



PROSPERA

Program Kemitraan Indonesia
Australia untuk Perekonomian



Prospera Knowledge, Performance, and Learning Framework

Component 3: Knowledge, Performance, and Learning Toolkit

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Introduction

This Prospera Knowledge Performance and Learning Toolkit (the toolkit) is Component 3 of the Prospera Knowledge Performance and Reporting Framework; a companion document to Component 1 The Core Framework 2018 and Component 2 Activity Design and Reporting Guide 2018.

The toolkit contains a set of design, monitoring, evaluation, and learning tools or concepts that are referenced throughout each of those documents. The tools are included because they are referenced in the development and monitoring and evaluation literature and have been applied and tested in practice across a wide range of Department of Foreign Affairs and Trade and other development agency funded programs. Many of them are even fun to use and have significant potential to assist your work.

The toolkit is provided as a word document so that you can readily access the resources within. Additionally, if you need to develop a deeper understanding, most of the source documents will be provided in .pdf form in the Prospera Knowledge Management System.

The Prospera Knowledge and Performance team would like to particularly thank the following Prospera Australian agency teams: **Australian Treasury** and the **Australian Public Service Commission**, for sharing their well-used and tested examples of good practice monitoring and evaluation.

The Prospera Knowledge and Performance team will be available to advise you on where to apply any of these tools and to potentially help you apply them for your activity and workplan.

Navigating this toolkit

This toolkit is principally designed for use by the Prospera Knowledge and Performance Team, Monitoring and Evaluation Focal Points and Supports and advisory and Australian agency teams implementing agreed activities and work plans.

The toolkit contains a lot of different ideas and concepts, many of which may be new to many potential users, and is **not designed to be read all at once**. Rather it provides a smorgasbord of tools and concepts that you may find useful for your activity or work plan monitoring and evaluation.

Table 1. Toolkit at a glance lists all the tools, explains where they are best applied and then provides a hyperlink to the description of the tool.

Then for each tool, we provide some or all of the following information:

- A description of the purpose of the tool,
- Where relevant, references to source documents,
- In some cases, directions to more fully explained source toolkits,
- Templates for applying the tool, and
- Tips and useful resources.

If you are looking for an approach that is not in this toolkit betterevaluation.org is a great place to start.

Please let the Prospera Knowledge and Performance Team know about any useful tools that you find, or already use, which you think could be included.

Ethics

Section 4 sets out guidance for applying ethical approaches in the conduct of monitoring and evaluation. Please take care to consider appropriate ethical approaches in all your monitoring and evaluation work under Prospera.

Data collection plans for breakthrough outcomes and activities and cross cutting issues

Under Prospera, approaches and methods for monitoring and evaluating performance will always be selected to **answer specific performance questions asked by key stakeholders**.

Indicative data collection plans to be used to guide monitoring and evaluation at activity and workplan level are provided in Annex 1 of this document. The data collection plans provide an indicative set of activity level performance questions, draft indicators that could be applied to answer those questions, and methods to be used to collect the data to inform the indicators.

The Knowledge and Performance team will be available to support activity and workplan implementation teams to draw on these data collection plans for designing or improving monitoring and evaluation plans at activity and workplan level.

The relevant data collection plans annexed are for:

- Breakthrough 1. Expanding markets, creating jobs,
- Breakthrough 2. Safeguarding economic and financial stability,
- Breakthrough 3. Improving public finances and government performance, and
- Cross-Cutting Contributing Factors

Table 1. Knowledge Performance and Learning Toolkit content and best use | At a glance

#	Tool	Purpose	Design	Monitoring	Evaluation	Learning	Navigation by Judgement	Predictable Programming
1. Tools for Design								
1.1	Political Economy Analysis	Helps us understand the political context of a programming situation, and thus what change might be feasible in that context. An introduction is provided in this section with a lead to an external document located in the KPL Toolkit folder in the Prospera Sharepoint drive.	✓	✓			✓	✓
1.2	Complex Systems Thinking	A thinking framework for defining the domain of a situation.	✓		✓		✓	
1.3	Outcome Mapping	A methodology useful for planning, monitoring and evaluating initiatives that aims to bring about sustainable change. This process enhances program understanding of change processes, improves the efficiency of achieving results and promotes realistic and accountable reporting.	✓	✓	✓	✓	✓	✓
1.4	Program Logic	Describes the links between Facility outcomes, intermediate outcomes, activity outcomes, outputs, activities and inputs. It is best developed through collaboration with key stakeholders and partners to gain buy-in and make best use of interdisciplinary knowledge. An important tool for designing an activity, as well as a framework for monitoring, evaluation, reporting and learning.	✓		✓	✓		✓
1.5	Problem Driven Iterative – Navigation by Judgement	A thinking framework for problem definition and in-depth analysis.	✓				✓	
1.6	Problem Driven Iterative Adaptation – Triple A	Analysis of the potential for achieving change, typically in complex systems.	✓				✓	✓

#	Tool	Purpose	Design	Monitoring	Evaluation	Learning	Navigation by Judgement	Predictable Programming
	Framework							
2. Tools for Monitoring and Evaluation								
<i>Monitoring and Evaluating Practice Change (Capability Development)</i>								
2.1	Most Significant Change Technique	A story-based interview technique for capturing people's real experience of change; helps implementation teams understand the diversity of experience that people have under a program.		✓	✓	✓	✓	✓
2.2	Course/ Training/ Workshop Evaluation Form (Bahasa Indonesia)	Measures participants' reaction to Prospera events.		✓				
2.3	Course/ Training/ Workshop Evaluation Form (English)	Measures participants' reaction to Prospera events.		✓				
2.4	Course/ Training/ Workshop Evaluation Report (Bahasa Indonesia)	Summarises information collected from Prospera event. Collated information will be used for Prospera's review of activity, further activity design, and progress reporting to relevant stakeholders.	✓		✓	✓		
2.5	Course/ Training/ Workshop Evaluation Report (English)	Summarises information collected from Prospera event. Collated information will be used for Prospera's review of activity, further activity design, and progress reporting to relevant stakeholders.	✓		✓	✓		
2.6	Course/ Training/ Workshop Evaluation Report	Summarises information collected from Prospera event. Collated information will be used for Prospera's review of activity, further activity design, and progress reporting to relevant stakeholders.	✓		✓	✓		
2.7	Course/ Training/	Summarises information collected from	✓		✓	✓		

#	Tool	Purpose	Design	Monitoring	Evaluation	Learning	Navigation by Judgement	Predictable Programming
	Workshop Evaluation Report	Prospera event. Collated information will be used for Prospera's review of activity, further activity design, and progress reporting to relevant stakeholders.						
2.8	Advisory Team Capability Building Activity & Participant Log	This tool can be used for recording all capability development events being conducted under a Prospera Activity or Workplan. This can also support the collation of sex disaggregated training statistics for the DFAT Performance Assessment Framework. The Participants Log is used to keep records of participants and contact and work details. This is useful for developing a sample population, for instance prior to post-activity evaluation surveys to measure whether or not the participants have improved their skills or have used the skills or knowledge they gained from Prospera CB activities.		✓			✓	✓
2.9	Australian Public Service Commission Pre and Post Training Survey	These two surveys can be used to measure the confidence of participants in applying a particular set of skills and knowledge prior to and immediately after a training experience. This tool can be modified to reflect various sets of learning materials.		✓	✓	✓	✓	✓
2.10	Treasury Capability Building Event Log	This tool is for recording all capability development events being conducted under a Prospera Activity or Workplan. This can also support the collation of sex disaggregated training statistics for the DFAT Performance Assessment Framework.		✓			✓	✓
2.11	Post Learning Events Follow-up Questionnaire	To follow-up a sample of participants to see what they are doing differently as a result of the learning experience post Prospera learning		✓				

#	Tool	Purpose	Design	Monitoring	Evaluation	Learning	Navigation by Judgement	Predictable Programming
		events, and also acknowledging that 70% of adult learning happens by doing, while only 10% happens through structured learning.						
2.12	Organisational Situation Analysis – Capability for What Purpose [PLACE HOLDER]							
Monitoring and Evaluating Policy, Systems and Partnerships								
2.13	Strategy Testing	A monitoring system developed specifically to track programs that are addressing development problems through a highly iterative, adaptive approach.		✓	✓	✓	✓	✓
2.14	Outcome Harvesting	An approach to collect evidence of what has been achieved, and works backward to determine whether and how the program contributed to the change.		✓	✓	✓	✓	✓
2.15	Partnership and Collaboration Assessment Tool	Can be used by implementation teams as a basis for a discussion about their partnership or collaboration, with their partner or collaborator, or can be used by an 'external' evaluation team (e.g. the KP team). Can be modified to suit the specific circumstances. Can also be used as guidance to establish a partnership.	✓	✓	✓	✓	✓	✓
2.16	Significant Instances of Policy and Systems Improvement	A technique that combines Outcome Harvesting and Most Significant Change (MSC) tools. It is specifically designed for capturing, measuring and reporting on emergent instances of policy and systems improvement and to understand what is a		✓	✓	✓	✓	✓

#	Tool	Purpose	Design	Monitoring	Evaluation	Learning	Navigation by Judgement	Predictable Programming
		program's contribution to this.						
2.17	Contribution Analysis	A specific analysis to provide information on the contribution of a program to the outcomes it is trying to influence. This approach is particularly relevant for interventions where various actors are involved and partially responsible for influencing change.			✓	✓	✓	✓
2.18	Process Tracing	A fundamental tool for qualitative analysis, a tool for thought that can complement other qualitative data analysis tools and create a stronger basis for attributing causal significance to independent variables, when studying change, or impact.			✓	✓	✓	✓
2.19	General Elimination Method	A theory-based method that is useful to evaluate influence and accountability through testing and ruling out alternate explanations. Data analysed may include previous evaluations and research; published and unpublished materials; and results of key informant interviews.			✓	✓		✓
2.20	Case Study	Documents case studies of work implemented against intermediate outcomes across Prospera breakthrough areas. Supporting documents or references are required for validation. This may include laws/ regulations, publications, news cuttings, etc. Tables, figures, photographs may be used to assist presentation.			✓	✓		✓
Designing, monitoring and evaluating gender equality and social inclusion								
2.21	Harvard Analytical Framework (or Gender	Helps understands differences between men and women in their participation in the	✓		✓			

#	Tool	Purpose	Design	Monitoring	Evaluation	Learning	Navigation by Judgement	Predictable Programming
	Roles Framework	economy. Helps policy makers understand the economic case for allocating development resources to women as well as men.						
2.22	The Washington Indicators	Collects internationally comparable disability data on censuses and surveys.						
3. Tools for Learning								
3.1	Learning Decision Tracking Tool for Learning and Improvement Sessions [PLACE HOLDER]	To determine: how was learning and improvement facilitated? Who was involved? Who wasn't involved? When? What changed as a result? Then what? So what?				✓	✓	✓
3.2	Guide for Designing and Facilitation of Learning Events [PLACE HOLDER]	A simple set of key steps to guide the design of a learning event.				✓	✓	✓
3.3	Questions Guide for Learning Discussions [PLACE HOLDER]	A simple set of questions to guide the discussions of a learning event.				✓	✓	✓

Tools for Design



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1 Tools for Design

1.1 Political Economy Analysis

What is Political Economy Analysis?

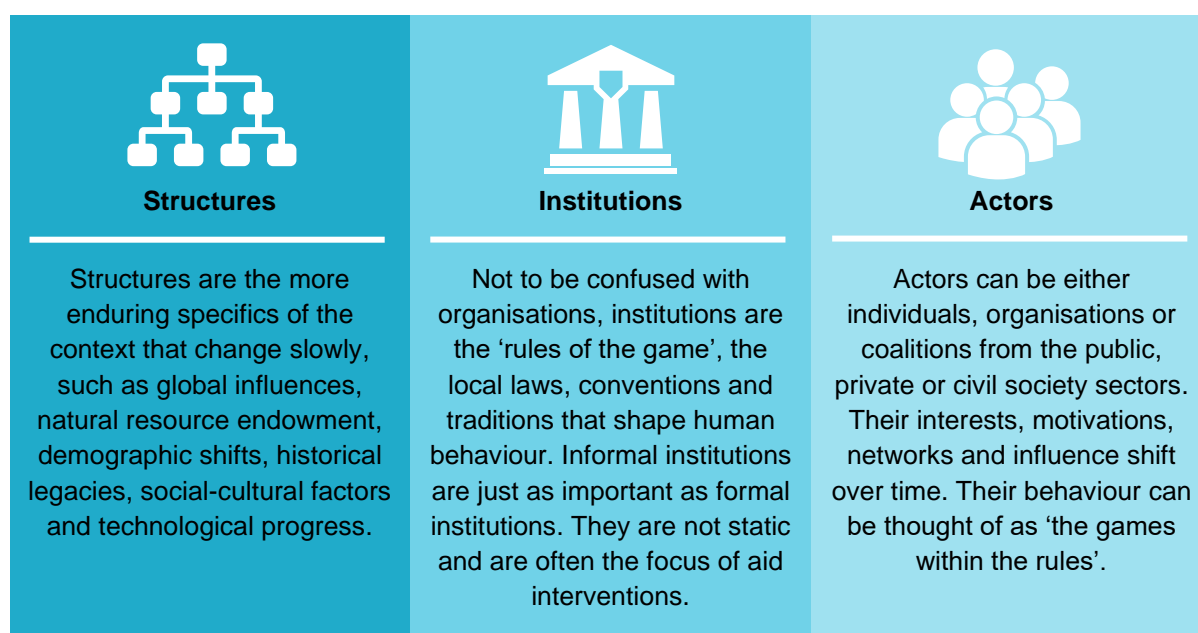
Political economy analysis is about understanding the political dimensions of any context and actively using this information to inform policy and programming. Politics is the *formal and informal ways through which contestation or cooperation occurs in a society*. Political processes are dynamic and occur at all levels of society.

Source: DFAT Political Economy Analysis, Guidance Note, January 2016.

You would particularly use political economy analysis in designing an activity and then as part of monitoring and learning discussions.

This section provides a brief introduction to political economy analysis and directs the toolkit user to a detailed toolkit. Refer also Problem Driven Iterative Adaptation- Triple A framework.

Political economy analysis involves looking at the dynamic interaction between structures, institutions and actors (stakeholders), to understand how decisions are made:

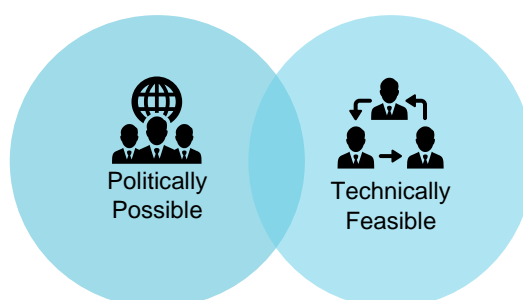


Why does Political Economy Analysis Matter?

For development activities to achieve sustainable results, they need to be both technically sound *and* politically possible. This is because development is a political process – sustainable, locally-legitimate institutions emerge over time through local political processes. In the past, donors have tended to emphasise technical fixes without due consideration of the political realities. They have also tended to focus on formal institutions and structures rather than human agency and informal institutions.

Development outcomes are achievable when we consider the intersection of politically possible and technically sound

Figure 1. Political and Technical Intersection



Political economy analysis enables us to better understand the political, economic and social processes promoting or blocking change. Political economy analysis prompts us to ask ‘why is the situation like it is?’, ‘how does change really happen’ or ‘why is change not happening?’ It requires us to consider ‘who wins and who loses out’, and what the losers may do to block reform.

Political economy analysis tools assist us to design and implement programs that have achievable objectives and which are more likely to achieve results. By integrating political economy analysis into the aid management cycle, as an ongoing, iterative process, program staff and partners can track changing actors, interests and power relations throughout implementation, manage risks, and seize opportunities as they arise.

Approaches to Political Economy Analysis

Over the years, development agencies have developed various tools and approaches for undertaking political economy analysis. One common challenge is putting political economy analysis into action and integrating it throughout the aid management cycle. To address this, most recent approaches advocate ‘problem-driven’ analysis which emphasise operational relevance and embedding political economy analysis into aid management processes, or ‘getting the process right’. This means putting effort into identifying specific issues up front that the political economy analysis should address, to ensure political economy analysis findings are used to inform policy and programming decisions.

Recent evidence suggests that only 20 percent of the analysis should be done upfront, with 80 percent of the analysis occurring during implementation. The 80 percent can be achieved by:

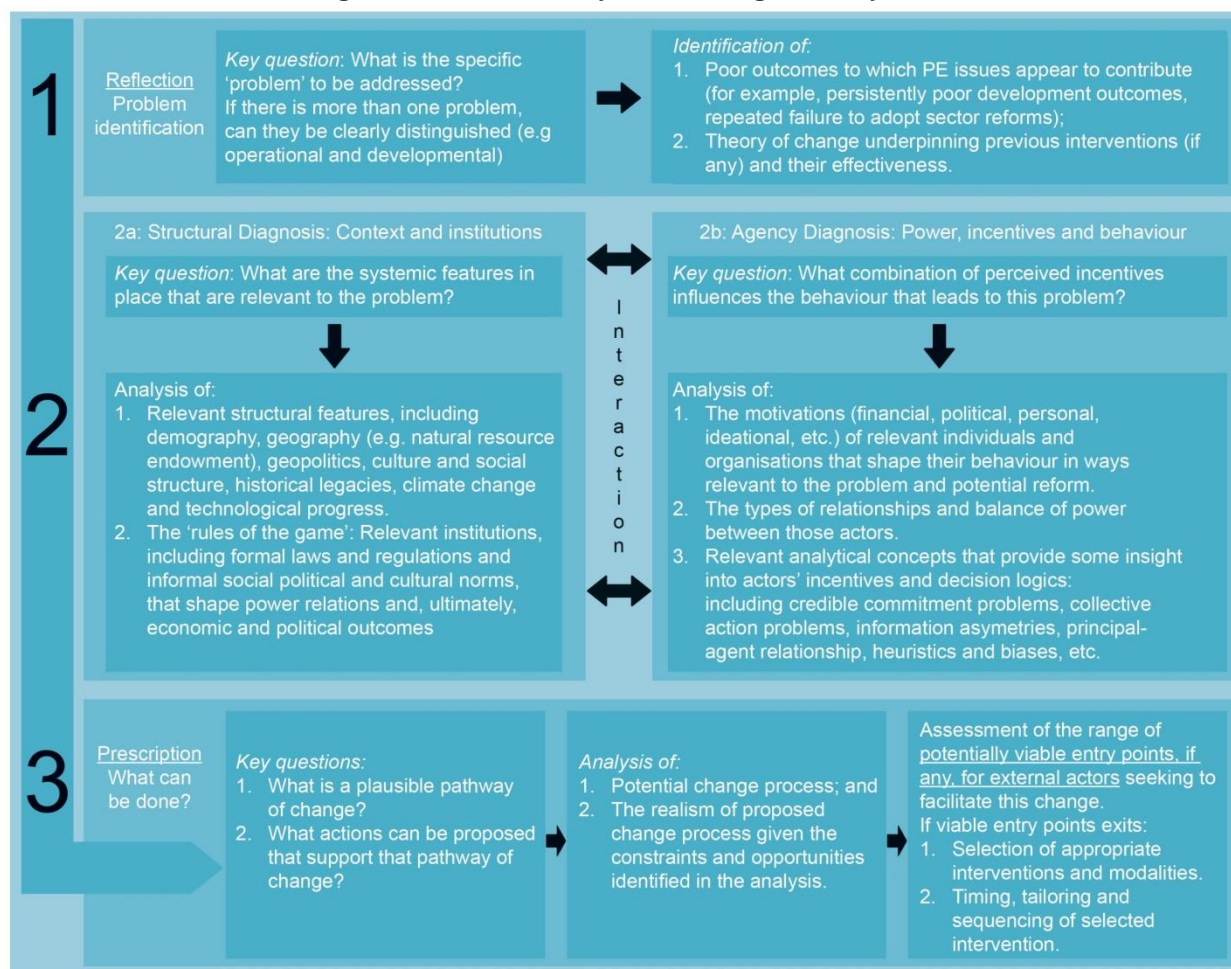
- integrating initial and emerging analysis into monitoring and evaluation
- undertaking regular formal and informal reviews
- supporting staff to gain contextual awareness
- building relationships and sustaining ongoing policy dialogue.

Doing Political Economy Analysis

There are many toolkits in the public domain for doing political economy analysis. We like the approach outlined by Harris, D. (2013) *Applied Political Economy Analysis, A problem-driven framework. Methods and Resources*. ODI Politics and Governance. Overseas Development Institute. Accessed 6 November at: <https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/8334.pdf>. This document is provided on the Prospera shared drive for your use.

The diagram below is an extract from Harris and illustrates the thinking pathways for this approach.

Figure 2. Political Analysis Thinking Pathways



1.2 Complex Systems Thinking

Complex systems thinking is a tool for framing an understanding of the system, or systems, in which you are seeking to contribute to or influence change. You would use this systems thinking approach when you are designing an activity or when you are considering how you might monitor or evaluate the progress of your activity.

Prospera is operating in a very large, emerging market system. There is nothing linear and simple about the context in which Prospera operates. It is important that design of activities under Prospera takes this complexity into account.

Achievement of 'end of activity', or 'end of facility,' outcomes will depend on multiple events and stakeholders along the change path, with lessening control and influence of management through time, in a context of political, institutional, national and international events.

A glimpse of complexity thinking¹

Complexity is more a way of thinking about the world than a new way of working with mathematical models. Over a century ago, Frederick Winslow Taylor, the father of scientific management, revolutionized leadership. Today, advances in complexity science, combined with knowledge from the cognitive sciences, are transforming the field once again. Complexity is poised to help current and future leaders make sense of advanced technology, globalisation, intricate markets, cultural change, and much more. In short, the science of complexity can help all of us address the challenges and opportunities we face in a new epoch of human history.

A complex system has the following characteristics:

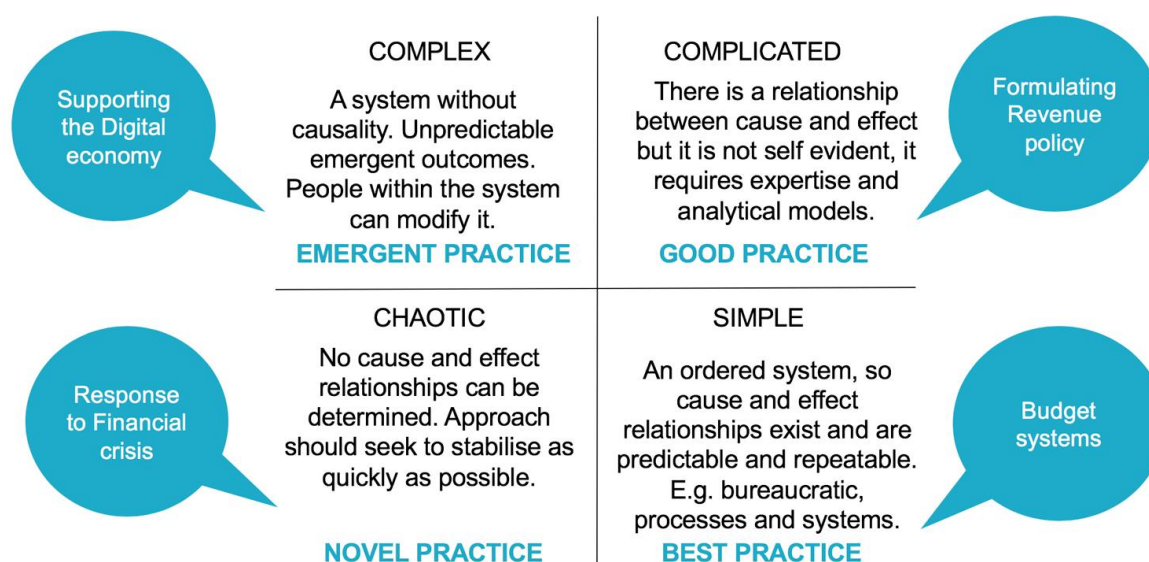
- It involves large numbers of interacting elements.
- The interactions are nonlinear, and minor changes can produce disproportionately major consequences.
- The system is dynamic, the whole is greater than the sum of its parts, and solutions can't be imposed; rather, they arise from the circumstances. This is frequently referred to as *emergence*
- The system has a history, and the past is integrated with the present; the elements evolve with one another and with the environment; and evolution is irreversible.
- Though a complex system may, in retrospect, appear to be ordered and predictable, hindsight does not lead to foresight because the external conditions and systems constantly change.
- Unlike in ordered systems (where the system constrains the agents), or chaotic systems (where there are no constraints), in a complex system the agents and the system constrain one another, especially over time. This means that we cannot forecast or predict what will happen.

¹ Extract from Snowden, D. and Boone, M. (2007) 'A Leader's Framework for Decision Making' Harvard Business Review Accessed 24 October 2018 <https://hbr.org/2007/11/a-leaders-framework-for-decision-making>.

Figure 3. Quadrants of Complex Systems Thinking

COMPLEX	COMPLICATED
Control: Some control of outputs but many influencers on outcome achievement; Success: Look for what worked and why, quantitative and qualitative mixed monitoring methods; Predictability: Outcomes are influenced by outputs but not in direct control; Focus: On opportunities	Control: Control of outputs and strong contribution link to outcomes; Success: Quantifiable monitoring; Predictability: Predictable pathway with options and multiple approaches; Focus: Problem solving.
CHAOTIC	SIMPLE
Control: Little control; Success: Look for what worked in real time, qualitative monitoring methods; Predictability: No longer term predictable responses; Focus: On opportunities.	Control: Control of outputs and outcomes; Success: Quantifiable monitoring methods with a linear input – output – outcome; Predictability: Very predictable responses; Focus: Problem solving.

This figure further illustrates the four quadrants that are described in complex systems thinking². Prospera delivers activities that fit in each quadrant.

Figure 4. Prospera's Quadrants of Complex Systems Thinking

² Accessed 30 August 2018 <http://cognitive-edge.com/videos/cynefin-framework-introduction/> ; <http://cognitive-edge.com/>

Another glimpse of complexity thinking

Complexity, Emergence & Importance of Failure

Written by Zhen Goh³

When seeking to solve problems, Snowden (2004) recognises that we have a tendency to either look for “best-practice” type strategies and imitate them, and/or stop exploring solutions too early. We think we have found the answer – and hence stop exploring how the ideas can be improved and made better. He calls this “premature convergence”. Where systems and the environments in which they exist become increasingly complex, what is known and what can be planned for becomes less certain – introducing and increasing organisational tolerance for failure is more crucial than ever. This tolerance for failure is essential in ensuring the resilience of organisations.

In complex systems, patterns emerge due to multiple interactions between agents and by accident. Although they may appear coherent in retrospect, but are not in advance. “Best practice” style management approaches thus do not take into account the context-bound interactions in new and complex environments (Snowden, 2003).

Premature convergence thus results, and this is due in part to three basic assumptions that have directly or indirectly underpinned decision-making in organisations (Kurtz & Snowden, 2003). These are (1) the assumption of order in the system, (2) the assumption of rational choice in people and (3) the assumption of intentional capability.

The assumption of order: lies at the heart of basic logic-governed, cause and effect thinking. It assumes an understanding of the system, in a non-varying manner – that certain actions will produce certain effects. This however, does not take into account the inherent chaos of everyday life, and the complexity of actions that produce emergent effects unforeseen and unknowable by people in advance.

The assumption of rational choice in people: this is a fallacy of neo-classical economists, where people are reduced to “rational” beings who will indubitably make decisions based on maximising pleasure and reward, and minimising pain and punishment. People, however, are multi-faceted beings. Everybody plays multiple roles in any one organisation and in their daily existence – thus the way in which “reward” and “pain” are understood and operationalised cannot be tied to universal benchmarks. Duplicity of intent and the subsequent complexity it causes cannot therefore be ignored.

The assumption of intentional capability: traditional cause-and-effect style decision-making and policy interventions do not allow for the serendipity of accidents. We assume that things are logical and that people do the things they do deliberately when, in effect, most things do not necessarily carry the laden meaning we confer upon them (Juarrero, 1999). “We accept that we do things by accident, but assume others do things deliberately” (Kurtz & Snowden, 2003: 463).

These three principles govern most large-scale intervention measures. However, in light of the increasingly complex environment most systems present (Axelrod & Cohen, 1999; Stacey, 2001) – where there are more things that we cannot know or predict – embracing complexity as inevitable, and accepting our inability to control the effects of changes in a complex system, allows for emergent effects to evolve and surface in small ways.

