort, including 5% to 15% of senior

staff time. The OC steering group recently solidified its efforts to officially become the OCP. [33]

To make OC effective and sustainable, the process involves a diverse group of organizations that have the resources, influence and expertise to catalyze a global movement. CoST is respected in the construction sector and has an established presence in Africa, Latin America and the Caribbean, East Asia and the Pacific. Integrity Action leads well-known and respected programs, particularly in fragile states, and it has a presence in Africa, the Middle East, North Africa and East Asia and the Pacific. Oxfam America is part of an international confederation working in more than 90 countries. TI is part of an international network working to fight corruption through more than 100 chapters across the globe. Lastly, the Philippines and Colombian government partners are important additions, both through contributing their views and attracting other governments to join OC efforts.

WBI contributed by proposing the idea of the OC collaborative effort to GIZ and engaging in a series of conversations about the initial vision and structure of the OC steering group. WBI reached out to potential OC partners to secure their involvement.

In early 2013, OC steering group members and other OC champions, such as the Publish What You Pay coalition, Global Witness and the Africa Freedom of Information Centre, advocated with the United Kingdom government and other G8 members to include OC principles in the G8 Declaration. [7] Further, they began advocating to raise awareness and present OC practices as options to members of the Open Government Partnership (OGP)⁷ for adoption in national action plans. [8] The G8's endorsement lent credibility to the effort and boosted momentum for adoption of OC practices, and OGP's endorsement also increased the reputation of the effort, tying it more closely with the broader transparency agenda.

OC champions also began advocating to include OC elements in the expanded mandate of the Extractive Industries Transparency Initiative (EITI). [9] Failings in the award and monitoring of large-scale oil/gas/mining deals risk undermining potential development outcomes in resource rich countries. The EITI's endorsement of OC lent credibility to and increased the reputation of the effort, raising its profile in the extractives sector and providing a platform for adoption among countries implementing EITI.

WBI engaged in conversations and convened meetings with OC champions with World Bank operations, OC members and private sector actors to build understanding of OC, ensure use of common terminology and collectively identify strategic advocacy opportunities with G8 and OGP constituencies.

World Bank

In 2012, OC champions participated in an ideation session, which resulted in a focus on contracts and procurement data and prompted the release of a data set of Major Contract Awards for Bank-funded Operations.⁸ In June 2012, the World Bank reinforced the global OC process by publishing this dataset in open format on its WB Finances website. [28] This represents the first time that in-depth data on Bank contracts was publicly accessible, setting a precedent for transparency and allowing this data to be mined and analyzed.

Community developers, including WBI staff, used this information to build a prototype web application using the data available. Then, in January 2013, the Bank's Controller's Office launched a WB Finances mobile application that provides current financial snapshots of the Bank's activities around the world and allows users to explore the details of a country's donor and/or beneficiary portfolios—including financial instruments covering contracts/procurement data, and project information and locations. Integrated connections to social media networks (such as Facebook and Twitter), email, and SMS text allow for easy sharing, and the application is available in seven languages. [29] This application allows interested stakeholders to review and track the finances of Bank projects.

In sum, during 2012, OC gained significant backing from international players who formed a steering group, and multiple OC champions committed to advance OC through raising awareness of its benefits. This movement was reinforced by the Bank's release of a major contracts dataset.

Outcome Area 2: Effective multi-stakeholder processes in countries for open contracting

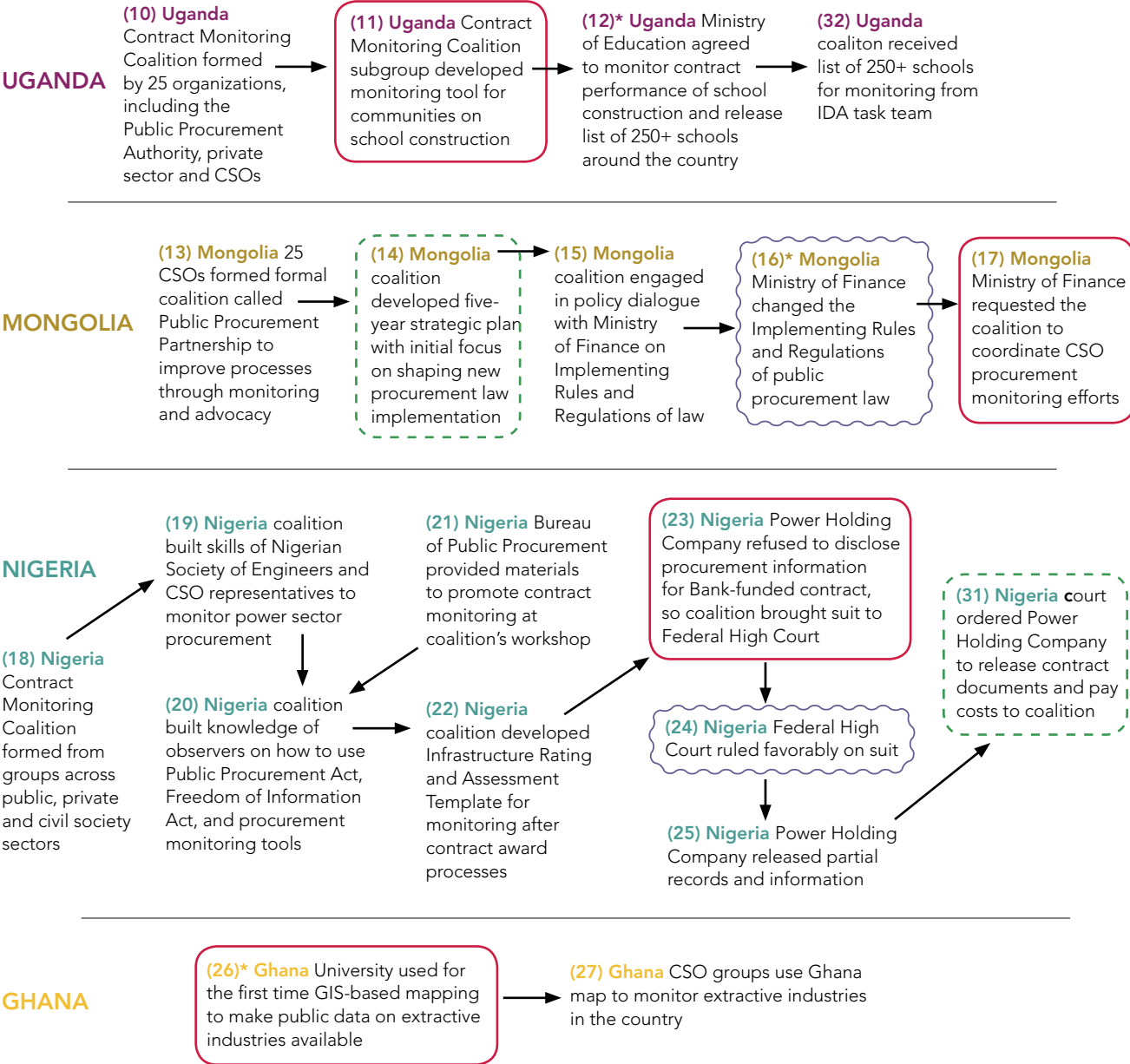
See figure 3 for a map of the following outcomes.

Examples from Uganda, Mongolia and Nigeria

In June 2012, after a one-year process, a group of 25 organizations in Uganda signed a Memorandum of Understanding to form the Uganda Contract Monitoring Coalition. [10] The coalition included the government represented by the Public Procurement Authority, members of the private sector and CSOs focused on themes ranging from water governance to agriculture and education. Around the same time in Mongolia and Nigeria, two other similar groups of organizations formed formal coalitions to work on contract monitoring—the Public Procurement Partnership of Mongolia and Nigerian Contract Monitoring Coalition. [13, 18]

The coalitions aim to improve their countries' respective contracting processes through monitoring and advocacy. Uniting stakeholders in a coalition makes them a more credible counterpart to engage with government agencies to monitor whether public contracting is well managed, implemented and delivered. In addition, coalition members can leverage each other's resources, networks and

Figure 3. Map of outcomes showing country changes linked and built over three years



2011	2012	2013
<p>Institutional changes</p> <p>Outcomes related to societal, policy and organizational changes</p> <ul style="list-style-type: none"> — Commitment, participatory priority setting, transparency, accountability ~ Policy clarity to combat inefficiencies and corruption - - - Effective collaborative strategy, government responsiveness 	<p>Learning/capacity changes</p> <p>Other outcomes related to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions.</p> <p>* Outcomes selected for substantiation; see sidebar.</p>	

expertise. They can also better coordinate access to information requests, policy advocacy and monitoring efforts.

Over the summer of 2012, the Public Procurement Partnership of Mongolia developed a five-year strategic plan to, among other goals, shape the new procurement law implementing regulations in the short term. [14] This agreement among the CSOs lends structure and clarity to their advocacy efforts, allowing for clearer goals and agreed-upon strategies, ultimately improving the efficiency of the collaboration.

WBI provided guidance to Uganda, Nigeria and Mongolia on forming coalitions, facilitated meetings and advised them on how to engage potential members and structure the coalitions. For example in Mongolia, WBI shared examples of strategic plans and engagement mechanisms of other formal coalitions, and provided feedback on different iterations of the plan. As part of the process, WBI funded a workshop on strategic planning for board members of the Mongolian coalition.

In sum, multi-stakeholder coalitions have been formed in Uganda, Mongolia, Nigeria and other countries that allow CSOs, private sector and government to work collaboratively on OC. These coalitions are forming strategies, including how to engage in coordinating access to information, policy advocacy and contract monitoring.

Outcome Area 3: Improved policy efficiency and responsiveness in countries

See figure 3 for a map of the following outcomes.

Mongolia

Over the summer of 2012, the Public Procurement Partnership engaged in a policy dialogue with the Mongolian Ministry of Finance on the Implementing Rules and Regulations of the newly amended Public Procurement Law. [15] This was the first time that CSOs working on procurement in Mongolia advocated for regulatory changes as a joint network with a united message. As a result of this dialogue, in fall 2012 the Mongolian Ministry of Finance finalized the Implementing Rules and Regulations of the newly amended law, and included several of the partnership's requests, such as allowances for monitors and use of specific reporting templates. Under the new law all contracts in Mongolia must be monitored,

whereas previously only selective processes were monitored. [16] The changes in the regulations institutionalize citizen participation in procurement, which in turn will help to combat corruption, opaque contracting processes and poor oversight of contract implementation.

In 2013, the Mongolian Ministry of Finance requested the Public Procurement Partnership's support in coordinating the CSO procurement monitoring efforts that are required under the amended procurement law. [17] This request is a first step toward a more collaborative relationship established by the amended procurement law and its rules. Enhanced citizen participation should result in improvements in the procurement system and ultimately in better budget implementation and public service delivery.

WBI supported the coalition in developing a united message to engage with its government. The support included coaching, network building support and technical advice on procurement CSO monitoring.

Nigeria

Increased interaction between government and CSOs also occurred in Nigeria. In July 2012, the Nigeria Bureau of Public Procurement, part of the Nigerian Contract Monitoring Coalition, provided publications and learning materials for participants at the training workshop in Abuja. [21] The willingness to supply this information and promote monitoring shows the government's commitment to the coalition and to enhanced transparency.

In September 2012, the Federal High Court in Abuja ruled favorably on a suit brought by the Public and Private Development Centre, national convenor of the Nigerian Contract Monitoring Coalition, to demand the disclosure and information on the World Bank-supported contract for the supply and installation of High Voltage Distribution systems in Abuja, Lagos and Ibadan. [23, 24] In November, the Power Holding Company of Nigeria released partial documents. [25]

Then in March 2013, they were ordered to release all contract documents sought by the coalition. In addition, the judge ordered the Power Holding Company and the Attorney General of the Federation to "jointly and severally" pay costs to the coalition to cover its legal fees [31]. These results established a legal precedent supporting access to information and demonstrate the power of diverse

SUBSTANTIATION OF OUTCOMES

To verify the accuracy of the outcomes mapped and enrich WBI's understanding of them, the external consultant selected five outcomes [1, 5, 12, 16, 26] and asked 15 people independent of WBI but knowledgeable about the change to review each and record whether they agree with the outcome as described. 12 people responded. Nine fully agreed with the description as formulated, and 3 provided additional information to describe the outcome. Regarding significance, 6 fully agreed with the description and 6 provided additional information to describe the significance. For the contribution of WBI, 7 fully agreed with the description and 3 provided additional information to describe the contribution. Excerpts of the substantiators' comments on the outcomes achieved:

"The current design of the Open Contracting Partnership was due to a collaborative process involving all stakeholders."
—*Christian Poortman, Chair, Construction Sector Transparency Initiative*

"The key outcome of note is that WBI was able to co-create a vision and strategy for the Open Contracting project with a diverse group of partners."
—*Joe McCarron, Partner, Reos Partners*

"WBI has worked with the coalition on this exciting journey. They have provided advice and experiences from different countries and even helped the coalition to make breakthroughs in places where initial difficulties were experienced."
—*Gilbert Sendugwa, Coordinator/Head of Secretariat, Africa Freedom of Information Centre*

"Amidst an opaque governance system, the ministry of education [in Uganda] was quite open and willing to work with civil society. This is unlike most government departments, which do not want to get close to civil society."
—*Bashir Twesigye, Chair, Uganda Contracts Monitoring Coalition, Civic Response on Environment and Development*

"I hope the information provided to the university will be easily accessible to all without any financial commitment since they now in most cases recoup all their costs in their work. I also think that this information is relayed to stakeholders so that the information can be accessed by all."
—*Florence Dennis, Executive Secretary, Ghana Anti-Corruption Coalition*

"The training provided to the University of Ghana has already borne fruits as the officers involved have attended meetings of the Oil Platform and explained to civil society members how to use the web platform for advocacy information and demand accountability from duty bearers."
—*Amin Mohammed Adam, Executive Director, IBIS Ghana/Publish What You Pay*

stakeholders working as a coalition to promote transparency and accountability in public contracting.

WBI provided coaching that built the capacity of coalition members to engage with the government for improved access to information. WBI provided funding, coaching and network-building support to the coalition in partnership with the Africa region of the World Bank, which allowed them to engage in monitoring of this project and strengthened their capacity to act when they were refused the procurement records and information.

In sum, country coalitions are affecting policy improvement to ensure contracting data to work on OC. For example, the Mongolian coalition engaged with government to influence policy amendments,

which are leading to new and more effective contract monitoring practices among CSOs and government, jointly. Coalitions are also demanding the disclosure of previously unavailable information on contracts, setting new legal precedent (for example in Nigeria).

Outcome Area 4: Improved conditions for non-state actors to participate in open contracting

See figure 3 for a map of the following outcomes.

Uganda

During the summer of 2012, a subgroup of the Uganda Contract Monitoring Coalition with experience in education developed a tool with

input from the Ministry of Education that will enable community members to monitor the construction of schools that have been vulnerable to corruption. [11] The tool will help the coalition collect contract performance information that may reveal whether a project is executed according to quality standards and in compliance with Uganda laws. The data can provide feedback to government and citizens on project performance, and be used for advocacy and policy dialogue with government agencies.

The Procurement and Construction Units in the Ministry of Education of Uganda agreed to the monitoring of contract performance in the construction of secondary schools around the country. [12]. The International Development Association task team provided the coalition a list of over 250 schools with ongoing construction from which the coalition will select a sample. [32] If the results of this initial monitoring by the coalition are useful, other ministries might agree to support further monitoring.

WBI provided seed funding, shared monitoring tools from other countries and reviewed the draft monitoring tool.

Nigeria

In a July 2012 training workshop in Abuja, the Nigerian Contract Monitoring Coalition built skills of civil society representatives and the members of the Nigerian Society of Engineers to monitor power sector procurement processes, from project conception to contract award to project implementation. [19]

Also in the summer of 2012, the Nigerian coalition built the knowledge of its observers on how to use the 2007 Public Procurement Act, 2011 Freedom of Information Act and procurement monitoring tools developed by the Public and Private Development Centre to report on the procurement process through the Procurement Portal Observatory. [20] By August, through an expert committee set up at the Nigerian Society of Engineers, the coalition had developed a standard Infrastructure Rating and Assessment Template for monitoring project implementation and contract performance. [22]

The use of the template for monitoring will, similar to the Uganda monitoring tool for school construction, enable the coalition to collect contract performance information to provide feedback to the government when infrastructure projects, especially roads, are not meeting the expectations of citizens. This improved ability to understand contract perfor-

mance makes the coalition a more capable partner to engage with government ministries.

WBI provided funding, coaching and network-building support to the coalition together with other coalitions in West and East Africa, in partnership with the Africa region of the World Bank. WBI's OC community of practice is a partner in the Procurement Portal Observatory.

Ghana

In a separate development in West Africa, in July 2012, the University of Ghana took on ownership and maintenance responsibilities for an innovative Geographic Information System (GIS)-based map. For the first time, this resource combines all publicly available extractive industries data for Ghana in one place, including mining and oil field locations, contracts, production and revenue data, corporate social responsibility projects and underlying socio-economic indicators. [26] Local ownership of this platform, with no financial support from WBI, demonstrates the effectiveness of WBI's capacity building efforts and successful technical skills. This also presents an opportunity for enhanced knowledge sharing both within Ghana and regionally, in terms of the mapped data and presentation tool.

Subsequently, CSOs, including the oil/gas platform of civil society groups, have been using this map for information to monitor extractive industries in Ghana with a range of stakeholders from government officials to parliamentarians tracking the contract information together with complementary datasets. [27] Civil society groups reference the GIS-based map as an example of how to provide information for non-technical people (such as those dealing with advocacy) who might not be able to locate or understand technical information available through other channels. Policymakers also said they found the map useful because it pulled together datasets from different ministries and agencies in a user-friendly portal. The common knowledge base the GIS-map provides, and the discussions and actions it produces, should lead to more transparent and accountable contracting practices in extractive industries.

WBI created the GIS-based map and supported the University of Ghana by providing training for ownership and upkeep of the map.

In sum, country coalitions are engaging with government and CSOs to develop the knowledge

and tools to monitor the performance of contracts in focus sectors including education (for example, in Uganda) and infrastructure (for example, in Nigeria). In the case of Ghana, the University has become an OC champion by making accessible all publicly available extractive industries data for use by CSO groups. These are key steps to enhance the use of contracts data as a public resource to enable citizen participation in and feedback on contracting processes.

CONCLUSION

The OC initiative has made progress in opening government contracting to public scrutiny and participation at the global and country level, of which the four countries described are examples. This is a sample of a larger body of work currently ongoing in more than 30 countries worldwide. The multi-stakeholder global steering group promotes and spreads the OC effort, enhancing uptake across organizations and sectors in different contexts around the world. The group's formalizing and promotion of OC principles and standards is increasing momentum to combat corruption and inefficiencies.

In Mongolia and Nigeria, the outcomes demonstrate increased disclosure of contracts and opening of government contracting to public scrutiny

and participation. Further, in these countries and Uganda, the outcomes exemplify an increase of non-state actors' participation in public contracting. In Ghana the results demonstrate how country actors gained ownership in the implementation of OC practices in the key sector of extractive industries.

It is premature to expect more notable progress on the development objectives in part due to the newness of the OC initiative and other challenges. Although the steering group is working on framing a common understanding and global convergence, and has made important strides with civil society in particular, government and private sector uptake has been slow. OC principles and standards, while an important step, are still in their infancy and need to be further integrated into country operations, with dissemination of good practices to improve the quality and effectiveness of engagement.