³ Accessed 6 November 2018 <https://cognitive-edge.com/concept-papers/complexity-emergence-importance-of-failure/>

The emphasis, then, is not on ensuring success or avoiding failure, but in allowing ideas that are not useful to fail in small, contained and tolerable ways. The ideas that do produce observable benefits can then be adopted and amplified when the complex system has shown the appropriate response to its stimulus. Where systems and the environments in which they exist become increasingly complex, what is known and what can be planned for becomes less certain – **introducing and increasing organisational tolerance for failure is more crucial than ever. This tolerance for failure is essential in ensuring the resilience of organisations.**

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1.3 Outcome Mapping

Outcome Mapping provides a set of tools that can be used stand-alone or in combination with other planning, monitoring and evaluation systems to:

- identify individuals, groups or organisations with whom you will work directly to influence behavioural change;
- plan and monitor behavioural change and the strategies to support those changes;
- monitor internal practices of the program/ facility to remain effective; and
- create an evaluation framework to examine more precisely a particular issue.

This approach is fully documented in:

Terry Smutylo, Outcome mapping: A method for tracking behavioural changes in development programs (The Institutional Learning and Change (ILAC) Brief 7, August 2005) and on https://www.betterevaluation.org/en/plan/approach/outcome_mapping

This section contains excerpts from the publications highlighting the process and users and uses of Outcome Mapping.

Under Prospera, Outcome Mapping could be applied to an advisory led activity or an Australian agency work plan. It is a similar approach to building a program logic and using that as the basis for developing a Monitoring and Evaluation plan.

Process

Outcome mapping provides tools that help a development program to think holistically and strategically about how it intends to achieve results. It encourages a team to introduce monitoring and evaluation at the planning stage and to link them to program implementation and management. It also links implementation to outcomes, so it is well suited to the complex and long-term nature of international development programs, where different outcomes are not easily or usefully separated. Focusing monitoring and evaluation on identified 'boundary partners' allows the program to measure results within its sphere of influence, to obtain useful feedback that can help improve performance and to take credit for its contribution to outcomes rather than for the outcomes themselves.

At a planning stage, the process of Outcome Mapping helps a program/ facility to be specific about the actors it targets, the changes it expects to see, and the strategies it employs.

Outcome Mapping Terms

- **Boundary partners:** Individuals, groups or organisations with which the program interacts directly and which the program hopes to influence.
- **Intentional design:** The planning stage, where a program reaches consensus on the macro-level changes it wants to influence and the strategies to be used.
- **Outcome challenge:** Description of the ideal changes the program intends to influence in the behaviour, relationships, activities and/or actions of a boundary partner.
- **Progress markers:** A set of graduated indicators of changed behaviours of a boundary partner that focus on the depth or quality of the change.

For ongoing monitoring, Outcome Mapping provides a set of tools to design and gather information on the results of the change process, measured in terms of the changes in behaviour, actions or relationships that can be influenced by the program/ facility.

As an evaluation approach, Outcome Mapping unpacks an initiative's theory of change, provides a framework to collect data on immediate, basic changes that lead to longer, more transformative change, and allows for the plausible assessment of the initiative's contribution.

Outcome Mapping can also contribute important elements to results-based management, such as supporting stakeholder learning in relation to the management of the program/ facility, fostering communication as a basis for interactive participation, and strengthening counterpart institutions.

The Outcome Mapping process involves 3 stages of thinking: *intentional design, outcomes and performance monitoring, and evaluation planning*.

Stage 1. Intentional Design: helps a program to clarify and reach consensus on the macro-level changes they would like to support and to plan appropriate strategies. The team should clearly express the long- term, downstream impacts that they are working towards, bearing in mind that the program will not achieve them single-handedly. These goals provide reference points to guide strategy formulation and action plans (rather than acting as performance indicators).

Progress markers, which are used to track performance, are developed for each boundary partner. These identify the incremental (and often upstream) changes that the program realistically hopes to influence, which prompt behavioural change and build the foundations of sustained change.

Outcome mapping **does not help a team identify program priorities**. It is appropriate and useful only when a program has already chosen its strategic direction and wants to chart its goals, partners, activities and progress towards anticipated results. After clarifying the changes, the program intends to influence, the team should select activities that maximise the likelihood of success. In essence, the intentional design stage helps articulate answers to the following four basic questions, each of which is tied to one or more of the twelve steps of the whole Outcome Mapping process (a detailed table is provided on the following page)

WHY?	HOW?	WHO?	WHAT?
<i>Vision statement</i>	<i>Mission Strategy maps Organisational practices</i>	<i>Boundary partners</i>	<i>Outcome challenges Progress markers</i>

Stage 2. Outcome and Performance Monitoring: provides a framework for monitoring actions and boundary partners' progress towards outcomes/goals. The performance monitoring framework builds on the progress markers, strategy maps and organisational practices developed in the intentional design stage. There are three data collection tools:

- an outcome journal monitors boundary partner actions and relationships;
- a strategy journal monitors strategies and activities; and
- a performance journal monitors the organisational practices that keep the program relevant and viable.

These tools provide structured frameworks to help the team reflect on the data they have collected and how it can be used to improve performance.

Within this framework, the team can identify a broad range of monitoring information, possibly more than they can feasibly use. Consequently, they may have to make choices, selecting only the information that they can afford to collect. Being realistic about what information to collect and use is important when it comes to program evaluation. Rather than trying to evaluate all aspects of a program, the team can decide to conduct a strategic evaluation, focusing on a particular strategy, issue or relationship in some depth. (This is known as purposeful sampling.)

Stage 3. Evaluation Planning: helps the team set priorities so they can target evaluation resources and activities where they will be most useful. At this stage, evaluation planning outlines the main elements of the evaluations to be conducted.

Details of the twelve steps across the 3 stages of Outcome Mapping are described in the following Stages of Outcome Mapping.

STAGES OF OUTCOME MAPPING	
STAGE 1: INTENTIONAL DESIGN (7 steps/tools)	
1.	The <u>Vision</u> describes the large-scale development changes that the program hopes to encourage.
2.	The <u>Mission</u> spells out how the program will contribute to the vision and is that 'bite' of the vision on which the program is going to focus.
3.	The <u>Boundary Partners</u> are those individuals, groups, or organisations with whom the program interacts directly and with whom it anticipates opportunities for influence.
4.	An <u>Outcome Challenge Statement</u> describes the desired changes in the behaviour, relationships, activities, actions (professional practices) of the boundary partner. It is the ideal behavioural change of each type of boundary partner for it to contribute to the ultimate goals (vision) of the facility.
5.	<u>Progress Markers</u> are a set of statements describing a gradual progression of changed behaviour in the boundary partner leading to the ideal outcome challenge. They are a core element in Outcome Mapping and the strength rests in their utility as a set of desired changes which indicate progression towards the ideal outcome challenge and articulate the complexity of the change process. They represent the information which can be gathered in order to monitor partner achievements. Therefore, progress markers are central in the monitoring process. Progress markers can be seen as indicators in the sense that they are observable and measurable but differ from the conventional indicators used in a logical framework approach (LFA). Progress markers can be adjusted during the implementation process, can include unintended results, do not describe a change in state and do not contain percentages or deadlines.
6.	<u>Strategy Maps</u> are a mix of different types of strategies used by the implementing program to contribute to and support the achievement of the desired changes at the level of the boundary partners. Outcome Mapping encourages the program identify strategies which are aimed directly at the boundary partner and those aimed at the environment in which the boundary partner operates.
7.	<u>Organisational Practices</u> explain how the implementing program is going to operate and organise itself to fulfil its mission. It is based on the idea that supporting change in boundary partners requires that the facility team itself is able to change and adapt as well, i.e., not only by being efficient and effective (operational capacities) but also by being relevant (adaptive capacities).
STAGE 2: PERFORMANCE MONITORING (4 steps/tools)	
8.	<u>Monitoring Priorities</u> provides a process for establishing the areas of the program to be monitored.
9.	<u>Outcome Journals</u> are a tool for collecting data about the progress markers over time.
10.	<u>Strategy Journals</u> are a tool for collecting data about the program activities.
11.	<u>Performance Journals</u> are for collecting data about organisational practices.
STAGE 3: EVALUATION PLANNING (1 step/tool)	
12.	<u>Evaluation Plan</u> provides a process and a tool for designing an evaluation using Outcome Mapping.

Users and Uses

Potential users of Outcome Mapping should be aware that the methodology requires skilled facilitation as well as dedicated budget and time, which could mean support from higher levels within an

organisation. Outcome Mapping also often requires a “mind shift” of personal and organisational paradigms or theories of change.

Outcome mapping is usually initiated through a participatory process at a design workshop led by an internal or external facilitator who is familiar with the methodology. This event is geared to the perspectives of those implementing the program and focuses on planning and assessing the changes they want to help bring about. It is useful to include boundary partners in the initial workshop for their input on the relevance, activities and direction of the program. The workshop allows the group to confirm and express the macro-level changes it would like to support, decide how it will influence these changes and select appropriate strategies. It also provides a basis for subsequent discussions with partners to negotiate or adjust program intentions. Ideally, the monitoring and evaluation system would have been outlined at the planning stage of the program. However, this is not always the case, so outcome mapping has elements and tools that can be brought in later and adapted for use on their own or combined with other frameworks.

USES OF OUTCOME MAPPING	
Manage	Outcome Mapping includes two generic tools to support these decisions: monitoring plan for setting monitoring priorities (step 8) and the evaluation plan (step 12). These tools are based on the principles of utilization-focused evaluation and both can be used for any kind of evaluation, not just those applying Outcome Mapping
Define	<p>The vision and mission steps of Outcome Mapping provide a useful way of succinctly describing the initiative. The particular way that Outcome Mapping uses these common tools, and the process it suggests for developing them, make them very effective at getting to the core of what an initiative is really about and what its core contributions are.</p> <p>The outcome challenge and progress markers tools, together with the outcome journals, allows users to capture unintended changes in behaviour of crucial actors external to the program, as the program is running. They can also be used in a retrospective evaluation, to reconstruct a process of change to bring up intended and unintended (positive and negative) outcomes.</p> <p>The 7 steps of the intentional design stage of Outcome Mapping provide users with a guided process for developing a logic model based on the articulation of changes desired in direct partners, and the strategies employed by the initiative to support these. In particular, the Progress Marker tool (step 5) helps users develop a theory of change for particular actors based on concrete, observable behaviour changes.</p>
Frame	<p>The Outcome Mapping concept of boundary partners can be useful in identifying intended users of an evaluation by focusing on those who are directly associated with the initiative itself.</p> <p>Outcome Mapping suggests a participatory approach to developing outcome challenges and progress markers together with boundary partners. This process is very effective at illuminating different perspectives of the initiative and the underlying values of different stakeholders.</p>
Describe	<p>Although Outcome Mapping does not depend on any particular data collection option, it does suggest the use of journals for collecting qualitative data. Outcome journals are used to collect data about behavioural changes observed among boundary partners while the strategy journal is used to collect data about the activities completed. A third journal is also provided for collecting data about the internal performance of the initiative, in particular its learning function.</p> <p>In cases where there are many boundary partners grouped together (perhaps because they play a similar role or the outcomes hoped for are similar), being able to see the outcome journals for each of them can provide a quick overview to compare across the set.</p>
Understand causes	With the use of progress markers, the process towards a specific outcome can be analysed independently from the intervention itself. If the journals are used well then

USES OF OUTCOME MAPPING	
	<p>ongoing monitoring will result in a record of incremental change that may or may not have been influenced by the initiative. This can then be used to reconstruct pathways of change. Likewise, a retrospective assessment based on the Outcome Mapping approach will generate alternative and complimentary explanations.</p> <p>Outcome Mapping is explicit about the fact that change occurs as a result of many actors and factors. It is designed for the purpose of understanding an initiatives contribution to change in the context of other factors outside of its control and each step in the Outcome Mapping process builds on this idea.</p>
Report & support use	<p>Supports use: Outcome Mapping provides a process and guidelines for continuous reflection among key actors involved in the initiative. By building in participation from the start, Outcome Mapping maximises the chances that findings will result in actual changes on the ground.</p>

1.4 Program Logic (or Logic Model)

Program logic, or a logic model, is defined as an articulated model of how a program or project is understood or intended to contribute to its specified outcomes and that focuses on intermediate outcomes rather than tightly specified process. Such models are usually shown diagrammatically but can be reported in narrative form.

Program logic can be developed prospectively for planned new programs or retrospectively for existing programs. Program logic can be used in various ways, such as to guide an evaluation; to provide staff and other stakeholders with a motivating vision; or to structure a performance story to funders and senior decision makers.

Source: Rogers, P. (2005) **Logic Model**, in Encyclopaedia of Evaluation, edited Mathison, S. Sage Publications, California. pp 232-235

Under Prospera it is expected that all teams designing activities and work plans will have developed some form of program logic or logic model in participation, to demonstrate the logic of their thinking and design, and to clearly articulate the change to which they hope to contribute.

This section describes a process for developing program logic in participation with your colleagues. Also refer to Outcomes Mapping. Theory of change is a similar approach.

Building program logic

First, some definitions:

Outcome level	Description
Longer Term Outcome	The specific overall changes the investor and partners are hoping to contribute to with their investment/project. A desired future condition.
End of Project Outcomes	The outcomes expected to be achieved in the life of the project.
Intermediate Outcomes	The 'steps along the way' to achievement of end of project and longer-term outcomes; For example, can include: <ul style="list-style-type: none"> • Changes in the way institutions, organisations and systems function; • Changes in policy or governance • Changes in individual and group behaviour and practice • Changes in access to knowledge and information • Increased motivation; Increase in confidence, improvement in attitudes • Increases in skills and knowledge
Immediate Outcomes	The immediate observable changes as the result of activities.
Outputs	Specific achievements or deliverable resulting from an activity (can be interchangeable with Immediate Outcome)
Activities	The actual significant tasks undertaken to implement a design
Inputs	Human resources, Funds, Materials
Foundation (Getting Ready)	Can include development of relevant projects, conduct of research, establishment of agreements or contracts

Note: The word ‘**outcome**’ is often used interchangeably with ‘**objective**’ or ‘**goal**’.

These elements fit together to form an **outcome hierarchy**, the basis for a program logic. The most typical ‘convention’ for an outcome hierarchy is that the longer-term outcomes are at the top of the hierarchy, with the activities near the bottom.

Building program logic in participation

It is always better to build program logic in a group with a participatory process. For example, you could build a ‘straw man’ (draft) program logic with your core team and then test it with your partners and stakeholders. The following principles are useful to consider:

Principles for program logic

- A clear understanding and agreement are required among participants about what needs to change and how the project can best contribute to that change in the context of the particular system.
- Discussion of what is working and people’s vision and aspirations are more useful than statements of problems.
- Explicit immediate and intermediate outcomes pave the way for establishing project strategies and activities.
- Program logic is more complete when:
 - accompanied by an analysis of contextual conditions that are critical for the project to succeed.
 - areas of uncertainty are explicitly stated (assumptions).

Step 1: Scope

Scoping the boundaries for the program logic is an important discussion to have at the start of the process either before, or at the commencement of the program logic workshop. Make sure that you have answers to the following questions, or that there are opportunities to address them through the workshop:

1. What is the investment timeframe and what is the amount of funding available for the investment/project?
2. What is the broad overall outcome to which you want the project to contribute? Then, what is achievable in the life of the project?
3. What needs to change and which changes are most urgent? What is the best sequence?
4. What do we know that works to achieve the changes required? (Why does it work and for whom?) What else could we try? (Are we operating in an environment that could allow for testing innovative approaches?)
5. Are there any rules or regulations that will need to be considered in designing the project?
6. Who will use the program logic and how will it be used?
7. Is there potential for partnerships? What other resources are available? Who else could/should be included?

Step 2: Develop an outcomes hierarchy

Project longer term outcomes typically take a long time to achieve and usually involve a wide range of activities often conducted in complex social, cultural, political and economic circumstances.

You can apply specific timeframes to each level of the outcomes hierarchy. The end of project outcomes is those you will need to report on during and post project. Think positively about how the project can contribute to achieving the changes desired that are under consideration. There will be later opportunities to challenge the program logic.

As a group, you will be writing a series of outcome statements – statements describing the future desired condition, while you take a ‘looking backwards’ view on what changes will be needed along the way.

Resources: Ideally, you will map the program logic out on a wall using coloured paper (colour coded to the outcome levels), good quality thick markers for clear, big writing, that you can read from a distance and blu-tack, for sticking the paper on the wall.

Building program logic is a dynamic thinking process. It can be varied to suit the particular task on which you are focused. **Box 1** is a guide to writing outcome statements. The subsequent table sets out a typical process you can apply to build program logic.

Box 1 Guide for writing outcome statements

- State outcomes succinctly (*about 10 words or less*) indicating clearly what change will look like -- a statement of a desired future condition. It must say '**what**' has changed, not '**how**' the change will be achieved. '**How**' will come later when you think about activities and strategies that will contribute to achieving the desired outcomes.
- Include the subject of change; who or what will experience the change?
- Use simple language – no ambiguity. Define the key terms used if necessary.
- Remove all unnecessary adjectives such as *quality, ensured, compliant, affordable, resilient, reliable* etc. that will increase the difficulty of measuring outcomes. By definition it is assumed the outcome will incorporate good practice; you are not delivering, by intent, low standard outcomes.
- Test that outcomes are likely to be achieved in the program timeframe. Draw a line across the outcomes map – where those outcomes below the line will be achieved in the life of the program, with those above being potentially achieved as a later consequence.
- Gender and vulnerable groups inclusion: Be careful to ensure that outcome statements are inclusive and specific about all relevant important groups or individuals to whom the investment is targeted e.g. rather than saying '*people*' say '*women, men, girls and boys*'.

Table 2. Process for building your program logic**Step 1: Defining and clarify the Longer-Term Outcomes (5 - 10+years).**

These are the big picture changes the investor and partners are hoping to contribute to with the project; a desired future condition for broader society, particular groups or particular institutions.

- Make sure that there is general agreement that these are the intended outcomes.
- They can be reviewed at any stage as the program logic is described.

Step 2. Once you have agreed the longer-term outcomes, start describing the End of Project Outcomes and Intermediate outcomes that are desired/ intended, which will likely lead to the longer-term outcomes.

Endeavour to describe exactly what it is that you want individuals, groups, organisations or institutions to be doing differently. Look at the types of example changes in the definitions table above. Map out the changes that you intend to achieve over time, with the earlier expected changes lower down 'on the wall'.

- Ideally, you will use arrows to illustrate the cause and effect relationships between outcome levels (*this leads to that, and that...*)
- This is where you need to be discussing as a group how you believe change is achieved.

Step 3. Now you can think about, describe and add the inputs, activities / strategies, outputs that would contribute to achievement of the expected intermediate and end of project and longer-term outcomes.

- As you describe activities, it is likely that you will review and refine the intermediate outcomes.
- Sometimes you are already implementing activities (often for political or other reasons) without having been clear about the outcome to which you have been trying to contribute. In this case you would start your program logic at activity level and think upwards to describe intermediate outcomes.
- Sometimes you have a number of 'strands' of activities contributing to one intermediate outcome, or one activity contributing to a number of intermediate outcomes. Make sure you illustrate this in your program logic. Use arrows to help illustrate the connections.

Step 4. Before you commence any project there are often Foundational activities that help you Get Ready to commence the project.

Sometimes these are critical to commencement e.g. negotiating Memoranda of Understanding with partners or negotiating funding arrangements or it might be conduct of a particular piece of research or development of an agreed strategy. Whatever form they take, it is important to be clear about these in your program logic. Map these into your program logic.

Step 5. Developing program logic is an iterative process. Pause and reflect. Check the logic

When you have got through to Step 4 it is time (if you haven't already) to take a step back and look at what you have done.

Ask the group: *What's missing? What needs refining? Is this realistic? Are the cause and effect relationships you have depicted likely or even possible? What could we remove?*

Step 6. Capture the logic

When the group is satisfied that what's on the wall represents what you, and your partners, are endeavouring to achieve you will progress to further critiquing and then documenting assumptions.

You can take a series of digital photos of your program logic to make sure that it is captured for writing up later.

A useful program logic: has been developed collaboratively, meets your needs for describing your project and can be readily understood by your colleagues and project partners.

Step 3: Critique the program logic

When developing program logic, it is always important to be aware of those factors that are within the control or influence of the project (typically the lower levels in the program logic) and those that are not. (Refer Figure 5 below.)

At this point it is useful to think in depth about these factors, which will either help, or hinder, the effectiveness of the project. Going through this process and documenting what is identified and agreed will enable the factors to be taken into account when considering the extent to which outcomes have been achieved. This process provides a reality check and a form of risk assessment.

Working with you group identify the factors that might hinder the achievement of outcomes. (e.g Write on **orange** post-its). Then identify, if possible, any measures you could take to mitigate the factors. (e.g. write on **blue** post-its)

Then, identify the factors that could help the project and who could help you achieve them. (e.g write on **green** post-its.) Document this as part of you overall program logic.

Step 4: Articulate and document assumptions

Program logic is underpinned by a set of assumptions about how change is expected to happen in the particular situation for a project or project. When you develop program logic, you are developing a theory of how change occurs. In doing so you make a number of assumptions, e.g. that (A) leads to (B), or even that it is possible that (A) will happen.

Assumptions are expectations, based on current knowledge and experience, about what is critical to or important for a project's success. Sometimes they are referred to as '**pre-conditions**'. Sometimes the assumptions are not well founded in knowledge and experience, particularly in pilot project designs.

It is very important to articulate and document the assumptions that underpin your program logic to determine whether they are sound or plausible. This will provide a focus for testing and adapting the program logic as the project is implemented.

To frame an assumption you say: "*For this project to succeed it is assumed that (...this condition is in place).....*"

With your group:

- Stand back from the impact pathway model, 'zoom out'.
- Consider the overarching assumptions you have made in the model, working through each outcome level and outcome statement.
- Word the overarching assumptions positively (e.g. **for this project to succeed it is assumed that** e.g. *Government agency officers will be supported by their managers and their organisations to implement what they have learned in the training*).

- Prioritise the assumptions in terms of how important it is that you investigate them. You can do this with the workshop group being allocated 'votes' to allocate to what they perceive are the most 'wicked' or important assumptions.
- Document them in a table (example below). With the outcome hierarchy, the assumptions form a vital part of your program logic.

Key assumptions (focus on linkages between outcomes – use positive wording)	Importance of finding out more about this assumption (or managing for risk)!		
	High	Medium	Low
1.			
2.			
3.			


Step 5: Identify the risks associated with the assumptions

You have now completed your program logic and have documented and prioritised your assumptions. One final step you may like to consider is further identifying the risk associated with the assumptions.

Understanding the context, operating environment and systems in which the project will operate is critical when it comes to designing and assessing the relevance of strategies and activities, anticipating operational problems and finally assessing a project's contribution to change.

An implementing organisations control over factors in the project environment that influence (support or impede) the achievement of outcomes decreases as you progress up each level of the outcomes hierarchy (see Figure 5).

Figure 5. The Limits of Control and Accountability in a Project

Foundational (Getting Ready)	Immediate (Activities)	Intermediate (End project outcomes)	Longer Term	Aspirational Goal
			What is the project contributing towards?	
What overall can the project reasonably be held accountable for influencing?				
What is within the direct control of management?				
Degree of control and accountability reduces				

It can be useful for your team to 'brainstorm' about what circumstances could present a risk to the likelihood of an assumption being correct – that is, that the project activities may not lead to the results assumed in the program logic. This is one part of assessing project risk and assist risk mitigation and management strategies to be put in place. Table 3 provides a more in-depth way for your group to think about how likely it will be that the assumption is wrong and what will be the consequence for the project and if you can do anything about managing the risk.

Table 3. Program Logic Risk Worksheet

Assumption	Likelihood of assumption being wrong 1-5 (1=rare, 5 = very likely)	Consequence for intermediate and longer-term outcomes if assumption is wrong 1-5 (1=insignificant; 5= extreme)	Risk management strategies

Conclusion and Next Steps

You will now have a basic understanding of what program logic is, why and when you use it and some experience in building program logic that is relevant for your work.

- Put your program logic up on your office wall, keep it visible
- Use the logic to test your activity decisions
- Keep it alive, and use it for framing your reporting and refining your approach.
- Celebrate when you have achieved important steps along the way!
- Keep an eye on your assumptions.

1.5 Problem Driven Iterative Adaptation | Navigation by Judgement

Problem Driven Iterative Adaptation (PDIA) is an adaptive program design and implementation approach that helps organisations develop **the capability to solve** complex problems while they are **actually solving** such problems. PDIA is a process that allows for flexible learning and adaptation. In application, organisations generate, test and refine context-specific solutions in response to locally nominated and prioritised problems.

Under Prospera, Problem Driven Iterative Adaptation, fits under the umbrella term of ‘navigation by judgement’, and has been applied over the predecessor facility and into the current facility activity design.

Problem Driven Iterative Adaptation is fully explained in Andrews, M. Pritchett, L, and Woolcock, M. (2017) ‘Building State Capability, Evidence, Analysis, Action.’ Oxford University Press (available as an online publication). There is also an excellent PDIA toolkit that can be found at:

https://bsc.cid.harvard.edu/files/bsc/files/pdiatoolkit_ver_1_oct_2018.pdf. Further a free online course provided by Harvard is available for teams to work together and learn the approach while applying it, between September and December each calendar year.

The following sections draw on both the written resources, providing you with some simple tools to structure your team’s thinking.

PDIA 5 Whys and Ishikawa Analysis

Complex problems are intractable and the “right” solutions are rarely easy to identify. This often leads reformers to push for preferred best practice solutions that they know will not build real capability but will at least offer something to do.

To mitigate this risk, the ‘problem’ needs to be broken down into smaller, more manageable sets of focal points for engagement, which are open to localised solution building. This can lead to a different — and more accurate — understanding of the problem. We refer to this process as deconstructing the problem and this is the second step in doing PDIA.

This section provides tools to help you deconstruct your problem using the ‘5-why technique’ which allows you to identify multiple root causes and to further break down each cause into its sub-causes. You will then use a fishbone or Ishikawa diagram to visually represent your deconstructed problem.

It is important to involve different agents in this process as they will bring different perspectives thus allowing for a more robust deconstruction of the problem. This step has to be done by agents internal to the context and not by outsiders. At this stage we caution against prematurely excluding any causal issues. The answers to the questions should be informed by data/evidence to convince others of their validity.

Please note: These tools are dynamic and need to be updated often over time.

Table 4. An example of “5 why” conversations in action

Your problem as a question: *Why is money being lost in service delivery?*

CAUSE 1	CAUSE 2	CAUSE 3
C1: Funds budgeted for services are disbursed for other purposes	C2: Procurement costs are inflated, leading to fund leakages.	C3: Local officials divert resources to personal purposes.
Why does this happen?	Why does this happen?	Why does this happen?
SC1.1: <i>Loopholes in disbursement systems allow reallocation.</i>	SC2.1: <i>Procurement processes are often half implemented.</i>	SC 3.1: <i>Officials feel obliged to redistribute money.</i>
Why does this happen?	Why does this happen?	Why does this happen?
<i>Disbursement systems are missing key controls.</i>	<i>Procurement processes are often rushed.</i>	<i>Constituents expect officials to redistribute money.</i>
Why does this happen?	Why does this happen?	Why does this happen?
<i>Disbursement system designs were insufficient and have never been improved.</i>	<i>Decisions to procure goods are delayed and delayed again, every year.</i>	<i>Local norms make it appropriate to ‘share’ in this way.</i>
Why does this happen?	Why does this happen?	Why does this happen?
<i>We lack resources and skills to improve system designs</i>	<i>Budget decisions initiating purchase decisions are delayed.</i>	<i>Local communities are poor and depend on this sharing.</i>

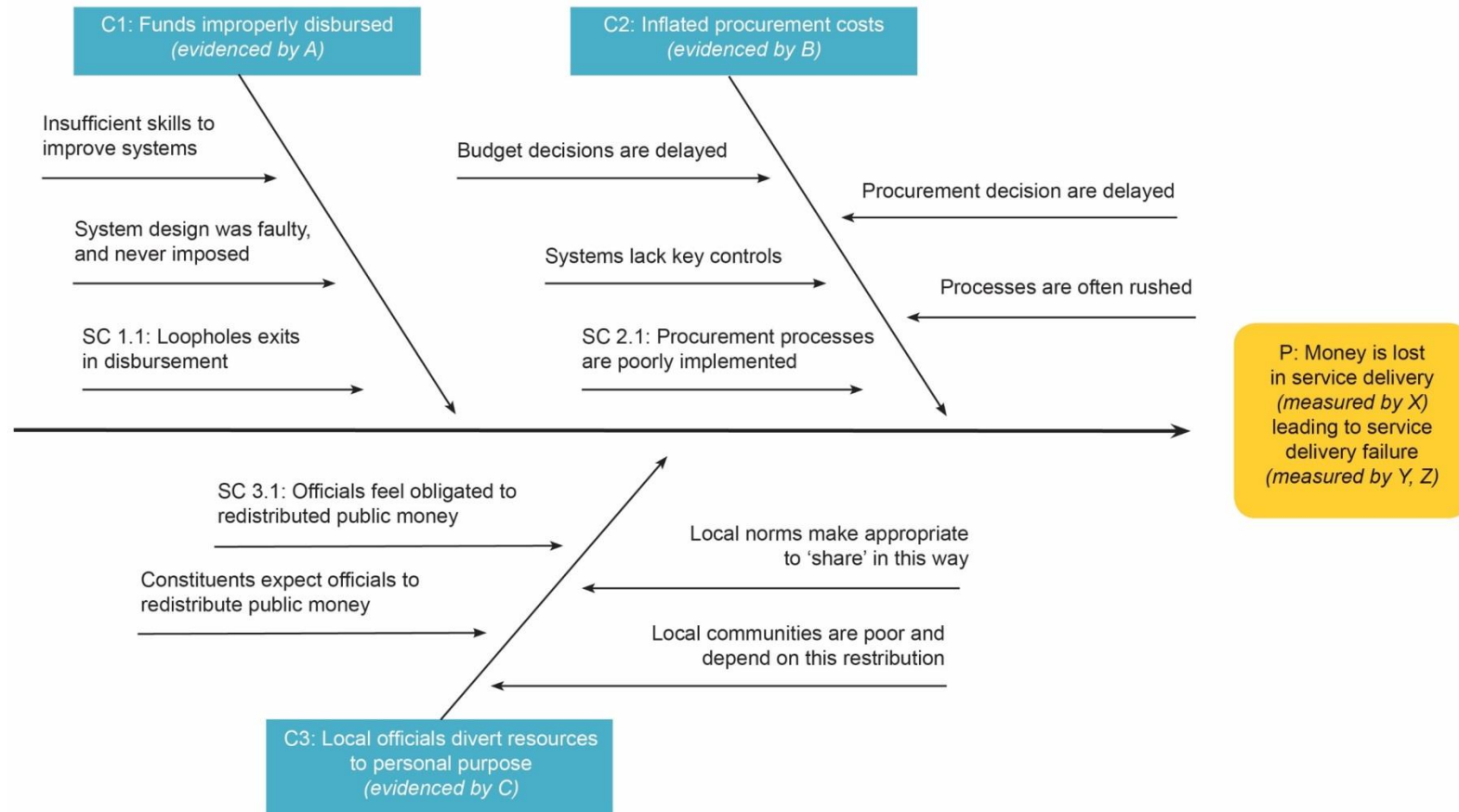
Worksheet X: Our 5 why worksheet

Your problem as a question: -----

CAUSE 1	CAUSE 2	CAUSE 3
Why does this happen?	Why does this happen?	Why does this happen?
Why does this happen?	Why does this happen?	Why does this happen?
Why does this happen?	Why does this happen?	Why does this happen?
Why does this happen?	Why does this happen?	Why does this happen?

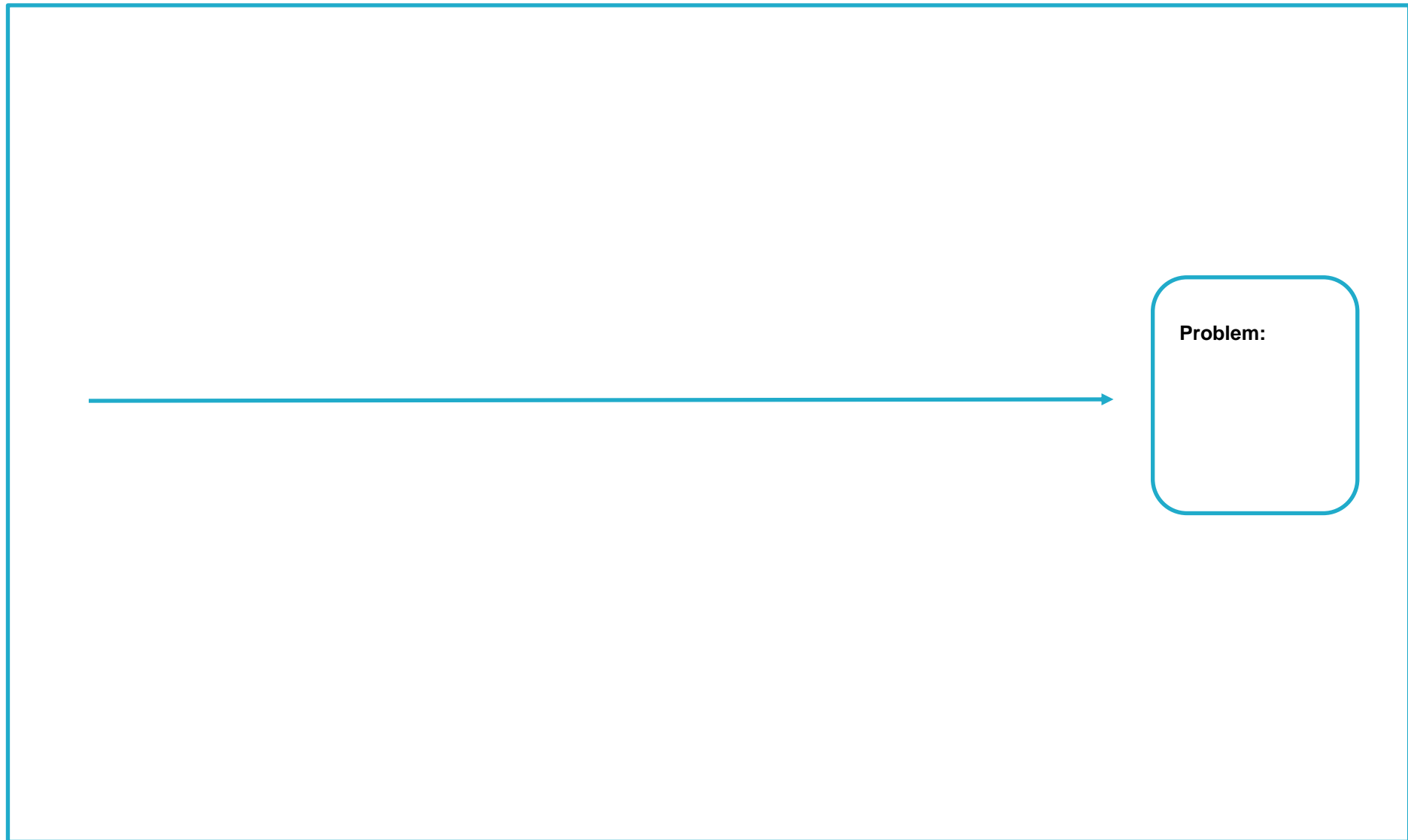
Figure 6. Deconstructing complex problems in Ishikawa diagrams

We use the causes and sub causes from the 5 why sheet in Table 4 to draw an Ishikawa or fishbone diagram.



Worksheet Y: Our Ishikawa diagram: Deconstructing the problem we are trying to solve.

We use the causes and sub causes in our 5 why worksheet to draw an Ishikawa or fishbone diagram.



1.6 Problem Driven Iterative Adaptation | The Triple A framework

The **Triple A framework** is a useful analytical tool for describing and understanding the context in which change is trying to be achieved. This approach is fully described in the Problem Driven Iterative Adaptation literature, Andrews, M. Pritchett, L. and Woolcock, M. (2017) 'Building State Capability, Evidence, Analysis, Action.' Oxford University Press (available as an online publication) pp158-161.

This section is a modified excerpt from that publication and the PDIA Toolkit. See previous section.

Introduction: Problem-Driven Sequencing Orders the Engagement

Most deconstructed problems take the form of meta-problems and raise questions like: Where do I begin to solve the problem? What do I do? How do I ensure that all causal strands are addressed?

Solving these problems will often require multiple interventions that may need multiple entry points for change. Each cause and sub-cause of the fishbone diagram is essentially a separate — albeit connected — point of engagement, and each causal dimension offers different opportunity for change. We refer to this opportunity as the 'space for change.' This change space is contingent on contextual factors commonly found to influence policy and reform success, shaping what and how much one can do in any policy or reform initiative at any time.

Effective sequencing, the third step in doing PDIA, is crucial in helping you with this process. Problem driven sequencing refers to the timing and staging of your engagement given your contextual opportunities and constraints. A failure to sequence effectively could lead, in principle and practice, to premature load bearing (where change demands are introduced before they can be managed by your country or organisation).

Most sequencing decisions in the development community are solution-based, however, and involve introducing the "basics first" of a pre-specified new policy or practice (often identified in an isomorphic way). Such an approach does not ask whether these interventions address the problems in their context, however, or if "basics first" are even possible in the change context (or if the "basics" are indeed always "basic" across different contexts).

The Tool: Triple A framework

An analysis tool has been developed that reformers can use in assessing 'space for change' in any causal dimension area. This tool is not intended as a scientific approach to assessing readiness for change, but generates a set of important questions that reformers can ask when trying to assess where to start an engagement and what kinds of activities to pursue.

This will help you determine whether you should try aggressive new policy or reform initiatives or start with something smaller and grow your change space first. The tool points to three key factors influencing the opportunity for change, authority, acceptance, and ability (triple-A factors):

- **'Authority'** refers to the support needed to effect reform or policy change or build state capability (political, legal, organisational, and personal). Some change needs more authority than other change, and it is always important to assess the extent of authority one already has—and the authority gaps that need to be closed.
- **'Acceptance'** relates to the extent to which those who will be affected by reform or policy change accept the need for change and the implications of change. Different types of change require different levels of acceptance (from narrow or broad groups and at different depths) and the key is to recognise what acceptance exists and what gaps need to be closed to foster change.

- **‘Ability’** focuses on the practical side of reform or policy change, and the need for time, money, skills and the like to even start any kind of intervention. It is important to ask what abilities exist and what gaps need to be closed.

These questions should be assessed with different degrees of rigor, depending on the context and availability of evidence on the status of each “triple-A factor.” At the most basic, we will ask-for each sub-causal strand⁴-what the authorising environment looks like and where authority for intervention will come from, whose acceptance is needed to move ahead, and what kinds of abilities are needed to make real progress. This calls for a descriptive discussion where would-be reformers and policymakers are facilitated to reflect on the contextual factors that actually shape what is possible.

Various tools can be used in this discussion, with a simple example provided in the table below. This is designed to structure a discussion on these factors amongst would-be reformers and policymakers and solicit estimates of the authority, acceptance and ability realities they face. This kind of discussion is often quite novel for many, and the resulting estimates are seldom if ever fully or even sufficiently informed.

Indeed, they require making assumptions about the behaviour of others. We believe these **assumptions are part of doing complex policy and reform**— where we face uncertainty and opacity and do not really know all that we need to know. The goal is to make as good an estimate as possible, in transparent a fashion as possible, so that we allow ourselves to progressively learn more about the context and turn uncertainty into clearer knowledge. As such, we strive to record these assumptions as effectively as possible (to feed into the learning discussed in the next chapter) in the last column of the table.

A basic triple-A change space analysis

Factor	Questions to help you reflect on the contextual change space	AAA estimation (low, medium, large)	Assumptions
Authority to engage	Who has the authority to engage: <ul style="list-style-type: none"> • Legal? Procedural? Informal? 		
	Which of the authoriser(s) might support engagement now?		
	Which probably would not support engagement now?		
	Overall, how much acceptance do you think you have to engage, and where are the gaps?		
Acceptance	Which agents (Person/organisation) have an interest in this work?		
	<ul style="list-style-type: none"> • For each agent on a scale of 1-10, think about how much they are likely to support engagement? 		
	<ul style="list-style-type: none"> • On a scale of 1-10, think about how much influence each agent has over potential engagement? 		
	<ul style="list-style-type: none"> • What proportion of “strong acceptance” agents do you have (with above 5 on both 		

⁴ This refers to earlier problem analysis you may have done using the Ishikawa problem breakdown approach.

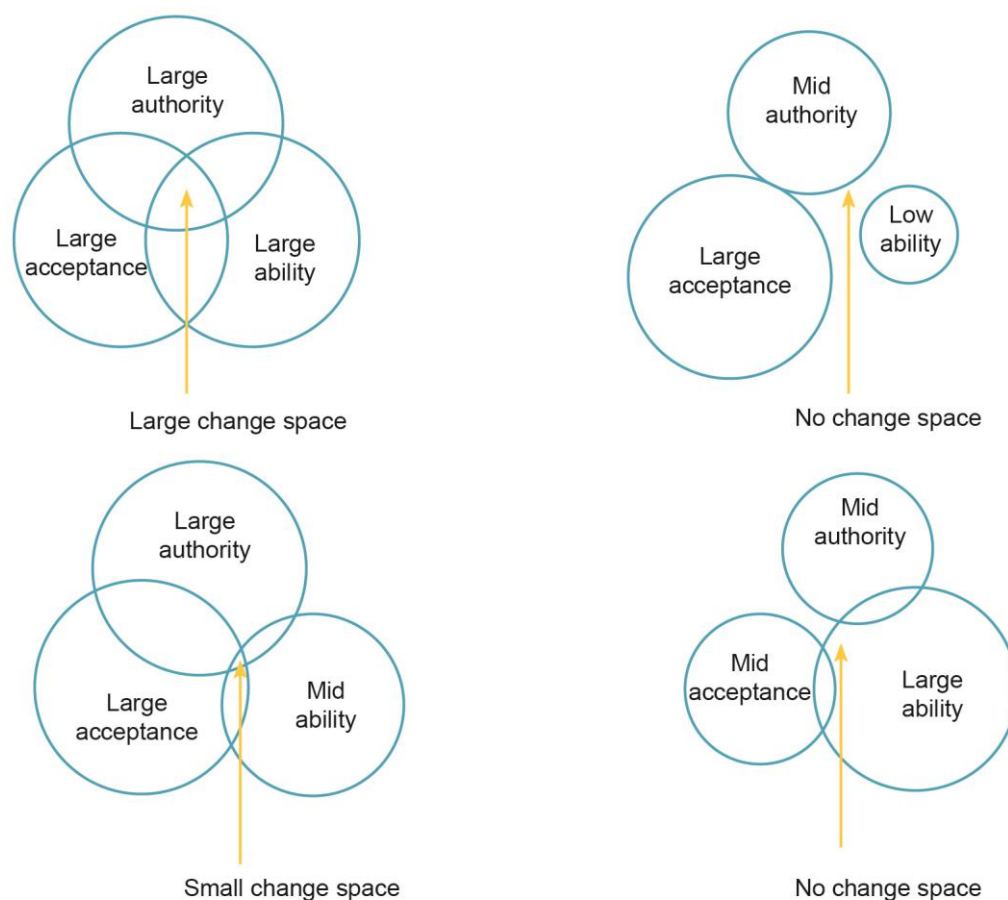
Factor	Questions to help you reflect on the contextual change space	AAA estimation (low, medium, large)	Assumptions
	estimates)?		
	<ul style="list-style-type: none"> What proportion of “low acceptance” agents do you have (with below 5 on both estimates)? 		
	Overall, how much acceptance do you think you have to engage, and where are the gaps?		
Ability	What is your personal ability?		
	<ul style="list-style-type: none"> Who are the key (smallest group of) agents you need to “Work” on any opening engagement? 		
	<ul style="list-style-type: none"> How much time would you need from these agents? 		
	What is your resource ability?		
	<ul style="list-style-type: none"> How much money would you need to engage? 		
	<ul style="list-style-type: none"> What other resources do you need to engage? 		
	Overall, how much ability do you think you have to engage, and where are the gaps?		

Findings will vary when these triple-A factors are considered in respect of each causal dimension in the deconstructed problem. When considering some sub-causes, for instance, reformers are likely to perceive that high levels of authority, acceptance and ability are already in place, which suggests a large change space or readiness for engagement.

This is shown in the left Venn diagram in Figure 7, which provides an easy way to visualise change space estimates and which shows that it is about having all three triple-A factors in place, not just one. These large change space areas allow engagements that can be heavily frontloaded, with bold efforts to resolve the causal issue in question. In other words, they are entry points for aggressive reform.

Figure 7. Triple A Factors in Relation to Each Other

All three factors must be present to a sufficient extent to provide a space for change



What does this mean for designing your activity?

Essentially, one needs to grow the change space in such areas before filling this space with something new (whether a new policy or idea or process). Growing the change space is itself a key engagement in the reform process, involving specific activities that need to be purposively thought out and introduced. This approach will help reformers identify the kind of activities they need to pursue in all cause and sub-cause areas of their deconstructed problem. Many of the areas will warrant activities that grow the change space, whereas others will allow more aggressive reform or policy adjustment because the change space is already perceived as sufficient.

Reformers should look for “quick wins” in this latter set of engagements, which will be crucial to building the authorisation for reform. Problem-driven sequencing like this is both strategic and realistic, focused on staging interventions to progressively solve the problem, given contextual realities (rather than assuming these away or ignoring them). The focus is, overall, on getting the problem solved—and this should be locked in as an aspirational goal as early as possible, with specified metrics that show what “problem solved” actually looks like.

Every entry point activity is intended to lead to this goal, with some early steps growing the change space needed for future steps and some aggressively filling the already-extant change space with new policy or reform initiatives. These aggressive early steps should yield the “quick wins” that show the gains of change and point to the promise of more far-reaching change in future. This helps to satisfy the twin need for reform plans that are grounded and practical (addressing “what’s next” and “what’s possible”) and visionary (tackling the big picture issues that authorisers often focus on).



PROSPERA

Program Kemitraan Indonesia
Australia untuk Perekonomian

2 Tools for Monitoring and Evaluation

Monitoring and Evaluation of Capability Development

2.1 Most Significant Change Technique

The **Most Significant Change (MSC) technique** is a form of participatory monitoring and evaluation. It is participatory because many project stakeholders are involved both in deciding the sorts of change to be recorded and in analysing the data. It is a form of monitoring because it occurs throughout the program cycle and provides information to help people manage it. MSC contributes to evaluation because it provides data on impact and outcomes which can be used to help assess the performance of the programme as a whole. The technique involves the collection of stories of significant change from program participants.

Excerpts from the source document: Davies, R, and Dart, J. (2005) The 'Most Significant Change' Technique; Accessed 7 November 2018 at https://www.betterevaluation.org/en/resources/guides/most_significant_change; or a brief reference at <https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6383.pdf>. **This technique supports monitoring, evaluation, reporting and learning. Refer also Significant Instances of Policy and System Improvement.**

The Most Significant Change Technique is well explained in the source document, which can be found here: https://www.betterevaluation.org/en/resources/guides/most_significant_change, while many variations of the approach have been successfully applied in a range of circumstances.

Essentially, the process involves the collection of significant change (SC) stories emanating from the field level, and the systematic selection of the most important of these by panels of designated stakeholders or staff. The designated staff and stakeholders are initially involved by 'searching' for project impact. Once changes have been captured, various people sit down together, read the stories aloud and have regular and often in-depth discussions about the value of the reported changes. When the technique is successfully implemented, whole teams of people begin to focus their attention on programme impact.

In sum, there are 10 steps:

- How to start and raise interest
- Defining the domains of change
- Defining the reporting period
- Collecting SC stories
- Selecting the most significant of the stories
- Feeding back the results of the selection process
- Verification of stories
- Quantification
- Secondary analysis and meta-monitoring
- Revising the system

The kernel of the MSC process is a question along the lines of:

'Looking back over the last [period of time], what do you think was the most significant change in [particular domain of change]?'

A similar question is posed when the answers to the first question are examined by another group of participants:

'From among all these significant changes, what do you think was the most significant change of all?'

This process provides a simple means of making sense of a large amount of complex information collected from many participants across a range of settings.

Telling each level about the choice of significant changes made at the higher levels is an essential component of the whole process. This helps readjust the focus of searches for significant change in each subsequent reporting period.

Across Prospera this technique lends itself to being applied for understanding potentially increased capability of individuals or work groups as a result of enduring capability development efforts.

Applying the Most Significant Change technique is fun and interesting. Its greatest value lies in the discussion held by program implementers around the stories.

Various learning workshop tools- End of workshop evaluations; workshop reports

- This section provides a number of tools and templates for **end of workshop evaluations** (measuring participant reaction) and **reporting on workshops**.
- Some are provided in both Bahasa Indonesia and English.
- All significant workshops and learning events (longer than a day) should be evaluated and a workshop report prepared, summarising what happened, who attended, how it went and how it could be improved.

2.2 Course/ Training/ Workshop Evaluation Report Template (Bahasa Indonesia Version)

Laporan Evaluasi Course/Training/Workshop

Panduan: Lengkapi lembar ini dengan ringkasan dari hasil evaluasi course/training/workshop yang telah dilakukan. Lembar lainnya terkait laporan pelaksanaan course/training/workshop tersedia dalam dokumen Knowledge, Performance, and Learning Toolkit. Laporan evaluasi course/training/workshop ditujukan untuk mengumpulkan informasi mengenai penilaian peserta atas kegiatan yang telah dilaksanakan.

LAPORAN EVALUASI COURSE/TRAINING/WORKSHOP PROSPERA				
[Nama Course/Training/Workshop]				
Tanggal Mulai:		Lokasi:		Tim Penyelenggara:
Tanggal Berakhir:				
TUJUAN				
1. Xxx 2. Xxx 3. xxx				
PESERTA				
Total: peserta		Perempuan: peserta		Laki-laki: peserta
LAMPIRAN				
1. Agenda Kegiatan		<input type="checkbox"/> Hard copy <input type="checkbox"/> Electronic copy		
2. Materi Kegiatan		<input type="checkbox"/> Hard copy <input type="checkbox"/> Electronic copy		
3. Xxx		<input type="checkbox"/> Hard copy <input type="checkbox"/> Electronic copy		
4. Xxx		<input type="checkbox"/> Hard copy <input type="checkbox"/> Electronic copy		
RINGKASAN EVALUASI				
Pertanyaan 1	Relevan: %		Tidak relevan: %	
Relevansi Apakah course/training/workshop ini relevan dengan tugas/ pekerjaan Ibu/Bapak/Sdr/i?	Ringkasan komentar/ penjelasan: 1. Xxx 2. Xxx 3. xxx			
Question 2	Target Capaian	Tercapai (%)	Tidak Tercapai (%)	Kurang Lebih (%)

LAPORAN EVALUASI COURSE/TRAINING/WORKSHOP PROSPERA					
[Nama Course/Training/Workshop]					
Tanggal Mulai:		Lokasi:		Tim Penyelenggara:	
Efektivitas Apakah menurut Ibu/Bapak/Sdr/i course/training/workshop ini telah dilaksanakan dengan efektif? Apakah menurut Ibu/Bapak/Sdr/i tujuan course/training/workshop ini telah tercapai?	1.				
	2.				
	3.				
	Key comments: 1. Xxx 2. Xxx 3. xxx				
Pertanyaan 3 Pembelajaran (pengetahuan/ keahlian baru) Pengetahuan/ keahlian baru apa yang Ibu/Bapak/Sdr/i dapatkan melalui kegiatan course/training/workshop ini?	Pembelajaran yang paling dirasakan oleh peserta			Total (%)	
	1.				
	2.				
	3.				
Ringkasan komentar/ penjelasan: 1. Xxx 2. Xxx 3. xxx					
Pertanyaan 4 Teori untuk Penerapan Pengetahuan/ keahlian baru apa yang akan Ibu/Bapak/Sdr/i terapkan dalam kaitannya dengan tugas dan pekerjaan Ibu/Bapak/Sdr/i?	Pengetahuan/ keahlian baru apa yang akan diaplikasikan oleh peserta			Total (%)	
	1.				
	2.				
	3.				
Ringkasan komentar/ penjelasan: 1. Xxx 2. Xxx 3. xxx					
Pertanyaan 5 Efisiensi Bagaimanakah penilaian Ibu/Bapak/Sdr/i atas kegiatan course/training/workshop	Topik	Kurang baik (%)	Biasa saja (%)	Baik (%)	Sangat baik (%)
	Materi				
	Pendekatan				

LAPORAN EVALUASI COURSE/TRAINING/WORKSHOP PROSPERA					
[Nama Course/Training/Workshop]					
Tanggal Mulai:		Lokasi:		Tim Penyelenggara:	
ini?	Fasilitator				
	Lokasi/logistik				
	Ringkasan komentar/ penjelasan: 1. Xxx 2. Xxx 3. xxx				
Pertanyaan 6 Perbaikan Hal-hal apa saja yang dapat kami lakukan guna meningkatkan pelaksanaan kegiatan course/training/workshop kami selanjutnya?	Saran untuk peningkatan kegiatan Prospera selanjutnya				Total %
	1.				
	2.				
	3.				

2.3 Course/ Training/ Workshop Evaluation Report Template (English Version)

Course/Training/Workshop Evaluation Report

Guide: Complete this form to provide a summary of evaluation of a course/training/workshop your team has implemented. Other forms for reporting on course/training/workshop are available in the Knowledge, Performance, and Learning Toolkit. A course/training/workshop evaluation report provides information on participants reaction to the event.

PROSPERA COURSE/TRAINING/WORKSHOP EVALUATION REPORT				
[Name of Course/Training/Workshop]				
Start Date:		Venue:		Organising Team:
Finish Date:				
PURPOSE				
1. Xxx 2. Xxx 3. xxx				
PARTICIPANTS				
Total:	participants	Female:	participants	Male: participants
ANNEX				
1. Activity Agenda		<input type="checkbox"/> Hard copy	<input type="checkbox"/> Electronic copy	
2. Workshop Materials		<input type="checkbox"/> Hard copy	<input type="checkbox"/> Electronic copy	
3. Xxx		<input type="checkbox"/> Hard copy	<input type="checkbox"/> Electronic copy	
4. Xxx		<input type="checkbox"/> Hard copy	<input type="checkbox"/> Electronic copy	
EVALUATION SUMMARY				
Question 1 Relevance How relevant was the course/training/workshop with your day to day work?		Relevant: %		Not relevant: %
		Key comments: 1. Xxx 2. Xxx 3. xxx		
Question 2 Effectiveness Do you think the course/training/workshop was effective? Did we achieve our outcomes?		Intended Outcomes	Achieved (%)	Not Achieved (%)
		1.		
		2.		
		3.		
		Key comments: 1. Xxx 2. Xxx 3. xxx		

PROSPERA COURSE/TRAINING/WORKSHOP EVALUATION REPORT					
[Name of Course/Training/Workshop]					
Start Date:		Venue:		Organising Team:	
Question 3 Lessons Learned (new knowledge/ skill) Through this course/training/workshop, what have you learned (new knowledge/ skill)?	What lessons that were learned most				Total (%)
	1.				
	2.				
	3.				
	Key comments: 1. Xxx 2. Xxx 3. xxx				
Question 4 Theory to Practice What was the new knowledge/ skill from the course/training/workshop that you will apply in practice?	What new knowledge/ skill that will be applied in practice				Total (%)
	1.				
	2.				
	3.				
	Key comments: 1. Xxx 2. Xxx 3. xxx				
Question 5 Efficiency How do you rate this course/training/workshop?	Subject	Poor (%)	Okay (%)	Good (%)	Great (%)
	Content				
	Approach				
	Facilitator				
	Venue/logistics				
	Key comments: 1. Xxx 2. Xxx 3. xxx				
Question 6 Improvement How could the course/training/workshop be improved?	Suggestions for improvement				Total %
	1.				
	2.				
	3.				

2.4 Course/ Training/ Workshop Participant Attendance Sheet (Bahasa Indonesia Version)

Panduan: Kolom-kolom berwarna pada daftar hadir ini dilengkapi oleh tim penyelenggara kegiatan (APS Agency atau Advisory Team). Daftar hadir ini dapat dimodifikasi sesuai kebutuhan masing-masing course/training/workshop. Lembar lainnya terkait laporan pelaksanaan course/training/workshop tersedia dalam dokumen Knowledge, Performance, and Learning Toolkit. Tim penyelenggara kegiatan juga dapat menggunakan daftar hadir dalam bentuk lain yang lebih sesuai dengan kebutuhan. Daftar hadir ini bertujuan untuk merekam data peserta yang berpartisipasi dalam kegiatan. Sediakan kolom yang cukup luas agar peserta dapat menuliskan informasi mereka dengan jelas.

DAFTAR HADIR PESERTA COURSE/TRAINING/WORKSHOP PROSPERA							
[Nama Course/Training/Workshop]							
Tanggal:		Lokasi:		Tim Penyelenggara:			
NO.	NAMA LENGKAP	INSTITUSI & JABATAN	NOMOR TEL	ALAMAT EMAIL	JENIS KELAMIN		TANDA TANGAN
					L	P	

2.5 Course/ Training/ Workshop Participant Attendance Sheet (English Version)

Guide: Shaded boxes will be pre-completed by the organising team (name of APS Agency or Advisory Team). Adjust this sheet to best-fit your course/training/workshop purpose. Other forms will be available in the Knowledge, Performance, and Learning Toolkit. Or use your own preferred form. A course/training/workshop attendance sheet records participants data. Ensure sufficient space across columns for participants to clearly write down their information.