Similarly, OC will continue its efforts to be integrated into the OGP, EITI, CoST and other relevant global and sectoral initiatives. Support to OC coalitions and effective engagement of multiple stakeholder groups are still not on a solid footing, so continued efforts are needed and are also being planned in this area.

FOR MORE INFORMATION

Project Contact

Marcela Rozo, WBI Open Governance practice, mrozo@worldbank.org

Email

WBI Capacity Development and Results team at capacity4change@worldbank.org

Website

www.worldbank.org/capacity

© Copyright 2013 World Bank

WBI's Capacity Development and Results team led the outcome mapping; Jenny Gold coordinated the exercise with support from Ricardo Wilson-Grau. Sharon Fisher provided editorial and design services. Samuel Otoo provided overall guidance.

Photo by Arne Hoel, World Bank

ACKNOWLEDGMENTS

Thanks to Robert Hunja, Marcela Rozo, Michael Jarvis, Sara Danish, Ousmane Deme, Felipe Estefan, Kathrin Frauscher, Norma Garza, Carey Kluttz, Lindsey Marchessault, Julia Mensah and Caroline Spruill.

Thanks to substantiators:

Amin Mohammed Adam, Executive Director, IBIS Ghana/Publish What You Pay
Florence Dennis, Executive Secretary, Ghana Anti-Corruption Coalition
Ian Gary, Senior Policy Manager, Extractive Industries, Oxfam America
Joe McCarron, Partner, Reos Partners

Grace Munanura, Senior Procurement Specialist, AFTPE, World Bank
Norovjav Otgonjargal, Procurement Development Center

Christian Poortman, Chair, Construction Sector Transparency Initiative
Michael Roesch, Depute Head of Programme: Public Finance, Administrative Reform and Transparency Initiatives, GIZ

Claire Schouten, Programme Director, Network for Integrity in Reconstruction, Integrity Action

Gilbert Sendugwa, Coordinator/Head of Secretariat, Africa Freedom of Information Centre

Nadine Stiller, Project Officer, GIZ

Bashir Twesigye, Chair, Uganda Contract Monitoring Coalition, Civic Response on Environment and Development

NEXT STEPS

WBI's OC team plans a series of measures to further build on and institutionalize the achieved outcomes, moving toward a wholesale model to allow OC to increasingly spread independently of WBI support. There are plans to formalize and expand relationships with World Bank Group operations, linking task team leaders to coalitions to ensure their sustainability, and engaging with new partners that can multiply OC through their own networks.

WBI's OC team will also focus on improving the OC community of practice, drawing on technology to spread knowledge and support documentation and outreach. Products could include how-to guides on contract monitoring and coalition building, data standards and principles, and resources to facilitate their rollout and implementation.

In addition, the OCP plans to achieve the following measures in the coming year to strengthen country, global and steering group level outcomes:

- Mechanisms in two countries; expansion of OC learning products and online community of practice; and mainstreaming of OC in multilateral organizations and existing initiatives such as OGP and EITI.
- At the current steering group level: formalization of the OCP steering group and advisory groups; external core funding for OC strategies and work plan; and a new OC secretariat host. ■

NOTES

¹ Mapping outcomes—and related outputs and milestones—can help us learn from change processes that occur during program delivery that often seem complex and opaque because they involve multiple actors and address large development problems. An outcome is what each social actor (or change agent) did, or is doing, that reflects a significant change in their behavior, relationships, activities, actions, policies or practice. The program may influence these changes, directly or indirectly, partially or wholly, intended or not. Outcomes are identified at two levels in relation to the goal: institutional changes relate to societal, policy and organizational changes; and learning/capacity changes relate to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions. These levels are based on the Capacity Development and Results Framework. The framework provides a systematic yet flexible approach to designing capacity development strategies and programs, monitoring and adaptively managing interventions, and evaluating and learning from their results.

² Outcome harvesting is a practical assessment tool from the outcome mapping community of practice. It can be used for

real-time monitoring and evidence gathering from complex development processes that involve multiple stakeholders. It is based on a similar concept of locally driven change from the Capacity Development and Results Framework. The tool was customized to gather information on outcomes—and related outputs and milestones—to learn from what changed, for whom, when and where, the significance of the change and how the program contributed to each change.

³ A similar outcome mapping exercise has been developed that is specific to Pharmaceutical Procurement and Supply Chain Management work.

⁴ The numbers in brackets correspond to the outcomes in Figures 2 and 3. The text that usually follows each outcome refers to its significance. The process of change the outcomes represent is seen in Figure 1.

⁵ Change agents are leaders, groups or organizations from government or non-state that drive change.

⁶ Change strategy refers to how change happened to advance progress toward the development objectives—the development problems addressed, types of outcomes achieved, WBI contributions, and partners involved. A change strategy may include different types of change processes or outcome areas depending on the complexity of the multi-actor institutional changes involved in a program.

⁷ The Open Government Partnership (OGP) is a new multilateral initiative that aims to secure concrete commitments from governments to promote transparency, empower citizens, fight corruption, and harness new technologies to strengthen governance. In the spirit of multi-stakeholder collaboration, OGP is overseen by a steering committee of governments and civil society organizations. OGP's membership includes more than 50 countries.

⁸ The Major Contract Awards for Bank-funded Operations dataset covers those contracts awarded from fiscal year 2007 to date under World Bank projects, which have been subject to prior review by the Bank.



Strengthening the Capacities of Local Governments in South East Europe

With support from the World Bank Institute (WBI) and the government of Austria, cities in South East Europe (SEE) once alienated by ethnic strife now exchange ideas on how to improve performance. The Austria Urban Partnership Program (UPP), a joint effort of WBI and the Austrian Government, brings cities in the region together by enabling multi-stakeholder dialogue and providing practical self-assessment tools to help locally elected officials, city administrators, technical staff, and citizen groups to conduct rigorous analysis, improve urban management practices, and prepare bankable project financing proposals.

To generate evidence of how WBI has contributed to strengthen the capacities of local governments in SEE countries, in April–July 2013, WBI mapped outcomes¹ from this program using a customized outcome harvesting tool². The visual

maps present the sequence of outcomes achieved by change agents—the leaders, coalitions and organizations involved in the program. The maps illustrate how the outcomes connected and built on each other over time to form multi-actor, institutional processes for change to address the program’s objectives and goal.

WBI team members identified and formulated the outcomes, presenting an explanation of their significance and how WBI had contributed—directly or indirectly, in a small or big way, intentionally or not—by empowering the change agents to take new actions. Then, roughly 20% of the outcomes were independently substantiated for credibility.

BACKGROUND

Two decades ago, the SEE region was engulfed in a devastating civil war that rocked Europe and

reshuffled its political economy and geographic boundaries. Today the region is at peace, but many cities operate at well below their full potential. One reason for this is the long learning curve of local self-government. Some of the countries were formed only recently. Cities such as Pristina or Podgorica only became capitals in the last decade. In other cases, towns and cities acquired new and greater responsibilities stemming from a process of administrative, political, and fiscal decentralization launched in the late 1990s.

Socioeconomic and structural trends are also occurring, including the transformation to a service-based economy and a population that is highly urbanized but declining in numbers. With the high concentration of heavy industry located in urban agglomerations, many cities suffer from the decline of industrial production, leading to high unemployment, environmental contamination, and underused urban space. Cities struggle to maintain municipal infrastructure that used to be subsidized and was designed to serve more businesses and people.

Capacity shortfalls in planning infrastructure and service delivery hinder efforts to meet performance standards aligned with European Union (EU) pre-accession requirements. Property rights to both public and private land and buildings are often inconsistent. Some local governments do not know the extent of their assets. At the same time, there is increasing competition for investment among countries and cities in the region, combined with a severe fiscal crisis affecting governments at all levels. Challenges remain in meeting EU pre-accession directives, including environmental directives, as well as in absorbing EU pre-accession and structural funding.

While central governments try to address these challenges by controlling aspects of urban planning, serious capacity gaps and weak citizen involvement leave urban governments vulnerable to corruption. This is especially true with regard to managing public land and property, issuing building permits, as well as planning, implementing, and monitoring public investments in infrastructure.

The WBI Urban program equips city leaders, municipal staff, and other practitioners with innovative strategies and tools to maximize the potential benefits of urbanization. The UPP aims to foster communication between cities, once alienated by ethnic conflict, marked by City-to-City dialogues held in the region. Practical tools assist locally

Development Objective

More livable and sustainable cities in South East Europe that provide a high quality of life for citizens.

Problem

Despite efforts to bring economic and democratic reforms, city governments in South East Europe remain beset by decentralization status, weak local institutions, shifts in political structures and slow reforms. Corruption remains one of the significant worries and mayor priorities on the national and local level. City leaders are challenged to meet rising citizen demands for services and face severe inefficiencies in urban land use that block economic development. Moreover, city revenues are highly vulnerable to central policy changes and economic crisis. Local governments have limited experience and weak networks and strategies to address these problems.

Specific Objectives

- Devise effective, responsive, and participatory city-owned strategies to address problems of corruption, urban land development, and revenue management and increase commitment of municipal champions to find innovative solutions to address problems in their context.
- Improve accountability and transparency of municipalities in meeting citizen demands for services.
- Improve the cities' financial health and design efficient policies within cities to address expanding urbanization.
- Promote effective regional networks for learning around solutions and inter-agency communication and collaboration, and strengthen participation from civil society organizations, private sector and citizens in instituting reforms.

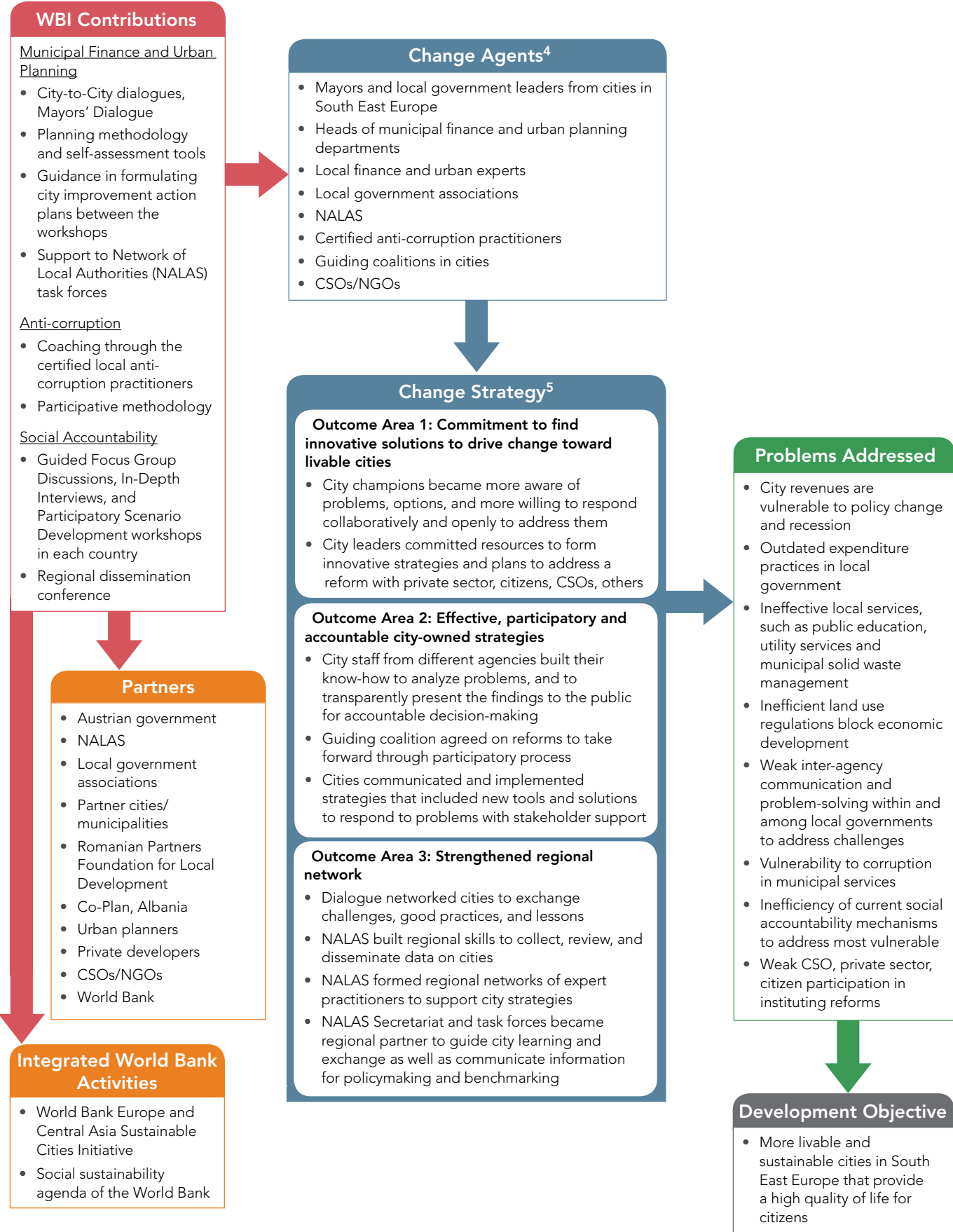
elected officials, city administrators and technical staff, and in some cases citizen groups, to diagnose their municipalities and learn how to map key sources of funding from donors.

OUTCOME AREAS

All of the outcomes were analyzed according to the types of change they achieved. They were then grouped based on how they connected to each other to form a change strategy. The change strategy from this program can be seen in three outcome areas that represent the major change paths that the program has influenced to date, as seen in Figure 1: (1) Commitment to find innovative solutions to drive change towards livable cities; (2) Effective, participatory, and accountable city-owned strategies; and (3) Strengthened regional network.

The maps in Figures 2–5³ summarize the outcomes and their numbers correspond to the

Figure 1. Change strategy showing how change happened to advance progress toward goal



numbers in brackets within the text. The sidebars near maps 2–5 list example indicators to show how a monitoring process could track progress toward each objective. The indicators are not predefined; they were generated based on the observed change process.

Outcome Area 1: Commitment to find innovative solutions to drive change toward livable cities

Pilot I: Improving Social Accountability and Sustainability Mechanisms in SEE cities (See Figure 2)

In late 2012, more than 500 government and civil society stakeholders from five cities in Macedonia, Kosovo, Bosnia and Herzegovina, and Albania volunteered to debate issues about vulnerable groups, public services, accountability, deficiencies in service provision and social inclusion. [1] Stakeholders from Banja Luka (Bosnia and Herzegovina), Durres (Albania), Sarajevo (Bosnia and Herzegovina), Skopje (Macedonia) and Prishtina (Kosovo) then came up with possible solutions to reduce corruption and increase a sense of moral responsibility among public employees in their local governments. [2]

At the same time, over 30 representatives from local government, central government, and the business sector in the cities agreed to public interviews to share thoughts and discuss priority areas. [3] This led to over 230 representatives from local government in the cities, including the city administration, chamber of commerce, citizens, NGOs/CSOs, unemployed, and other stakeholders to come up with proposals to strengthen organizational systems and institutional integrity, efficiency, transparency, and social accountability in each city. [4] The process provided for a transparent Social Accountability Assessment in each city to collect proposals that represented the wider community about what needs to be changed, how and opportunities for citizen engagement and participation in implementing the changes.

Previously these priority areas were not sufficiently discussed publicly with citizens, and there was limited awareness of problems, options and willingness to respond collaboratively and openly to address them. These actions also helped to overcome a lack of trust in local government being open to citizen feedback on solutions. The process was especially

important to involve marginalized groups with no legal regulation that ensured their representation on the local councils. Overall, the process built a readiness among local government representatives to engage more and listen to citizen needs.

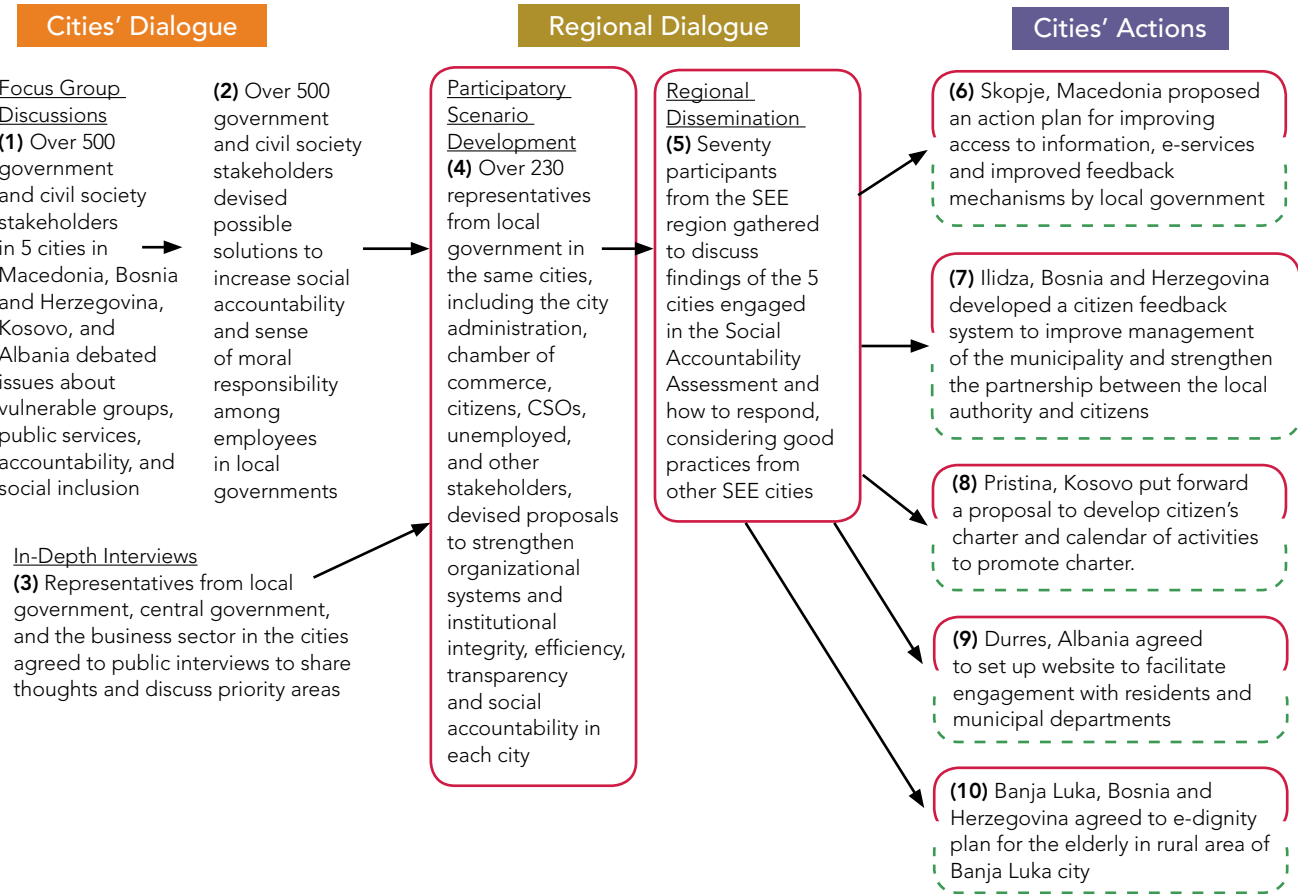
Contribution of WBI: The UPP issued a public call to recruit focus group discussion participants to facilitate cooperation with local grassroots NGOs/CSOs that work with vulnerable communities, and selected municipal representatives for interviews. The UPP worked with a local team to create questionnaires for the sessions, guide discussions with individual groups, interviewed local representatives, and encouraged an open space to discuss issues. Over October–November 2012 five Participatory Scenario Development sessions were organized in the five pilot cities for representatives of different organizations and stakeholders. The workshops incorporated two activities: presentations of research findings and working group sessions to refine the participatory scenarios in each city. This was part of a broader consultation process that led to development of city action plans.