PROSPERA COURSE/TRAINING/WORKSHOP ATTENDANCE SHEET							
[Name of Course/Training/Workshop]							
Date:		Venue:		Organising Team:			
NO.	FULL NAME	INSTITUTION & POSITION	MOBILE PHONE NUMBER	EMAIL ADDRESS	SEX		SIGNATURE
					M	F	

2.6 Course/ Training/ Workshop Participant Individual Evaluation Form (Bahasa Indonesia Version)

Lembar Evaluasi Course/Training/Workshop

Panduan: Kolom-kolom berwarna pada lembar evaluasi ini dilengkapi oleh tim penyelenggara kegiatan (APS Agency atau Advisory Team). Lembar evaluasi ini dapat dimodifikasi sesuai kebutuhan masing-masing course/training/workshop. Lembar lainnya terkait laporan pelaksanaan course/training/workshop tersedia dalam dokumen Knowledge, Performance, and Learning Toolkit. Tim penyelenggara juga dapat menggunakan lembar evaluasi dalam bentuk lain yang lebih sesuai dengan kebutuhan. Evaluasi kegiatan ini bertujuan untuk meninjau penilaian peserta atas kegiatan yang telah diselenggarakan. Sediakan kolom yang cukup luas agar peserta dapat menuliskan jawaban mereka dengan jelas.

LEMBAR EVALUASI COURSE/TRAINING/WORKSHOP PROSPERA			
[Nama Course/Training/Workshop]			
Tanggal Mulai:		Lokasi:	Tim Penyelenggara:
Tanggal Berakhir:			
PROFIL PESERTA	JENIS KELAMIN : <input type="checkbox"/> Laki-laki <input type="checkbox"/> Perempuan <input type="checkbox"/> Lainnya		
	INSTITUSI :		
	JABATAN :		
Relevansi Apakah course/training/workshop ini relevan dengan tugas/pekerjaan Ibu/Bapak/Sdr/i?	<input type="checkbox"/> Ya, sangat relevan <input type="checkbox"/> Tidak, tidak relevan Mohon berikan penjelasan mengapa course/training/workshop ini bermanfaat atau tidak bermanfaat bagi Ibu/Bapak/Saudara/i (dan juga misalnya bagi tim kerja Ibu/Bapak/Saudara/i)		
Efektivitas Apakah menurut Ibu/Bapak/Sdr/i course/training/workshop ini telah dilaksanakan dengan efektif?	Lengkapi kolom-kolom di bawah ini dengan topik dan capaian yang diharapkan dari course/training/workshop		
	Topik	Target Capaian	Tercapai atau Tidak Tercapai
	a)		<input type="checkbox"/> Ya <input type="checkbox"/> Tidak <input type="checkbox"/> Kurang lebih

LEMBAR EVALUASI COURSE/TRAINING/WORKSHOP PROSPERA			
Apakah menurut Ibu/Bapak/Sdr/i tujuan course/training/workshop ini telah tercapai?			
	b)		<input type="checkbox"/> Ya <input type="checkbox"/> Tidak <input type="checkbox"/> Kurang lebih
	c)		<input type="checkbox"/> Ya <input type="checkbox"/> Tidak <input type="checkbox"/> Kurang lebih
	Mohon berikan komentar atau penjelasan selanjutnya terkait pernyataan Ibu/Bapak/Sdr/i di atas:		
Pembelajaran (pengetahuan/ keahlian baru) Pengetahuan/ keahlian baru apa yang Ibu/Bapak/Sdr/i dapatkan melalui kegiatan course/training/workshop ini?	Pembelajaran #1:		
	Pembelajaran #2:		
	Pembelajaran #3:		
	Mohon berikan komentar atau penjelasan selanjutnya terkait pernyataan Ibu/Bapak/Sdr/i di atas:		

LEMBAR EVALUASI COURSE/TRAINING/WORKSHOP PROSPERA																					
Teori untuk Penerapan Pengetahuan/ keahlian baru apa yang akan Ibu/Bapak/Sdr/i terapkan dalam kaitannya dengan tugas dan pekerjaan Ibu/Bapak/Sdr/i?																					
Efisiensi Bagaimanakah penilaian Ibu/Bapak/Sdr/i atas kegiatan course/training/workshop ini?	<table border="1"> <tbody> <tr> <td>Materi:</td> <td><input type="checkbox"/>Kurang baik</td> <td><input type="checkbox"/>Biasa saja</td> <td><input type="checkbox"/>Baik</td> <td><input type="checkbox"/>Sangat baik</td> </tr> <tr> <td>Pendekatan:</td> <td><input type="checkbox"/>Kurang baik</td> <td><input type="checkbox"/>Biasa saja</td> <td><input type="checkbox"/>Baik</td> <td><input type="checkbox"/>Sangat baik</td> </tr> <tr> <td>Fasilitator:</td> <td><input type="checkbox"/>Kurang baik</td> <td><input type="checkbox"/>Biasa saja</td> <td><input type="checkbox"/>Baik</td> <td><input type="checkbox"/>Sangat baik</td> </tr> <tr> <td>Lokasi/logistik:</td> <td><input type="checkbox"/>Kurang baik</td> <td><input type="checkbox"/>Biasa saja</td> <td><input type="checkbox"/>Baik</td> <td><input type="checkbox"/>Sangat baik</td> </tr> </tbody> </table> <p>Mohon berikan komentar atau penjelasan selanjutnya terkait pernyataan Ibu/Bapak/Sdr/i di atas:</p>	Materi:	<input type="checkbox"/> Kurang baik	<input type="checkbox"/> Biasa saja	<input type="checkbox"/> Baik	<input type="checkbox"/> Sangat baik	Pendekatan:	<input type="checkbox"/> Kurang baik	<input type="checkbox"/> Biasa saja	<input type="checkbox"/> Baik	<input type="checkbox"/> Sangat baik	Fasilitator:	<input type="checkbox"/> Kurang baik	<input type="checkbox"/> Biasa saja	<input type="checkbox"/> Baik	<input type="checkbox"/> Sangat baik	Lokasi/logistik:	<input type="checkbox"/> Kurang baik	<input type="checkbox"/> Biasa saja	<input type="checkbox"/> Baik	<input type="checkbox"/> Sangat baik
Materi:	<input type="checkbox"/> Kurang baik	<input type="checkbox"/> Biasa saja	<input type="checkbox"/> Baik	<input type="checkbox"/> Sangat baik																	
Pendekatan:	<input type="checkbox"/> Kurang baik	<input type="checkbox"/> Biasa saja	<input type="checkbox"/> Baik	<input type="checkbox"/> Sangat baik																	
Fasilitator:	<input type="checkbox"/> Kurang baik	<input type="checkbox"/> Biasa saja	<input type="checkbox"/> Baik	<input type="checkbox"/> Sangat baik																	
Lokasi/logistik:	<input type="checkbox"/> Kurang baik	<input type="checkbox"/> Biasa saja	<input type="checkbox"/> Baik	<input type="checkbox"/> Sangat baik																	
Perbaikan Hal-hal apa saja yang dapat kami lakukan guna meningkatkan pelaksanaan kegiatan course/training/workshop kami selanjutnya?																					

2.7 Course/ Training/ Workshop Participant Individual Evaluation Form (English Version)

Guide to use: Shaded boxes will be pre-completed by the organising team (name of APS Agency or Advisory Team) prior to the event. Adjust this form to best-fit your course/training/workshop purpose. A workshop evaluation measures participant reaction to the event. Some other processes for evaluating a course/training/workshop are described in this Toolkit. Or use your own preferred form. Ensure sufficient space across columns for participants to clearly write down their response.

PROSPERA COURSE/TRAINING/WORKSHOP EVALUATION FORM			
[Name of Course/Training/Workshop]			
Start Date:		Venue:	Organising Team:
Finish Date:			
PARTICIPANT PROFILE	SEX : <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Other		
	INSTITUTION :		
	POSITION :		
Relevance How relevant was the course/training/workshop with your day to day work?	<input type="checkbox"/> Yes, very useful/relevant <input type="checkbox"/> No, not very useful/relevant Please give an example why it was or was not useful for you (and your team at work):		
Effectiveness Do you think the course/training/workshop was effective? Did we achieve our outcomes?	Fill in topics and intended outcomes		
	Topic	Intended Outcomes	Achieved
	a)		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Somewhat
b)		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Somewhat	

PROSPERA COURSE/TRAINING/WORKSHOP EVALUATION FORM			
	c)		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Somewhat
	Any comment:		
Lessons Learned (new knowledge/ skill) Through this course/training/workshop, what have you learned (new knowledge/ skill)?	Lesson Learned #1:		
	Lesson Learned #2:		
	Lesson Learned #3		
	Any comment:		
Theory to Practice What was the new knowledge/ skill from the course/training/workshop that you will apply in practice?			

PROSPERA COURSE/TRAINING/WORKSHOP EVALUATION FORM					
Efficiency How do you rate this course/training/workshop?	Content:	<input type="checkbox"/> Poor	<input type="checkbox"/> Okay	<input type="checkbox"/> Good	<input type="checkbox"/> Great
	Approach:	<input type="checkbox"/> Poor	<input type="checkbox"/> Okay	<input type="checkbox"/> Good	<input type="checkbox"/> Great
	Facilitator:	<input type="checkbox"/> Poor	<input type="checkbox"/> Okay	<input type="checkbox"/> Good	<input type="checkbox"/> Great
	Venue/logistics:	<input type="checkbox"/> Poor	<input type="checkbox"/> Okay	<input type="checkbox"/> Good	<input type="checkbox"/> Great
	Any comment:				
Improvement How could the course/training/workshop be improved?					

2.8 Advisory Team Capability Building Activity and Participant Log

The Advisory Teams use the following spreadsheets as a diary to record all of their capability development activities and participants' details of contact and where they work.

1. Capability Building Activity Log

No	Thematic Area	Contribute to Activity Proposal #	Topic	Name of CB Activity	Type	Venue	Start Date (DD/MM/YY)	Finish Date (DD/MM/YY)	# of Day(s)	Year (YYYY)	Complete Participants Data	Total Participant(s)	M	F

2. Capability Building Participant Log

NAME CB ACTIVITY: xxx				
DATE of CB ACTIVITY: xxx				
LOCATION OF CB ACTIVITY: xxx				
No	Name	M/F	email	Institution
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

2.9 Australian Public Service Commission Training and Post Training Evaluation Tools

This section contains a very useful survey **tool** that the **Australian Public Service Commission team** has developed to **evaluate participant reaction** to their training courses and to **measure how participants are applying what they learned** in their workplaces.

The Knowledge and Performance team thank the APSC team for giving permission to share their work in this toolkit for the potential benefit of all teams.

This survey can easily be modified to suit your particular circumstances and learning approach.

KASN-APSC Conducting Code of Conduct Investigations Pre-Program Survey

This survey is used to gather information before the start of the workshop. You will also be asked to complete another survey at the conclusion. Information gathered will be used to assess the effectiveness of the workshop content and delivery. The information you provide will be aggregated, and no attributions to individuals will be made.

Name:

How confident are you that you can effectively: *(Please circle)*

1.	Plan a Code of Conduct investigation	Not at all Confident	Somewhat confident	Confident	Very confident
2.	Analyse a complaint	Not at all Confident	Somewhat confident	Confident	Very confident
3.	Communicate the investigation process to all parties	Not at all Confident	Somewhat confident	Confident	Very confident
4.	Plan an interview	Not at all Confident	Somewhat confident	Confident	Very confident
5.	Interview respondents and complainants effectively	Not at all Confident	Somewhat confident	Confident	Very confident
6.	Review an interview and assess whether there is a valid allegation	Not at all Confident	Somewhat confident	Confident	Very confident
7.	Deal with emotion and difficult people	Not at all Confident	Somewhat confident	Confident	Very confident
8.	Deal with challenges to the investigation process	Not at all Confident	Somewhat confident	Confident	Very confident
9.	Identify relevant and irrelevant sources of evidence	Not at all Confident	Somewhat confident	Confident	Very confident
10.	Deal with contradictory sources of evidence	Not at all Confident	Somewhat confident	Confident	Very confident
11.	Evaluate the evidence	Not at all Confident	Somewhat confident	Confident	Very confident
12.	Make findings and determine policy breaches	Not at all Confident	Somewhat confident	Confident	Very confident

Thank you for completing this survey.

KASN-APSC Conducting Code of Conduct Investigations Post-Program Survey

This survey is used to gather information about the effectiveness of the Conducting Code of Conduct Investigations workshop content and delivery. The information you provide will be aggregated, and no attributions to individuals will be made.

Participant Name:

1. **After completing this leadership program, how confident are you that you can effectively:**
(Please circle)

1.	Plan a Code of Conduct investigation	Not at all Confident	Somewhat confident	Confident	Very confident
2.	Analyse a complaint	Not at all Confident	Somewhat confident	Confident	Very confident
3.	Communicate the investigation process to all parties	Not at all Confident	Somewhat confident	Confident	Very confident
4.	Plan an interview	Not at all Confident	Somewhat confident	Confident	Very confident
5.	Interview respondents and complainants effectively	Not at all Confident	Somewhat confident	Confident	Very confident
6.	Review an interview and assess whether there is a valid allegation	Not at all Confident	Somewhat confident	Confident	Very confident
7.	Deal with emotion and difficult people	Not at all Confident	Somewhat confident	Confident	Very confident
8.	Deal with challenges to the investigation process	Not at all Confident	Somewhat confident	Confident	Very confident
9.	Identify relevant and irrelevant sources of evidence	Not at all Confident	Somewhat confident	Confident	Very confident
10.	Deal with contradictory sources of evidence	Not at all Confident	Somewhat confident	Confident	Very confident
11.	Evaluate the evidence	Not at all Confident	Somewhat confident	Confident	Very confident
12.	Make findings and determine policy breaches	Not at all Confident	Somewhat confident	Confident	Very confident

2. The three (3) most important things I learnt from this workshop are:

3. The three (3) topics I would like to learn more about are:

4. Please indicate the degree to which you agree or disagree with the following statements: (*Please circle*)

The facilitation was effective in supporting my learning and development	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
I will be able to draw on what I have learnt from this program in my work	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
The learnings from this program are relevant to my current or future role	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
The program was worth my investment of time and effort	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
I would recommend the program to others	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
Overall, this program was valuable in helping me develop my capability (knowledge and skills)	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree

Thank you for completing this survey

2.10 Australian Treasury Capability Development Activity Log

The Australian Treasury team use this simple spreadsheet as a diary to record all of their capability development activities. This tool is comprised of two worksheets in a spreadsheet:

1. A set of lists to inform a set of drop-down lists in the second worksheet

Program_Area	Outputs	Events	Knowledge_Products	Center/Agency
Policy_Advising	Events	Classes	Brief	PKRB
Crosscutting_and_Training	Knowledge_Products	Meeting	Draft	PKEM
Dialogue_and_Outreach		Training	Model	PKPN
Organizational_Transformation		Seminar / Workshop	Power point	PKPPIM
		Trip	Papers	PKSK
			Report	PKAPBN
			Speech	Setban
				Minister / VM
				MoF
				BKF
Policy_Advising	Crosscutting_and_Training	Dialogue_and_Outreach	Organizational_Transformation	CTO
Debt Management	Australia Award	Fiscal Conference	Engagement	PUSHAKA
Financial Market Pol & Reg	English classes	HLPD	Funding	Sec Gen
Fiscal Policy	Policy advising classes	EPD	HR Div - BKF	DJP - DG Tax
Infrastructure	Tax training	ARFP	Tax Unit	DJBC - DG Customs
International	APSC	FLPD		DJA - DG Budget
Macroeconomic	SEMEFPA	IRU		DJPB - DG Treasury
Investment		Outreach		DJKN - DG State Assets
Tax & Revenue Pol		Capacity Building		DJPK - DG Fiscal Balance
		LO		DJPPR - DG Financing and Risk Management
		Secondment		

2. A template for recording activity using a set of drop-down lists

Date	Program Area	Workstream	Events or KP	Type of Outputs	Center/Agency	Notes/Agenda	# Gol	#Female	#Male	Notes

2.11 Evaluating practice change and application of learning: Post Learning Events Follow-up Questionnaire

When Prospera is delivering or supporting learning / training events, activity / workplan managers could be following up with a sample of participants to see what they are doing differently as a result of that learning experience, and also acknowledging that 70% of adult learning happens by doing, while only 10% happens through structured learning.

This post training evaluation questionnaire will need to be refined for your particular workshop or training experience; you may wish to delete or refine some of the questions.

This survey can be implemented as a written questionnaire, through a survey monkey equivalent or adjust it to use as a semi structured interview.

Like many tools in this toolkit this questionnaire should be customised for the specific circumstance.

POST WORKSHOP EVALUATION OF LEARNING EFFECTIVENESS

Questionnaire Protocol for Participants

INTRODUCTION

Write an introduction describing why you are conducting the post training evaluation.

THIS SURVEY:

We understand that you have had the opportunity to participate in a learning opportunity with [XXXX]. We would appreciate it if you could spend 30 minutes completing the following questionnaire about your experience during the training program and how you have applied your knowledge in your workplace since the training program.

HOW THE INTERVIEW DATA WILL BE USED

The data collected through this questionnaire will be used to improve design of Prospera learning approaches and delivery and to inform future Prospera events. It may also be used to demonstrate learning outcomes and the results of Prospera's effort.

If a quote from your questionnaire is used to illustrate a point in a report it will be used anonymously. Only Prospera officers will see this data. Overall data collected from all participants will only be presented in aggregate.

Signed:

Learning Provider Name:

PERMISSION FOR QUESTIONNAIRE RESPONSES TO BE USED:

I give permission for information collected in this questionnaire to be used by the learning provider and in aggregate, anonymously for Prospera's reporting.

Name:

Signed:

Date:

Data collector's name

Data collector's contact details

PLEASE COMPLETE:

Participant Details	
Date of questionnaire completion	
Your name	
Contact details (for any follow up)	Phone:
	Email:
Position title	
Organisation	
Primary function of position	
Training Course attended	
Duration of Learning Event (No of days, over what period)	
Learning Provider	
Date of Learning course (Month/ Year)	
General description of course content	

Learning event follow up questionnaire

1.0 The Learning experience						
1.1		I found about the [learning course] through [tick appropriate box(es)]:				
1. <input type="checkbox"/> my manager 2. <input type="checkbox"/> work colleagues within my agency/division/unit/organisation 3. <input type="checkbox"/> work colleagues who had gone through a similar learning event 4. <input type="checkbox"/> Other (provide detail);						
1.2		My selection for this [learning course] was based on (Tick where appropriate):				
1. <input type="checkbox"/> Agreed professional development plan 2. <input type="checkbox"/> Nomination by my manager 3. <input type="checkbox"/> Self nomination/ personal interest for professional development 4. <input type="checkbox"/> Other (Describe);						
For the following statements circle only one of the following answers.						
1.3		I fully understood the type of course I was attending (Circle only one).				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable	
1.4		I was provided with good information prior to the course (dates/time/venue)				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable	
1.5		I wanted to attend the learning course.				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable	
1.6		The learning course was relevant to the work I do				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable	
1.7		I can directly apply what I have learnt in my workplace.				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable	
1.8		The content of the learning course was useful.				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable	

1.9	The teaching methods made the material easy to understand.				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable
1.10	The teaching methods helped me learn a lot.				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable

2.0 Applying the learning and course material in your workplace

For the following statements circle only one of the responses.

2.1	Support and assistance was given to me by my manager in the workplace to implement new skills gained				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable
2.2	I have started implementing some skills and knowledge of what I have learnt in my workplace. <i>[If answer is (1.) or (2.), skip to 2.5]</i>				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable
2.3	The skills and knowledge I have implemented are working.				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable
2.4	The skills and knowledge I have started to implement in my workplace have been accepted by my colleagues.				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable
2.5	My manager is very keen on hearing about what I have gained from the training.				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable
2.6	My manager is supporting me to apply my skills after having completed the training.				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable

2.9	After completing the learning course, my manager: [<i>Tick appropriate box(es)</i>]
1. <input type="checkbox"/> was very supportive in enabling me implement the skills and knowledge gained 2. <input type="checkbox"/> wanted to know what I had gained through the training 3. <input type="checkbox"/> did not show any interest at all 4. <input type="checkbox"/> was too busy to ask or talk about the training 5. <input type="checkbox"/> entrusted me with additional roles/tasks 6. <input type="checkbox"/> Other (Describe);	
2.9.1	Please describe what you are doing differently in your work as a result of what you learned in the course?

2.10	I found it challenging to implement the newly gained skills and knowledge in my workplace. [<i>Circle the appropriate answer</i>]				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable

For the following statements circle only one of the responses.

2.12	My colleagues are very appreciative of the skills and knowledge I pass on to them.				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable

2.13	My colleagues are responding positively to the changes I have implemented.				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable

2.14	After attending the learning course, I am more motivated in my work.				
1. Totally disagree	2. Partially disagree	3. Neutral	4. Partially agree	5. Totally agree	6. Not applicable

2.16	In order to successfully implement my skills/knowledge, I will need support in my workplace through (Tick the appropriate boxes).
1. <input type="checkbox"/> my manager 2. <input type="checkbox"/> my co-workers 3. <input type="checkbox"/> adequate resources 4. <input type="checkbox"/> do not need support 5. <input type="checkbox"/> Other (Describe);	

3.0 Future Learning Needs

3.1	Would you recommend this learning course to colleagues? [<i>If 'No' skip to 3.3</i>]	
1. Yes	2. No	

3.2	Reasons why I would recommend this learning course to my colleagues: [<i>Can tick more than one box. After answering, skip to 3.4</i>]
1. <input type="checkbox"/> good for gaining new skills and knowledge 2. <input type="checkbox"/> very helpful and motivating 3. <input type="checkbox"/> uses practical methods 4. <input type="checkbox"/> is relevant to the job 5. <input type="checkbox"/> Other (Describe);	

3.3	Would not recommend this learning course. Why?
-----	--

4.0	Any Other comments:
-----	---------------------

THANK YOU FROM THE [LEARNING TEAM] FOR TAKING THE TIME TO COMPLETE THIS QUESTIONNAIRE!

2.12 Organisational Situation Analysis | Capability for What Purpose

[PLACEHOLDER]

Monitoring and Evaluation of Policy, Systems and Partnerships

2.13 Strategy Testing

Strategy Testing is a monitoring system developed specifically to track programs that are addressing development problems through a highly iterative, adaptive approach. These problems typically involve complicated technical issues and are often intensely political because they challenge how power and resources are distributed. Strategy Testing is fully documented in:

Ladner, D. (2015) Strategy Testing: An Innovative Approach to Monitoring Highly Flexible Aid Programs. Working Politically in Practice Series – Case Study No. 3, The Asia Foundation, California, USA, September 2015.

This section describes the purpose of Strategy Testing, the process and provides a set of relevant templates.

Purpose of Strategy Testing

Strategy Testing was designed to help ensure that new insights and information gathered during program implementation can inform program direction.

Strategy Testing:

- Drives as well as tracks an iterative process of narrowing and refining a program's outcomes and adjusting program strategy to achieve those outcomes.
- Helps facilitate more strategic and entrepreneurial programming.
- Requires teams to reflect on what's working, what is not and scrutinise and update the theory of change in response to new information, emerging opportunities and changes in local context.
- Provides accountability, but the primary focus is on learning.
- Should be aligned with the program's pace and direction in response to new information or opportunities, rather than donor reporting cycles.
- Helps teams transform what they learn into immediate action, rather than traditional program review cycles.

Strategy Testing Process

Step 1: Develop a working Theory of Change: Program teams develop an initial Theory of change to articulate their collective understanding of the problem the program will aim to address, the key factors perpetuating the problem and the opportunities and binding constraints to change. The Theory of Change describes desired outcomes and the actions that could lead to these outcomes, the most likely path to change. This Theory of Change will be based on best available knowledge but will be incomplete, evolving over time as new knowledge comes to hand. The theory of change will not be static. [Use Theory of Change Template No.x in this section]

Step 2: About four months⁵ later, conduct the first Strategy Testing exercise. This generally takes a full day and is a structured discussion.

Participants: Typically, all core program team members; trusted partners; Must be willing to engage in an honest and reflective discussion.

Facilitator: Can add value through setting the right tone, challenging the team to question their thinking and assumptions, and helping the team to step back.

⁵ The approximate timing would relate to the extent to which the context is dynamic and changeable.

Step 2.1: The team reviews what has happened since the last Theory of Change was documented, including major external events, change in the political context, key decisions, accomplishments and setbacks. Maintain a **timeline**, which is created at the beginning of the program, and update now. [**Template No. y in this section**]

Step 2.2: The team reviews and discusses the program's latest theory of change, using a set of guiding questions. This discussion considers relevant changes in the external environment, analyses shifts in the interests and relationships among key actors, assess progress made or roadblocks encountered. The purpose of this discussion is to assess whether new information gleaned since the last Strategy testing session increases the team's confidence in current strategies or suggests adjustments are required. [**Template No z. Guiding Review Questions.**]

This discussion would typically be an iterative process, with team member sharing different perspectives, critiquing each other's hypotheses, and triangulating information in order to reach agreement on program directions going forward.

Step 2.3: The team then revises their Theory of Change as needed, with a focus on developing strategies with a greater chance of contributing to the desired outcomes. Both end of program and intermediate outcomes, along with strategies to achieve outcomes might be revised. The team might drop strategies that are ineffective, add new strategies to address new dimensions or refine existing strategies.

Step 2.4: Document how and why the theory of change has been revised and identify any related programmatic, operational or budgetary implications in an adjustments to theory of change form. [**Template No zz. Adjustments to Theory of Change.**]

Step 2.5 Submit all the completed documentation to the right people in your governance structure. Highlight the important areas for their consideration in a covering note.

Step 3: Repeat the Strategy Testing process [**Steps 2.1 to 2.5**] at an appropriate frequency throughout the life of the [activity, program, intervention], typically every four months.

Strategy Testing Templates follow on the next pages

Strategy Testing Template 1: Timeline

TIMELINE OF MAJOR EVENTS, DECISION AND ACCOMPLISHMENTS			
Program Title		Date timeline updated	
Date	Major events, decisions and accomplishments	Event Type *	Relevance / Explanation
		<i>Achievement</i>	
		<i>Roadblock</i>	
		<i>External</i>	
		<i>Achievement</i>	

Use this template each time you update your theory of change or conduct a strategy testing session!

*Using the categories below, please code the type of event:

1. External Event: includes significant political events and other occurrences affecting the political economy
2. Program Decision: a significant strategy decision or Theory of Change adjustment
3. Program Achievement: a significant milestone achieved or fulfilment of an intermediate outcome
4. Program Roadblock: a programming delay or failure, a change in partners, or a political barrier.

Strategy Testing Template 2: Theory of Change

Name of activity		Location/ Institution	
Activity Start date		Revision Date	

Problem Statement:

[Please use track changes from previous Theory of Change]

*....because of***Analysis of Key Dynamics**

[Please use track changes from previous Theory of Change]

*However, if we do....***Interventions and Strategies:**

[Please use track changes from previous Theory of Change]

*Then we expect that....***Intermediate Outcomes:**

[Please use track changes from previous Theory of Change]

*Then, as a result....***Ultimate desired outcome(s):**

[Please use track changes from previous Theory of Change]

Strategy Testing Template 3: Theory of Change Format and Strategy Testing, Guiding Review Questions

Problem Statement: The major problem the initiative is addressing

Possible Review Questions:

- *Since last working with our theory of change, what more have we learned about the nature or extent of the problem we are addressing?*
- *Have there been significant changes in context that require adjusting how we now frame or define the problem?*

....because of

Analysis of Key Dynamics: The political, economic, social, cultural, institutional, and historical factors that result in the current scenario, including both formal and informal rules(e.g. key actors, relationships, interests, and incentives)

Possible Review Questions:

- *How have the political, economic, social, cultural, institutional factors changed?*
- *Who are the key actors now, and how have their relationships, interests, and/or incentives changed?*
- *How have changes in the environment or new information we have learned impacted our analysis of the most critical dynamics underlying the problem*

However, if we do....

Interventions and Strategies: Description of the strategies the initiative will undertake in order to bring about the Intermediate Outcomes, along with a brief rationale.

Possible Review Questions:

- *Given the changes in the context or our understanding of the problem, do we need to change or drop any of our current strategies or add any new ones?*
- *Is there new information or recent changes in key dynamics that impact the sequencing of our strategies?*

Then we expect that....

Intermediate Outcomes: The major changes or preconditions that need to occur in order to bring about the ultimate outcomes. These desired changes should be both “technically sound and politically possible”.

Possible Review Questions:

- *Given the current ultimate outcome(s) and the dynamics surrounding the issues, do the intermediate outcomes or the required preconditions for the ultimate outcome(s) need to change? Remember these intermediate outcomes need to be “technically sound and politically possible”.*

Then, as a result....

Ultimate desired outcomes: The major changes or impact the initiative seeks to achieve or influence. The ultimate outcome(s) should be concrete and specific enough so that it can be measured either through the use of secondary data, or in some cases through the collection of primary data.

Strategy Review Questions:

- *Have there been changes in the political economy context or new information that require adjusting our Ultimate Outcome(s)?*

#After an initiative clearly identifies its Ultimate Outcome, it often does not change significantly. However as the initiative “drills down” more and more the Ultimate Outcome may become more narrowly defined.

Strategy Testing Template 4: Adjustments to the theory of change

Changes to the theory of change	Degree of Change	Justification / Explanation	Implications (if any)
Problem Statement [Please summarise the changes made]			
Analysis of Key Dynamics [Please summarise the changes made]			
Strategy (ies) [Please summarise the changes made]			
Intermediate Outcomes: [Please summarise the changes made]			
Ultimate Outcome: [Please summarise the changes made]			
[If applicable] Updates to you Outcomes Assessment Plan			

*Using the categories below, please rate the degree of change made to each section of the Theory of Change:

- 0 None:** No change in wording or only slight changes in phrasing
- 1 Minor:** A slight change in one or two components in the ToC, but something more significant than a small change in wording
- 2 Significant:** Adding or subtracting one or two items in a section of the ToC or revising multiple items. Less than a complete rewriting of a ToC section, but more than a revision of one item.
- 3 Wholesale:** A major shift requiring a complete or near-complete rewriting of this section of the ToC.

2.14 Monitoring and Evaluation for Navigation by Judgement | Outcome Harvesting

The **Outcome Harvesting** approach enables evaluators and managers to identify, verify, and make sense of outcomes they have influenced when relationships of cause-effect are unknown or less certain. Outcome Harvesting collects evidence of what has been achieved, and **works backwards** to determine whether and how the program contributed to the change.

Outcome Harvesting is a component method for the Significant Instances of Policy and Systems Improvement (refer Tool x.x.)

This approach is fully documented in:

Ricardo Wilson-Grau and Heather Britt, Outcome Harvesting – introduces the key concepts and approach used by Outcome Harvesting (published by the Ford Foundation in May 2012; revised in Nov 2013).

This section contains excerpts from the publication on introduction to Outcome Harvesting, key steps on how to apply the approach, and some relevant examples.

Introduction

Different from many evaluation approaches, Outcome Harvesting does not measure progress towards predetermined objectives or outcomes, but rather, collects evidence of what has changed and, then, working backwards, determines whether and how an intervention contributed to these changes. Outcomes are defined as changes in the “behaviour writ large” (such as actions, relationships, policies, practices) of one or more social actors influenced by an intervention. The outcome(s) can be positive or negative, intended or unintended, direct or indirect, but the connection between the intervention and the outcomes should be plausible.

Outcome Harvesting is designed for situations where decision-makers (as “harvest users”) are most interested in learning about what was achieved and how. There is an emphasis on effectiveness rather than efficiency or performance. This approach is most suitable to understand the process of change and how each outcome contributes to this change

Outcome Harvesting is particularly useful when outcomes, and even, inputs, activities and outputs, are not sufficiently specific or measurable at the time of planning an intervention. It is a good fit to apply to activities that are being implemented through navigation by judgement pathways, rather than strongly structured programming, or in complex situations when it is not possible to define concretely most of what an intervention aims to achieve, or even, what specific actions will be taken over a multi-year period.

Outcome Harvesting can be used for monitoring, as tactical and routine process to check that activities are on track, as well as for developmental, formative or summative evaluations of interventions or organisations, and to support learning and interdisciplinary approaches.

A highly participatory process conducted by a “Harvester”, “Harvest Users”, and “Informants” is a necessity for a successful Outcome Harvesting process and product.

“**Harvesters**” can either be an external or internal person, designated to lead the Outcome Harvesting process, facilitate and support appropriate participation and ensure that the data are credible, the criteria and standards to analyse the evidence are rigorous, and, the methods of synthesis and interpretation are solid.

“**Harvest users**” are individuals or organisations requiring the findings to make decisions or take action that should be engaged throughout the process. These users must be involved in making decisions about the design and re-design of the approach as both the process and the outcomes

unfold. Also, the principal uses for the harvest may shift as findings are generated which, in turn, may require re-design decisions.

“Informants” are people who are knowledgeable about what the intervention has achieved and how, and who are willing to share, for the record, what they know. Field staff who are positioned “closest to the action” tend to be the best informants.

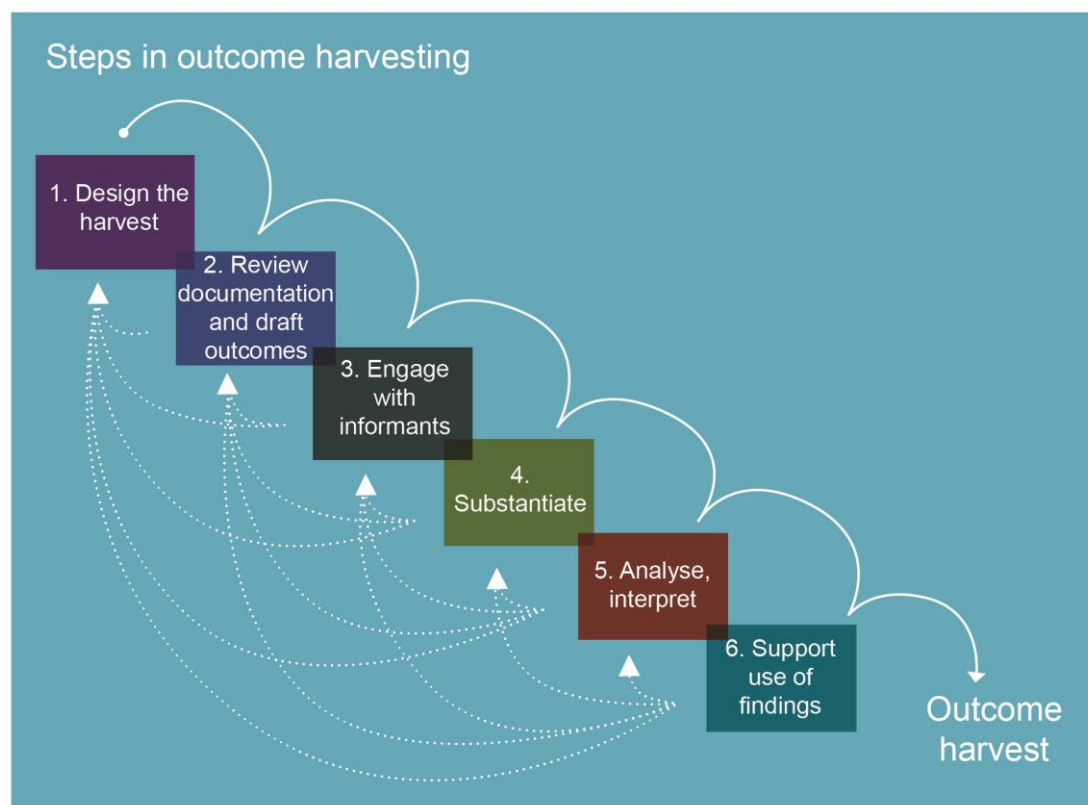
Outcome Harvesting can be done as often as necessary to understand what the change agent is achieving. The timing of “the harvest” depends on how essential the harvest findings are to ensure the intervention is heading in the right direction. If there is a high level of certainty that doing A will result in B, the harvest can be timed to coincide with when the results are expected. Conversely, if much uncertainty exists about the results that the intervention will achieve, the harvest should be scheduled as soon as possible to determine the outcomes that are actually being achieved.

In Outcome Harvesting, information is collected or “harvested” using a range of methods to yield evidence-based answers to useful, actionable questions (“harvesting questions”). Some examples of harvesting questions to ask on Prospera are:

- **To what extent has Prospera contributed to an observed outcome?**
- **What else has contributed to the change?**
- **What has worked and why?**
- **For whom and in what context?**

As Prospera builds on over a decade of achievements of its predecessor programs (TAMF, AIPEG, Government Partnerships Fund), the scope of harvesting may include changes and contributions that originated and developed from work under these previous programs.

Figure 8. Steps in Outcome Harvesting



Key Steps⁶

The Outcome Harvesting approach is typically tailored to the specific needs of the intended users/uses.

The steps illustrated in Figure 8 are a set of guiding principles that do not have to be followed rigidly but are necessary to implement for a plausible outcome harvest.

KEY STEPS FOR OUTCOME HARVESTING
1. Design the Outcome Harvest Identify the primary intended users of the harvest and their principal intended uses for the harvest process and findings. Both of these harvest users and harvesters MUST: <ul style="list-style-type: none"> ✓ agree what needs to be known and write useful harvesting questions; ✓ agree what information is to be collected and from whom in order to answer the questions. <i>For example</i> , a useful question may be: <i>What</i> has been the collective effect of grantees on making the national governance regime more democratic and <i>what does it mean</i> for the portfolio's strategy? At a minimum, this involves obtaining information about the changes in social actors and how the intervention influenced them.
2. Review documentation and draft outcome descriptions Harvesters to: <ul style="list-style-type: none"> ✓ review reports, previous evaluations, press releases and other documentation; ✓ identify potential outcomes (e.g. changes in individuals, organisations or institutions); ✓ identify what the intervention did to contribute to these outcomes. <i>For example</i> , the change can be a president's public commitment to being transparent (behaviour); two government agencies collaborating rather than competing (relationships); a minister firing a corrupt civil servant (action); the legislature passing a new anti-corruption law (policy); or a third successive government publishing its procurement records (practice). The influence of the change agent can range from inspiring and encouraging, facilitating and supporting, to persuading or pressuring the social actor to change.
3. Review documentation and draft outcome descriptions Harvesters to: <ul style="list-style-type: none"> ✓ engage directly with informants to review the outcome descriptions based on the document review; ✓ identify and formulate additional outcomes. Note: Informants will often consult with others inside or outside their organisation knowledgeable about outcomes to which they have contributed.
4. Substantiate Both harvest users and harvesters to: <ul style="list-style-type: none"> ✓ review the final outcomes and select those to be verified in order to increase the accuracy and credibility of the findings. Harvesters to: <ul style="list-style-type: none"> ✓ obtain the views of one or more individuals who are independent of the intervention (third party) but knowledgeable about one or more of the outcomes and the change agent's contribution.
5. Analyse and interpret Harvesters to: <ul style="list-style-type: none"> ✓ classify all outcomes, often in consultation with the informants (the classifications are usually derived from the harvesting questions; they may also be related to the objectives and strategies of either the implementer of the intervention or other stakeholders, such as donors); ✓ build a database to store and analyse the outcome descriptions (particularly required for large, multidimensional harvests);

⁶ Wilson-Grau, R. (2015) Outcome Harvesting. BetterEvaluation. Retrieved from http://betterevaluation.org/plan/approach/outcome_harvesting

KEY STEPS FOR OUTCOME HARVESTING	
✓	interpret the information and provide evidence-based answers to the harvesting questions.
6. Support use of findings	
Harvesters to:	
✓	propose issues for discussion to harvest users grounded in the evidence-based answers to the harvesting questions;
✓	facilitate discussions with users, which may include how they can make use of the findings.

These six steps are not necessarily distinct, may overlap and can be iterative. Feedback can prompt decisions to re-design a next step or return to or modify an earlier step. For example, feedback from step 4 (substantiation) and step 5 (analysis and interpretation) does not influence the earlier steps, feedback from step 6 (support of use) only affects step 5 (analysis and interpretation). Nonetheless, feedback from all the steps can influence decisions about future harvesting for either monitoring or evaluation purposes.

2.15 Monitoring and Evaluation of Partnerships | Partnership and Collaboration Assessment Tool

This tool can be used to guide the establishment of a partnership or to measure the quality of an existing partnership, as guidance for a conversation or as an actual assessment tool.

Note of caution: It may be tricky to apply this tool with some partners, so should be applied judiciously. You would not want partnership analysis to damage the partnership. It is based on a tool used by the NSW Government in Australia.

Collaborate with your partner, or both complete ratings separately, to rate your levels of agreement with each of the statements below, with 1 indicating strong disagreement and 5 indicating strong agreement. Some criteria may not be relevant for your work. Collaboration can be assessed using the same tool. Partnerships are typically more formal.

	1 Strongly disagree	2 Disagree	3 Neutral	4 Agree	5 Strongly agree		Comments / Examples
1. Determining the need for the partnership							
There is a perceived need for the partnership in terms of areas of common interest and complementary capability							
There is a clear goal for the partnership							
There is a shared understanding of, and commitment to, this goal among all potential partners							
The partners are willing to share some of their ideas, resources, influence and power to fulfil the goal.							
The perceived benefits of the partnership outweigh the perceived costs.							
SUBTOTAL							
2. Choosing partners							
The partners share common ideologies, interests and approaches							
There is a history of good relations between partners.							
The partnership brings added prestige to the partners individually and collectively.							
SUBTOTAL							

	1 Strongly disagree	2 Disagree	3 Neutral	4 Agree	5 Strongly agree		Comments / Examples
3. Making sure partnerships work							
Partners have the necessary skills for collaborative action							
The roles, responsibilities and expectations of partners are clearly defined and understood by all partners							
There is an appropriate boundary around the life of the partnership [time-duration, sectoral]							
The administrative, communication and decision-making structure of the partnership is as simple as possible, but strong.							
SUBTOTAL							
4. Planning collaborative action							
All partners are involved in planning and setting priorities for collaborative action							
The lines of communication, roles and expectations of partners are clear							
There is a participatory decision-making system that is accountable, responsive and inclusive.							
SUBTOTAL							
5. Implementing collaborative action							
There is an investment in the partnership of time, personnel, materials or facilities							
Collaborative action by staff and reciprocity between agencies is rewarded by management							
The action is adding value, rather than duplicating other effort, for the institutions involved							
SUBTOTAL							
6. Minimising the barriers to partnership							
Differences in organisational priorities,							

	1 Strongly disagree	2 Disagree	3 Neutral	4 Agree	5 Strongly agree		Comments / Examples
goals and tasks have been addressed							
There is a core group of skilled and committed (in terms of the partnership) staff that has continued over the life of the partnership							
There are formal structures for sharing information and resolving disputes							
There are informal ways of achieving this							
There are strategies to ensure alternative views are expressed within the partnership							
SUBTOTAL							
7. Reflecting on and continuing the partnership							
There are processes for recognising and celebrating collective achievements and / or individual contributions							
The partnership can demonstrate or document the outcomes of its collective work							
There are resources available from either internal or external sources to continue the partnership.							
SUBTOTAL							
Aggregate Score						TOTAL	
1. Determining the need for the partnership							
2. Choosing partners							
3. Making sure partnerships work							
4. Planning collaborative action							
5. Implementing collaborative action							
6. Minimising the barriers to partnership							
7. Reflecting on and continuing the partnership							
TOTAL							

	1 Strongly disagree	2 Disagree	3 Neutral	4 Agree	5 Strongly agree	Comments / Examples
Checklist Score						
26-52						The whole idea of a partnership should be rigorously questioned
53-103						The partnership is moving in the right direction but it will need more attention if it is going to be really successful
104-130						A partnership based on genuine collaboration has been established. The challenge is to maintain its impetus and build on the current success.

2.16 Policy and Systems Evaluation | Significant Instances of Policy and Systems Improvement

Significant Instances of Policy and Systems Improvement (SIPSI) is a story based approach that combines Outcome Harvesting and Most Significant Change (MSC) tools, designed for capturing, measuring and reporting on emergent instances of policy and systems improvement and to understand what is a program's contribution to this.

This section contains excerpts from the following publication(s):

<http://www.collaborationforimpact.com/wp-content/uploads/2017/07/SIPSI-technical-note.pdf> and [https://www.clearhorizon.com.au/f.ashx/\\$165852\\$SIPSI-technique.pdf](https://www.clearhorizon.com.au/f.ashx/165852SIPSI-technique.pdf)

Background

SIPSI is an assessment technique developed by Clear Horizon⁷ in 2017 for the Australia Indonesia aid program. This approach aims to address the shift of Australian DFAT from focusing on service delivery to producing a measure of influence on improved policy or systems. Aid programs generate intangible and emergent outcomes and often target changes that can take years to achieve and cannot be easily predicted. Outcome harvesting has always been a useful tool to collect evidence of what has changed or been achieved and whether and how the program contributed to the change. The SIPSI approach has built on outcome harvesting to provide a form of assessment that can capture, count and verify instances of significant policy or systems change.

Definitions

Significant means that the result will make or has potential to make a substantial difference. It should be a newsworthy result for at least some particular groups where we focus our effort. Significance is a somewhat subjective term and ultimately it will be judged by a panel.

Instance means a specific result. It should be distinguishable from other instances that have been already reported.

Policy or systems improvement means that a particular policy or system is improved in some manner and/or in alignment with the facility logic (or agenda). This can include the following (but not strictly limited to): law; regulations (these are typically supporting laws but more technical); decree (it may come from the Prime Minister, Minister, state government minister, etc.; official policy positions announced in strategy or policy/ systems documents).

Key Steps

The key audience of SIPSI for Indonesia programs would be the executives of the program's counterpart ministries/ government agencies. A SIPSI narrative would be useful to provide validated information for the facility annual performance reporting system, illustrating key achievements.

Questions to check prior to applying the SIPSI technique:

- Who are the key audiences of SIPSI?
- For what will the SIPSI narratives be used?
- How will it fit in with the rest of your measurement system?
- Is it the right tool for you?

The following steps in SIPSI can help programs and donors capture instances of improvement through an evidence-based narrative.

⁷ <https://www.clearhorizon.com.au/>

KEY STEPS					
1. Harvest					
<p>Activity and workplan implementers to identify candidate systemic impacts by tracking any potentially significant changes in policy/systems that a program has influenced. A few alternative methods to apply:</p> <ul style="list-style-type: none"> • Outcome harvesting (can be done partially) • Impact log (e.g. impact@prospera.or.id) • Eyes and ears approach – paying attention 					
2. Narrate					
<p>Activity and workplan implementers to collect evidence of the instance and its significance, develop analysis how/if a program contributed to this instance, and develop a narrative. The technique will produce a quantified number of instances, but the more useful information will be the narrative that has to be provided to “qualify” as an instance.</p> <p>SIGNIFICANT POLICY CHANGE NARRATIVE SHALL INCLUDE:</p> <table> <tr> <td>SUMMARY STATEMENT</td><td> <p>A clear and short statement outlining the impact, significance, and contribution of the program.</p> <p><i>Example: Indonesia has improved policies for starting a business and dealing with commercial issues, with Australia’s support. In 2017, Indonesia leapt 19 places in the World Bank’s business rankings; the largest gain for Indonesia since the index started. Australia assisted Indonesia’s economic agencies make business licences cheaper, renewals easier and improve investor protection in 2017. In 2018, Australia helped the Supreme Court move towards electronic courts for easier commercial adjudication.</i></p> </td></tr> <tr> <td>DESCRIPTION OF IMPACT</td><td> <p>An outline will describe the outcome being claimed and the improvement, including who made the change, when did this happen, where was it announced, how it created news, who announced the policy/systems change.</p> <p>Describe the instance of policy/systems improvement. This may include a wide range of different types of results that imply policy improvement but it has to be evidence-based and pitched beyond the direct influence of the program; this is not necessarily attributable to the facility’s influence.</p> <p><i>Example: In April 2017, Indonesia’s law ministry made starting a business less costly by reducing notary fees for limited liability companies. Previously, legal fees for business documents were unregulated and could amount to Rp 5 million (AUD 500). The cost is now capped at Rp 1 million (AUD 100).</i></p> <p><i>In January 2017, license renewals were also made easier by the Trade Ministry. Now businesses apply only once for a licence to trade in goods and services rather than every five years, as re registration is automatic. To renew a company registration, businesses can submit an online form with re registration confirmed within three days.</i></p> <p><i>At the service delivery level, major changes were made. With a population of 30 million, the greater Jakarta area handles the biggest number of business permit requests across Indonesia, with over 35,000 requests in 2017. Over 2017 the Jakarta business centre halved the number of business registration procedures and reduced fees.</i></p> </td></tr> </table>		SUMMARY STATEMENT	<p>A clear and short statement outlining the impact, significance, and contribution of the program.</p> <p><i>Example: Indonesia has improved policies for starting a business and dealing with commercial issues, with Australia’s support. In 2017, Indonesia leapt 19 places in the World Bank’s business rankings; the largest gain for Indonesia since the index started. Australia assisted Indonesia’s economic agencies make business licences cheaper, renewals easier and improve investor protection in 2017. In 2018, Australia helped the Supreme Court move towards electronic courts for easier commercial adjudication.</i></p>	DESCRIPTION OF IMPACT	<p>An outline will describe the outcome being claimed and the improvement, including who made the change, when did this happen, where was it announced, how it created news, who announced the policy/systems change.</p> <p>Describe the instance of policy/systems improvement. This may include a wide range of different types of results that imply policy improvement but it has to be evidence-based and pitched beyond the direct influence of the program; this is not necessarily attributable to the facility’s influence.</p> <p><i>Example: In April 2017, Indonesia’s law ministry made starting a business less costly by reducing notary fees for limited liability companies. Previously, legal fees for business documents were unregulated and could amount to Rp 5 million (AUD 500). The cost is now capped at Rp 1 million (AUD 100).</i></p> <p><i>In January 2017, license renewals were also made easier by the Trade Ministry. Now businesses apply only once for a licence to trade in goods and services rather than every five years, as re registration is automatic. To renew a company registration, businesses can submit an online form with re registration confirmed within three days.</i></p> <p><i>At the service delivery level, major changes were made. With a population of 30 million, the greater Jakarta area handles the biggest number of business permit requests across Indonesia, with over 35,000 requests in 2017. Over 2017 the Jakarta business centre halved the number of business registration procedures and reduced fees.</i></p>
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KEY STEPS	
SIGNIFICANCE OF IMPACT	<p>Brief narrative to explain why this change is important or could potentially be important if the policy/systems is taken up. If appropriate:</p> <ul style="list-style-type: none"> ○ Provide quantification of potential reach: how many women and men, boys and girls could potentially benefit if the policy/systems is implemented, as well as people with disabilities or other marginalised groups. ○ Detail how this improvement addresses a significant bottleneck or problem that has been a constraint/ barrier to progress development in the past. ○ Describe leverage, how much money/budget could be redirected or saved due to this policy/systems improvement. ○ Where relevant, describe how it has potential to make a difference over the long-term outcomes and goals. <p><i>Example: As a measure of significant progress in the important business centre of Jakarta the process of starting a business is now much quicker. The number of permits has been drastically reduced from 518 in 2016 to 249 by May 2018. Before the changes, registering a new business in Jakarta took 34 working days and cost Rp 2.8 million (AUD 280) in 2016. Now, it takes only seven days at a maximum cost of Rp 2.2 million (AUD 220). A new mobile app known as JakEvo, launched in May 2018, is driving even further innovation allowing businesses to register in just one hour. In the month of May, more than 2,000 permits were approved via the new app.</i></p> <p><i>Over 5 million permits were issued by the Jakarta business centre in 2017, up 17% on the year before. Around Rp 83 trillion (AUD 8.3 billion) was invested in Jakarta in 2017, up 40% on 2016.</i></p> <p><i>Easier business registration also brings more small enterprises into the formal economy, with associated labour protection, tax and other obligations. This is a major benefit in a country where almost 70% of workers are estimated to be employed informally.</i></p> <p>Detail what has to happen next in order for the benefits promised by the policy/systems change to be realised. In particular, if the policy/system has not been partially or fully implemented, outline what needs to happen for the policy/systems to be implemented. Note any challenges and further support required. Make an assessment on the viability of the new policy/systems.</p>
CONTRIBUTION OF PROGRAM	<p>Draw the link between the program investment e.g. outputs, and the outcome described in the Summary.</p> <p>Examine alternative plausible explanations for the outcomes and try to rule them out.</p> <p>Note who/what else was also contributing e.g. other agencies.</p> <p>Make a case for contribution and provide evidence. Ideally you apply a defensible methodology to determine contribution. Examples of methods (refer other sections in this Toolkit) include:</p> <ul style="list-style-type: none"> ○ Contribution analysis (Mayne) – based around a results chain ○ RAPID workshop technique (ODI - Jones, 2011, pp 6) – based around a workshop process examining chronology and influence

KEY STEPS	
	<ul style="list-style-type: none"> ○ Process tracing ○ General elimination methodology (Scriven) ○ This step can involve conducting interviews and participatory exercises with a variety of stakeholders, drawing on grey/unpublished and published literature and carrying out analysis on the raw data. If you are claiming to have influenced a ministerial process – then it certainly helps to have evidence that that Minister thought you influenced it.
ANNEX	<p>Provide the following information:</p> <ul style="list-style-type: none"> ○ Evidence is key to substantiate the significance of the outcome and DFAT's contribution. Evidence can come from interviews, surveys, news sources, or participatory exercises with stakeholders. ○ Methods used, e.g. general elimination method, and how they were applied ○ Other details, e.g. alignment with DFAT's objectives or Indonesia's RPJMN; impact on gender and social inclusion.
3. Verification of and ranking the narratives	
<p>Activity and workplan implementers will submit narratives to DFAT for a verification panel to assess their significance and count the instances deemed significance.</p> <p>A panel of staff (DFAT and non-program staff) assesses each narrative to determine whether:</p> <ul style="list-style-type: none"> • a significant change has taken place in the applicable period (and how significant) • DFAT's contribution is clearly conveyed • there is sufficient evidence of the significance and of DFAT's contribution <p>The verification panel will review the narratives and scored them against significance and contribution rubrics. Verified outcomes will then be ranked (high, moderate or low).</p> <p>Highly ranked narratives could be very useful for DFAT PAF and for sharing the results of our work.</p> <p>Lower ranked outcomes are valued for a range of internal and external communication purposes (where the outcome information is not confidential).</p>	
4. Cross-case analysis	
<p>DFAT may conduct cross-case analysis if desired to help learn which types of interventions are most likely to lead to significant change.</p> <p>At a portfolio level, can target the likely number of instances but do not actually predict which will bear fruit. It works well for a large program or facility generating a lot of emergent changes.</p> <p>An alternative method is QCA or qualitative comparative analysis, which requires:</p> <ul style="list-style-type: none"> • an outcome rating score, and • an agreed set of attributes to be collected alongside the narratives. 	
5. Communicate	
DFAT to count and summarise number operating at portfolio level, and share significant instances.	

Value

A few of the values of significant policy improvement tool are:

- The value of the evidence-based narratives can be more significant than any relevant quantitative target.
- The panel can engage DFAT executives -- understanding program + providing views on strategic alignment.

- Narratives can be used to communicate at a whole range of different levels – verification adds credibility.

Quantification and Economic Analysis

Quantification can happen at different levels; Prospera can potentially support economic analyses for the most significant instances:

Level	Quantification and Analysis
At a portfolio level	<ul style="list-style-type: none"> • A crude count of number of significant instances of policy/systems change
Within the narrative	<ul style="list-style-type: none"> • The amount of spending that has been leveraged 'leverage ratio' • The potential reach of the policy change– e.g. the number of women/ men who could potentially benefit • Could be taken further - form of economic analysis of potential return

2.17 Policy and Systems Evaluation | Contribution Analysis

Contribution Analysis explores attribution through assessing the contribution a program is making to observed results. It sets out to verify the theory of change behind a program and, at the same time, takes into consideration other influencing factors.

Contribution analysis can be applied as part of SIPSI.

This section contains excerpts from the following publication(s):

https://www.betterevaluation.org/sites/default/files/ILAC_Brief16_Contribution_Analysis.pdf

https://www.betterevaluation.org/en/plan/approach/contribution_analysis

<https://www.aes.asn.au/images/stories/files/conferences/2006/papers/022%20Fiona%20Kotvojs.pdf>

Overview

Contribution analysis assesses causal questions and infers causality in real-life program evaluations, through a step-by-step approach designed to help managers, researchers, and policymakers arrive at conclusions about the contribution their program has made (or is currently making) to particular outcomes. It is useful for programs to reduce uncertainty about the contribution the intervention is making to the observed results through an increased understanding of why the observed results have occurred (or not!) and the roles played by the intervention and other internal and external factors.

Causality in contribution analysis is inferred from the following evidence:

1. The program is based on a reasoned theory of change: the assumptions behind why the program is expected to work are sound, are plausible, and are agreed upon by at least some of the key players.
2. The activities of the program were implemented.
3. The theory of change is verified by evidence: the chain of expected results occurred.
4. Other factors influencing the program were assessed and were either shown not to have made a significant contribution or, if they did, the relative contribution was recognised.

Contribution analysis recognises that it takes time to achieve an impact and does not seek to prove an impact before it could be achieved. It provides information on whether a program is likely to achieve an impact. In terms of accountability for outcomes, contribution analysis asks if everything possible has been done to affect the achievement of the intended results and what lessons have been learnt (Mayne, 1999).

Contribution analysis is particularly useful in situations where the program is not experimental, i.e. not in trial projects but in situations where the program has been funded on the basis of a relatively clearly articulated [theory of change](#) and where there is little or no scope for varying how the program is implemented.