Pilot II: Improving the viability of the cities financially and spatially (See Figure 3)

In November 2011, finance representatives from 10 municipalities in SEE countries prepared essays identifying issues and possible solutions to challenges of local government revenue management. [11] This demonstrated the municipalities' active interest and willingness to act in improving their financial health. It also showed openness to new ideas and solutions to address their financial challenges. In early 2012, mayors from 20 municipalities of seven SEE countries endorsed a participatory process to assess cities' financial health and committed their municipalities' human resources. Their municipal teams then started collaboration toward financial Municipal Finance Self-Assessments (MFSA) with local experts [12]. Later the same year, four additional municipalities made the same commitment [13].

In 2013, the mayors of two new municipalities, Bar and Cetinje (Montenegro), committed to use the MFSA to assess their cities' financial health, bringing the total to 26 municipalities⁶ involved in the MFSA. [14] The political endorsements show that municipal leaders are ready to commit to new, innovative solutions to improve their financial health, and recognized the potential importance of the MFSA

Figure 2. Outcomes Showing Improvement in Social Accountability and Sustainability



2012	2013
<p>Institutional changes</p> <p>Outcomes related to societal and organizational changes.</p> <ul style="list-style-type: none"> — Municipal commitment, participatory decisions, transparent information sharing to improve social accountability mechanisms - - - Responsiveness of municipalities to put in place innovative mechanisms for citizen accountability 	<p>Learning/capacity changes</p> <p>Other outcomes related to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions on the part of SEE cities</p>

EXAMPLE OF INDICATORS MEASURING CHANGES

Specific Objective
 Improve accountability and transparency of municipalities in meeting citizen demands for services.

Outcome
 Increased stakeholder participation in development of action plan

Indicators
 Number of individuals participating in dialogue
 Type of organization/representative present (Y/N):

<input type="checkbox"/> Citizen	<input type="checkbox"/> Private sector
<input type="checkbox"/> CSO	<input type="checkbox"/> Unemployed
<input type="checkbox"/> Local government	<input type="checkbox"/> Elderly
<input type="checkbox"/> Central government	<input type="checkbox"/> Youth
<input type="checkbox"/> Chamber of Commerce	

tool to improve the mobilization of local resources, public spending, public asset management and maintenance, investment programming, and access to external financing. Municipal demand to use the MFSA to understand cities' financial health and use the findings to shape solutions continues to grow.

The experience of municipalities applying for the MFSA also inspired 15 municipalities⁷ in 2012 and 2013 to start using an Urban Planning Self-Assessment (UPSA). [15,16] Cities can use the findings to compare their performance against other cities in the region, qualitatively and quantitatively. This should enable them to establish a common ground for discussions on how to modernize spatial planning and land management, support local economic development and ultimately improve quality of life.

Contribution of WBI: The UPP influenced these outcomes by organizing seven City-to-City dialogues in 2012 and 2013 to facilitate dialogue and peer learning. The UPP also customized the MFSA and UPSA tools to suit the needs of countries from the South East Europe region, with feedback from municipal representatives, and promoted examples of municipal experiences using the tools to understand problems and identify solutions. UPP also helped put together a network of international and national municipal finance experts who were engaged to work in seven countries on the MFSA.

Pilot III: Addressing corruption and modernizing local governments (See Figure 4)

Between 2012 and 2013, around 170 mayors, city representatives, NGOs, and local government associations from three countries volunteered to understand methods to address corruption. [21] In 2012, 23 municipalities (during phases 1 and 2) and seven countries applied for the program. [22] These municipalities exercised new leadership to address corruption by committing to the anti-corruption process. The process was expected to help make citizens aware how they can contribute to fighting corruption, improve and increase the level of public confidence in municipal government, as well as increase the level of motivation of employees for increased efficiency in their work, and attract new investors and EU funds.

By December 2012, 65 mayors, deputy mayors, members of city councils, NGOs, local government associations and representatives from municipalities shared their experiences and lessons learned

in addressing corruption and presented strategies in Zagreb during the regional conference. [36] In December 2013, 70 mayors, deputy mayors, members of city councils, NGOs, local government associations and municipalities from phase 1 shared lessons in addressing corruption and presented strategies in Ljubljana during the regional conference. [37] The experience of these municipalities raised interest among other municipalities and led new coalition building between mayors of Zenica (Bosnia and Herzegovina) with Indjija (Serbia), and Vinica (Macedonia) with Indjia (Serbia).

Contribution of WBI: The UPP hosted the ARWs to disseminate the anti-corruption methodology, inspired by the successful experience in treating and preventing corruption in La Paz, Bolivia and initially incubated and field tested by FPDL in collaboration with WBI in the person of Ronald MacLean-Abaroa. The methodology was fine-tuned and scaled-up in South East Europe under the World Bank-Austria Urban Partnership Program. The mayors/public managers from Albania, Bosnia and Herzegovina, Croatia, and Serbia received WBI's capacity support in 2012 in applying the participatory anti-corruption methodology, while Kosovo, Macedonia and Montenegro received capacity support in 2013.

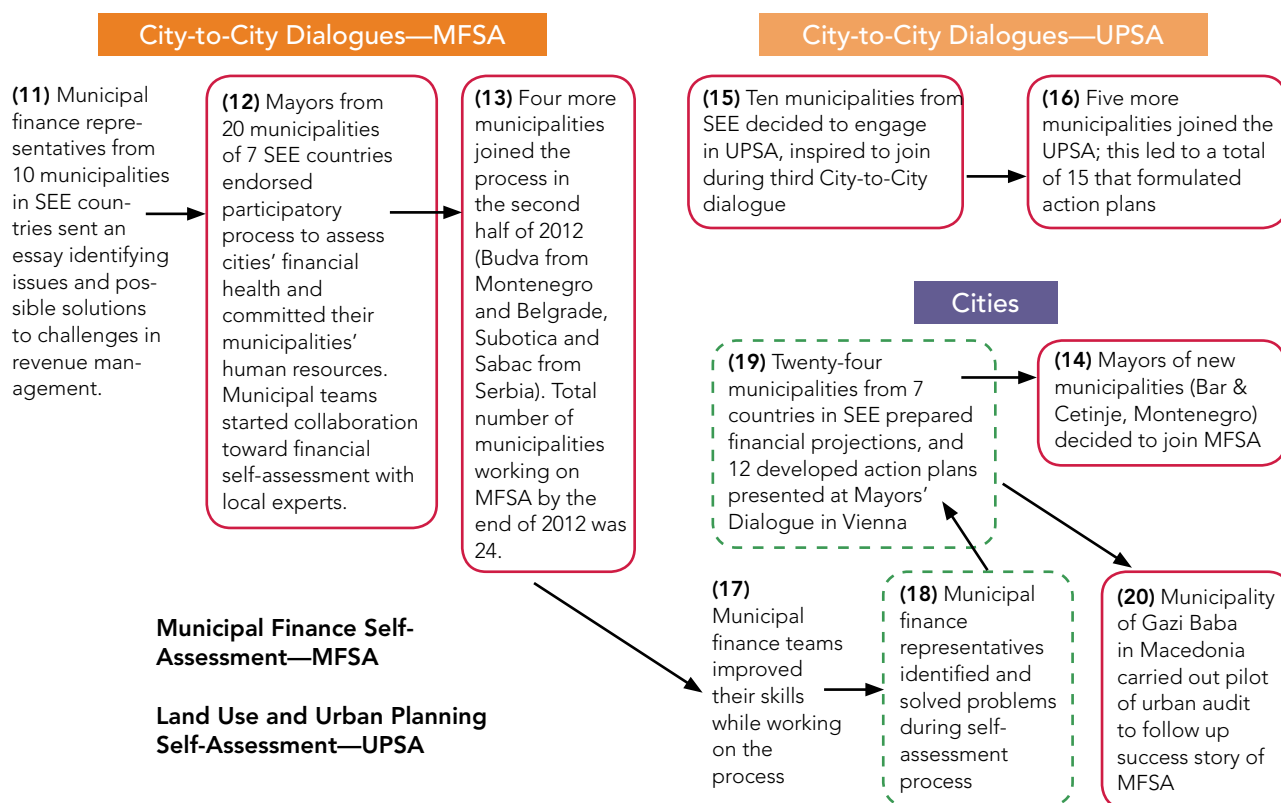
Outcome Area 2: Effective, participatory, and accountable city-owned strategies

Pilot I: Improving Social Accountability and Sustainability Mechanisms in SEE cities (See Figure 2)

In March 2013, 70 participants from five cities of the SEE region gathered to discuss the findings of their Social Accountability Assessments and how to respond, considering good practices from other SEE cities. [5] This regional dialogue offered an opportunity for teams from the five pilot cities⁸ to use the feedback from stakeholders to formulate responsive action plans.

- The city of Skopje, Macedonia proposed an action plan for improving access to information, e-services and improved feedback mechanisms by local government. [6] This plan potentially will improve services at the local level and overcome the information gap that exists in reaching vulnerable groups.
- The municipality of Ilidza (Sarajevo), Bosnia and Herzegovina developed (and is now implement-

Figure 3. Outcomes Showing Improvement in the Viability of the Cities Financially and Spatially



2011	2012	2013
<p>Institutional changes</p> <p>Outcomes related to societal and organizational changes.</p> <ul style="list-style-type: none"> — Political commitment of municipalities to improve their financial health and address urban development barriers - - - Effective strategies and plans in municipalities to address corruption vulnerabilities and urbanization and adaptively solve problems in their context 		<p>Learning/capacity changes</p> <p>Other outcomes related to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions.</p>

EXAMPLE OF INDICATORS MEASURING CHANGES

Specific Objective
Improve the cities' financial health and design efficient strategies within cities to address expanding urbanization.

Regional Outcome
Increased commitment of municipalities to improving their financial health

Indicators

- Number of mayors endorsing participatory process to assess cities' financial health
- Number of municipalities completing MFSA with local experts
- Number of municipalities completing UPSA

ing) the citizen feedback system “Center 72” based on good practice from Indjija, Serbia (System 48). Citizens can report a communal problem at any time, every day, and within 72 hours there will be answer on the status of problem-solving. This system will be used for better management of the municipality and strengthening the partnership between local authority and citizens.[7]

- The city of Pristina, Kosovo put forward a proposal to develop a citizen charter and calendar of activities to promote the charter, which should lead to enhancement of communication and participation of all stakeholders in the city. [8]
- The city of Durres, Albania agreed to set up a website to facilitate direct engagement with residents and municipal departments, which responds to feedback from citizens and other interested groups. [9]. This new website will promote a more collaborative governance approach.
- The city of Banja Luka, Bosnia and Herzegovina agreed to an e-dignity plan for the elderly in the rural area of the city. [10] This initiative is expected to increase information technology literacy among the city’s rural population, strengthen capacities of rural councils, improve information access in rural areas, and enhance rural citizen participation and feedback.

Contribution of WBI: The UPP organized the workshop to help bring the cities together and invited guest speakers from the SEE region and beyond to share their good practices in collaborative government, including: Pula/Croatia (e-governance); Moldova (BOOST), and Indjija, Serbia and Strumica, Macedonia (System 48). The workshop provided an opportunity for the five cities to present findings of their Social Accountability Assessments and showcase their proposed projects developed as part of the assessment to address issues in their respective cities. The local teams and city representatives presented the proposals, the latter having participated in scenario development activities and committed to selected initiatives.

Pilot II: Improving the viability of the cities financially and spatially and effective regional networks for learning around solutions (See Figure 3)

By January 2013, a total of 24 municipalities from seven countries in the SEE region prepared financial projections, and 12 developed Finance Improvement

Action Plans, which were presented at the Mayors’ Dialogue in Vienna. [19] Through the self-assessment process of the MFSA the municipal finance teams identified and solved problems and improved their skills to apply the process. [17,18] The MFSA process helped municipalities analyze their own performances and formulate reform plans, as well as pave the way toward benchmarking and institutionalizing rigorous diagnosis to improve their municipal management practices in a transparent manner. It helped them set in motion processes that require municipal finance departments, urban planners, NGOs, private real estate developers, representatives of ministries of finance, ministries of spatial planning, and local government associations to work together on reforms.

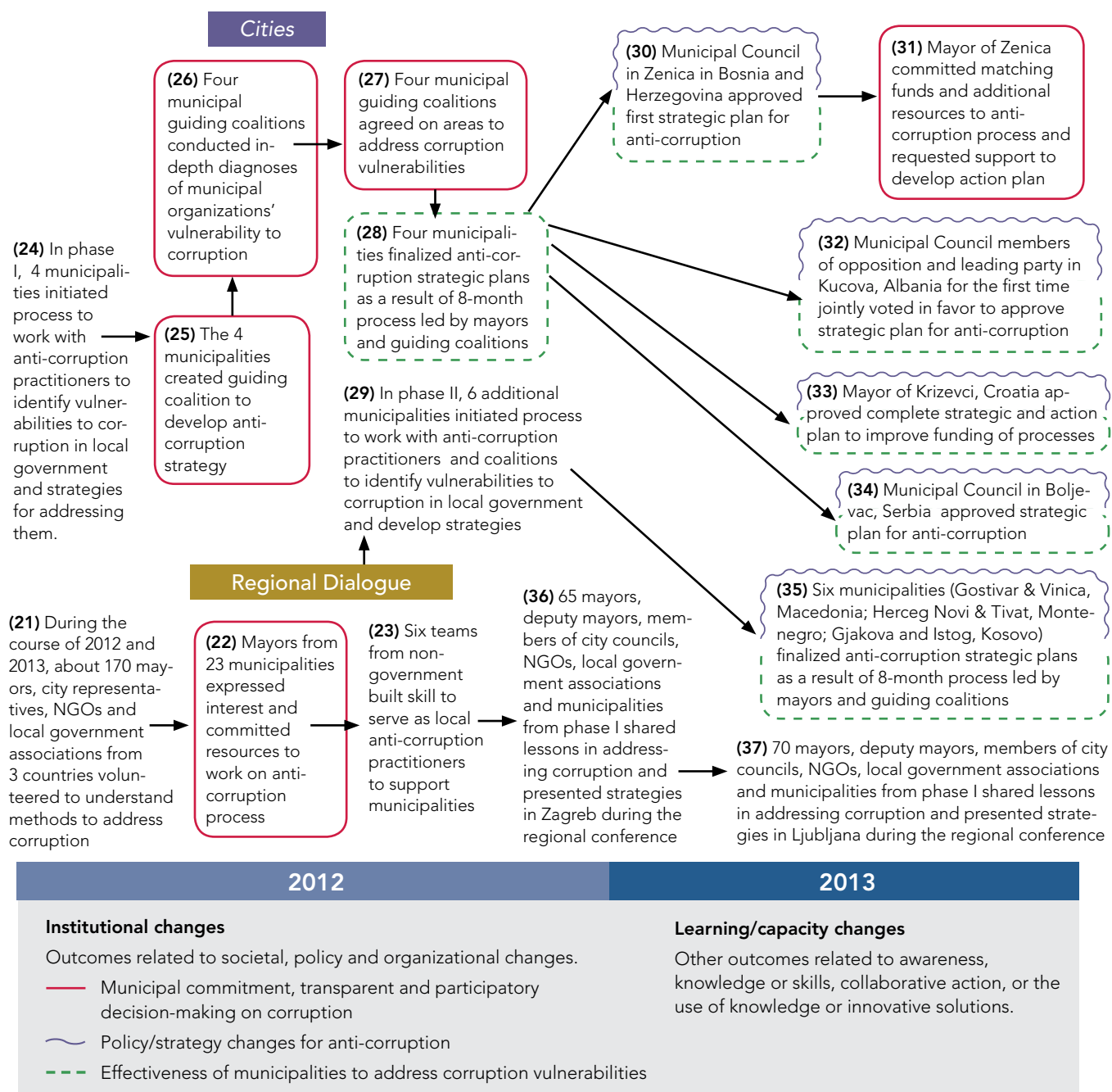
As a follow-up to their success with the MFSA, the municipality of Gazi Baba in Macedonia carried out a pilot of an urban audit to assess their infrastructure and urban services for more efficient development of local self-government. [20] The MFSA tools helped the municipality plan solutions to difficult problems. There was a new understanding that a similar collaborative, diagnostic approach might help the municipality develop the skills, experience, and networks to overcome other key challenges.

Contribution of WBI: The UPP launched the MFSA process and later conducted seven multi-stakeholder City-to-City dialogues in Budapest, Hungary; Mavrovo, Macedonia; Tirana, Albania; Budva, Montenegro; Vienna, Austria, Dubrovnik, Croatia; and Skopje, Macedonia. The City-to-City dialogues were accompanied by discussions on MFSA progress in participating municipalities, and guidance on the way forward. Upon request, UPP offered technical capacity support to the municipalities throughout the process of self-assessment—local experts who provided onsite training and assistance.

Pilot III: Addressing corruption and modernizing local governments (See Figure 4)

In early 2012, six teams of anti-corruption practitioners from non-government successfully finalized a one-year Program for Anti-corruption Practitioners to serve as local practitioners to support municipalities. [23] In phase 1 in 2012, four municipalities—Kucova, Albania; Zenica, Bosnia and Herzegovina; Krizevci, Croatia; and Boljevac, Serbia initiated processes to work with the anti-corruption

Figure 4. Outcomes Showing the Address of Corruption and Modernization of Governments



EXAMPLE OF INDICATORS MEASURING CHANGES

Specific Objective

Address corruption and modernize local governments

Regional Outcome

Increased municipal commitment to transparent, participatory decision-making on corruption

Indicators

For region:

- Number of cities with formally approved strategic plan for anti-corruption
- Number of cities committing funds and additional resources to support anti-corruption process

For municipality:

- Approval of strategic plan for anti-corruption [Yes/No]
- Level of matching funds and/or in-kind resources allocated to anti-corruption process

practitioners to identify vulnerabilities to corruption in local government and strategies for addressing them. [24]

The municipalities signed a memorandum of commitment endorsing collaboration between the municipality and anti-corruption practitioners and created a guiding coalition to develop an anti-corruption strategy. [25] This ensured the personal involvement of the mayor in the process from beginning to end, appointment of up to 60 municipal staff as coalition members responsible for implementing the anti-corruption strategy, and provision of logistical support and space for meetings. It was the first time that the municipalities collaborated with non-government to form an anti-corruption strategy. Then, the coalitions conducted in-depth diagnoses of their municipal organizations' vulnerability to corruption, discussed solutions, and worked on choosing priority issues. [26] Then, the coalitions used the findings to agree on high-priority areas to address corruption vulnerabilities. [27]

The participatory nature of the diagnosis provided for the inclusion of different perspectives and broad agreement on priorities to address. By November 2012, the four municipalities finalized Anti-Corruption Strategic Plans as a result of an eight-month participatory process led by mayors and their guiding coalitions. [28] In phase II, six additional municipalities of Istog and Gjakova, Kosovo; Gostivar and Vinica, Macedonia; and Tivat and Herceg Novi, Montenegro initiated a similar process to identify their vulnerabilities to corruption and strategies to address them. [29]

Leading from phase I, in 2013, the Municipal Council of Zenica in Bosnia and Herzegovina approved its first Strategic Anti-corruption Plan, and the mayor of Zenica committed matching funds as well as municipal staff, space, and logistical support to implement the plan [30, 31] In Kucova, Albania the Municipal Council members of opposition and the leading party for the first time voted jointly to approve the Strategic Anti-corruption Plan for the city. [32] In Krizevci, Croatia, the Mayor approved a more complete strategic plan to fund anti-corruption processes. [33] The Municipal Council in Boljevac, Serbia also approved a new strategic plan for anti-corruption. [34] In November and December 2013 six municipalities (Gostivar & Vinica, Macedonia; Herceg Novi & Tivat, Montenegro; Gjakova and Istog, Kosovo) finalized anti-corruption strategic plans as a

result of 8-month process led by mayors and guiding coalitions. [35]

The process enabled the municipalities to focus on those activities most vulnerable to corruption and with the greatest impact on citizens' quality of life. It also provided for a strategic plan with solutions that are generated and owned within local government drawing on non-government knowledge and input. Zenica's experience demonstrates the important of the mayor owning the plan to ensure resources are mobilized for its implementation.

Contribution of WBI: The Romanian NGO, Partners Foundation for Local Development (FPDL) pioneered the Program for Anti-corruption Practitioners. WBI's UPP contributed the skill-building component for which it invited international experts to share their experiences. At the end of the one-year program, WBI engaged the best anti-corruption practitioner teams to work with willing public leaders/managers selected through competitive processes, as well as to share experience and network.

Throughout 2012, the UPP offered in-depth technical support and coaching/mentoring to the municipalities in the program through the certified local anti-corruption practitioners in the "Cities without Corruption—Cities with Future" Program. UPP supported training and paid the practitioners who supported the municipality throughout the process. In December 2012, the UPP organized a regional conference in Zagreb, Croatia to raise the interest of additional cities in joining the program.

The UPP also introduced an anti-corruption planning methodology that implies a strategic and participatory process conducted inside local governments.⁹ The process follows the strategic planning steps, from diagnosis to elaborating solutions and implementation. It focuses on changing corrupt organizational systems—not only corrupt individuals—and supports mayors to act as institutional reformers rather than judges or prosecutors.

Outcome Area 3: Strengthened Regional Network (See Figure 5)

In December 2011, the Network of Local Authorities (NALAS)⁸ and local government associations from seven SEE countries (Albania, Bosnia and Herzegovina, Croatia, Kosovo, Macedonia, Montenegro and Serbia) began collaboration with local experts to work on collection and management of fiscal information on local governments for a Municipal

SUBSTANTIATION OF OUTCOMES

To verify the accuracy of the outcomes mapped and enrich WBI's understanding of them, an external consultant selected eight and asked 16 people independent of WBI but knowledgeable about the change to review each and record whether they agree with the outcome as described. Fourteen people responded, at least one per outcome. Some excerpts of the substantiators' comments:

"Public finances and the management of public finances (planning, execution and control), represents one of the most important elements in the implementation of the city's strategic plans and programs. Therefore the involvement of Cetinje in the MFSA program is important because it will contribute to the acquisition of new knowledge in the area of better public finances management in all phases. The World Bank Institute provides a full contribution by informing the stakeholders about possibilities of participation in various programs. In that context, the Institute, through adequately providing information to the Old Royal Capital Cetinje, influenced our decision to join the previously mentioned process."

—Aleksandar Bogdanovic, Mayor of Cetinje, Montenegro

"The municipality of Cetinje has been informed about the similar processes in regard to MFSA that has been successfully completed by the Municipality of Budva and the Capital City of Podgorica and they wanted to follow the same path. They are very interested in taking part at the City-to-City dialogue to establish communication with countries from the region. Cetinje believes they would be able to compare the performance data with neighbouring municipalities of Budva and Podgorica and to use the MFSA data to better advocate to the State for the grants program."

—Natasha Obradovic, municipal finance expert, Montenegro

"I fully agree that the series of City-to-City dialogue series were important, but equally important was (i) the dedicated support from the local expert fully understanding the tool and its applicability; and (ii) commitment from the municipal staff. The selection of participating municipalities also deserves attention."

—Bjorn Phillip, Senior Urban Specialist, World Bank

"The MFSA provides us with a clear and integrated picture about our financial situation and budget structure and measures we have to undertake as soon as possible to keep financial stability and sustainability of the local economic development of MGB. Also, the MFSA tool gives a more transparent and integrated management approach that could use all members of the municipality top management, which was not a case before. It breaks the sector's working barriers, improving the team approach, and most important, increases the responsibility of all key players related to the financial stability of the LSG in structuring their sector programs within the budget structure. It is the first step in providing anti-corruptive behavior of all municipal staff and management. Previously this was obligation only of the urban department staff, which was a very risky approach."

—Sasho Trajkov, Head of Local Economic Development, Gazi Baba Municipality (city of Skopje), Macedonia

"This is new and unique experience for them [municipalities], giving them the chance to be active players in the diagnosis/identification and the solution development phases, tailored in line with their specific LG needs and challenges. Working with municipalities on the ground gives opportunities for in-depth situation analysis that corresponds to the actual needs of the municipalities concerned. Bearing in mind the complexity of the undertaking, an in-depth capacity building with embedded training has been also envisaged to increase knowledge and skills on leadership, organization and change management—all important pillars for more efficient and effective implementation of the efforts/strategies to fight corruption."

—Ljupka Simonoska, local anti-corruption practitioner

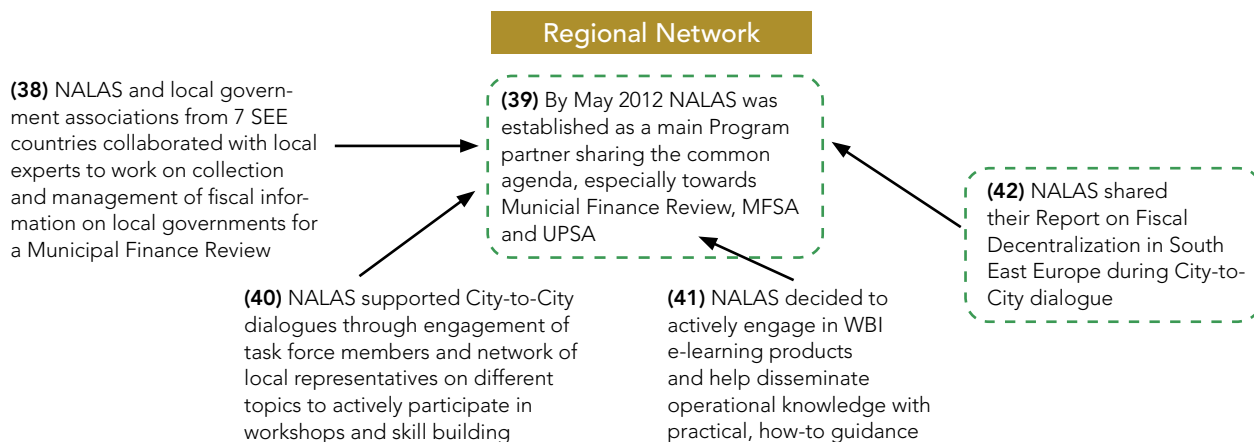
"Apart from financial commitment, the mayor of Zenica has shown to be visionary on curing and preventing corruption, understanding its severe implications if not dealt with, as well as seeing and seizing an opportunity to deal with it within the project Cities without Corruption. In our encounters he would always underline the wish to create a sustainable system, which would stay in place no matter who the mayor is. He was also pleased with the used approach and methodology. Apart from the mayor's significance in the process I would like to mention the importance of the key senior staff, which not only committed at the political level, but at the operational level, making the implementation successful and smooth."

—Emina Abrahamsdotter, local anti-corruption practitioner

"After the Skoplje Workshop, the municipality of Ilidza adopted some changes to their action plan to incorporate good practices they heard about at the workshop. The Sarajevo Coordinator and CPI Foundation contacted the municipality representatives and proposed developing a project proposal for this changed action plan (now titled Center 72) and to apply for the community boost challenge. The CPI Foundation and the municipality developed the community boost proposal and were selected as a finalist and also participated in the Code Spint, which was part of the aforementioned challenge. More information about the improved action plan is at <http://communityboost.org/node/237>."

—Elma Demir, local team coordinator, Ilidza, Sarajevo

Figure 5. Outcomes Showing Effective Regional Networks for Learning Around Solutions



2011	2012	2013
Institutional changes Outcomes related to organizational changes. - - - Effectiveness of NALAS to support municipal learning and communicate information to guide reforms	Learning/capacity changes Other outcomes related to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions.	

EXAMPLE OF INDICATORS MEASURING CHANGES

Specific Objective
 Promote effective regional networks for learning around solutions and interagency communication and collaboration

Regional Outcome
 Increased collaboration among local municipal authorities, local government associations, and local experts on the collection and management of fiscal information on local governments

Indicators

- Number of local government associations working with NALAS and local experts to conduct a Municipal Finance Review
- Number of City-to-City dialogues supported by NALAS

Finance Review (MFR). [38] This collaboration to conduct the MFR was significant in that it had not happened previously.

The MFR had two main objectives: to support improved policymaking at the national level by equipping local government associations with disaggregated municipal finance data to assist in the fiscal planning and budget negotiations process; and to assist in increasing local financial management and service delivery performance by identifying options for efficiency improvement and comparison of local budget expenditures and revenues. The process was expected to improve understanding of fiscal information and its use in the local governments, and improve the quality and consistency of key municipal finance data for effective evidence-based policymaking.

By May 2012, NALAS established itself as a main WB program partner sharing the common agenda, especially toward MFR, MFSA, and UPSA. [39] This partnership is important given NALAS’ regional agenda to work on knowledge management to develop and promote decentralization in the SEE region, and that NALAS finds tools such as MFR, MFSA, and UPSA useful to support existing efforts.

NALAS started to support City-to-City dialogues through engaging task force members and networks of local representatives on different topics to participate in workshops and skill building [40]. It decided to engage in e-learning products to help disseminate operational knowledge with practical, how-to guidance. [41] During the City-to-City dialogue on “Modernizing Local Public Expenditure Management” held in May 2012 in Mavrovo, Macedonia,

NALAS presented their Report on Fiscal Decentralization in South East Europe. [42] The report gave an overview of expenditures in the countries participating in the City-to-City dialogues. This reinforced NALAS' regional role in improving municipal finances and facilitating the use of the MFR.

Contribution of WBI: The UPP engaged NALAS Task Force members on fiscal decentralization in the MFSA and MFR processes as well as members of the NALAS Secretariat. They invited them to learning events and fostered knowledge sharing on the regional level. In October 2012, WBI provided funding to NALAS to support the initiative, tasked among other things with managing the aggregate data at the regional level, promoting the program, and contributing to daily activities. Parallel to the first City-to-City dialogue and the MFSA launch, UPP sponsored eight local experts as technical support to the MFR process and assessed available information on municipal finances.

CONCLUSION

The outcomes achieved so far have helped advance specific development objectives:

- The self-assessment and innovative diagnostic tools addressed the objective to improve cities' financial health and design efficient policies within cities to address expanding urbanization. It did so by helping participating municipalities create a clearer picture of their financial situation, analyze their performance and formulate reform plans, as well as pave the way toward benchmarking and institutionalization of diagnosis to improve municipal management practices in a transparent way. It helped them set in motion processes that require people from different agencies to work together and pave the way to reform.
 - The Urban Governance and Anti-corruption Initiative addressed the objective to devise effective, responsive, and participatory city-owned strategies to address problems of corruption, improve transparency and accountability. It did so by supporting cities to create ownership when working on diagnoses and toward strategies to address corruption, improving collaboration among departments within the municipality and sharing experiences through regional conferences.
- Mayor of Zenica, Bosnia and Herzegovina: "After the war, donors offered all types of projects; some

were humiliating. They did not understand the context and offered solutions that were ready-made. But this program has a completely different approach—this was evident from the start. ... In this case they offered a methodology: when you apply this you get an assessment, a self-assessment. You find your own way toward a solution. You feel you are creating your own society. You know if people are ready for change. You know the people."

- Social accountability increased citizen engagement in pilot municipalities toward joint solutions (proposals elaborated together with municipal staff, citizens, CSOs), and learning from exchange of experiences from others in the region who had some of the systems in place.

In the future, change agents will still need to address some problems, be they new or leftover, such as strengthening dialogue between local communities, national governments and NGOs with the business sector and promoting sustainable investments and corporate engagement; developing the skills of local and national officials; improving the capacity of public administrations to strengthen the rule of law and reduce corruption; and dealing with frequent shifts in political structure.

NALAS and local government associations are key to catalyzing change and sensitizing local governments to the existence and use of relevant tools. The UPP is working toward enabling and strengthening their capacities as well as the capacities of local experts and anti-corruption practitioners to help with scale up and sustainability.

Also, the expanding interest of other municipalities showed there might be interest in institutionalizing the tools at the national level, for instance, the MFSA, anti-corruption methodology, urban audit.

NEXT STEPS

There are several strategies in place to build on outcomes achieved so far that could help bring this process to scale:

- Organize regional and national meetings and conduct presentations on innovative diagnostic tools during assemblies of local government associations, NEXPO, to the Presidency, committees, etc. in order to foster city peer learning and connectivity.
- Provide further guidance and instructions for NALAS and local government associations involved in eLearning development and

dissemination since this is a fairly new way of knowledge transfer in SEE.

- Strengthen dialogue between local governments, national associations of local authorities, and ministries, which are key to catalyzing change.

In addition, new outcomes are expected over the coming 1–2 years. In the area of diagnostic tools, WB team will assist (through additional Austrian funding, WB lending operations, or EU program) the scale up and institutionalization of MFSA and urban audits. Knowledge products will be produced and disseminated at the Mayors Symposium in February 2014 in Vienna, Austria (City-to-City proceedings; MFSA brochure; urban audit template customized for SEE region)

In the area of anti-corruption, three municipalities (Kucova, Albania; Zenica, Bosnia and Herzegovina; Boljevac, Serbia) will elaborate detailed action plans by the end of January 2014.

In the area of social accountability, the municipality of Ilidza (Sarajevo) is implementing the citizen feedback program “Center 72,” with another municipality also planning to implement this system. ■

NOTES

¹ Mapping outcomes—and related outputs and milestones—can help us learn from change processes that occur during program delivery that often seem complex and opaque because they involve multiple actors and address large development problems. An outcome is what each social actor (or change agent) did, or is doing, that reflects a significant change in their behavior, relationships, activities, actions, policies or practice. The program may influence these changes, directly or indirectly, partially or wholly, intended or not. Outcomes are identified at two levels in relation to the goal: institutional changes relate to societal, policy and organizational changes; and learning/capacity changes relate to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions. These levels are based on the Capacity Development and Results Framework. The framework provides a systematic yet flexible approach to designing capacity development strategies and programs, monitoring and adaptively managing interventions, and evaluating and learning from their results.

² Outcome harvesting is a practical assessment tool from the outcome mapping community of practice for real-time monitoring and evidence gathering from complex development processes that involve multiple stakeholders. It is based on a similar concept of locally driven change from the Capacity Development and Results Framework. The tool was customized to gather information on outcomes—and related outputs and milestones—to learn from what changed, for whom, when and where, the significance of the change and how the program contributed.

³ The numbers in brackets correspond to the outcomes in Figures 2–5. The text that usually follows each outcome refers to its significance. The process of change the outcomes represent is seen in Figure 1.

⁴ Change agents are leaders, groups or organizations from government or non-state that drive change.

⁵ Change strategy refers to how change happened to advance progress toward the development objectives—the development problems addressed, types of outcomes achieved, WBI contributions, and partners involved. A change strategy may include different types of change processes or outcome areas depending on the complexity of the multi-actor institutional changes involved in a program.

⁶ Municipalities involved in the MFSA during 2011–2013: Berat, Kamza, Shkodra, Tirana (Albania); Prijedor, Novo Sarajevo, Banja Luka (Bosnia and Herzegovina); Crikvenica, Rijeka (Croatia); Istog, Peja, Suhareke, Gjakova (Kosovo); Bogovinje, Gostivar, Gazi Baba, Strumica (Macedonia); Bijelo Polje, Budva, Niksic, Bar, Cetinje, Podgorica (Montenegro); Sabac, Belgrade, Subotica (Serbia).

⁷ Municipalities involved in the UPSA during 2012–2013: Berat (Albania); Kanton Sarajevo, Banja Luka (Bosnia and Herzegovina); Tkon, Rijeka (Croatia); Peja, Istog (Kosovo); Gazi Baba, Gostivar, Bitola, Tetovo (Macedonia); Tivat (Montenegro) Belgrade, Nis, Novi Sad (Serbia).

⁸ Municipal representatives, NGOs, and business representatives from five pilot cities in SEE: Banja Luka and Sarajevo, Bosnia and Herzegovina; Durres, Albania; Pristina, Kosovo; and Skopje, Macedonia. In addition, there were others from the SEE region and beyond: Pula, Croatia; Indjija, Serbia; Moldova, representatives from local government associations, and from NALAS (described below), among others.

⁹ The methodology was initially developed by Partners Foundation for Local Development, with inputs from WBI, and later refined and scaled up in South East Europe with UPP support.

¹⁰ NALAS is a network of associations of local authorities of South East Europe. The network brings together 15 associations that represent about 9,000 local authorities, directly elected by more than 80 million citizens of this region. NALAS promotes decentralization in cooperation with central governments and international organizations, considering local self-government a key issue in the current transition affecting various countries in South East Europe. NALAS builds partnerships to contribute to the reconciliation and stabilization process within the region and henceforth contributes to European integration of the whole region.

FOR MORE INFORMATION

Project Contacts

From the WBI Urban Practice team:
Sabine Palmreuther, spalmreuther@worldbank.org
Tamara Nikolic, tnikolic@worldbank.org

Email

WBI Capacity Development and Results team at
capacity4change@worldbank.org

Website

www.worldbank.org/capacity

© Copyright 2014 World Bank

ACKNOWLEDGMENTS

Thanks to Tamara Nikolic and Sabine Palmreuther of the WBI Urban Practice team involved in the mapping exercise.

Thanks to our partners, from the National Associations of Local Governments, NALAS, NGOs, anti-corruption practitioners, local experts and our clients from all seven countries, whose engagement made this program a success.

WBI's Capacity Development and Results team led the outcome mapping; Jenny Gold coordinated the exercise with support from Ricardo Wilson-Grau. Sharon Fisher provided editing and design. Dawn Roberts provided support. Samuel Otoo provided overall guidance.



Strengthening Implementation of Legislation on Access to Information across Latin America

Since 2011, the founding and rapid development of a Latin America network of public agencies responsible for overseeing access to information (ATI) has provided its members with the knowledge and tools to better implement legislation that improves accountability in service delivery for the region's citizens. The improved capacity of these oversight bodies was borne out of a development initiative begun by Chile's ATI oversight body and supported by the WBI's Access to Information Program.

In January–March 2013, WBI mapped the outcomes¹ of this initiative (Figure 1) using a customized outcome mapping tool². WBI team members identified and formulated the outcomes, presenting an explanation of their significance and how WBI

Development Objective

Improve service delivery for citizens across Latin America.