Contribution analysis helps to confirm or revise a theory of change; it is not intended to be used to surface or uncover and display a hitherto implicit or inexplicit theory of change. The report from a contribution analysis is not definitive proof, but rather provides evidence and a line of reasoning from which we can draw a plausible conclusion that, within some level of confidence, the program has made an important contribution to the documented results.

6 Iterative Steps in Contribution Analysis:

1. Set out the attribution problem to be addressed.
2. Develop a theory of change and risks to it.
3. Gather the existing evidence on the theory of change.
4. Assemble and assess the contribution story, or performance story, and challenges to it.
5. Seek out additional evidence.
6. Revise and, where the additional evidence permits, strengthen the contribution story.

Key Steps

Six steps to produce a credible contribution story are described in the table below.

STEP 1. Set out the attribution problem to be addressed
<p><i>Determine the specific questions being addressed. Not all cause-effect questions are useful to pursue. Example of useful questions are:</i></p> <p><u>Traditional causality questions:</u> <i>Has the program caused the outcome? To what extent has the program caused the outcome? How much of the outcome is caused by the program?</i></p> <p><u>Contribution questions:</u> <i>Has the Program influenced the observed result? Has the program made an important contribution to the observed result? Why has the result occurred? What role did the intervention play?</i></p> <p><u>Management questions:</u> <i>Is it reasonable to conclude that the program has made a difference? What does the preponderance of evidence say about how well the program is making a difference? What conditions are needed to make this type of program succeed?</i></p>
<p>Acknowledge the attribution problem. Too often the question of attribution is ignored in program evaluations. Observed results are reported with no discussion as to whether they were the result of the program's activities. At the outset, it should be acknowledged that there are legitimate questions about the extent to which the program has brought about the results observed.</p> <p>Determine the specific cause–effect question being addressed. A variety of questions about causes and effects can be asked about most programs. These range from traditional causality questions, such as “To what extent has the program caused the outcome?” to more managerial questions, such as “Is it reasonable to conclude that the program has made a difference to the problem?”</p> <p>Care is needed to determine the relevant cause–effect question in any specific context, and whether or not the question is reasonable. In many cases the traditional causality question may be impossible to answer, or the answer may simply lack any real meaning given the numerous factors influencing a result. However, managerial-type cause–effect questions are generally amenable to contribution analysis.</p> <p>Determine the level of confidence required. The level of proof required needs to be determined. Issues that need to be considered are, for example: What is to be done with the findings? What kinds of decisions will be based on the findings? The evidence sought needs to fit the purpose.</p> <p>Explore the type of contribution expected. It is worth exploring the nature and extent of the contribution expected from the program. This means asking questions such as: What do we know about the nature and extent of the contribution expected? What would show that the program made an important contribution? What would show that the program 'made a difference'? What kind of evidence would we (or the funders or other stakeholders) accept?</p> <p>Determine the other key influencing factors. In determining the nature of the expected contribution from the program, the other factors that will influence the outcomes will also need to be identified and explored, and their significance judged.</p> <p>Assess the plausibility of the expected contribution in relation to the size of the program. Is the expected contribution of the program plausible? Assessing this means asking questions such as: Is the problem being addressed well understood? Are there baseline data? Given the size of the program intervention, the magnitude and nature of the problem and the other influencing factors, is an important contribution by the program really likely? If a significant contribution by the program is not plausible, the value of further work on causes and effects needs to be reassessed.</p>

STEP 2. Develop a theory of change and risks to it

Develop the program logic/results chain describing how the program is supposed to work. Identify as well the main external factors at play that might account for the outcomes observed. Based on the results chain, develop the theory of change upon which the program is based. This theory of change should lead to a plausible association between the activities of the program and the outcomes sought. The theory of change must include the assumptions made in the results chain and the inherent risks as well as external influences such as donor pressure, influences of peers and resourcing levels. Some links in the theory of change will be fairly well understood or accepted. Others will be less well understood, contested or subject to significant influence other than from the program. In this way you acknowledge that attribution is indeed a problem.

With program partners, build a theory of change and program logic. The key tools of contribution analysis are theories of change, and program logics. With these tools the contribution story can be built. Together theory of change and program logic sets out what a program is expected to bring about; the desired results as well as how that change is expected to be achieved. The theory of change, as well as simply identifying the steps in the program logic and the specific intermediate outcomes anticipated, should identify the assumptions behind each step in the logic and the risks to those assumptions.

Determine the level of detail. Logic models/ theories of change can be shown at almost any level of detail. Contribution analysis needs reasonably straightforward, not overly detailed logic, especially at the outset. Refinements may be needed but can be added later.

Determine the expected contribution of the program. Making statements about the contribution of programs to outputs is quite straightforward, but it is considerably more challenging to make statements about the contribution that programs make to final outcomes (impacts). Three 'circles of influence' (Montague et al., 2002) can be useful here:

- Direct control – where the program has fairly direct control of the results, typically at the output level;
- Direct influence – where the program has a direct influence on the expected results, such as the reactions and behaviours of its clients through direct contact, typically the immediate outcomes and perhaps some intermediate outcomes; and
- Indirect influence – where the program can exert significantly less influence on the expected results due to its lack of direct contact with those involved and/or the significant influence of other factors.

The theory of change is probably much better developed and understood – and expectations are clearer – at the direct control and direct influence levels than at the level of indirect influence.

List the assumptions underlying the theory of change. Typical logic models focus on the results expected at different levels. But a theory of change needs to spell out the assumptions behind the theory, for example to explain what conditions have to exist for A to lead to B, and what key risks there are to that condition. [This can be more challenging when you are navigating by judgement!]

Include consideration of other factors that may influence outcomes. A well thought out theory of change not only shows the logic of a program but also how external factors may affect the results. Other influences could vary from pressure from donors and/or a government-wide initiative to improve program M&E. Although it is rarely realistic to do primary research on external factors that may affect results, reasonable efforts should be made to gather available information and opinions on the contribution they might have.

Determine how much the theory of change is contested. Views may differ about how a program is supposed to work. If many players contest the theory of change, this may suggest that overall understanding of how the program is supposed to work is weak. If, after discussion and debate, key players cling to alternative theories of change, then it may be necessary to assess each of these – specifically the links in the results chain where the theories of change differ. The process of gathering evidence to confirm or discard alternative theories of change should help decide which theory better fits reality. Building a theory of change and logic through participatory processes in the first place can result in better owned, understood and more valid and robust outputs.

STEP 3. Gather the existing evidence on the theory of change

It is useful to first use existing evidence such as from past related evaluations or research, and from prior monitoring, to test the theory of change. It sets out the intended results (outputs, intermediate and end outcomes). What evidence (information from performance measures and evaluations) is currently available about the occurrence of these results?

The links in the theory of change also need to be assessed. What evidence currently exists on the assumptions and risks behind these links? Which are strong (good evidence available, strong logic, or wide acceptance) and which are weak (little evidence available, weak logic, or little agreement among stakeholders)? What evidence exists about the identified other influencing factors and the contribution they may be making?

Assess the logic of the links in the theory of change. Reviewing the strengths and weaknesses of the logic, the plausibility of the various assumptions in the theory and the extent to which they are contested, will give a good indication of where concrete evidence is most needed.

Gather the evidence. Evidence to validate the theory of change is needed in three areas: observed results, assumptions about the theory of change, and other influencing factors.

Evidence on results and activities Evidence on the occurrence or not of key results (outputs, and immediate, intermediate and final outcomes/impacts) is a first step for analysing the contribution the program made to those results. Additionally, there must be evidence that the program was implemented as planned. Were the activities that were

undertaken and the outputs of these activities, the same as those that were set out in the theory of change? If not, the theory of change needs to be revised.

Evidence on assumptions Evidence is also needed to demonstrate that the various assumptions in the theory of change are valid, or at least reasonably so. Are there research findings that support the assumptions? Many interventions in the public and not-for-profit sectors have already been evaluated. There has been a growing importance of synthesising existing information from evaluations and research. Considering and synthesising evidence on the assumptions underlying the theory of change will either start to confirm or call into question how program actions are likely to contribute to the expected results.

Evidence on other influencing factors Finally, there is a need to examine other significant factors that may have an influence. Possible sources of information on these are other evaluations, research, and commentary. What is needed is some idea of how influential these other factors may be. Gathering evidence can be an iterative process, first gathering and assembling all readily available material, leaving more exhaustive investigation until later.

STEP 4. Assemble and assess the contribution story, or performance story, and challenges to it

With this information, you will be able to assemble your contribution story that expresses why it is reasonable to assume that the actions of the program have contributed (in some fashion, which you may want to try and characterise) to the observed outcomes. Now you have to assess it. How credible is the story? Do informed people agree with the story? Does the pattern of results observed validate the program logic? Where are the main weaknesses in the story? There always will be weaknesses. Weaknesses in the story point to where additional data or information is needed.

The contribution story, as developed so far, can now be assembled and assessed critically. Questions to ask are:

- Which links in the program logic are strong (good evidence available, strong logic, low risk, and/or wide acceptance) and which are weak (little evidence available, weak logic, high risk, and/or little agreement among stakeholders)?
- How credible is the story overall? Does the pattern of results and links validate the program logic?
- Do stakeholders agree with the story—given the available evidence, do they agree that the program has made an important contribution (or not) to the observed results?
- Where are the main weaknesses in the story? For example: Is it clear what results have been

STEP 4. Assemble and assess the contribution story, or performance story, and challenges to it

achieved? Are key assumptions validated? Are the impacts of other influencing factors clearly understood?

Any weaknesses point to where additional data or information would be useful. So far, no 'new' data has been gathered other than from discussions with program individuals and maybe experts, and perhaps a literature search. At this point, the robustness of the contribution story, with respect to the attribution question(s) raised at the outset, is known and will guide further efforts.

STEP 5. Seek out additional evidence

Having identified where the contribution story is less credible, additional evidence is now gathered to augment the evidence in terms of what results have occurred, how reasonable the key assumptions are, and what has been the role of external influences and other contributing factors. Augmenting evidence can include the collection of additional, new data such as from surveys, field visits, administrative data, focus groups, national statistical data, etc. as well as the synthesis of evidence from other research and evaluations.

Identify what new data is needed. Based on the assessment of the robustness of the contribution story in Step 4, the information needed to address challenges to its credibility can now be identified, for example, evidence regarding observed results, the strengths of certain assumptions, and/or the roles of other influencing factors.

Adjust the theory of change. It may be useful at this point to review and update the theory of change, or to examine more closely certain elements of the theory. To do this, the elements of the theory may need to be disaggregated so as to understand them in greater detail.

Gather more evidence. Having identified where more evidence is needed, it can then be gathered. Multiple approaches to assessing performance, such as triangulation, are now generally recognised as useful and important in building credibility. Some standard approaches to gathering additional evidence for contribution analysis are:

- Surveys of, for example, subject matter experts, program managers, beneficiaries, and those involved in other programs that are influencing the program in question.
- Case studies, which might suggest where the theory of change could be amended.
- Tracking variations in program implementation, such as over time and between locations.
- Conducting a component evaluation on an issue or area where performance information is weak.
- Synthesising research and evaluation findings, for example using cluster evaluation and integrative reviews, and synthesising existing studies.

STEP 6. Revise and, where the additional evidence permits, strengthen the contribution story

With the new evidence, you should be able to build a more substantive and so more credible story, one that a reasonable person will be more likely to agree with. It will probably not be foolproof, but the additional evidence will have made it stronger and more plausible.

New evidence will build a more credible contribution story, buttressing the weaker parts of the earlier version or suggesting modifications to the theory of change. It is unlikely that the revised story will be foolproof, but it will be stronger and more credible. Contribution analysis works best as an iterative process. Thus, at this point the analysis may return to Step 4 and reassess the strengths and weaknesses of the contribution story.

Levels and Degrees

Three levels of contribution analysis lead to different degrees of robustness in statements of contribution.

- **Minimalist contribution analysis** At this level, the analysis (1) develops the theory of change, and (2) confirms that the expected outputs were delivered. Statements of contribution are based on the inherent strength of the theory of change and on evidence that the expected outputs were delivered. For example, in a vaccination program, if the outputs (vaccinations) are delivered, then the outcome of immunisation can be assumed based on the results of previous vaccination programs. The weaknesses of this level of analysis are any perceived weaknesses in the theory of change.
- **Contribution analysis of direct influence** This level of analysis starts with minimalist analysis and gathers and builds evidence that (1) the expected results in areas of direct influence of the theory of change were observed, and (2) the program was influential in bringing about those results, taking other influencing factors into consideration.

Statements of contribution are based on (1) observed results, (2) confirmation that the assumptions about direct influence are supported by factual evidence, and (3) the inherent strength of the theory of change in areas of indirect influence. An example of where this level of analysis would be appropriate is an intervention to get an agricultural research organisation to work collaboratively to solve complex problems—an approach, say, that has proven effective elsewhere.

If there is evidence that the research organisation has indeed adopted the new approach (**the desired behavioural change**) as a result of the intervention, the subsequent benefits may not have to be demonstrated, as they will have already been established from previous research.

- **Contribution analysis of indirect influence** This level extends the analysis into the more challenging area of indirect influence. It measures the intermediate and final outcomes/impacts (or some of them) and gathers evidence that the assumptions (or some of them) in the theory of change in the areas of indirect influence were borne out. Statements of contribution at this level attempt to provide factual evidence for at least the key parts of the entire theory of change.

EXAMPLE OF CHECK LIST WHEN CONDUCTING CONTRIBUTION ANALYSIS		✓ Tick
1.	A theory of change developed.	
2.	A clear recognition that the project activities were not the only influences on adoption of M&E approaches—other influencing factors were identified, such as the general pressure for public sector reform and/or pressure from donors.	
3.	Surveys conducted and asked explicitly for views on the nature and extent of the program's contribution to enhanced capacity, and attempts were made to triangulate the findings.	
4.	The lessons learned on how future program could enhance their contribution represent de facto refinements of the theory of change.	
5.	More structured approach to assessing contribution from the outset.	
6.	More analysis of the other influencing factors, perhaps through clearer articulation up front, comparisons with similar organisations not part of the project, and through asking about the relative contribution of the project efforts.	
7.	More attention to the risks facing the project.	

2.18 Policy and Systems Evaluation | Process Tracing

Process Tracing helps program implementers look at causal inference and provide alternative, possible explanations for social phenomena. This tool is useful for analysing data for an evaluation and can complement other qualitative data analysis tools and create a stronger basis for attributing causal significance to independent variables, when studying change, or impact. This tool is often used for research purposes.

Like contribution analysis, Process Tracing can be applied as part of SIPSI.

This section contains excerpts from the following publication(s):

<http://www.managingforimpact.org/tool/process-tracing>

<https://www.betterevaluation.org/en/evaluation-options/process-tracing>

<http://polisci.berkeley.edu/sites/default/files/people/u3827/Understanding%20Process%20Tracing.pdf>

Overview

Process tracing is a case-based approach to causal inference which focuses on the use of **clues** within a case (causal-process observations, CPOs) to adjudicate between alternative possible explanations.

It is often used to complement comparative case study methods. By tracing the causal process from the independent variable of interest to the dependent variable, it may be possible to rule out potentially intervening variables in imperfectly matched cases. This can create a stronger basis for attributing causal significance to the remaining independent variables.

Process tracing centres on dissecting causation through causal mechanisms between the observed variables, primarily in case studies. In essence, the focus of process tracing is on establishing the causal mechanism, by examining the fit of a theory to the intervening causal steps. Theorists using process tracing ask: “How does ‘X’ produce a series of conditions that come together in some way (or do not) to produce ‘Y’?” By emphasising the causal process, the leads to certain outcomes, process tracing lends itself to validating theoretical predictions and hypotheses.

Process tracing can be a valuable approach for testing a theory within a particular context. A researcher studying the ‘democratic peace theory’ could look at a number of cases (or even just a single case) in which both democratic and non-democratic countries did or did not go to war. Then, through process tracing, these cases can be thoroughly researched and analysed. By looking at the pertinent facts and sequence of events in these cases and applying them against the tenets of the ‘democratic peace theory,’ the relevance of the theory can be construed and other potential explanations can either be proven either inapplicable or potentially significant. In this manner, process tracing can be a useful test of a theory’s viability.

Key Steps

A productive way to start is with a good narrative or with a timeline that lists the sequence of events. One can then explore the causal ideas embedded in the narratives, consider the kinds of evidence that may confirm or not confirm these ideas, and identify the tests appropriate for evaluating this evidence.

There are 4 types of causal tests in process tracing:

- Straw in the Wind which lends support for an explanation without definitively ruling it in or out. These tests can increase the plausibility of a given hypothesis or raise doubts about it, but are not decisive by themselves. Straw-in-the-wind tests thus provide neither a necessary, nor a sufficient, criterion, for accepting or rejecting a hypothesis, and they only slightly weaken rival hypotheses. Of the four tests, these are the weakest and place the least demand on the

researcher's knowledge and assumptions. Yet they provide valuable benchmarks in an investigation by giving an initial assessment of a hypothesis. Furthermore, if a given hypothesis passes multiple straw-in-the wind tests, it adds up to important affirmative evidence.

- Hoop failed when examination of a case shows the presence of a necessary causal condition, when the outcome of interest is not present. Common “hoop” conditions are more persuasive than uncommon ones. These tests set a more demanding standard. The hypothesis must “jump through the hoop” to remain under consideration, but passing the test does not by itself affirm the hypothesis. Although not yielding a sufficient criterion for accepting the explanation, it establishes a necessary criterion. Hoop tests do not confirm a hypothesis, but they can eliminate it. Compared to the straw-in-the-wind tests, passing hoop tests has stronger implications for rival hypotheses: it somewhat weakens their plausibility, without precluding the possibility that alternative hypotheses may be relevant.
- Smoking Gun passed when examination of a case shows the presence of a sufficient causal condition. Uncommon “smoking gun” conditions are more persuasive than common ones. The metaphor of a “smoking gun” conveys the idea that a suspect who is caught holding a smoking gun is presumed guilty. However, those with no smoking gun may not be innocent. In other words, this provides a sufficient but not necessary criterion for accepting the causal inference. It can strongly support a given hypothesis, but failure to pass does not reject it. If a given hypothesis passes, it substantially weakens rival hypotheses.
- Doubly Decisive passed when examination of a case shows that a condition is both necessary and sufficient support for the explanation. These tend to be rare. These tests provide strong inferential leverage that confirms one hypothesis and eliminates all others. They meet both the necessary and sufficient standard for establishing causation. As Bennett (2010, 211) notes, single tests that accomplish this are rare in social science, but this leverage may be achieved by combining multiple tests, which together support one explanation and eliminate all others.

Process tracing can be used both to see if results are consistent with the program theory (theory of change) and to see if alternative explanations can be ruled out.

Table 5. Process Tracing Tests for Causal Inference

		Sufficient for affirming causal inference	
		No	Yes
		1. Straw-in-the-Wind	3. Smoking-Gun
Necessary for affirming causal inference	No	a. Passing: Affirms relevance of hypothesis, but does not confirm it.	a. Passing: Confirms hypothesis.
		b. Failing: Hypothesis is not eliminated, but is slightly strengthens them.	b. Failing: Hypothesis is not eliminated, but is somewhat weakened.
		c. Implications for rival hypotheses: Passing <i>slightly</i> weakens them. Failing <i>slightly</i> strengthens them	c. Implications for rival hypotheses: Passing <i>substantially</i> weakens them. Failing <i>somewhat</i> strengthens them.
	Yes	2. Hoop	4. Doubly Decisive
		a. Passing: Affirms relevance of hypothesis, but does not confirm it	a. Passing: Confirms hypothesis and eliminates others.
		b. Failing: Eliminates hypothesis.	b. Failing: Eliminates hypothesis.
		c. Implications for rival hypothesis: Passing <i>somewhat</i> weakens them. Failing <i>somewhat</i> strengthens them.	c. Implications for rival hypotheses: Passing <i>eliminates</i> them. Failing <i>substantially</i> strengthens.

Source: Adapted from Bennett (2010, 210), who builds on categories formulated by Van Evera (1997, 31-32)

Process tracing can focus either on recurring events or on a singular event; and although it is reasonable to think of process tracing as a qualitative method, it sometimes relies on quantitative information. Three other points should also be emphasised:

- **Specification of Hypotheses** Careful, analytically informed specification of hypotheses is essential both in selecting and interpreting pieces of evidence, and in weighing them against one another. Background knowledge is fundamental.
- **Distinctions among Tests** The distinctions in Table 5 support useful comparison, but should not be taken rigidly. The decision to treat a given piece of evidence as the basis for one of the four tests can depend on the researcher's prior knowledge, the assumptions that underlie the study, and the specific formulation of the hypothesis. Although in general the appropriate test is clear, sometimes a piece of evidence treated as a straw-in-the-wind might instead be viewed as the basis for a hoop test or a smoking-gun test. Alternatively, it might simply be viewed as an "intermediate" test, with corresponding implications for rival hypotheses.
- **Assumptions and Interpretations** The decision about which test is appropriate to a particular piece of evidence thus involves different assumptions and interpretations. For example, if researchers make the weaker assumption that a given event (or other piece of evidence) may be a coincidence, they should and will be more cautious. Alternatively, if they make the stronger assumption – based on prior knowledge – that it is probably not a coincidence, they may arrive at a different conclusion about accepting or rejecting the hypothesis.

Warning from the KP team: These approaches are based on assumptions of rational human behaviour.

2.19 Policy and Systems Evaluation | General Elimination Method

General Elimination Method is used with a case study that happens after an effort is finished to determine whether a plausible and defensible case can be made that the effort in fact had an impact (to determine contribution). The method begins with an intervention and searches for an effect. It gathers evidence to eliminate alternative or rival explanations for effects until the most compelling explanation remains. This is a useful method to measure influence and accountability.

This approach can also be applied within the SIPS framework.

This section contains excerpts from the following publication(s):

[https://www.betterevaluation.org/en/evaluation-](https://www.betterevaluation.org/en/evaluation-options/list_possible_causes_general_elimination_methodology)

[options/list possible causes general elimination methodology](https://www.betterevaluation.org/en/evaluation-options/list_possible_causes_general_elimination_methodology)

<http://www.gsdr.org/docs/open/hdq905.pdf>

http://www.3ieimpact.org/media/filer_public/2012/06/29/working_paper_15.pdf

Overview

General Elimination Method (GEM) entails systematically identifying and then ruling out alternative causal explanations of observed results. It is based on the idea that for any event it is possible to draw up *Lists of Possible Causes* (LOPCs) or alternative hypothetical explanations for an outcome of interest. Each putative cause will have its own set of “footprints”, or *Modus Operandi* (MO) – “a sequence of intermediate or concurrent events, a set of conditions or a chain of events that has to be present when the cause is effective” (Scriven, 2008). For example, a criminal investigation might be able to identify a criminal from a list of suspects by examining the means, motives and opportunity pertaining to each of them.

GEM sets out to identify potential causes of effects by examining the facts of a case and establishing which MOs are present and which are not. Any cause for which the Modus Operandi is not present can be dismissed, leaving only causal explanations that have a genuine causal link.

General Elimination Methodology is intended to provide a framework for evaluation which can establish causal claims beyond reasonable doubt. The methodology is as follows:

1. A **List of Possible Causes** or competing explanations for an event, outcome or set of outcomes which are consistent with the circumstances of the evaluation should be drawn up.
2. For each **Possible Cause**, outline the *Modus Operandi* (MO), which will be present if that cause is found to have had a causal influence. Each **Possible Cause** should have a distinct set of footprints which would allow an evaluator to identify it.
3. Systematically establish the “facts of the case” in order to demonstrate whether the MO for each **Possible Cause** is present or not. Key evidence likely to prove or disprove each Possible Cause should be sought out. The logic here is two-fold:
 - a) identifying elements of a **MO** that are present provides evidence that a **Possible Cause** might have been an actual cause; and
 - b) identifying elements of **MO** that are not present allows any **Possible Cause** that does not fit the evidence to be eliminated, leaving only those that do have a causal link.

Some of the common ways that can be used within GEM include critical observation, interviews, theoretical inference, quasi-experiments and cross-sectional data. An evaluation team can use evidence gained from reviewing various documentations and published/unpublished materials that are in relevance to the program. Interviews and group discussions with people directly involved in and knowledgeable about the program also provide key information.

Furthermore, competing explanations in the form of alternative narratives explaining the interrelationships and results are to be considered; saturation, triangulation, and redundancy are to be used to decide whether sufficient evidence was available; choices are to be narrowed to the simplest explanations; and more weight is to be placed on more direct connections.

The strength of this method is that it does not require randomised control trials (RCTs) to establish causation, and involves no sophisticated experimental design, statistics or risk analysis. Despite considerable systematic effort, it does add rigour to an evaluation's methodology and can reach a high level of confidence. This is especially useful in situations when RCTs may be unethical. On the other hand, this method requires consistent and lengthy systematic effort to find all probable causes and explore their link to impact.

Two Stages of General Elimination Method

The following describes the two stages of General Elimination Method, examples included.

TWO STAGES OF GENERAL ELIMINATION METHOD
1. Identify possible explanations.
<p>One of these possible explanations is that a program produced the outcomes and impacts that can be observed. At this stage you should identify as many possible alternative explanations using a combination of options such as:</p> <ul style="list-style-type: none"> • Key informant interviews - well-informed local people might know about historical events, local conditions and/or other programs that could have produced the results. • Previous evaluations and research - these might have identified other factors that can produce the results. • Brainstorming.
2. Gather and analyse data to see if the possible alternative explanations can be ruled out.
<p>For example, let's imagine you're evaluating a program that aims to support farmers to apply fertilizer to their winter crops to increase production and hence their income and well-being. If you had data that showed they had had an increase in their annual income, this might be because the program had been effective OR this might have been caused by something else.</p> <ul style="list-style-type: none"> • Start by possible alternative explanations for the increase in annual income. For example, maybe there was a drought in other areas, so local farmers were able to get a higher price for their crops, even though they had not produced more. Or maybe their increased income had been from the summer crops; and then • Gather and analyse data to see if these possible alternative explanations could be ruled out. For example, if you had some data about local prices which showed they had been stable, you could rule out increased prices as the reason for increased income. If you had information about when people's income had increased, you might be able to rule out income from their summer crops.

2.20 Case Study

"A **case study** is a [research design] for learning about (or reporting on) a complex instance, based on a comprehensive understanding of that instance obtained by extensive description and analysis of that instance taken as a whole and in its context".... "The real business of a case study is particularisation, not generalisation." (Stake 1995)

The Prospera Knowledge and Performance team will systematically build a set of Case Studies sampled across the Facility Logic, over the life of Prospera. This will contribute to a cumulative body of evidence about Prospera's contribution to desired change.

Case Study is fully documented in these publications:

Stake, R.E. (1995) *The Art of Case Study Research*. SAGE Publications Inc, California, p 8

Yin, R.K. (2009) *Case Study Research – Design and Methods Fourth Edition*, Applied Social Research Methods Series Volume 5, SAGE Publications, California USA

Four different applications for case studies are described by Yin:¹ p19:

1. To explain the presumed casual links in real-life interventions that are too complex for the survey or experimental strategies;
2. To describe the intervention and the real-life context in which it occurred;
3. The illustration of certain topics within an evaluation in a descriptive mode; and
4. To enlighten those situations in which the intervention being evaluated has no clear, single set of outcomes.

Further, Yin (2009¹ p8) recommends Case Study use when *research questions are in the 'how' and 'why' form*; when the researcher has no control over behavioural events and when the focus is on contemporary events (i.e. *what is happening now?*).

Under Prospera an activity or workplan implementing team could use the following simple Case Study template as part of an Annual Report.

CASE STUDY TEMPLATE		
Guidance: <i>This template provides a space to document success stories or case studies conducted across Prospera breakthrough areas. Attach documents or references supporting the story or provide links where they can be accessed. Supporting documents can be laws/ regulations, official publications, government statements or memos, news cuttings (articles/ photos), etc. Tables, figures, photographs may be used to assist presentation.</i>		
Name of Implementing Team(s):		
Name and Number of Activity:		
Contribute to which Prospera Outcome(s):		
Relevant Counterpart Institution(s):		
Period of Activity Implementation:	From: [mmm-yyyy]	To: [mmm-yyyy]
[Title of Case Study)		
<div style="display: flex; justify-content: space-between;"> <div style="width: 60%;"> <p>Context Xxxx</p> <p>Opportunity Link to Prospera breakthrough Collaboration opportunity</p> <p>Contribution Prospera support included xxxx Contribution from other DFAT investments, other donors or stakeholders</p> <p>Success factors Lessons learned for future activities include:</p> <ul style="list-style-type: none"> • Xxx • Xxx </div> <div style="width: 35%; border: 1px solid black; padding: 10px;"> <p>HIGHLIGHT</p> <p>What change did Prospera contribute to? How?</p> <p>What does it mean for the people of Indonesia and Australia?</p> </div> </div>		
Title of Supporting Document/ Reference	Link (accessible/stored at)	
Xxx	Xxx	
Xxx		
Submission Date:	Name of Author:	Signature:

Design, Monitoring and Evaluation for Gender Equality and Social Inclusion

2.21 Harvard Analysis for Gender Equality⁸

The Harvard Analytical Framework (also known as Gender Roles Framework) can be a useful tool for activity planners and implementers to understand the social and economic conditions, gender gaps, and inequalities affecting men and women.