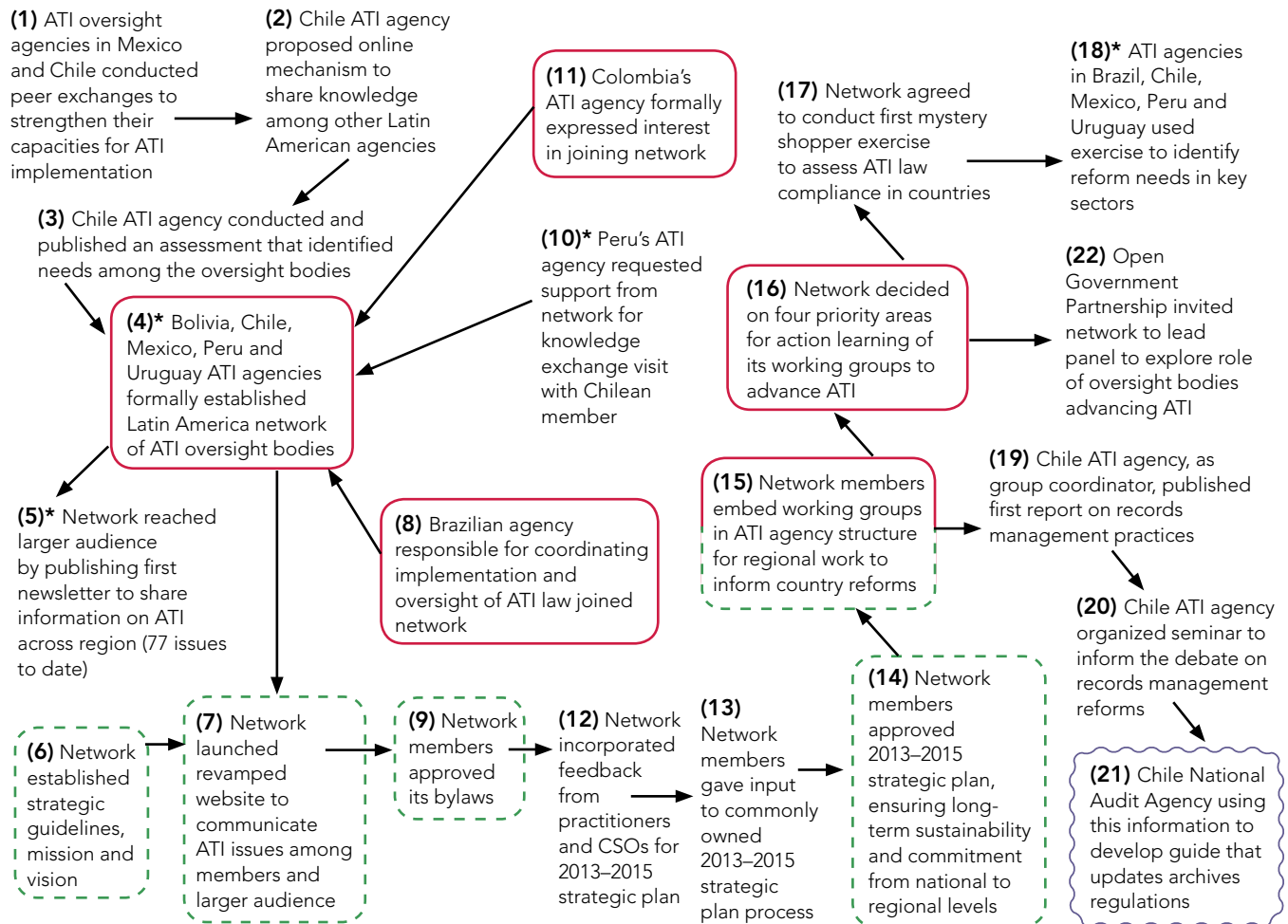
Problem

Rising demands on public services—combined with limited information around policies and outcomes—has led many Latin American countries to adopt access to information legislation and create oversight agencies to guarantee citizens' right to information. However, in early stages these agencies have limited experience to implement, monitor and enforce these laws.

Specific Objectives

Increase effectiveness of access to information oversight bodies to advance transparency and access in the region, which will contribute to greater accountability in service delivery.

Figure 1. Map of outcomes showing changes linked and built over a three-year timeframe



2011	2012	2013
<p>Institutional changes</p> <p>Outcomes related to societal, policy and organizational changes</p> <ul style="list-style-type: none"> — Commitment, participatory priority setting, transparency — Guidance to implement ATI policy — Effectiveness of ATI network and agencies 	<p>Learning/capacity changes</p> <p>Other outcomes related to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions.</p> <p>* Outcomes selected for substantiation; see sidebar.</p>	

contributed—directly or indirectly, intentionally or not—by catalyzing or empowering the change agents to take new actions. Then, roughly 20% of the outcomes were independently substantiated for credibility in this mapping exercise.

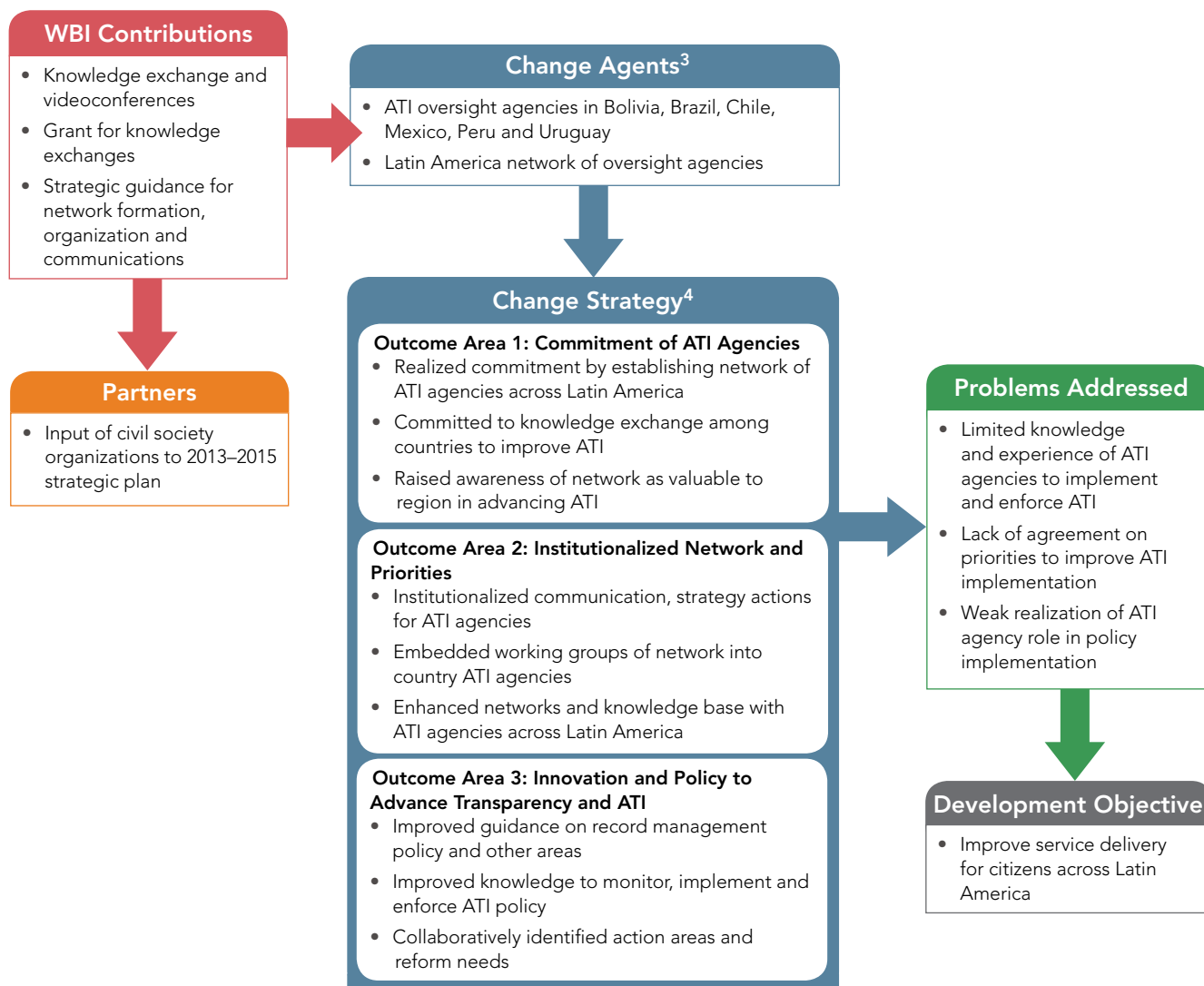
BACKGROUND

Across Latin America during the last decade, there has been a rising demand for public services combined with limited information about policies and service delivery. This has led many countries to adopt ATI legislation and create oversight bodies

to guarantee citizens' right to information. But given the swift adoption of the legislation in the region, a gap between the regulatory framework and the capacity of the countries to respond and implement these laws emerged. The new ATI oversight bodies, or already existing ones with new responsibilities, had limited experience in the implementation, oversight and enforcement of ATI laws.

WBI facilitated bilateral peer exchanges through videoconferences in the early days of Chile's ATI oversight body, founded in 2009. Through an Institutional Development Fund (IDF) grant—in which WBI

Figure 2. Change strategy showing how change happened to advance progress toward goal



worked closely with World Bank operations—WBI provided support to Chile’s ATI oversight body to develop a regional exchange platform that evolved into a regional network of ATI agencies. In less than three years, this network, with WBI’s support along with other partners, has made considerable progress in strengthening the capacity of its member agencies around ATI implementation.

The process of change can be seen in three streams of outcomes (Figure 2) that are detailed in the following sections. These outcomes were analyzed and classified according to the types of change they achieved, then grouped based on how they connected and built on each other to affect change.

OUTCOME AREAS

Outcome Area 1: Commitment of ATI Agencies

In early 2011, the Chilean ATI oversight body, Consejo para la Transparencia (CPLT), and its Mexican homologue, the Instituto Federal de Acceso a la Información y Protección de Datos of Mexico, conducted peer exchanges to learn about what might work to strengthen their agencies’ abilities to meet their ATI implementation and oversight responsibilities. [1]⁵ The CPLT also reached out to Peru’s Defensoría del Pueblo, Bolivia’s Ministerio de Transparencia Institucional y Lucha contra la Corrupción, Uruguay’s Unidad de Acceso a la Información Pública and Canada’s Information Commission with

a proposal that they join efforts through an online platform. [2] These initial outcomes were important because after the adoption of ATI legislation in the region, ATI oversight bodies had relatively recent experience implementing these laws, and there was limited knowledge sharing among peers.

WBI encouraged this effort by arranging for a World Bank IDF grant to CPLT to develop a regional exchange platform that supported videoconference and face-to-face working meetings among these organizations.

In March and early April 2011, CPLT conducted and published a capacity needs assessment among the six oversight bodies that identified priorities, needs and areas of collaboration. [3] A regional network was seen as a mechanism to facilitate peer exchanges and knowledge sharing tools, learn about what worked elsewhere and identify possible solutions to strengthen ATI implementation in individual countries. On April 19, 2011, Bolivia, Chile, Mexico, Peru and Uruguay established the Red de Transparencia y Acceso a la Información (RTA) network to build the operational and management capacity of ATI oversight bodies in the region. [4]

WBI provided advice on the development of the assessment tool and shared information on networking models used by other regional initiatives.

In April 2012, although Bolivia's participation in RTA was limited, the Contraloría General de la Unión, the Brazilian government agency responsible for coordinating the implementation and oversight of ATI law, joined the network. [8] As the largest country and economy in Latin America, Brazil's membership in RTA gave greater weight and leverage to the network.

Also in April 2012, Peru's ATI oversight body deepened its collaboration with Chile through a knowledge exchange; in October 2012 a report was published on the experience of both oversight bodies. [10] For a long time Mexico's ATI oversight body was the sole source for sharing ATI knowledge in Latin America, but by 2012 Chile's agency had positioned itself as another source of knowledge for peers, which lead to a richer knowledge base in the region. In November 2012, Colombia's Secretaría de Transparencia formally expressed interest in joining RTA, indicating more growing interest in the network. [11]

WBI coordinated with the RTA network and other World Bank teams to arrange for funding for Brazilian government representatives to attend a conference on ATI in Chile and participate in RTA meetings. Likewise, funding was arranged for a meeting of Peru's and Chile's oversight bodies in Peru. By enhancing RTA's role as regional interlocutor for ATI oversight bodies in the region, WBI contributed to strengthening its image and value proposition.

In terms of commitment, the establishment in just over a year of a growing network of ATI agencies across Latin America had focused on knowledge exchange among countries to improve ATI. During the process they raised awareness in the region for advancing ATI and positioned RTA as a leading network on ATI issues.

Outcome Area 2: Institutionalized Network and Priorities

In July 2011, the RTA network began publishing a biweekly e-bulletin, the first of its kind. [5] Then in September, they launched a revamped website, in which the oversight bodies post information and reports relevant to their countries, various news articles and information about ATI meetings. [7] In the past some ATI information was shared among a small group, but the website and newsletter are communication tools aimed to regularly disseminate diverse information to a larger audience. In early 2013, the newsletter had 134 subscribers who also disseminate among their local networks.

WBI advised and shared information to include in the newsletter and provided input on the content and design of the website.

At their second meeting in September 2011, the five members of the RTA network agreed on their mission, vision and strategic guidelines and organized working groups. [6] This formalization of the network was vital for RTA's proposed role as an interlocutor on ATI vis-à-vis other regional bodies such as civil society networks, multi-lateral agencies and the international community. In April 2012, the five network members approved statutes and selected Mexico as chair and Chile as executive secretary. [9] Chile's ATI agency developed the network's strategic plan in July in consultation with peers and civil society practitioners in the five countries. [12]

WBI provided strategic guidance through a consultant and facilitated videoconferences.

SUBSTANTIATION OF OUTCOMES

To verify the accuracy of the outcomes and enrich WBI's understanding of them, the external consultant selected four outcomes [4, 5, 10 and 18] and asked 11 people who are independent of WBI but knowledgeable about the change to review each and record whether they agree with the outcome as described. 10 people responded. All 10 "fully agreed" with the descriptions as formulated; 1 substantiator "partially agreed" with the significance of an outcome and two substantiators "partially agreed" with WBI's contribution to two other outcomes. Excerpts of the substantiators' comments on the outcomes achieved:

"The RTA is becoming a reality because it speaks to our aspiration to develop and fully explore the principles of transparency and the right to access information in our respective countries, reflecting our shared interest in generating a learning process around specific network issues and operations."

—Eduardo Gonzalez-Yañez, *Director for Operations and Systems, Consejo para la Transparencia Chile*

"It's important to note that cooperation among the members of the ATI network contributes directly to the work of persuading and overseeing the state administration, as the Office of the Ombudsman does in Peru."

—Fernando Castañeda, *Deputy on Constitutional Affairs Defensoría del Pueblo de Peru*

"In Mexico, the IFAI has found the 'mystery shopper' technique to be very useful since the start of its operations as the agency responsible for upholding the Transparency Act, and to this day it continues to emphasize using the technique as a mechanism for evaluating the attention given to the requests from the public and application of the process."

—Gabriela Segovia, *General Director for Access to Information Policies Coordination, Instituto Federal de Acceso a la Información y Protección de Datos of Mexico*

"WBI not only shared information on the various network models but also participated actively in their creation—dialoguing with the various stakeholders, offering input and advice on the analysis, which defined the network's scope, and consistently supporting the network in its early stages. It not only arranged for an IDF grant; it gave totally 'demand-driven' support, consistently fostering its sustainability above and beyond the assistance offered by the Bank."

—Ana Bellver, *Senior Public Sector Specialist, World Bank*

In August 2012, Chile's ATI agency conducted a survey among network members and other stakeholders to inform the implementation of RTA's 2013–2015 strategic plan [13], enhancing RTA's legitimacy with its stakeholders. In September, the RTA network approved the 2013–2015 strategic plan with the overarching objective of strengthening the position of the network at the regional level. [14] By defining clear objectives and a three-year strategic joint work program, the network bolstered its long-term sustainability and reinforced commitment from the national to the regional levels.

WBI contributed to the design of the survey. WBI contributed indirectly to results of the RTA network process by providing guidance on working groups, resources to hold face-to-face and videoconference meetings and facilitation of these meetings.

Building the RTA network represented progress in institutionalizing communication, strategy and actions for the six ATI agencies. The individual agencies have gone beyond participating in the

network—they have embedded working groups of the network into their own agencies and are thus becoming national networks. [15]

Outcome Area 3: Innovation and Policy to Advance Transparency and ATI

Throughout 2012, the RTA network continued to consolidate its operation and reach outwards. The 2013–2015 strategic plan included concrete projects for the four thematic working groups with responsibility for documenting and disseminating good practices on records management, gathering jurisprudence criteria on ATI, promoting knowledge on good practices and lessons learned on capacity building and developing ATI indicators. [16]

In October 2012, Chile's agency, as coordinator of the network, published the first report on records management practices of the five RTA members that also included information from similar bodies in Australia, France and the United Kingdom. [19] Chile's agency subsequently used the information to

organize a seminar that proposed reforms of records management. [20] Informed by this report, Chile's National Audit Agency is developing a guide that updates existent archives regulations. And the Minister Secretary-General will set up a working group to promote legal improvements to the archives regulations. [21]

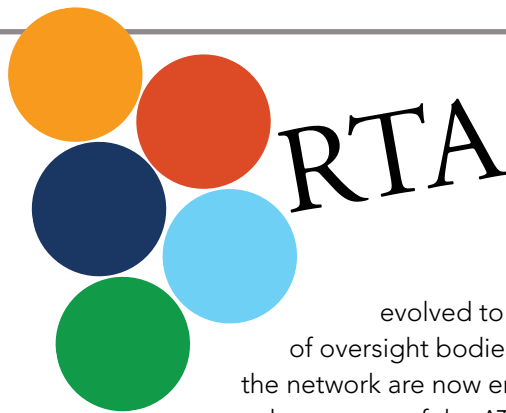
WBI facilitated an IDF grant that provided support for the initial stages of the records management report.

Between December 2012 and February 2013, the five ATI oversight bodies of Brazil, Chile, Mexico, Peru and Uruguay conducted a mystery shopper exercise to test compliance regarding information access in health, education, taxes and housing. The exercise aimed to assess obstacles, compliance with deadlines and the accuracy of information disclosed by government agencies. [17,18] Implementing a common ATI measuring tool across the region would generate indicators that identify gaps and weaknesses at the national level of the different targeted sectors. At the same time, other countries that performed better in those areas could collaborate with peers to address those gaps and increase the capacity of agencies to respond.

WBI supported the RTA network by facilitating two sessions through videoconferences to discuss methodology and protocols for the mystery shopper exercise.

Finally, the regional organizers of the Open Government Partnership Regional Meeting held in Santiago, Chile on January 2013 invited the RTA network to lead a panel to explore the role of oversight bodies advancing ATI within the partnership. [22] RTA's participation permitted ATI oversight bodies to showcase their role within the Open Government Partnership agenda and the implementation of its action plans. The RTA network is being recognized as a valuable interlocutor in the region to advance ATI, playing a key role among other stakeholders in various agendas.

In sum, in 2012 the RTA network members collaboratively identified new action areas and reform needs. Continuing into 2013, they began to advise others on areas such as records management policy and experimented with new ways for the region to monitor, implement and enforce ATI policy.



CONCLUSION

The RTA was originally envisioned to create an online knowledge sharing mechanism and evolved to become a regional network of oversight bodies. The activities carried by the network are now embedded within the internal structures of the ATI oversight bodies, which ensures continuity and further development. Also, by establishing thematic working groups, the RTA goes one step ahead—finding innovative solutions that address knowledge gaps and implementation weaknesses through products tailored to support ATI in the region.

The RTA has grown to become an emerging independent network governed by its own members. It builds the capacity of its members by facilitating dialogue, collaboration and knowledge exchanges among peers. The initial assessment helped to align members' expectations, assess comparative strengths and weaknesses and identify shared interest and concern for undertaking joint work. The participatory process adopted for the RTA network's institutionalization and planning process proved beneficial for generating ownership of RTA's activities by all members.

One of the most important lessons learned in this initiative was the importance of sharing knowledge and experience to design collaborative regional products that could help ATI implementation at the national level—this has attracted the interest of other oversight institutions in the region. The RTA network demonstrates how regional support can impact national efforts.

Further, the RTA has not only positioned itself in the transparency agenda at the national and regional level, but it has also become a model to advance transparency and ATI in other agendas such as Open Government Partnership. The network is institutionalized in the member countries for knowledge sharing and access to peer knowledge for ATI authorities and staff. Further, the network will be carrying various activities throughout 2013 that go beyond the initial support provided by the World Bank, which proves the network has built its capacity for continuing this initiative independently.

NEXT STEPS

A World Bank IDF grant supported the RTA network with operation costs and some product costs. Since the grant has come to an end the network needs to develop a funding strategy to ensure sustainability. It has taken initial steps such as a membership-fee requirement established by its bylaws, and Chile's ATI agency, as executive secretary, has agreed to cover operation costs for the next three years. The network still needs to develop a funding strategy that will help guarantee long-term sustainability. Another challenge for the network is the need to define an outreach strategy for oversight bodies in the region to become members. An emerging issue that the network needs to further explore is how to collaborate with other horizontal accountability mechanisms to strengthen the overall accountability framework.

In its last meeting, the RTA approved its 2013–2015 strategic plan, which included feedback from members and civil society organizations and reflected the network's plan to scale up not only by identifying short-term projects but also by refining long-term strategy. The strategic plan builds upon what has already been achieved and sets higher goals to advance transparency and ATI, including expanding the network to increase membership,

reaching larger audiences by sharing products widely and increasing visibility to the network's initiatives and collaborating with regional civil society networks.

As a result of the strategic plan, RTA members foresee the elaboration of a common transparency indicator based on the results of the mystery shopper exercise and the development of a training approach for oversight bodies based on best practices. Moreover, the RTA has gained greater weight with relation to other stakeholders, and it is expected that it will play a key role in advancing transparency and ATI not only in the region but also at the international level.

It is also expected that interest from peers in the region to join the network will grow as the RTA continues to gain experience and develop products on ATI implementation. The network has developed working relations with international initiatives and organizations, incorporating new activities related to the Organization of American States' model law on ATI, contributing to the Open Government Partnership by undertaking an assessment of ATI initiatives within the partnership's country action plans and exploring potential opportunities for collaborating with civil society. ■

FOR MORE INFORMATION

Project Contact

Marcos Mendiburu, WBI Social Accountability practice,
mmendiburu@worldbank.org

Email

WBI Capacity Development and Results team at capacity4change@worldbank.org

Website

www.worldbank.org/capacity

© Copyright 2013 World Bank

WBI's Capacity Development and Results team led the outcome mapping; Jenny Gold coordinated the exercise with support from Ricardo Wilson-Grau. Sharon Fisher provided editorial and design services. Samuel Otoo provided overall guidance.

ACKNOWLEDGMENTS

Thanks to Marcos Mendiburu, Luis Esquivel and Elsa Peraldi, WBI Social Accountability practice, and team members involved in the project and mapping exercise.

Thanks to:

Ana Bellver, Senior Public Sector Specialist, World Bank

Valeria Bolla, Communications Associate, World Bank

Fernando Castañeda, Deputy on Constitutional Affairs Defensoría del Pueblo de Peru

Eolo Diaz-Tendero, Director for Studies, Consejo para la Transparencia Chile

Mariana Gatti, Uruguay Legal Advisor, Agencia para el Desarrollo del de Gestión Electrónica, la Sociedad de la Información y del Conocimiento

Eduardo Gonzalez-Yañez, Director for Operations and Systems, Consejo la Transparencia Chile

Katerina Kliwadenko, Coordinator RTA, Consejo para la Transparencia Chile

Gabriela Segovia, General Director for Access to Information Policies Coordination, Instituto Federal de Acceso a la Información y Protección de Datos de Mexico

Guadalupe Toscano, Public Sector Management Specialist, World Bank

Rosario Vasquez, International Affairs Director on Access to Information, Instituto Federal de Acceso a la Información y Protección de Datos of Mexico

NOTES

¹ Mapping outcomes—and related outputs and milestones—can help us learn from change processes that occur during program delivery that often seem complex and opaque because they involve multiple actors and address large development problems. An outcome is what each social actor (or change agent) did, or is doing, that reflects a significant change in their behavior, relationships, activities, actions, policies or practice. The program may influence these changes, directly or indirectly, partially or wholly, intended or not. Outcomes are identified at two levels in relation to the goal: institutional changes relate to societal, policy and organizational changes; and learning/capacity changes relate to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions. These levels are based on the Capacity Development and Results Framework. The framework provides a systematic yet flexible approach to designing capacity development strategies and programs, monitoring and adaptively managing interventions, and evaluating and learning from their results.

² Outcome harvesting is a practical assessment tool from the outcome mapping community of practice. It can be used for real-time monitoring and evidence gathering from complex development processes that involve multiple stakeholders. It is based on a similar concept of locally driven change from the Capacity Development and Results Framework. The tool was customized to gather information on outcomes—and related outputs and milestones—to learn from what changed, for whom, when and where, the significance of the change and how the program contributed to each change.

³ Change agents are leaders, groups or organizations from government or non-state that drive change..

⁴ Change strategy refers to how change happened to advance progress toward the development objectives—the development problems addressed, types of outcomes achieved, WBI contributions, and partners involved. A change strategy may include different types of change processes or outcome areas depending on the complexity of the multi-actor institutional changes involved in a program.

⁵ The numbers in brackets correspond to the outcomes in Figure 1. The text that usually follows each outcome refers to its significance. The process of change the outcomes represent is seen in Figure 2.



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

Since 2009, the use of eLearning by the government of China has provided knowledge to tens of thousands of city officials and practitioners across the country on better delivering and managing public services. The scaling up of the capacity of these public officials was borne out of a development initiative led by the Chinese Academy of Governance and supported by WBI's Urban Practice and e-Institute for Development.

In January–March 2013, WBI mapped the outcomes¹ of this initiative (Figure 1) using a customized outcome mapping tool². WBI team members identified and formulated outcomes, presenting an

Development Objective

Improve public service delivery in China's rapidly growing urban areas, especially in secondary cities and lagging regions.

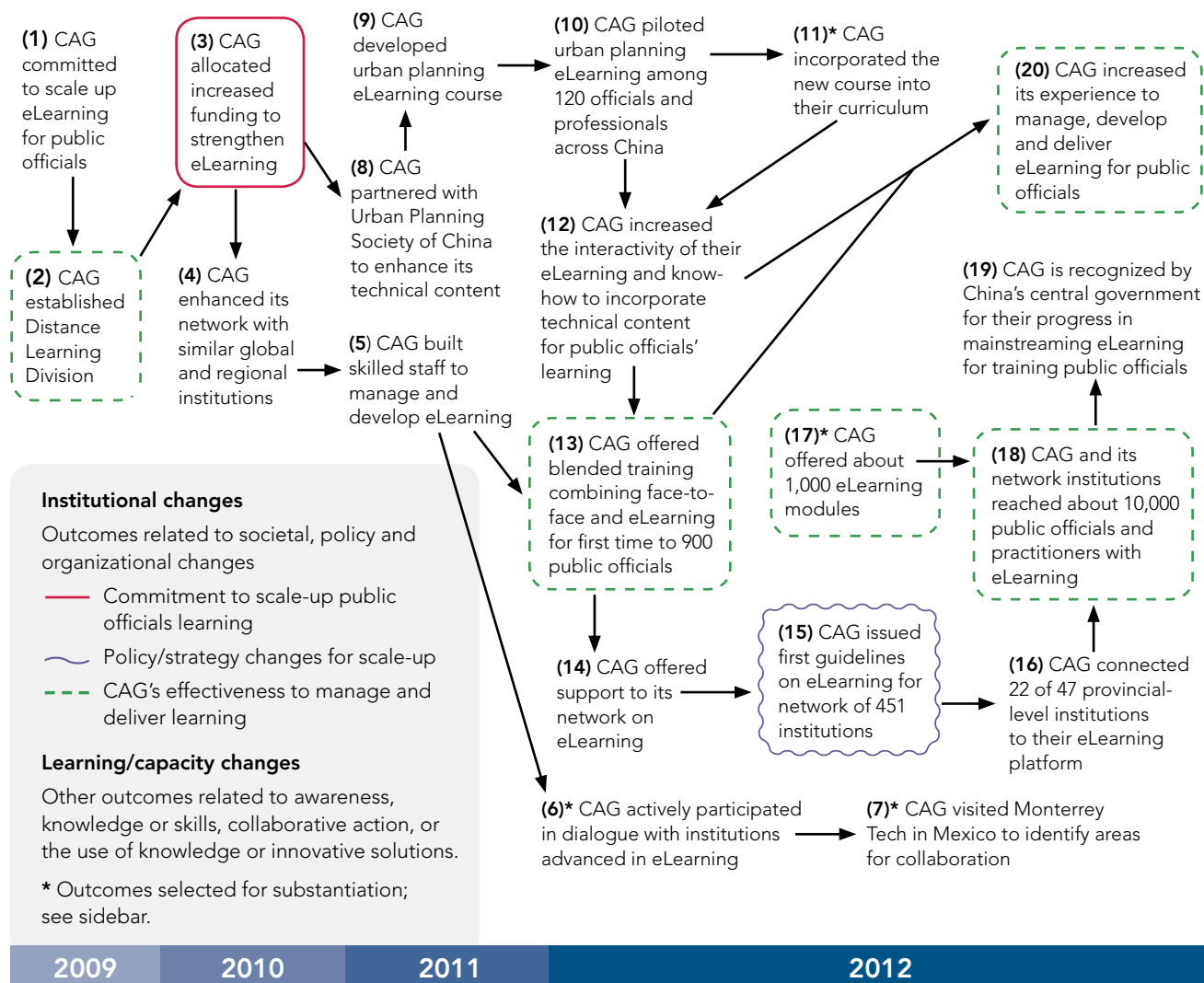
Problem

There is a high demand for skilled city officials and practitioners to provide services to the rapidly growing urban population in China; those in distant regions lack access to state-of-the-art learning opportunities.

Specific Objective

Improve the scale and effectiveness of learning for city officials and practitioners in China.

Figure 1. Map of outcomes showing changes linked and built over a four-year timeframe



explanation of how they had contributed—directly or indirectly, in a small or big way, intentionally or not. Then, roughly 20% of the outcomes were independently substantiated for credibility in this mapping exercise.

BACKGROUND

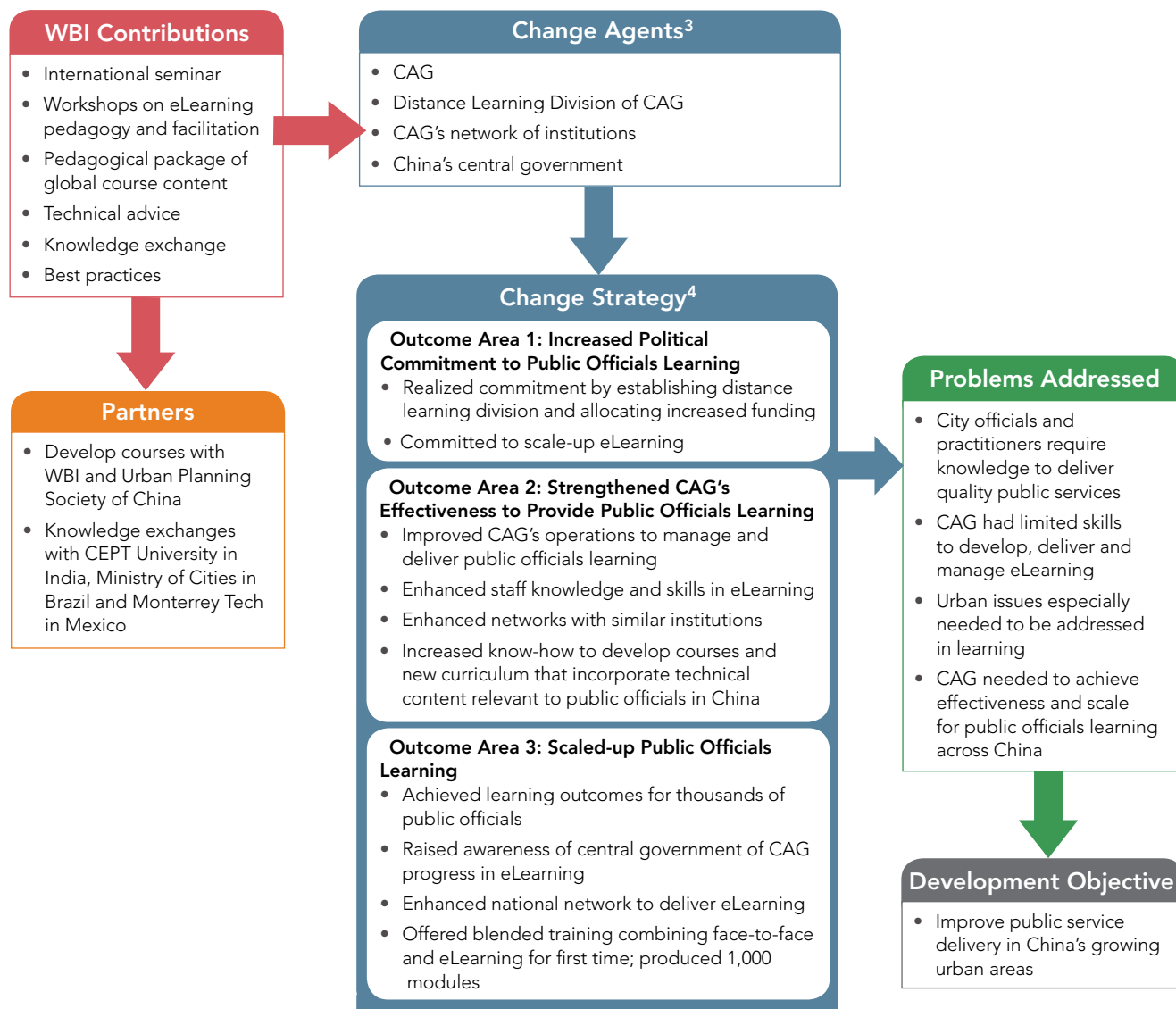
In China, rapid urbanization has posed tremendous challenges to policymakers and practitioners on the frontline of providing essential public services to residents of 657 cities and almost 20,000 towns. However, given China's wide socio-economic disparity, officials and practitioners in distant urban regions had limited access to cutting-edge knowledge and learning opportunities.

Since the 1990s, the Government of China has placed increasing emphasis on improving the professional skills of government officials across the

country through distance learning. After several years of delivering courses through videoconference, it became clear that a more scalable as well as convenient tool was needed to meet the overwhelming demand for professional training. The Chinese Academy of Governance (CAG)—as the national institution mandated to train mid-to-senior level public officials—approached WBI for support as it had little experience with eLearning design and delivery.

In 2009, WBI's Urban practice launched its China Urban Capacity Building Program with the goal of contributing to improved public service delivery in China's rapidly growing urban areas, especially in secondary cities and lagging regions, in collaboration with Chinese institutions such as CAG, Urban Planning Society of China, National Development and Reform Commission and National Academy for Mayors. In three years, CAG, with WBI's support

Figure 2. Change strategy showing how change happened to advance progress toward goal



along with other partners, has made progress in improving the scale and effectiveness of learning for public officials in China.

The process of change can be seen in three streams of outcomes (Figure 2) that are detailed in the following sections. These outcomes were analyzed and classified according to the types of change they achieved, then grouped based on how they connected to each other to affect change.

OUTCOME AREAS

Outcome Area 1: Increased Political Commitment to Learning

In 2009, CAG committed itself to mainstreaming eLearning as one of the key modalities for training

public officials. It began by setting up a new Distance Learning Division. [1,2,3]⁵

CAG's increasing emphasis on using eLearning as an effective and scalable learning tool was an important step toward meeting the overwhelming demand for public official training to improve services for the rapidly growing urban population.

WBI contributed to these changes in a variety of ways, all built on a long-term partnership with CAG begun in the 1990s. Because eLearning is still new to many institutions responsible for training officials in China, since 2008, at the request of CAG, WBI has been supporting CAG's scaling up of eLearning through a variety of activities that combined training, knowledge exchange, technical advice and joint course development.

SUBSTANTIATION OF OUTCOMES

To verify the accuracy of the outcomes mapped and enrich WBI's understanding of them, the external consultant selected four outcomes [6, 7, 11 and 17] and asked 9 people independent of WBI but knowledgeable about the change to review each and record whether they agree with the outcome as described. 7 people responded. 6 fully agreed with the description as formulated of the outcome, 6 with its significance and all 7 with the contribution of WBI. Excerpts of substantiators' comments on the outcomes achieved:

"This is particularly important for a professional organization like UPSC that the knowledge is appropriately delivered to related decision-makers. We hope this online course can be a catalyst for mayors in China to learn more about urban issues and planning."

—*Shi Nan, Secretary General, Urban Planning Society of China*

"I hope that this collaboration will demonstrate that wholesaling is a viable approach for e-Institute programs and that this will be replicated with other courses in both China and other countries."

—*Philip E. Karp, Lead Specialist, World Bank EAP Development Effectiveness Unit*

"The jointly developed course not only helped CAG enrich its curriculum, but also enhanced the awareness of eLearning as an important training channel for civil servants."

—*Manchuan Wang, Deputy Director General, Training Department, Chinese Academy of Governance*

Outcome Area 2: Strengthened Effectiveness to Provide Learning

In 2010, CAG extended its network with similar urban institutions in other countries that were more advanced in eLearning. In 2011–2012, the Distance Learning Division participated in South-South knowledge exchanges, such as with CEPT University in India and Ministry of Cities in Brazil, and sent a delegation to visit Monterrey Tech, a regional institution with a reputation and experience in offering eLearning to public sector employees. [6,7] This international collaboration and dialogue enabled CAG to build a body of skilled staff in the Distance Learning Division using the latest pedagogy and experiences. [4,5]

WBI and e-Institute supported CAG's involvement in several South-South knowledge exchange events to engage with urban institutions in other countries with more advanced eLearning experience. This contributed to several important innovations undertaken by CAG in the next two years. In addition, the WBI e-Institute conducted a series of workshops to build the capacity of CAG and other Chinese training institutions on eLearning pedagogy and technical facilitation.

A topic of particular importance for the training curriculum was urban management, but CAG lacked in-house expertise to develop practical and up-to-

date course content. So in 2011, CAG partnered with the Urban Planning Society of China (UPSC) to bring in technical expertise. [8] CAG, UPSC and WBI jointly developed a Chinese version of the e-Institute's Sustainable Urban Land Use Planning eLearning course. [9] In November 2012, they piloted the course among 120 professionals and officials in charge of urban planning, land management and infrastructure investment from 18 provinces across China. [10] CAG later incorporated the course into its eLearning curriculum and currently offers it twice a year. [11]

WBI provided the pedagogical package with multi-media based eLearning content of the global version, funding for translation and quality control of content customization. They offered tailored technical advice on eLearning pedagogy, platform setup and administration as well as facilitation based on worldwide e-Institute experience and "best practice" eLearning courses on urban topics.