The framework aims:

- To demonstrate that there is an economic rationale for investing in women as well as men.
- To assist planners design more efficient projects and improve overall productivity.
- To emphasise the importance of better information as the basis for meeting the efficiency/equity goal.
- To map the work of men and women in the community and highlight the key differences.

HARVARD TOOL 1: Activity profile (who does what?)

The identification of the gender division of labour is crucial because it defines men's and women's socio-economic opportunities, constraints and incentives.

If little or no information is readily available on the gender division of labour within the target population, it is often useful to draw up an activity profile for men and women. Such a profile may be drawn up for the macro, meso, or micro level, as appropriate to the development activity under consideration.

The main questions to ask are:

- **who does what?**
- **where do men and women work?**
- **when do men and women work and for how long?**

The following are two examples of activity profiles for gender analysis: You can use any or both of them to construct your own gender activity profile, as relevant to your work.

Example 1

ACTIVITY PROFILE				
Socio-economic activity:	Women/girls	Men/boys	Time	Location
<i>Production activities</i>				
<u>paid labour activities:</u> activity 1: activity 2: etc.				
<u>unpaid labour/ productive activities:</u> activity 1: activity 2: etc.				

⁸ Accessed 22 October 2018 <http://ndcpartnership.org/content/harvard-analytical-framework>

ACTIVITY PROFILE				
Socio-economic activity:	Women/girls	Men/boys	Time	Location
Reproductive activities				
<u>unpaid labour for the household:</u> activity 1: activity 2: etc.				
<u>unpaid labour for the community:</u> activity 1: activity 2: etc.				

Example 2

ACTIVITY PROFILE			
Location	Activity	Gender	Time
<i>e.g. govt forest land, community forest land, homesteads, upland fields, lowland fields, village, city.</i>	<i>e.g. fuelwood and fodder collection, ploughing, weeding, harvesting, cooking, child care, wage labour.</i>	<i>F: exclusively female F/m: predominantly female M/F: equally male/female M/f: predominantly male M: exclusively male</i>	<i>e.g. govt forest land, community forest land, homesteads, upland fields, lowland fields, village, city.</i>

HARVARD TOOL 2: Access and control profile (resources and benefits)

Men and women do not have the same access or control over productive resources or benefits accruing from them. This gender-based inequality can have implications for the design and implementation of development interventions. In doing gender analysis, planners therefore need to obtain information about the gender-based patterns of access to and control over resources and benefits in the given community. The resources and benefits profile are a tool to help identify these gender-based patterns.

RESOURCES PROFILE			
Resources	Access by Gender	Control	Benefits

RESOURCES PROFILE			
Resources	Access by Gender	Control	Benefits
<i>e.g. land, trees, labour, time, technology, capital, extension training, indigenous knowledge, household decision-making</i>	<i>F: exclusively female F/m: predominantly female M/F: equally male/female M/f: predominantly male M: exclusively male</i>	<i>e.g. husband, first wife, village chief, state, forest department</i>	<i>e.g. food, fuel, income, skills, political power, status</i>

HARVARD TOOL 3: Influencing factors (constraints and opportunities)

This tool helps construct a profile about the opportunities and constraints in the environment that can potentially influence gender-related development efforts in the area.

The following are two examples of opportunity and constraint profiles for gender analysis: You can use any or both of them to construct your own profile, as relevant to your work.

Example 1

OPPORTUNITIES AND CONSTRAINTS PROFILE		
Description	Opportunity	Constraints
Economic/ demographic conditions		
Institutional arrangements		
Norms and values		
Political environment		
Legislation		
Training and education		
Other		

Example 2

SUPPORTS AND CONSTRAINTS PROFILE		
	Supports (which patterns in the area make life better?)	Constraints (which patterns in the area make life more difficult?)
Physical	<i>e.g.: are there environmental problems in the area?</i>	<i>e.g.: are there environmental advantages in the area?</i>
Social	<i>e.g.: do both girls and boys go to school equally?</i>	<i>e.g.: are women/men moving out of the area?</i>
Economic	<i>e.g.: do both women and men have access to new technology?</i>	<i>e.g.: are women/men getting poorer?</i>
Political	<i>e.g.: do both women and men</i>	<i>e.g.: who decides who can use</i>

SUPPORTS AND CONSTRAINTS PROFILE		
	Supports (which patterns in the area make life better?)	Constraints (which patterns in the area make life more difficult?)
	<i>have leadership roles?</i>	<i>resources?</i>

HARVARD TOOL 4: Checklist for project-cycle analysis

1. Collecting gender-disaggregated data
2. Capturing the different effects of social change on men and women

The Harvard framework also contains a series of check-lists consisting of key questions to ask at each stage of the project cycle: identification, design, implementation, and evaluation.

HARVARD CHECKLIST 1	Women's dimension in project identification
<u>Assessing women's needs</u> <ol style="list-style-type: none"> 1. What needs and opportunities exist for increasing women's productivity and/or production? 2. What needs and opportunities exist for increasing women's access to and control of resources? 3. What needs and opportunities exist for increasing women's access to and control of benefits? 4. How do these needs and opportunities relate to the country's other general and sectoral development needs and opportunities? 5. Have women been directly consulted in identifying such needs and opportunities? <u>Defining general project objectives</u> <ol style="list-style-type: none"> 1. Are project objectives explicitly related to women's needs? 2. Do these objectives adequately reflect women's needs? 3. Have women participated in setting those objectives? 4. Have there been any earlier efforts? 5. How has the present proposal built on earlier activity? <u>Identifying possible negative effects</u> <ol style="list-style-type: none"> 1. Might the project reduce women's access to or control of resources and benefits? 2. Might it adversely affect women's situation in some other way? 3. What will be the effects on women in the short and longer term? 	

HARVARD CHECKLIST 2	Women's dimension in project design
<u>Project impact on women's activities</u> <ol style="list-style-type: none"> 1. Which of these activities (Production, reproduction and maintenance, socio-political) does the project affect? 2. Is the planned component consistent with the current gender denomination for the activity? 3. If it is planned to change the women's performance of that activity, i.e., locus of activity, remunerative mode, technology, mode of activity) is this feasible, and what positive or negative effects would there be on women? 4. If it does not change, is this a missed opportunity for women's roles in the development process? 5. How can the project design be adjusted to increase the above-mentioned positive effects, and reduce or eliminate the negative ones? <u>Project impact on women's access and control</u>	

HARVARD CHECKLIST 2	Women's dimension in project design
	<ol style="list-style-type: none"> 1. How will each of the project components affect women's access to and control of the resources and benefits engaged in and stemming from the production of goods and services? 2. How will each of the project components affect women's access to and control of the resources and benefits engaged in and stemming from the reproduction and maintenance of the human resources? 3. How will each of the project components affect women's access to and control of the resources and benefits engaged in and stemming from the socio-political functions? 4. What forces have been set into motion to induce further exploration of constraints and possible improvements? 5. 1. How can the project design be adjusted to increase women's access to and control of resources and benefits?

HARVARD CHECKLIST 3	Women's dimension in project implementation
	<p><u>Personnel</u></p> <ol style="list-style-type: none"> 1. Are project personnel aware of and sympathetic to women's needs? 2. Are women used to deliver the goods and services to women beneficiaries? 3. Do personnel have the necessary skills to provide any special inputs required by women? 4. What training techniques will be used to develop delivery systems? 5. Are there appropriate opportunities for women to participate in project management positions? <p><u>Organisational structures</u></p> <ol style="list-style-type: none"> 1. Does the organisational form enhance women's access to resources? 2. Does the organisation have adequate power to obtain resources needed by women from other organisations? 3. Does the organisation have the institutional capability to support and protect women during the change process? <p><u>Operations and logistics</u></p> <ol style="list-style-type: none"> 1. Are the organisation's delivery channels accessible to women in terms of personnel, location and timing? 2. Do control procedures exist to ensure dependable delivery of the goods and services? 3. Are there mechanisms to ensure that the project resources or benefits are not usurped by males? <p><u>Finances</u></p> <ol style="list-style-type: none"> 1. Do funding mechanisms exist to ensure programme continuity? 2. Are funding levels adequate for proposed tasks? 3. Is preferential access to resources by males avoided? 4. Is it possible to race funds for women from allocation to delivery with a fair deal of accuracy? <p><u>Flexibility</u></p> <ol style="list-style-type: none"> 1. Does the project have a management information system which will allow it to detect the effects of the operation on women? 2. Does the organisation have enough flexibility to adapt its structures and operations to meet the changing or new-found situations of women?

HARVARD CHECKLIST 4	Women's dimension in project evaluation
<p><u>Data requirements</u></p> <ol style="list-style-type: none"> 1. Does the project's monitoring and evaluation system explicitly measure the project's effects on women? 2. Does it also collect data to update the Activity Analysis and the Women's Access and Control Analysis? 3. Are women involved in designing the data requirements? <p><u>Data collection and analysis</u></p> <ol style="list-style-type: none"> 1. Are the data collected with sufficient frequency so that necessary project adjustments could be made during the project? 2. Are the data fed back to project personnel and beneficiaries in an understandable form and on a timely basis to allow project adjustments? 3. Are women involved in the collection and interpretation of data? 4. Are data analysed so as to provide guidance to the design of other projects? 5. Are key areas of WID research identified? 	

The importance of sex disaggregated data

At a minimum where relevant all participation data collected should be sex disaggregated; that is numbers of women, numbers of men and if appropriate, numbers of people who identify as other genders, should be collected and reported. Ideally there would be analysis of what this data means in the context of the event, for example if there is a higher proportion of male attendance, why is this the case? Is this because the participants were all senior officers? Then, consider what can be done to move towards more balanced attendance.

Ethics for gender monitoring and evaluation

It is important in all monitoring and evaluation to plan data collection places and processes where women and men are freely able to express their views, without fear, and for them to know that their views will not be exposed. This similarly applies to organisational hierarchies where junior officers may not feel free to express their experience in the presence of more senior officers.

2.22 Focusing on Disability | The Washington Indicators

Since 2006, the Washington Group Indicators have been used as the means to collect disability data in programs and projects worldwide. The Washington Group Short Set on Functioning (WG-SS) tool covers 6 major functional domains (Vision, Hearing, Mobility, Cognition, Self-care, Communicating) to help identify the large majority of people with disabilities, and is useful for making inferences about the characteristics of people with disabilities in the population, and their outcomes, that are critical for policy planning and evaluation.

The WG-SS on Functioning is recommended for data collections in: censuses, targeted or broad-based surveys such as living standard measurement surveys, or household income and expenditure surveys.

DISAGGREGATION BY DISABILITY

Disaggregation by disability status is necessary to ensure the equalisation of opportunities and equitable development. Required pre-conditions for disaggregation of data by disability are:

☐ **Indicator(s) that have been established**

[Name of indicator(s)]

☐ **Consensus on way to identify persons with disabilities so that the indicator can be disaggregated by disability status**

- ⇒ For purposes of reporting and generating internationally comparable data, the Washington Group recommends to define the population identified as **with disability** includes those:
 - (i) with difficulty in at least one functional domain, and
 - (ii) that is coded as a lot of difficulty or cannot do it at all.
- ⇒ Prospera's definition of disability is as follows: (*Prospera Gender and Social Inclusion Strategy, Sep 2018*)
 - total or partial loss of the person's bodily or mental functions; or
 - total or partial loss of a part of the body; or- the presence in the body of organisms causing disease or illness; or
 - the presence in the body of organisms capable of causing disease or illness; or
 - the malfunction, malformation or disfigurement of a part of the person's body; or
 - disorder or malfunction that results in the person learning differently from a person without the disorder or malfunction; or
 - a disorder, illness or disease that affects a person's thought processes, perception of reality, emotions or judgement or that results in disturbed behaviour; and includes a disability that: presently exists; or previously existed but no longer exists; or may exist in the future; or is imputed to a person.
- ⇒ The word 'disability' is often misunderstood and stigmatised, which is also often based on lack of understanding and knowledge. It is important to note that disability does not just refer to extremes, such as loss of both legs, but is a continuum. In fact, many of us have or will have some disability in our life - be that impaired hearing, joint damage or back problems, reading glasses, a stroke or having some physical or mental limitations.

Census Questions on Disability Endorsed by the Washington Group

Introduction Phrase: *The following set of questions ask about difficulties you may have doing certain activities because of a HEALTH PROBLEM.*

Date of data collection :

Name of data collector :

Name of respondent :

Sex : ☐ Male ☐ Female ☐ Other

Occupation :

Age :

No	Question	Tick ✓
1.	Do you have difficulty seeing, even if wearing glasses?	
	a. No – no difficulty	
	b. Yes – some difficulty	
	c. Yes – a lot of difficulty	
	d. Cannot do at all	
2.	Do you have difficulty hearing, even if using a hearing aid?	
	a. No – no difficulty	
	b. Yes – some difficulty	
	c. Yes – a lot of difficulty	
	d. Cannot do at all	
3.	Do you have difficulty walking or climbing steps?	
	a. No – no difficulty	
	b. Yes – some difficulty	
	c. Yes – a lot of difficulty	
	d. Cannot do at all	
4.	Do you have difficulty remembering or concentrating?	
	a. No – no difficulty	
	b. Yes – some difficulty	
	c. Yes – a lot of difficulty	
	d. Cannot do at all	
5.	Do you have difficulty (with self-care such as) washing all over or dressing?	
	a. No – no difficulty	
	b. Yes – some difficulty	
	c. Yes – a lot of difficulty	
	d. Cannot do at all	
6.	Using your usual (customary) language, do you have difficulty communicating, for example understanding or being understood?	
	a. No – no difficulty	

Census Questions on Disability Endorsed by the Washington Group

Introduction Phrase: *The following set of questions ask about difficulties you may have doing certain activities because of a HEALTH PROBLEM.*

	b. Yes – some difficulty	
	c. Yes – a lot of difficulty	
	d. Cannot do at all	

Tools for Learning



PROSPERA

Program Kemitraan Indonesia
Australia untuk Perekonomian

3 Tools for Learning

3.1 Learning Session Tracking Tool for Learning and Improvement Sessions

[PLACE HOLDER]

- *How was learning and improvement facilitated? Who was involved? Who wasn't involved? When? What changed as a result? Then what? So what?*

3.2 Guide for Designing and Facilitation of Learning Events

[PLACE HOLDER]

-

3.3 Questions Guide for Learning Discussions

[PLACE HOLDER]

-

4 Ethics

This section sets out Prospera's approach to applying ethical approaches in the collection of data for performance monitoring and evaluation.

Basically, ethics refers to right and wrong in conduct. While all academic researchers who might be engaged by Prospera to undertake research or evaluation will be required to apply their host university's codes of ethics, the Australasian Evaluation Society has developed guidelines⁹ for ethical behaviour and decision-making in evaluation. These are intended to foster continuous improvement in the theory, practice and use of evaluation by stimulating awareness and discussion of ethical issues.

Five ethical issues in evaluation

Bamberger¹ (1999) highlights five sets of ethical issues of particular importance in the international evaluation context:

1. **Respect for multiculturalism and diversity.** This is closely linked to cultural competence and most important in programs promoting gender equity; people with disabilities and other targeted marginalised groups.
2. **Protecting the legitimate concerns of both clients and stakeholders.** This is about balancing the concerns of the evaluation commissioner with the sometimes-conflicting interests of a wide variety of stakeholders.
3. **Ensuring the cultural appropriateness of the evaluation approach.** Again, linked to cultural competence this is about tailoring methods to suit the cultural situation.
4. **Dissemination of information on evaluation methods, findings and proposed actions.** In short this is about gaining permission from communities and making sure they are well briefed and there are no surprises in the implementation of the evaluation. This can take a significant amount of effort and planning.
5. **Meeting the needs of different stakeholders and the general public.** While meeting the needs of the donor or evaluation commissioner, it is an ethical challenge to develop national evaluation capability and ensure that the evaluation is also useful for the nation.

All Prospera evaluators, and researchers, will be expected to demonstrate their particular approaches to ethical conduct.

Prospera makes the following commitments to ethical practice:

- When undertaking performance monitoring and evaluation, the Prospera team, and any individual or team engaged to support evaluative processes, will abide by relevant professional and ethical guidelines, and codes of conduct for evaluators.
- Evaluation will be undertaken with integrity and honesty.
- Commissioners, evaluation managers and evaluators will respect human rights and differences in culture, customs, religious beliefs and practices of all stakeholders.
- Evaluation designers and evaluators will be mindful of gender roles, ethnicity, ability, age, sexual orientation, language and other differences when designing and carrying out evaluation

⁹ Guidelines for the Ethical Conduct of Evaluations, Australasian Evaluation Society, 2013. Accessed 19 March 2018 at https://www.aes.asn.au/images/stories/files/membership/AES_Guidelines_web_v2.pdf

Annex 1 Indicative Data Collection Plans

These indicative data collection plans provide a starting point for design of, or build on existing, monitoring and evaluation plans at activity and work plan level.

End of Facility Breakthrough Outcome 1 | Data collection plan | 2018-19

1. Expanding markets creating jobs | 1.1 Better regulation for private sector growth; 1.2 More open trade and investment; 1.3 Safe and efficient transport to move people and goods

Prospera outcome <i>Assumption</i>	Performance Questions	What: Data to answer the Performance Question [Indicator]/ or Test the Assumption	How: Method to collect data [WHO HOLDS/ OWNS / HAS IP FOR THIS DATA?]	Current State: <i>Baseline (where relevant or useful)</i>	Who? Responsibility to collect data	When? How often? Frequency/ Commencement	Where will it be used? Reporting / Learning / Improvement
1. Expanding markets creating jobs							
1.1 Better regulation for private sector growth							
Reduced barriers to doing business <i>Assumption:</i> <ul style="list-style-type: none"> That there is a quality analysis of the business operating environment, including understanding of motivating and influencing factors about how business decisions are made, undertaken by Ministry of Trade to design an appropriate program of work. 	<ul style="list-style-type: none"> To what extent have barriers to market entry, operation and exit been reduced? To what extent has Prospera contributed to these changes? To what extent are women and men building and operating businesses? What has Prospera contributed? 	Entry: <ol style="list-style-type: none"> Reduced cost and time to start a business. Removal of sectoral restrictions that limits market access to preferred providers (e.g., SOEs) Operation: <ol style="list-style-type: none"> Reduced cost and time to obtain construction permits Reduced cost and time to employ staff and make staff redundant (for example, by amending severance pay) Increased flexibility for women workers Exit: <ol style="list-style-type: none"> Reduced cost and time to enforce contracts Reduced cost and time to resolve insolvency/ 	<ol style="list-style-type: none"> Data <u>routinely collected</u> on all these indicators from their various sources (largely World Bank) Analysis of trends in the data Prospera activity records for contribution analysis, and Significant Instances of Policy Change and Systems Improvement 	Is current state / baseline relevant?	Prospera KP Team Prospera Markets M&E Focal Point	As data is updated or becomes relevant. Six monthly and Annual	Activity and Facility level Annual Progress Report
Fit for purpose regulations are prepared and implemented <i>Assumption:</i> <ul style="list-style-type: none"> That regulators are able to analyse the system, including drivers and motivators to develop a diverse range of policy mechanisms, including incentives to promote private sector development. 	<ul style="list-style-type: none"> To what extent has Prospera contributed to development of private sector regulation? To what extent can the new or updated regulations be considered fit for purpose? To what extent have new regulations been developed with a gender lens? 	<ol style="list-style-type: none"> # and quality of new and revised policies and regulations for the digital economy (e.g., development of data protection and privacy law consistent with emerging international practice) # and quality of new and revised policies and regulation of enabling services markets (services that have a systemic impact on the economy)(e.g., Implementation of network sharing for telecommunications providers) # and quality of new and revised policies and regulation of labour markets (e.g., introduction of regulation that allows part time work and better opportunities for women to access and stay in work) # and quality of examples stronger promotion of competition and consumer protection (e.g., regulation of ride hailing apps – that protects consumers without stifling business innovation and competition) 	<ol style="list-style-type: none"> Data <u>routinely collected</u> on all these indicators from their various sources Analysis of trends in the data Prospera activity records for contribution analysis, and Significant Instances of Policy Change and Systems Improvement 	Is current state / baseline relevant?	Prospera KP Team Prospera Markets M&E Focal Point	As data is updated or becomes relevant. Six monthly and Annual	Activity and Facility level Annual Progress Report
Less informality and greater certainty for firms and workers <i>Assumption:</i> <ul style="list-style-type: none"> That there are simple(r) systems for businesses seeking to enter the formal sector 	<ul style="list-style-type: none"> To what extent are firms and workers transitioning from the informal sector to the formal sector? What has enabled this shift? Is it a positive change for them? What has Prospera 	<ol style="list-style-type: none"> % of firms and workers entering the formal sector that were operating in the informal sector #, type and quality of enabling opportunities (regulations, policies and system improvements) that have supported this transition #, type and quality of Prospera related activities 	<ol style="list-style-type: none"> Business and worker registration data Analysis of documents and regulations Significant Instances of Policy and System Improvement 	Are current state / baselines relevant?	Prospera KP team with Prospera Markets M&E Focal Point	As data is updated or becomes relevant. Six monthly and Annual	Activity and Facility level Annual Progress Report

Prospera outcome <i>Assumption</i>	Performance Questions	What: Data to answer the Performance Question [Indicator]/ or Test the Assumption	How: Method to collect data [WHO HOLDS/ OWNS / HAS IP FOR THIS DATA?]	Current State: <i>Baseline (where relevant or useful)</i>	Who? Responsibility to collect data	When? How often? Frequency/ Commencement	Where will it be used? Reporting / Learning / Improvement
	<i>contributed?</i>						
1.2 More open trade and investment							
Markets are opened through trade agreements and domestic reforms <i>Assumptions:</i> <ul style="list-style-type: none"> That trade negotiations are conducted on a level playing field That Indonesian government maintains stable government and other nations retain interest in preferred and other trade agreements That Indonesia is considered to be a predictable and preferred trade partner That high quality analysis enables perverse outcomes to be avoided. 	<i>To what extent have multilateral and Preferential Trade Agreements (PTAs) been implemented?</i> <i>How have markets responded to these agreements? To what extent has revenue increased with more open markets?</i> <i>To what extent has Foreign Direct Investment increased?</i> <i>To what extent have domestic market reforms been implemented?</i> <i>To what extent has Prospera contributed?</i>	<ol style="list-style-type: none"> Implementation of the World Trade Organisation's (WTO)'s Trade Facilitation Agreement (TFA). Conclusion, ratification and implementation of Regional Comprehensive Economic Partnership (RCEP) agreement and ratification and implementation of the Indonesia-Pakistan PTA and amended Indonesia-Japan Economic Partnership Agreement. # and type of domestic market reforms Changes in Indonesia's Negative Investment List that reduce the level of investment restrictions for foreign investors Changes in trade policy that reduce the level of tariffs and non-tariff barriers faced by exporters to Indonesia Extent of international agreements adopted into domestic policy Better incentives for increased appropriate exports # and quality of new and revised policies and regulations 	<ol style="list-style-type: none"> Trade agreement progress documentation Domestic reform progress and documentation Significant Instances of Policy Change and Systems Improvement 	These changes are being supported through a 'navigation by judgement' approach with Prospera providing support when there is political and bureaucratic will aligned.	Prospera KP team and Prospera Markets M&E Focal Point	As data is updated or becomes relevant. Six monthly and Annual	Activity and Facility level Annual Progress Report
Private investment in infrastructure is increasingly enabled <i>Assumptions:</i> <ul style="list-style-type: none"> That private investors have sufficient trust in Indonesian government to become significant infrastructure investors That returns for private investment in infrastructure are sufficient to encourage investment That private investment in infrastructure sufficiently provides for a community service obligation 	<i>To what extent and in what ways has private investment in infrastructure been enabled?</i> <i>To what extent has Prospera contributed?</i> <i>How is Prospera working with KIAT in this area?</i>	<ol style="list-style-type: none"> #, type and quality of new policy documents and processes that are supporting an increase in private sector investment in infrastructure e.g. PPP's, Public dialogues Ways in which Prospera has engaged with KIAT Record of Prospera's activities in this area 	<ol style="list-style-type: none"> Document review of policies and processes Activity six month and annual reports Activity six month and annual reports 	Is current state / baseline relevant?	Prospera KP team and Prospera Finance M&E Focal Point; Infrastructure team; KIAT team	As data is updated or becomes relevant. Six monthly and Annual	Activity and Facility level Annual Progress Report
Financial markets and products are more diverse <i>Assumption:</i> <ul style="list-style-type: none"> That Indonesian Financial consumers are able to flexibly adjust to (understand the value of) and adopt less familiar and more diverse 	<i>To what extent are the financial sector actors (BI, MoF, OJK, LPS) collaborating to develop a shared understanding of financial sector deepening opportunities?</i> <i>What processes have been developed to support more</i>	<ol style="list-style-type: none"> Significant progress toward completion of Financial Sector (Legislative) Road Map, through collaboration (BI, MoF, OJK, LPS) Elements of Financial Sector Road Map explored in – depth-Working papers prepared: Fin Tech, Pensions, Mortgage Based Securities # and quality of Fin Tech regulations developed by OJK in line with a planned approach # and type of new financial products 	<ol style="list-style-type: none"> Review of relevant documents and regulations Sector data of financial product existence and usage Significant Instances of Policy Change and Systems Improvement 	Is current state / baseline relevant?	Prospera KP team and Prospera Finance M&E Focal Point	As data is updated or becomes relevant. Six monthly and Annual	Activity and Facility level Annual Progress Report

Prospera outcome <i>Assumption</i>	Performance Questions	What: Data to answer the Performance Question [Indicator]/ or Test the Assumption	How: Method to collect data [WHO HOLDS/ OWNS / HAS IP FOR THIS DATA?]	Current State: <i>Baseline (where relevant or useful)</i>	Who? Responsibility to collect data	When? How often? Frequency/ Commencement	Where will it be used? Reporting / Learning / Improvement
<i>financial products.</i>	<i>diverse markets and services? To what extent are financial services providers realising these opportunities? To what extent did Prospera contribute to this?</i>	5. Level of adoption of new financial products 6. Level of ongoing use of the new financial products 7. Type of activities that Prospera has contributed to, to influence the development of these products					
1.3 Safe and efficient transport to move people and goods							
Transport sector has increased safety technical capability <i>Assumption:</i> <ul style="list-style-type: none"> That Indonesian government transport institutions are willing to continue engaging with ITSAP partners. 	<ul style="list-style-type: none"> To what extent have transport safety systems been strengthened in Aviation and Maritime sectors? To what extent and in what ways has Prospera ITSAP contributed? 	<ol style="list-style-type: none"> # new safety policies and regulations and their level of implementation and intended consequences # women and men trained in understanding and operating new safety and security systems Effectiveness data for safety systems in various agencies # and type of relevant Prospera ITSAP activities 	<ol style="list-style-type: none"> Review of relevant documents and regulations ITSAP Activity reports Indonesian agency data for safety systems application Significant Instances of Policy Change and Systems Improvement 	Is current state / baseline relevant?	Prospera KP team and Prospera ITSAP Team	As data is updated or becomes relevant. Six monthly and Annual	Activity and Facility level Annual Progress Report
Indonesia leads aviation and maritime regulation in the region <i>Assumption:</i> <ul style="list-style-type: none"> That Indonesia continues to be an increasingly valued role model to the region 	<ul style="list-style-type: none"> To what extent is Indonesia leading aviation and maritime regulation in the region? To what extent and in what ways has Prospera ITSAP contributed? 	<ol style="list-style-type: none"> Examples of Indonesia's regional influence in these sectors # and type of relevant Prospera ITSAP activities 	<ol style="list-style-type: none"> Review of relevant regional transport documents and regulations ITSAP Activity reports 	Is current state / baseline relevant?	Prospera KP team and Prospera ITSAP Team	As data is updated or becomes relevant. Six monthly and Annual	Activity and Facility level Annual Progress Report
Transport safety aligned with global standards and practices <i>Assumption:</i> <ul style="list-style-type: none"> The Indonesian government transport institutions are able to continue to influence the Indonesian transport industry service providers to implement global practice. 	<ul style="list-style-type: none"> To what extent is Indonesian transport safety aligned with global standards and practices? To what extent are transport service providers complying with these standards and practice? To what extent and in what ways has Prospera ITSAP contributed? 	<ol style="list-style-type: none"> Audit of Indonesian agencies alignment with global safety standards and practices (those agencies with whom ITSAP is working) Industry audit of service providers # and type of relevant Prospera ITSAP activities 	<ol style="list-style-type: none"> Agency owned data on alignment with global standards and practices Agency owned data on industry service providers compliance with standards ITSAP Activity reports ITSAP Case study 	Analysis of trends in level of alignment and compliance	Prospera KP team and Prospera ITSAP Team	As data is updated or becomes relevant. Six monthly and Annual Case Study in 2019, updated 2022	Activity and Facility level Annual Progress Report