The course was the first in CAG's curriculum that was developed and delivered as facilitated eLearning following pedagogy and feedback mechanisms adapted from international experience. It was also CAG's first course delivered through open registration by participants from both within and outside CAG, reaching a wide variety of practitioners.

Lastly, also in 2012, CAG improved the interactive functions of its eLearning platform, such as the

forums, as well as course content. [12] Forums are a key activity of a facilitated eLearning course, and the improved forum functions of CAG's eLearning platform enabled better and continued interaction among participants and facilitators.

In sum, between 2011 and early 2013, CAG increased its experience in managing, developing and delivering eLearning for public officials to improve scale-up and effectiveness. [20]

Outcome Area 3: Scaled-up Learning across China

In 2012, with its enhanced capacity to design, manage, and deliver eLearning, CAG started offering support to its network of local institutions on eLearning platform design, course development and delivery. [14]

With experience gained through collaboration with global partners, CAG issued its first guidelines on eLearning development and management among its network of 451 local institutions. [15] The guidelines were a policy-related change that enabled CAG to guide its network on eLearning development and management and clarify standards across local institutions. CAG's support to its network of local institutions is crucial to enhance the capac-

ity of those institutions to further scale up eLearning training programs across China.

During 2012, CAG began offering blended training (combining face-to-face classroom methods with computer-mediated eLearning) to 900 mid-to-senior level public officials across China, for the first time incorporating eLearning courses into CAG's formal curriculum. [13]

By the end of 2012, scale-up of eLearning had been advanced, with 1,000 eLearning modules [17] offered through CAG's eLearning platform that was connected by 22 provincial-level administration institutions [16], benefiting tens of thousands of public officials [18]. Today, the senior management of the Chinese government increasingly recognizes CAG's progress in mainstreaming eLearning for training public officials. [19]

WBI's contributions, previously mentioned in the other outcome areas, had a cumulative effect on this scale-up of eLearning.

CONCLUSION

eLearning courses offered by CAG that have incorporated cutting-edge content and pedagogy from international and domestic partners provide a large number of city officials and practitioners timely and

FOR MORE INFORMATION

Project Contacts

Mansha Chen, WBI Urban practice,
mchen2@worldbank.org;
Sheila Jagannathan, WBI e-Institute,
sjagannathan@worldbank.org

Email

WBI Capacity Development and Results
team at capacity4change@worldbank.org

Website

www.worldbank.org/capacity

© Copyright 2013 World Bank

WBI's Capacity Development and Results team led the outcome mapping; Jenny Gold coordinated the exercise with support from Ricardo Wilson-Grau. Sharon Fisher provided editorial and design services. Samuel Otoo provided overall guidance.

ACKNOWLEDGMENTS

Thanks to WBI team members involved in the mapping exercise: Mansha Chen, Urban Specialist, WBI Urban; Sheila Jagannathan, Senior Learning Specialist, WBI Growth and Competitiveness; Sheng Li, Senior Learning Specialist, WBI Beijing office.

Additional thanks to:

Yuanyuan Deng, Director, Distance Education Division, Information Technology Department, Chinese Academy of Governance
Lingyan Ji, Vice Director, Distance Education Division, Information Technology Department, Chinese Academy of Governance
Manchuan Wang, Director General, Training Department, Chinese Academy of Governance
Shi Nan, Secretary General, Urban Planning Society of China
Yan Chen, Urban Planning Society of China
Fan Tu, Associate Professor, Zhejiang University of Technology
Philip E. Karp, Lead Specialist, World Bank EAP Development Effectiveness Unit
Christine Kessides, Manager, WBI Urban
Victor Vergara, Lead Urban Specialist, WBI Urban
Joyce Msuya, Regional Coordinator, WBI Beijing office
Tianxiu Kang, Senior Program Assistant, WBI Beijing office
Yuehua Wu, Consultant, WBI Beijing office

Photo by Yang Aijun, World Bank

easy access to knowledge and a peer network, which enhance their capacity in delivering and managing public services. This eLearning approach is particularly advantageous to reach officials and practitioners in secondary cities and lagging regions compared to traditional face-to-face training that is costly and often ineffective.

First, CAG demonstrated its commitment to eLearning by establishing a distance learning division and allocating increased funding for scaling-up eLearning throughout the country. Then, CAG strengthened its effectiveness to deliver eLearning to public officials, by building staff knowledge and skills, networking with similar institutions, and increasing know-how to develop and facilitate courses and new curriculum that incorporate technical content relevant to urban practitioners in China. Lastly, CAG scaled-up its training programs by reaching thousands of public officials with eLearning modules, raising awareness of the central government of CAG's progress, enhancing its national network to deliver eLearning, and offering blended training for the first time.

With its improved capacity and expanded network, CAG is now empowered to continue to develop and manage eLearning courses for public officials on its own, and support its network of local institutions as well.

NEXT STEPS

It is important for CAG to continue collaborating with domestic and international partners, including the WBI e-Institute, to stay current with the latest developments in eLearning; the experience and knowledge gained can then be shared with its large network of local institutions to achieve scale. CAG is interested in working with the e-Institute to avail itself of global eLearning content in other thematic areas and in applying the experience gained to customizing other e-Institute courses for the Chinese audience. ■

may influence these changes, directly or indirectly, partially or wholly, intended or not. Outcomes are identified at two levels in relation to the goal: institutional changes relate to societal, policy and organizational changes; and learning/capacity changes relate to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions. These levels are based on the Capacity Development and Results Framework. The framework provides a systematic yet flexible approach to designing capacity development strategies and programs, monitoring and adaptively managing interventions, and evaluating and learning from their results.

² Outcome harvesting is a practical assessment tool from the outcome mapping community of practice. It can be used for real-time monitoring and evidence gathering from complex development processes that involve multiple stakeholders. It is based on a similar concept of locally driven change from the Capacity Development and Results Framework. The tool was customized to gather information on outcomes—and related outputs and milestones—to learn from what changed, for whom, when and where, the significance of the change and how the program contributed to each change.

³ Change agents are leaders, groups or organizations from government or non-state that drive change..

⁴ Change strategy refers to how change happened to advance progress toward the development objectives—the development problems addressed, types of outcomes achieved, WBI contributions, and partners involved. A change strategy may include different types of change processes or outcome areas depending on the complexity of the multi-actor institutional changes involved in a program.

⁵ The numbers in brackets correspond to the outcomes in Figure 1. The text that usually follows each outcome refers to its significance. The process of change the outcomes represent can be seen in Figure 2.

NOTES

¹ Mapping outcomes—and related outputs and milestones—can help us learn from change processes that occur during program delivery that often seem complex and opaque because they involve multiple actors and address large development problems. An outcome is what each social actor (or change agent) did, or is doing, that reflects a significant change in their behavior, relationships, activities, actions, policies or practice. The program



Improving Social Accountability in the Philippines Education Sector

Since its establishment in 2011, the Check My School (CMS) program has provided an innovative platform for government and citizens in the Philippines to jointly improve transparency and accountability in public schools. CMS is one of the programs in the Affiliated Network for Social Accountability in East Asia and the Pacific (ANSA-EAP), and its program located in the Philippines. As a regional network, ANSA-EAP works to support and operationalize programs across the East Asia region for civil society organizations (CSOs) to engage with governments on social accountability issues.

WBI's Social Accountability practice worked with ANSA-EAP on conceptualizing its network and later, on strengthening the CMS model and creating partnerships and opportunities to learn from its innovations. CMS offers a country-owned and -led example

Development Objective

Improve the quality of services and education performance of public schools for citizens in the Philippines.

Problem

There is weak transparency and accountability of public services to citizens in areas such as education in the Philippines. Sustainable solutions require a continuous engagement between government and citizens at a countrywide scale to respond to diverse and decentralized demands from across communities.

Specific Objectives to Enable Change

Improve transparency and social accountability in the education sector; strengthen commitment to collaborative government-citizen framework for social responsibility in priority sectors; and strengthen Check My School as a network platform to empower communities in the Philippines to engage with a responsive government to improve social accountability.

for World Bank operations and client countries on how to collaborate with a CSO network to scale up social accountability interventions in priority sectors.

In January–March 2013, WBI mapped the outcomes¹ of this initiative using a customized outcome mapping tool². This map (Figure 1) presents the sequence of outcomes achieved by ANSA-EAP and other change agents in the Philippines involved in CMS. The map illustrates how the outcomes and processes connected and built on each other to advance transparency and social accountability and to improve public education services.

Each outcome is numbered and described in the context of a strategy to catalyze change. WBI team members identified and formulated the outcomes, presenting an explanation of their significance and how WBI contributed—directly or indirectly, intentionally or not—by catalyzing or empowering the change agents to take new actions. Then, roughly 20% of the outcomes were selected from parts of the change process to be independently substantiated for credibility.

BACKGROUND

ANSA-EAP regards the link between civil society and state agencies at the regional, national and sub-national levels as crucial—social accountability efforts that engage state agencies are more likely to yield positive outcomes by realizing the objectives of participatory governance and the capacity development of both civil society and government actors.

CMS addresses challenges in Philippines public schools such as poor infrastructure and sanitation, which impede student learning and affect attendance rates. Dispersed community demands for improvement have not resulted in the government responsiveness required to meet improvements. The lack of accurate and timely information on school-level issues and challenges and the absence of a process to systematically and effectively respond to citizen concerns have been challenges for government and civil society.

CMS in the Philippines was designed and implemented in the midst of key changes in the education sector that created an enabling environment for the program and for collaboration between the Department of Education (DepEd) and ANSA-EAP. DepEd was implementing decentralization reform in the public education system; it employs more than a half million teachers, administrative officials and

school personnel, across more than 46,000 schools, and oversees a significant budget. The Government of the Philippines had also made a general move toward policies that improve the transparency and accountability of public service provision. In addition, the government has a history of supporting initiatives that aim to make its own performance more transparent and accountable to the public and welcomed civil society efforts to provide complementary monitoring of service delivery programs.

Since 2011, CMS has led to notable if incipient changes in DepEd responsiveness to school-level issues. Further, the cooperation between civil society and DepEd on data validation has enhanced the quality and legitimacy of school data. The initiative is continuing to thrive and provides an example of how countries can address service delivery challenges at the local level.

OUTCOME AREAS

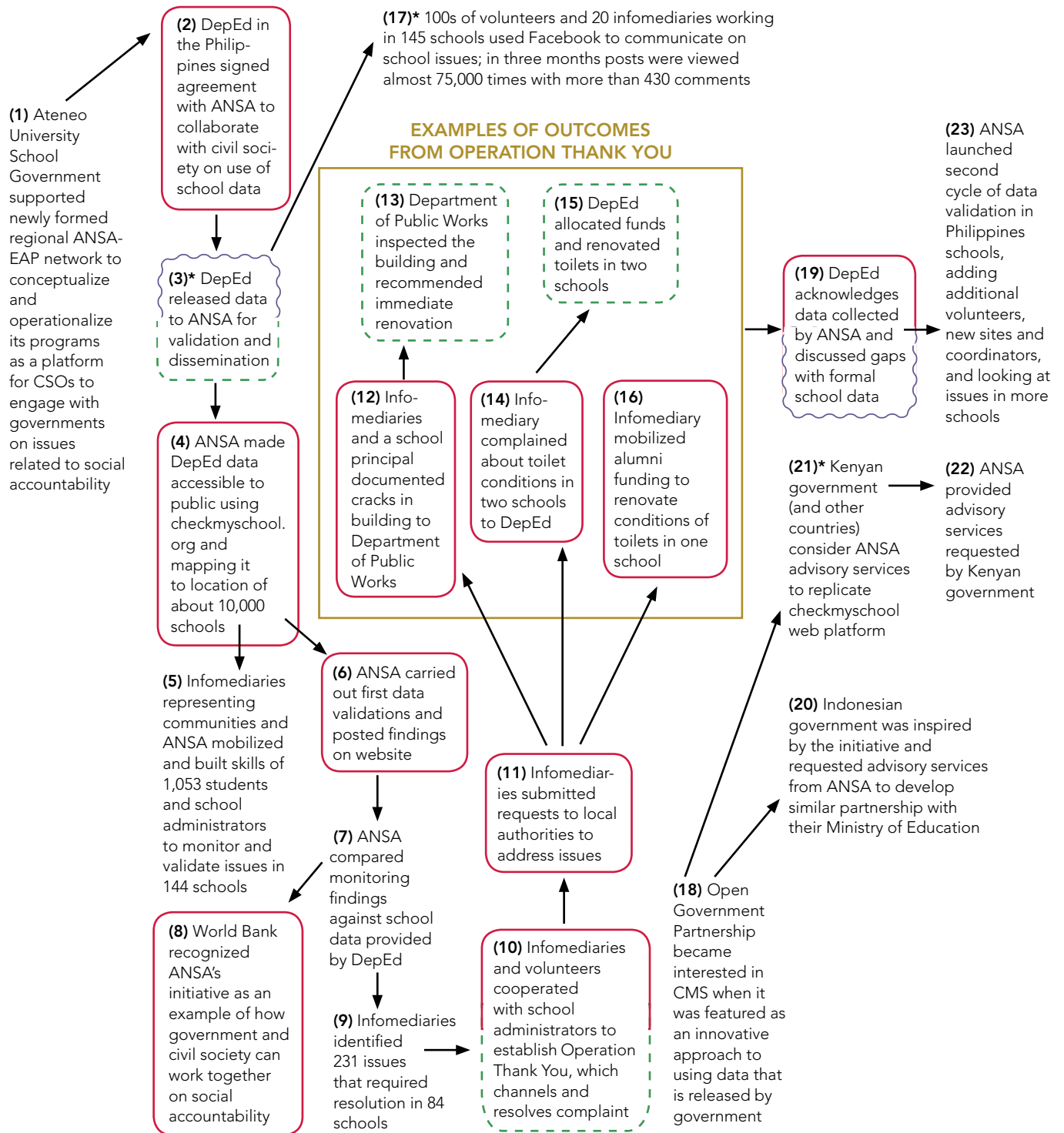
The process of change spearheaded by ANSA-EAP in the Philippines and supported by WBI can be seen in four areas of outcomes (Figure 2). These outcomes were analyzed and classified according to the types of change they achieved, then grouped based on how they connected to each other to affect change.

Outcome Area 1: Commitment to innovations to strengthen social accountability

Between 2008 and 2011, Ateneo University School of Government in the Philippines housed and incubated the ANSA-EAP network, which was created to conceptualize and operationalize regional programs as a platform for CSOs to engage with governments on social accountability issues. [1]³

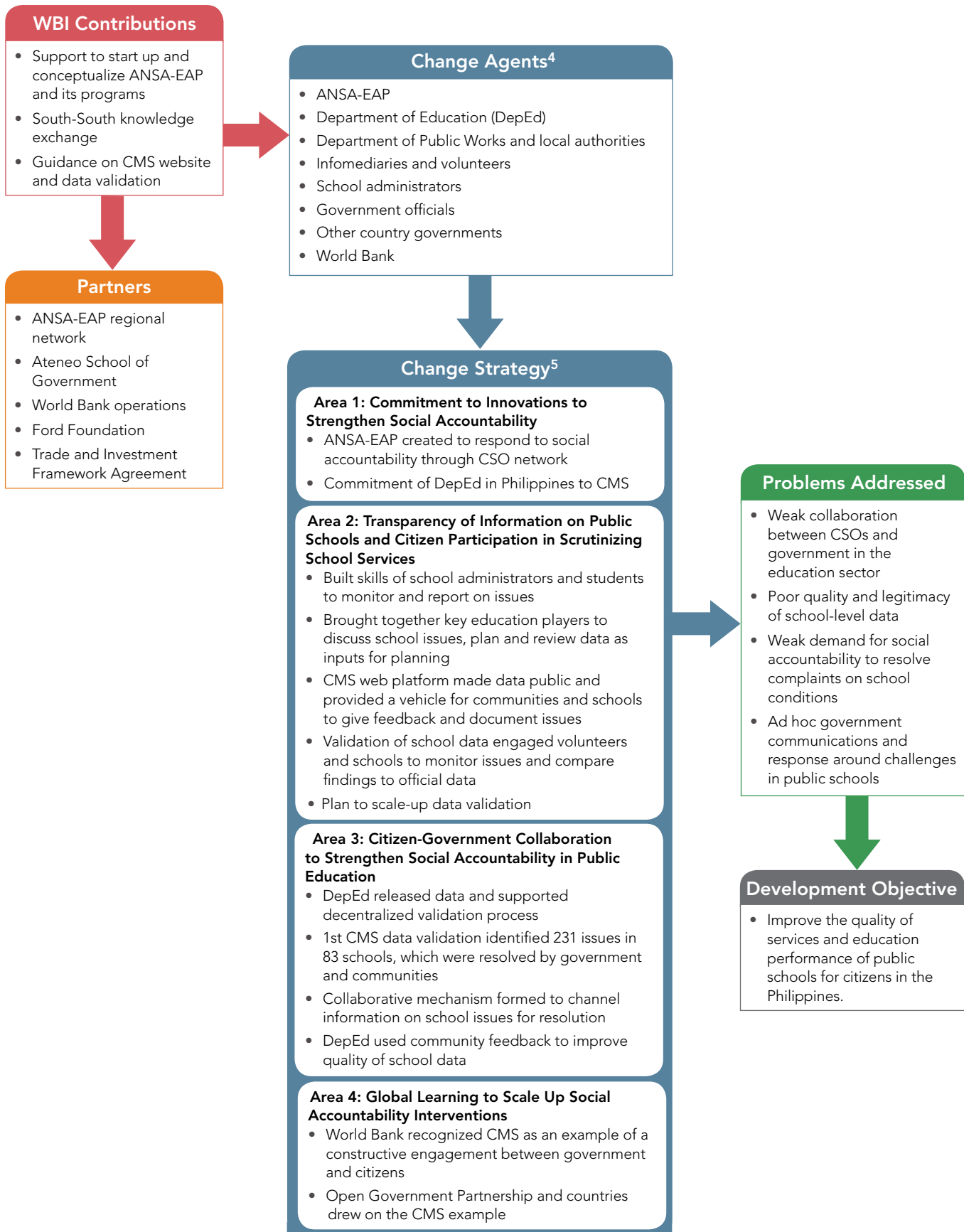
In 2011, CMS in the Philippines was formally initiated when DepEd and ANSA-EAP signed a memorandum of agreement on sector collaboration to share and verify DepEd school data with civil society. [2] The launch of CMS as a joint DepEd/ANSA-EAP social accountability undertaking encouraged schools, principals, local authorities and government agencies to cooperate in order to monitor facilities and materials in schools as well highlight challenges in their communities. It also provided the multi-stakeholder commitment to innovate while developing and refining CMS in the Philippines. Later, CMS focused on resolving priority issues at the school level as identified by the monitors.

Figure 1. Map of examples of outcomes showing changes linked and built during program phases



2008–11 Pilot phase	2011 Systematization phase	2012 Start of scale-up phase
Institutional changes Outcomes related to societal, policy and organizational changes — Commitment and innovations to advance accountability and transparency ~ Legitimacy of formal school data - - - Responsiveness of government		Learning/capacity changes Other outcomes related to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions. * Outcomes selected for substantiation; see page 7 sidebar.

Figure 2. Change strategy showing how change happened to advance progress toward goal



WBI supported the Ateneo School of Government to obtain World Bank funding of US\$3.25 million from 2008–2011 through the Development Grant Facility that was used to start up and operationalize ANSA-EAP. WBI shared examples of other regional networks and helped to shape the concept of a network for social accountability in EAP. WBI also provided technical advice and support to ANSA-EAP on the development of its programming, including CMS.

Outcome Area 2: Transparency of information on public schools and citizen participation in scrutinizing school services

In July 2011, ANSA-EAP consolidated public school data from the DepEd, ranging from budgetary allocations to test results to number of teachers on the checkmyschool.org platform, and then mapped it against Global Positioning System (GPS) coordinates for about 10,000 schools. [4] This consolidation made the DepEd data available for the first time for citizen monitoring and data validation of key service delivery inputs and outcomes in Philippines schools.

From August–October 2011, ANSA-EAP engaged “infomediaries”—including community leaders and socially active individuals—to mobilize and train 1,053 students and school administrators to serve as volunteers to monitor and validate issues and data from 144 schools in 14 areas. [5] While CMS has a strong technology component because it is a web-based platform, the role of community mobilization is critical for social sustainability of the approach, by empowering communities to report school-level issues to local authorities.

In late 2011, ANSA-EAP engaged the volunteers to carry out a data validation exercise. This involved uploading monitoring information from the 144 schools on the CMS website to make it publicly available and disseminating it through Facebook and SMS text. [6] This exercise aimed to improve public understanding of on-the-ground conditions in participating schools, engage community members in monitoring service provision in their schools and demonstrate innovative use of technology, in particular social media. They reached one million Facebook users within the first year.

ANSA-EAP then compared the monitoring findings against the public school data provided by DepEd to capture discrepancies or validate quality of data. [7] Using CMS to coordinate the data validation

provided the public with a window into the real conditions in individual schools across the Philippines relative to the data produced by DepEd. This transparency is critical for understanding and addressing underlying trends in the delivery of education services in schools.

Since 2011, hundreds of volunteers and 20 infomediaries working in 145 schools use the CMS Facebook page as a two-way information platform that allows verified data to be made publicly available. During the course of three months, during which validation activities were conducted, posts that appeared on the Facebook page were viewed almost 75,000 times and more than 430 feedback comments were written. [17] In this manner, Facebook has become a central avenue for CMS to communicate with stakeholders across communities as well as flag potential issues at the school level. The ICT aspect of CMS is essential to the initiative’s movement toward scale in the Philippines.

In 2012, ANSA-EAP launched a second cycle of data validation in schools in the Philippines. [23] The second cycle signifies an improved system of data gathering that was better received by the government than the first round, with more issues resolved and an enhanced web platform. The continued contribution of volunteers from communities and schools also shows community ownership of the process and is an important indicator of sustainability.

WBI contributed indirectly to these outcomes. ANSA-EAP and the network formed to support CMS and did the work on the ground. WBI made recommendations for enhancing the CMS model, and connected CMS stakeholders to other stakeholders and experts working in ICT and education.

In sum, CMS used an online platform to make school data public. It used citizen mobilization and social media to innovatively generate a locally owned and participatory process to monitor and resolve school-level issues and validate official DepEd data. This involved community members and school administrators documenting problems to facilitate a better understanding of local problems. A well-informed citizenry could thus demand improvements in school services.

Outcome Area 3: Citizen-government collaboration to strengthen social accountability in public education

In July 2011, despite having no formal open data policy within the government of the Philippines, the DepEd released its school data to ANSA-EAP for CMS

to validate and disseminate. [3] This action showed the government's openness to collaborate and set a new policy precedent since the data on schools was previously unavailable for use by the general public. Further, by releasing the data, the DepEd supported the public use of the data by the checkmyschool.org web platform for decentralized data validation with communities and schools.

Through the first data validation exercise in 2011, the ANSA-EAP infomediaries identified 231 issues that required resolution in 84 schools. Typical problems included lack of textbooks, lack of classrooms and facilities that required repair. [9] In these schools, students were empowered to raise issues to school administrations and use CMS as a channel to voice their concerns in their schools and communities. In the past, these types of issues would often remain unaddressed, for example with toilets going unfixed for months, and schools receiving no means of solving the problem from the local government units of DepEd.

The challenge was how to respond to community demand systematically and collaboratively. In October 2011, ANSA-EAP infomediaries and other volunteers cooperated with school administrators to establish a collaborative mechanism to channel information about school issues so problems could be resolved with the support of the DepEd, local authorities and communities. This approach, named "Operation Thank You," was added to the scope of the CMS initiative to express gratitude to participating schools for their collaboration with CMS. [10] In late 2011, infomediaries used Operation Thank You to submit requests to local authorities to address issues. [11]

ANSA-EAP's ability to incorporate Operation Thank You into CMS and the responsiveness of the DepEd, other government offices and local authorities to collaborate on issue resolution demonstrated the flexible and adaptive nature of the CMS model—and the alignment of the model with DepEd policy to direct schools to learn to solve problems on their own by engaging community stakeholders. The CMS network had critical value for results and sustainability within the context of the Government of Philippines reform agenda. The CMS web platform was a valuable problem-solving tool in the hands of school administrators in the schools where CMS operates.

The following examples of outcomes from Operation Thank You illustrate how the school issue resolution process worked:

- A CMS validation in Putik Central School in Zamboanga City revealed serious cracks in one of the school's buildings. CMS's infomediaries, with the school principal, documented the situation to the Department of Public Works and Highways. [12] The Department of Public Works and Highways sent a team to inspect the building and then recommended immediate renovation. [13]
- A CMS validation in the Aruallo High School and in the Epifanio Delos Santos Elementary School in Manila exposed the bad condition of the toilets in the schools. The infomediary who validated the schools sent a formal complaint to the responsible departments in DepEd. [14] The DepEd allocated funds and started renovation of the toilets. [15]
- A CMS validation in the Lt. Andres Calungsod Elementary School in Cotabato exposed the poor conditions of one of the toilets. The infomediary discussed the problem at an alumni meeting in the fall of 2011. The alumni independently collected money and funded the renovation of the toilet. [16]

The accomplishments of Operation Thank You in resolving issues showed how the connections of the ANSA-EAP team and CMS infomediaries with DepEd officials and local representatives can be valuable for schools. Further, the CMS validation process inspired communities to take action outside of DepEd to address problems in schools, making solutions more collaborative.

In January 2012, ANSA-EAP held a validation meeting with DepEd, where the government acknowledged the data collected by ANSA-EAP and discussed gaps identified between official DepEd data and CMS data. [19] ANSA-EAP's report back to DepEd closed the feedback loop between the CSOs and government agencies. This loop is critical for DepEd to engage with ANSA-EAP to improve the quality of its public school data and its legitimate use to improve school services.

WBI provided input to the concept development of CMS, particularly on the website model, and linked ANSA-EAP to experts within the Bank to provide technical inputs. ANSA-EAP and change

SUBSTANTIATION OF OUTCOMES

To verify the accuracy of the outcomes mapped and enrich WBI's understanding of them, the external consultant selected three outcomes [3, 17, 21], and asked nine people independent of WBI but knowledgeable about the change to review each and record whether they agree with the outcome as described. Six people responded: all six fully agreed with the outcomes' significance as stated. The respondents provided additional information to clarify the outcomes' description and WBI's contribution. Excerpts of substantiators' comments on the outcomes achieved:

"From the interaction with the Kenyans, CMS' emphasis of the citizen role really echoed and broadened the awareness of the government representatives on this possibility."

—*Dondon Parafina, Executive Director, ANSA-EAP*

"As CMS coordinator and getting related educational information released by DepEd schools, I was able to gain insights on the local issues in public schools in Bacolod City as evidenced in its physical facilities and resources, as well as direct responses from various relevant stakeholders."

—*Darlene Casiano, Area Coordinator, Bacolod City*

"The interest to replicate CMS is definitely a good indicator of the government's openness. It would be great if this will also move to other departments/ministries of Kenya. Certainly, there are some research that needs to be done to tailor CMS in the Kenyan context."

—*Jecel Censoro, Project Coordinator, CMS*

agents from DepEd and the local level led all of these outcomes.

In sum, the collaboration between DepEd and ANSA-EAP around CMS provided a framework for citizens and government to work together to improve school services. The CMS model also provided a flexible approach to respond to changing school service needs and support decentralized policy to build more self-reliant schools with strong community leadership.

Outcome Area 4: Global learning to scale up social accountability interventions

The CMS model and its successes triggered broad global and country interest in the experience of the Philippines. Since 2011, the World Bank has increasingly recognized the CMS initiative as an example of how government and civil society can work together on social accountability in a priority sector. [8] This is important given the growing interest to address social accountability effectively with government and to open government data to the public.

Others are also seeing relevant lessons in practical innovations of the CMS example:

- In December 2011, the Open Government Partnership (OGP) became interested in the CMS initiative when it was featured in an OGP meet-

ing of as an innovative approach to using data that is released by governments as part of their open data policies. [18] A key aspect of the OGP agenda is translating the transparency and accessibility of data into meaningful action and analysis by citizens and citizen groups. Potentially the OGP may serve as an important vehicle to share the lessons learned by CMS with other countries.

- In early 2012, the Indonesian government requested advisory services from ANSA-EAP to develop a similar partnership with the Ministry of Education in that country. [20] The request shows recognition of the work done by CMS and the need for other countries to take similar institutionalized approaches to address accountability at scale in the education sector.
- In July 2012, the World Bank country team in Kenya requested ANSA-EAP support to facilitate the development of a similar partnership. [21] There are also attempts to develop a CMS model in Moldova, indicating increasing interest in the CMS model outside of the EAP region. ANSA-EAP presented the model to key Kenyan stakeholders among the relevant Kenyan government ministries, departments and agencies, as well as to the World Bank country team, donors and CSOs in Kenya. [22] CMS was viewed as a promising network model that

could inform learning around how to scale-up data validation and ensure consistency of data from the proposed integrated Kenya Education Management Information System.

WBI contributed by raising awareness about CMS and its innovations among practitioners within the World Bank and beyond. Activities included facilitating South-South knowledge exchanges among stakeholders from government, civil society and donors to discuss the CMS model, knowledge-sharing session with World Bank staff and liaising with the OGP secretariat. In addition, WBI supported ANSA-EAP to provide advisory services to the Indonesian government and an Indonesian CSO (Transparency International Indonesia).

Thus, the CMS initiative has provided an innovative and practical example for World Bank operations and broader country learning around how government and civil society can work together on social accountability in a priority sector.

CONCLUSION

CMS delivered improvements in education service delivery at the school level by using an online platform and collaborative mechanisms to help school administrators, citizens and students work together to monitor, identify and resolve school issues. Equally noteworthy, the initiative is in the process of analyzing school data to identify broader trends at the school level. One specific area that CMS has

helped to address is the ability for administrators to leverage communities to resolve issues and problems in the decentralized structure of the school-based management system.

Nonetheless, challenges remain, including:

- The sustainability of the community-based approach realized through CMS will need to be carefully monitored, though early indications suggest local momentum in participating schools.
- CMS's ability to reach areas where ANSA-EAP does not have a strong foothold, especially in remote parts of the country, and eventually scale up to most counties in the Philippines will require expansion of capacity and resources within ANSA-EAP and DepEd.
- Ensuring continuity of the program across government administrations, such that political changes do not inhibit the initiative's move toward scale will require fully embedding the model within the community and civil society space, and sustained commitment at the technical level within DepEd.

There are challenges to sustain the program within the CSO network, including long-term funding, difficulties in realizing the full ICT potential of the project and ensuring the project's structure and decentralization can be aligned with the goal of scale.

Another challenge is the fragmentation of databases across the government of the Philippine

FOR MORE INFORMATION

Project Contact

Megan McDermott, WBI Social Accountability practice, mmcdermott@worldbank.org

Email

WBI Capacity Development and Results team at capacity4change@worldbank.org

Website

www.worldbank.org/capacity

© Copyright 2013 World Bank

WBI's Capacity Development and Results team led the outcome mapping; Jenny Gold coordinated the exercise with support from Ricardo Wilson-Grau. Sharon Fisher provided editorial and design services. Samuel Otoo provided overall guidance.

ACKNOWLEDGMENTS

Thanks to Carolina Vaira, Keith McLean, Jennifer Shkabatur for their work in the mapping exercise.

Thanks to substantiators:

Tin Aquino, Communications Manager, ANSA-EAP

Darlene Casiano, Area Coordinator, Bacolod City

Jecel Censoro, Project Coordinator, CMS

Luiza Nora, Social Development Specialist, World Bank

Dondon Parafina, Executive Director, ANSA-EAP

Paul Thomas Villanueva, Network Coordinator

agencies, even as relates to one sector. For example, the data required to understand a full picture of what is happening at the school level requires access to databases across agencies (such as facility information, textbooks, nutrition, budget allocations). Currently most of these databases do not “speak” to each other.

NEXT STEPS

The CMS program is now in its third phase and growing in terms of its organizational capacity, technological advancements and on-the-ground capacity. Efforts are underway to enhance the data visualization to make school-level information even more user-friendly for the public. Future outcomes will likely become more systematic.

Also, partnerships with other types of educational institutions are in the process of being formed. For example, ANSA-EAP is formalizing a partnership with universities and additional schools, and to make CMS part of the required National Service Training Program to promote broad youth involvement in public education improvements. A similar activity is also in the pipeline, this time covering all of the universities in Baguio city that will help monitor schools in the city. The partnership with DepEd is also improving—the DepEd tapped CMS to provide support data through feedback from citizens to serve as backup data for their budget proposal to Congress. ■

² Outcome harvesting is a practical assessment tool from the outcome mapping community of practice. It can be used for real-time monitoring and evidence gathering from complex development processes that involve multiple stakeholders. It is based on a similar concept of locally driven change from the Capacity Development and Results Framework. The tool was customized to gather information on outcomes—and related outputs and milestones—to learn from what changed, for whom, when and where, the significance of the change and how the program contributed to each change.

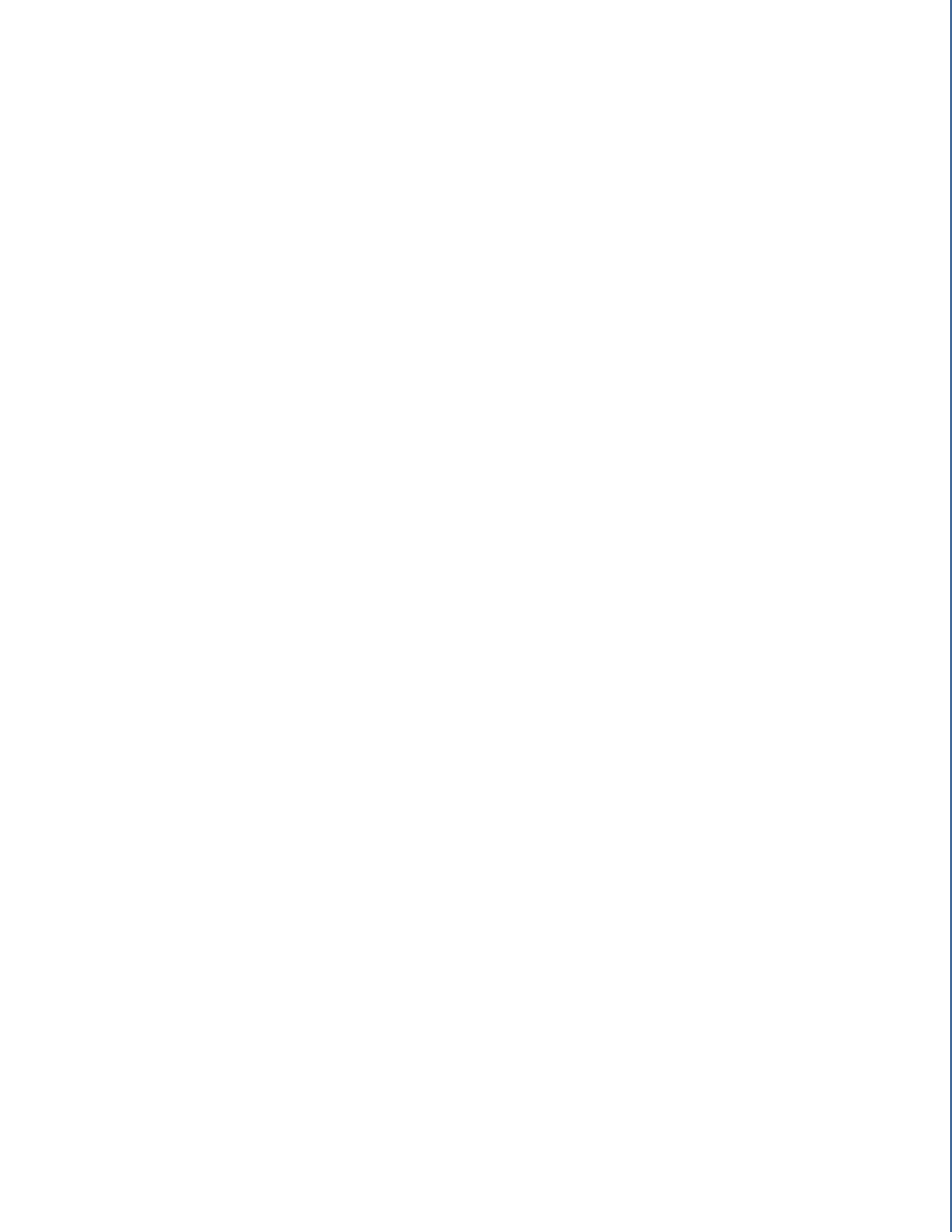
³ The numbers in brackets correspond to the outcomes in Figures 1. The text that usually follows each outcome refers to its significance. The process of change the outcomes represent is seen in Figure 2.

⁴ Change agents are leaders, groups or organizations from government or non-state that drive change.

⁵ Change strategy refers to how change happened to advance progress toward the development objectives—the development problems addressed, types of outcomes achieved, WBI contributions, and partners involved. A change strategy may include different types of change processes or outcome areas depending on the complexity of the multi-actor institutional changes involved in a program.

NOTES

¹ Mapping outcomes—and related outputs and milestones—can help us learn from change processes that occur during program delivery that often seem complex and opaque because they involve multiple actors and address large development problems. An outcome is what each social actor (or change agent) did, or is doing, that reflects a significant change in their behavior, relationships, activities, actions, policies or practice. The program may influence these changes, directly or indirectly, partially or wholly, intended or not. Outcomes are identified at two levels in relation to the goal: institutional changes relate to societal, policy and organizational changes; and learning/capacity changes relate to awareness, knowledge or skills, collaborative action, or the use of knowledge or innovative solutions. These levels are based on the Capacity Development and Results Framework. The framework provides a systematic yet flexible approach to designing capacity development strategies and programs, monitoring and adaptively managing interventions, and evaluating and learning from their results.



Outcome harvesting offers innovative, participatory tools to understand and document how change happens in complex development programs that involve multiple social actors, areas of new learning and profound development challenges.

Understanding and interpreting outcomes is important to improve results for development programs—it can facilitate strategic, systematic knowledge sharing and management; provide information that can be combined with other sources to review results within a task team and with clients and partners; and supply new evidence on implementation, outcomes, and indicators to inform program development.

In these pilot experiences, teams applied outcome harvesting tools in 10 ongoing initiatives in strategic thematic areas. The process encouraged dialogue among the teams and clients and answered learning questions to maximize the benefits of the interventions, institutional sustainability of results, and involvement of the right mix of actors.