End of Facility Breakthrough Outcome 2 | Data collection plan | 2018/19

2. Safeguarding economic and financial stability| 2.1 Better framework to deliver macro and financial stability; 2.2 Increased supervision and regulation of financial sector; 2.3 Combatting financial crime

PROSPERA outcome <i>Assumption</i>	Performance Questions	What: Data to answer the Performance Question [Indicator]/ or Test the Assumption	How: Method to collect data [WHO HOLDS/ OWNS / HAS IP FOR THIS DATA?]	Current State: Baseline (where relevant)	Who? Responsibility to collect data	When? How often? Frequency/ Commencement	Where will it be used? Reporting / Learning / Improvement
2. Safeguarding economic and financial stability							
2.1 Better framework to deliver macro and financial stability							
Macro policy framework drives stability and growth <i>Assumptions:</i> <ul style="list-style-type: none"> The Indonesian government continues to trust and value Prospera advice and evidence. Prospera continues to provide accessible and useful evidence to inform the macro policy framework dialogue. 	<ul style="list-style-type: none"> To what extent is the macro policy framework being applied by the Indonesian government to facilitate conversations and action around stability and growth? To what extent has Prospera contributed to this? 	<ul style="list-style-type: none"> Examples of use of macro policy framework in policy dialogues and development Records of relevant Prospera activities and support, e.g. # of presentations; no of relevant documents and information products 	<ul style="list-style-type: none"> Document review Prospera Adviser reports; Reports on Tim Asistensi influencing and advice activities 	Not relevant	Prospera Economics and Inclusion team, supported by Prospera KP team	Six monthly and Annual	Facility Six month and Annual Progress Reports
Clear legal framework for financial stability describes roles and responsibilities <i>Assumption:</i> <ul style="list-style-type: none"> That there is bureaucratic and political will to have a strong legal framework 	<ul style="list-style-type: none"> Does a clear legal framework for financial stability exist (or is progress being made)? To what extent is it understood by responsible parties? To what extent has Prospera contributed to this? 	<ul style="list-style-type: none"> Extent of progress toward development of a complete best fit legal framework #, type and quality of relevant activities supported by Prospera in contributing to the legal framework 	<ul style="list-style-type: none"> Legal framework project monitoring - # and quality of relevant documents and policy paper that describes complete framework Prospera activity management records 	Not relevant	Prospera Finance M&E Focal Point with Prospera KP team	Six monthly and Annual	Facility Six month and Annual Progress Reports
Financial stability committee is a stronger institution <i>Assumptions:</i> <ul style="list-style-type: none"> There is a lead champion That financial stability agencies are willing and motivated, and available to coordinate more effectively Financial stability committee agrees on the roles and responsibilities of the Secretariat That stable government is maintained 	<ul style="list-style-type: none"> To what extent is the Financial stability committee a best fit institution with officers with appropriate technical capability? What has Prospera contributed? 	<ul style="list-style-type: none"> # and quality of secretariat meetings #, type and quality of relevant activities supported by Prospera with the Financial Stability committee and partner agencies Map of financial crisis management protocols Extent to which KSSK and / or BKF are routinely doing their own surveillance using existing tools 	<ul style="list-style-type: none"> Review of financial stability committee meeting minutes Survey of main actors about collaboration and coordination Prospera activity management records 	Not relevant	Prospera Finance M&E Focal Point	Annual	Facility Six month and Annual Progress Reports
2.2 Increased supervision and regulation of financial sector							
Local adoption of risk based financial supervision <i>Assumption:</i> <ul style="list-style-type: none"> There is a political and bureaucratic appetite for risk based financial supervision approaches, which can be localised 	<ul style="list-style-type: none"> To what extent are the Financial Services Authority and Bank Indonesia adopting risk based approaches to prudential supervision that work in the local context? To what extent does the Financial Services Authority have an improved ability to implement global security standards? To what extent has Prospera contributed to this? 	<ol style="list-style-type: none"> Level of skills, knowledge, confidence and commitment to risk based supervision by Bank Indonesia and Financial Services Authority officers Financial Services Authority level of capability against global security standards Practice change to risk based supervision – including suitable systems # and type of relevant Prospera activities 	<ol style="list-style-type: none"> Survey of Bank Indonesia and Financial Services Authority officers Assessment of Financial Services Authority against checklist of global security standards Prospera RBA and ASIC activity reports 	Is a baseline or current state description relevant?	Prospera KP team with the Prospera RBA and ASIC Team	Annual	Facility Six month and Annual Progress Reports

PROSPERA outcome <i>Assumption</i>	Performance Questions	What: Data to answer the Performance Question [Indicator]/ or Test the Assumption	How: Method to collect data [WHO HOLDS/ OWNS / HAS IP FOR THIS DATA?]	Current State: Baseline (where relevant)	Who? Responsibility to collect data	When? How often? Frequency/ Commencement	Where will it be used? Reporting / Learning / Improvement
Financial regulators have a consistent approach to conduct supervision <i>Assumption:</i> <ul style="list-style-type: none"> Financial regulators are collaborating and coordinating, and all hold a similar view of the value of consistent approach to supervision; There is no political interference 	<ul style="list-style-type: none"> To what extent do OJK and other Indonesian regulators deliver better regulation and consistent supervision? To what extent has Prospera contributed to this? 	<ol style="list-style-type: none"> Progress toward establishment of a single secretariat for Financial Ombudsman/ External Dispute Resolution across six sectors Progress toward development of a road map on consumer protection and action plan for External Dispute resolution e.g. consumer Protection Strategy and action plan presented to relevant agencies Quality and extent of Financial Services Authority and other Indonesian regulators regulations developed- evidence based Quality and consistency of supervision practiced by OJK and other Indonesian regulators. # and type of relevant Prospera activities 	<ol style="list-style-type: none"> Document evidence Document evidence Review of relevant regulations and process to develop regulations Review of supervision capability 	Is a baseline or current state description relevant?	Prospera KP team with Prospera ASIC Team	Annual	Facility Six month and Annual Progress Reports
Increased financial regulation and enforcement capability. <i>Assumption:</i> <ul style="list-style-type: none"> The level of inputs provided by Australian agencies is enough to influence improved and sustainable practice change in Indonesian government financial system regulators 	<ul style="list-style-type: none"> To what extent are Financial Services Authority officers delivering better regulation, enforcement and surveillance capability? To what extent has Prospera contributed to this? 	<ol style="list-style-type: none"> Practices of relevant Financial Services Authority officers with regard to regulation, enforcement and surveillance # and type of relevant Prospera activities 	<ol style="list-style-type: none"> Observation of Financial Services Authority officers practices; Interview with officers about their practices; Manager survey; Documented statistics on regulation, enforcement and surveillance Prospera ASIC activity records 	Is a baseline or current state description relevant?	Prospera KP team with Prospera ASIC Team	Annual	Facility Six month and Annual Progress Reports
2.3 Combatting financial crime							
Enhanced measures to meet international financial crime prevention standards <i>Assumption:</i> <ul style="list-style-type: none"> That political and bureaucratic will to meet international financial standards is maintained 	<ul style="list-style-type: none"> To what extent is PPATK meeting international financial crime prevention standards? To what extent has Prospera contributed to this? 	<ol style="list-style-type: none"> # new regulations and policies to harden Indonesia's economy from anti money laundering and counter terrorism funding Indonesia is not referred to the ICRG process # of improvements to financial sector regulation Membership of FATF granted Record of relevant Prospera AUSTRAC activities 	<ol style="list-style-type: none"> Audit of PPATK progress toward required FATF international standards Documented evidence of relevant financial regulation changes / additions Evidence of membership of FATF AUSTRAC project management records 	Is a baseline or current state description relevant?	Prospera AUSTRAC team	Annual	Facility Six month and Annual Progress Reports

PROSPERA outcome <i>Assumption</i>	Performance Questions	What: Data to answer the Performance Question [Indicator]/ or Test the Assumption	How: Method to collect data [WHO HOLDS/ OWNS / HAS IP FOR THIS DATA?]	Current State: Baseline (where relevant)	Who? Responsibility to collect data	When? How often? Frequency/ Commencement	Where will it be used? Reporting / Learning / Improvement
Indonesia leads the region in financial crime prevention <i>Assumption:</i> <ul style="list-style-type: none"> That a high level of trust is maintained between PPATK and AUSTRAC, and they are in turn trusted and respected by other regional stakeholders 	<i>To what extent is PPATK leading regional initiatives for financial crime prevention?</i>	<ol style="list-style-type: none"> # and type of regional initiatives e.g continued co-hosting of the Regional Counter terrorism funding summit Support for PPATK attendance at FATF, APG and Egmont (and other relevant) fora PPATK chairing of international fora working groups on anti-money laundering and counter terrorism funding related intelligence and regulatory initiatives # and type of information sharing platforms enabling information exchange between Indonesia and Australia, and other regional partner agencies Level of understanding of the application of those systems 	<ol style="list-style-type: none"> PPATK Reports Prospera AUSTRAC workplan activity reports 	Is a baseline or current state description relevant?	Prospera AUSTRAC team, supported if necessary by KP team	Annual	Facility Six month and Annual Progress Reports
Increased capability to prevent money laundering and terrorist financing <i>Assumption:</i> <ul style="list-style-type: none"> That a high level of trust is maintained between the Indonesian and Australian agencies and data sharing arrangements are robust 	<ul style="list-style-type: none"> <i>To what extent do PPATK officers have increased capability for detection and analysis of anti-money laundering and counter terrorism funding?</i> <i>To what extent is relevant financial data being more effectively stored and accessible?</i> 	<ol style="list-style-type: none"> Practice change by participants in Australian accredited financial intelligence analysis course Progress with planning and implementation of big data transformation and systems establishment Record of relevant Prospera activities 	<ol style="list-style-type: none"> Post training follow up interviews with course participants Project report on big data transformation 	Is a baseline or current state description relevant?	Prospera AUSTRAC team, supported by Prospera KP team	Annual	Facility Six month and Annual Progress Reports

End of Facility Breakthrough 3 | Data collection plan | 2018/19

3. Improving public finances and government performance | 3.1 More revenue through better tax administration and policy; 3.2 More effective public spending with better budget systems; 3.3 Greater transparency and accountability of government

PROSPERA outcome <i>Assumptions</i>	Performance Questions	What: Data to answer the Performance Question [Indicator]/ or Test the Assumption	How: Method to collect data	Current State: Baseline (where relevant)	Who? Responsibility to collect data	When? How often? Frequency/ Commencement	Where will it be used? Reporting / Learning / Improvement
3. Improving public finances and government performance							
3.1 More revenue through better tax administration and policy							
Best-fit business processes to support tax payer compliance <i>Assumptions:</i> <ul style="list-style-type: none"> DG Tax officials are interested in changing their behaviours to support transparent and efficient tax payer compliance New tax policies and regulations are understood by tax payers and incentivise compliance; rather than dis-incentivising compliance DG Tax establishes efficient and user-friendly tax collection systems DG Tax officers understand good practice in tax administration DG Tax officers are motivated and engaged in understanding and owning a new tax system DG Tax officials are interested in changing their behaviours to support transparent and efficient tax payer compliance 	<ul style="list-style-type: none"> To what extent do DG Tax business processes support tax payer compliance? To what extent do business processes meet the needs of women and people living with disabilities tax payers? To what extent do DGT officers understand good practice in tax admin? To what extent are tax payers increasing voluntary compliance with tax laws? To what extent has this contributed to increased revenue collection? What has Prospera contributed? 	<ol style="list-style-type: none"> Best fit status of business processes with regard to supporting ease of paying tax State of business processes with regard to enabling ease of women and people with disabilities paying tax Practice and knowledge of DG Tax officers DG Tax tax payer compliance data <ul style="list-style-type: none"> Registration Lodgement Reporting Payment DG Tax tax derived Revenue Data # and type of Prospera activities and support relevant to this work 	<ol style="list-style-type: none"> Analysis of business processes Analysis of business processes Practice 'change' survey of DG Tax officers & observation of their behaviours DG Tax system data DG Tax system data Prospera ATO team activity records 	Is a baseline / statement of current condition useful or relevant	Prospera KP Team working with Prospera ATO and Revenue teams	Annual	Facility Six month and Annual Reports

PROSPERA outcome <i>Assumptions</i>	Performance Questions	What: Data to answer the Performance Question [Indicator]/ or Test the Assumption	How: Method to collect data	Current State: Baseline (where relevant)	Who? Responsibility to collect data	When? How often? Frequency/ Commencement	Where will it be used? Reporting / Learning / Improvement
An integrated core tax system (IT and people) <i>Assumptions:</i> <ul style="list-style-type: none"> Core tax system procurement is successful and that appropriate system scoping and design has been included in the Statement of Requirements There is continued political and bureaucratic support for tax reform DG Tax officers understand the purpose and elements of the system and have ownership of and engagement in the process for establishing a new system. 	<ul style="list-style-type: none"> To what extent is the core tax system in place and functioning? Were the right choices made in scoping the system? Were DG Tax officers included at all stages of system, design and implementation? What has Prospera contributed? 	<ol style="list-style-type: none"> Dedicated Project Management Office established and running Core Tax System Request for Tender prepared and publicly advertised Contract signed with successful tenderer System effectiveness measures established # and type of Prospera activities and support 	<ol style="list-style-type: none"> DG Circulars and Ministerial Decision papers Publication of Tender Documents DG Tax announcement / Press Release/ circular Document setting out agreed system measures and targets endorsed by DG Tax management Practice 'change' survey of DG Tax officers & observation of their behaviours Prospera Revenue Team Activity Management records 	Is a baseline / statement of current condition useful or relevant	Prospera Revenue Team M&E Focal Point	Annual	Facility Six month and Annual Reports

PROSPERA outcome <i>Assumptions</i>	Performance Questions	What: Data to answer the Performance Question [Indicator]/ or Test the Assumption	How: Method to collect data	Current State: Baseline (where relevant)	Who? Responsibility to collect data	When? How often? Frequency/ Commencement	Where will it be used? Reporting / Learning / Improvement
Better tax policy and implementation <i>Assumptions:</i> <ul style="list-style-type: none"> Indonesian government Tax office senior officials (leadership team) are committed to better tax policy and are prepared and supported to stay the course. Incentives for poor policy design and lack of implementation are acknowledged and understood Policy development regulations are followed 	<ul style="list-style-type: none"> To what extent has tax policy become more appropriate and how is it being implemented? What has Prospera contributed? 	<ol style="list-style-type: none"> # and type of tax policies that have been developed, which are better and have been developed using evidence and in collaboration Indonesia Tax Policy Dialogue (ITPD) is established with a work plan Range of other policy matters described (e.g. VAT, Excise etc) # and type of Prospera activities and support 	<ol style="list-style-type: none"> Tax policy documents and reports on the process through which they were developed. e.g. Medium term Tax strategy Paper; Recommendations adopted in Vis Pajak 2030: Quality analysis of the policy documents Significant Instances of Policy and System Improvement ITPD Documentation and recommendations Relevant records of all policy matters informed Prospera Revenue Team Activity Reports 	Is a baseline / statement of current condition useful or relevant	Prospera KP team supporting Prospera Revenue Team M&E Focal Point	Annual	Facility Six month and Annual Reports
3.2 More effective public spending with better budget systems							
Better spending policy design and implementation <i>Assumption:</i> <ul style="list-style-type: none"> MOF officers are motivated and supported to design and implement good fit spending policies 	<ul style="list-style-type: none"> To what extent is spending policy best fit and being implemented? What has Prospera contributed? 	<ol style="list-style-type: none"> # , type and quality of spending policies developed and progressing to adoption and implementation More accurate resource envelope forecast Improved understanding of fiscal multipliers and fiscal risks in MOF Budget transparency recommendations adopted in budgets Spending reviews of health, education and food security completed with DG treasury DG Treasury officers effectively conducting spending reviews Spending review information informs subsequent budget # and type and quality of Prospera activities and support 	<ol style="list-style-type: none"> Most Significant Policy Change Process Budget documents comparing original/ revised and actual forecasts; interviews with Indonesian government Officials Knowledge and practice survey with MOF officials Budget documents; interviews with civil society organisations e.g. TI Spending review documents Knowledge and practice survey of DG treasury officers Budget documents and interviews with Indonesian government officials Prospera Activity Reports 	Is a baseline / statement of current condition useful or relevant	Prospera Spending M&E Focal Point with Prospera KP team	Annual	Facility Six month and Annual Reports

PROSPERA outcome <i>Assumptions</i>	Performance Questions	What: Data to answer the Performance Question [Indicator]/ or Test the Assumption	How: Method to collect data	Current State: Baseline (where relevant)	Who? Responsibility to collect data	When? How often? Frequency/ Commencement	Where will it be used? Reporting / Learning / Improvement
Integrated planning and budget system <i>Assumption:</i> <ul style="list-style-type: none"> MOF leadership maintains genuine support for effective planning and PFM through strong systems MOF officers understand the elements of a core integrated spending system and how they fit together and apply that knowledge MOF officers are supported by leadership to understand and effectively practice integrated spending 	<ul style="list-style-type: none"> To what extent has a core integrated spending system been implemented? To what extent is the system contributing to better expenditure and stronger public financial management? To what extent do MOF officers understand the elements of a core integrated spending system and apply it in practice? What has Prospera contributed? 	<ol style="list-style-type: none"> Improved Performance Budgeting—better performance indicators are described and adopted Single IT application is in use Accuracy and quality of budget estimates in Medium Term expenditure frameworks have a baseline for each year Bappenas and MOF officers are routinely and effectively applying Standard Operating Procedures MOF officers demonstrate through practice their understanding of the core tax system components # and type and quality of Prospera activities and support 	<ol style="list-style-type: none"> Budget indicator document Usage records of Single IT Application; survey of Indonesian government users Budget documents and analysis of those documents Standard Operating Procedure documents; survey of Bappenas and MOF officials who apply the SOPs and their supervisors (<i>what are they doing differently?</i>) Survey of MOF officers' (who work with the Spending team) practices and competencies (<i>what are they doing differently?</i>) Prospera Spending Team Activity Management records 	Is a baseline / statement of current condition useful or relevant	Prospera Spending M&E Focal Point supported by Prospera KPL team	Annual	Facility Six month and Annual Reports
Consolidated national-regional accounts <i>Assumption:</i> <ul style="list-style-type: none"> There is sufficient motivation and capability at central and regional government level to collate budget data. 	<ul style="list-style-type: none"> To what extent has the availability of integrated central and local government budget data increased and how is it being used? What has Prospera contributed? 	<ol style="list-style-type: none"> National- Regional Financial Reporting System SIKIRI trialled and operating effectively Usage data for the SIKIRI system # and type of regional PFM system improvements made at central level # and type and quality of Prospera activities and support 	<ol style="list-style-type: none"> Spending Team MOF Activity Report System usage statistics Presentations, Analysis, Revised regulations, better processes, interviews with Indonesian government officials at National and Regional level about system effectiveness and their confidence in using the system effectively Prospera Activity Reports 	Is a baseline / statement of current condition useful or relevant	Prospera Spending M&E Focal Point and Prospera KP team	Annual	Facility Six month and Annual Reports
3.3 Greater transparency and accountability of government							
High quality performance and financial audits <i>Assumption: That</i> <ul style="list-style-type: none"> Audit office officers are sufficiently trusted by other institutions to enable access for Performance and Financial Audits 	<ul style="list-style-type: none"> To what extent is the Indonesian Audit Office effectively conducting Performance and Financial Audits, which are quality assured? What has Prospera contributed? 	<ol style="list-style-type: none"> Indonesian Audit office performance audits consistently meet quality standards and demonstrate impact focus Indonesian Audit office financial audits consistently meet quality standards and add value to financial management Indonesian Audit Office QA practice is consistent with international standards and accepted good practice # and type and quality of Prospera ANAO activities and support 	<ol style="list-style-type: none"> Assessment of Indonesian Audit office performance audits against quality standards Assessment of Indonesian Audit office performance audits against quality standards Assessment of Indonesian Audit office QA practice against international standards Prospera ANAO Workplan report 	Is a baseline / statement of current condition useful or relevant	Prospera ANAO team with support by Prospera KP team	Annual	Facility Six month and Annual Reports

PROSPERA outcome <i>Assumptions</i>	Performance Questions	What: Data to answer the Performance Question [Indicator]/ or Test the Assumption	How: Method to collect data	Current State: Baseline (where relevant)	Who? Responsibility to collect data	When? How often? Frequency/ Commencement	Where will it be used? Reporting / Learning / Improvement
Ombudsman supports and guides government agencies <i>Assumption:</i> <ul style="list-style-type: none"> Ombudsman is seen as a trusted institution and has sufficient resources to undertake effective engagement with Indonesian government agencies 	<ul style="list-style-type: none"> To what extent is the Ombudsman office more engaged with and supporting and guiding Indonesian government agencies? To what extent has the whole of government internal complaint handling model been developed and being applied? What has Prospera contributed? 	<ol style="list-style-type: none"> Perceptions of Ombudsman from other Indonesian government agencies Examples of change in Ombudsman officials approach and practice for support and engagement Internal Complaint model is documented and tested by Ombudsman officers Internal complaint model is finalised and disseminated to all agencies by the Ombudsman office Indonesian government officers are trained in applying the complaint handling model Model is being used by Indonesian government agencies and leading to better behaviours # and type and quality of Prospera activities and support 	<ol style="list-style-type: none"> ORI stakeholder perception study (supported by OCO??) ORI Annual Report and Activity Reports (OCO?) Prospera OCO Workplan report 	Is a baseline / statement of current condition useful or relevant	Prospera OCO team has a detailed M&E framework; Prospera KP team will support as required for more in depth work	Annual	Facility Six month and Annual Reports
Stronger public service administration agencies <i>Assumption:</i> <ul style="list-style-type: none"> APSC remains a trusted form of support to the central public service administration agencies of the Indonesian government 	<ul style="list-style-type: none"> To what extent are Indonesian government public service administration agencies stronger (more effective)? To what extent has this influenced improvements in other agencies? What has Prospera contributed? 	<ol style="list-style-type: none"> Evaluation meetings with partners indicate a capability shift across the broader civil service where Prospera APSC has provided support Prospera APSC efforts have moved away from training towards making a greater strategic contribution to Indonesian government partner agencies # and type and quality of Prospera activities and support 	<ol style="list-style-type: none"> Partner dialogue State of the Service reports for Indonesian government (?) APSC interviews with other agencies Documented change in APSC focus – notes from Partner dialogues Prospera APSC Workplan report 	Is a baseline / statement of current condition useful or relevant	Prospera APSC team and Prospera KP team	Annual	Facility Six month and Annual Reports

Cross cutting contributing factors | Data collection plan | 2018-19

Prospera outcome <i>Assumption</i>	Performance Questions	What: Data to answer the Performance Question [Indicator]/ or Test the Assumption	How: Method to collect data [WHO HOLDS/ OWNS / HAS IP FOR THIS DATA?]	Current State: <i>Baseline</i>	Who? Responsibility to collect data	When? How often? Frequency/ Commencement	Where will it be used? Reporting / Learning / Improvement
Increasingly capable government institutions <i>Assumptions:</i> <ul style="list-style-type: none"> That Indonesian government institutions remain interested in engaging with Prospera's institutional development efforts That senior managers and officers in institutions are motivated, willing and able to change practices. That there is authentic political and bureaucratic support for better government institutions. 	<i>To what extent are Indonesian government public sector institutions where Prospera is working and influencing more capable, agile and robust?</i> <i>To what extent has Prospera contributed?</i>	<ol style="list-style-type: none"> # and scale of examples of change of knowledge skills and practice in targeted work units in Indonesian government public sector Institutions Observations of effectiveness 	<ol style="list-style-type: none"> Purposeful sample of Semi structured interviews with branch and senior officials Document evidence Purposeful sample of Semi structured interviews with partners who have participated in with professional and capability development programs, sometime after the event State of the GoI Civil Service Report Targeted Case Studies Six month and Annual Activity REports 	Current State of the GoI Civil Service Report Situation analysis for new areas of work System analysis for new Activities	Activity implementation teams with support of KP team	As significant scale or long term capability development events are implemented and completed	Six month and Annual Progress Reports DFAT PAF
Better policy development and coordination across government, particularly economic and financial institutions <i>Assumptions:</i> <ul style="list-style-type: none"> Indonesian government institutions are enabled to coordinate; they apply and follow the regulation for policy making Indonesian government institution officials are supported and motivated to implement evidence based policy development and pathways to implementation. There is community involvement in policy making processes. There is political and bureaucratic will for transparency in policy making. 	<i>To what extent are officers in economic and financial government agencies developing better policies through better processes?</i> <i>To what extent are they coordinating more, and what are the outcomes of coordination?</i> <i>To what extent has Prospera contributed?</i>	<ol style="list-style-type: none"> Examples of better policy development process where the policy development regulation is followed Quality and ownership of resulting policies Level of commitment to policy implementation Extent of policy adoption and influence Increase in the # of opportunities for and instances of coordination between priority agencies # and quality of examples of Prospera contribution to supporting better policy development and coordination Skills, knowledge, confidence and practice of Fiscal Policy Agency and other agency officers Results of coordination # and type of Prospera activities and support 	<ol style="list-style-type: none"> Review of documented evidence of policies and processes and results of coordination Targeted Case Studies Significant Instances of Policy and Systems Improvement Purposeful semi structured interviews with senior agency officers and lead partners Adviser reports 	Situation analysis for areas of new work in agencies System analysis for new Activities	Prospera KP team with Activity teams	As significant policy development and systems improvement events are substantively completed, or substantive stages are completed	Six month and Annual Progress Reports DFAT PAF

Prospera outcome <i>Assumption</i>	Performance Questions	What: Data to answer the Performance Question [Indicator]/ or Test the Assumption	How: Method to collect data [WHO HOLDS/ OWNS / HAS IP FOR THIS DATA?]	Current State: <i>Baseline</i>	Who? Responsibility to collect data	When? How often? Frequency/ Commencement	Where will it be used? Reporting / Learning / Improvement
Increased capability to deliver high quality economic, social statistics and national census <i>Assumptions:</i> <ul style="list-style-type: none"> BPS officials are supported to implement better statistical practice in their institution The national census in 2020 is appropriately resourced by Indonesian government That the collection and use of valid and reliable statistics is a high priority for Indonesian government agencies 	<p><i>To what extent are high quality economic and social statistics available, accessible, and being used?</i></p> <p><i>To what extent has planning, preparation and implementation of the 2020 National Census been effective?</i></p> <p><i>To what extent has Prospera contributed?</i></p>	<ol style="list-style-type: none"> Improved quality of a range of Economic statistics Delivery of a pilot population census Improved quality of a range of Integrated Social statistics Change in BPS officer knowledge and practice Evidence of planning, preparation and implementation of 2020 National Census # and quality of examples of Prospera contribution to supporting better statistics 	<ol style="list-style-type: none"> Review of documents and activities related to Census preparation Prospera ABS and other Activity reports Assessment of economic statistics quality Documentation of pilot population census Assessment of integrated social statistics quality Examples of better statistics being applied, particularly in economic analyses Survey of practice change and observation of behaviour of National Statistics office officials Prospera activity reports 	Is a baseline or status of current condition relevant?	Prospera KP team with Prospera ABS team and other Activity teams	Six monthly and Annual	Six month and Annual Progress Reports
Gender equality and inclusion outcomes are described and being achieved <i>Assumptions:</i> <ul style="list-style-type: none"> Appropriate gender advisory support is available and able to effectively engage with Prospera implementers at activity design stage and throughout implementation. Indonesian government officials are interested in pursuing gender equality and social inclusion outcomes. 	<p><i>To what extent have Gender Equality and Inclusion considerations been clearly and realistically programmed into Prospera activities?</i></p> <p><i>What changes have been influenced that support greater participation of women in economic activity?</i></p> <p><i>Outcomes will be captured in relation to specific Activity designs</i></p>	<ol style="list-style-type: none"> # of Activity designs with quality GESI programming Measurement of progress toward those GESI outcomes and their likely contribution to broader opportunities for women and men 	Refer specific Gender Equality and Social Inclusion Data Collection Plan				
Effective government of Indonesia and government of Australia partnership High level dialogue space for Government of Indonesia and Government of Australian officials Exchange of international best practice, practical experience; <i>Assumptions:</i> <ul style="list-style-type: none"> Both governments value the Partnership and commit to authentic Partnership dialogues and practices. Australian good practices are appropriate for Indonesia; That Indonesian good practices are appropriate for Australia 	<p><i>To what extent does the government of Indonesia partnership with the government of Australia align with Partnership Principles?</i></p> <p><i>What are the tangible outcomes of the Partnership?</i></p>	<ol style="list-style-type: none"> Partnership assessment against partnership principles #, type and quality of Partnership instances realised under Prospera 	<ol style="list-style-type: none"> Partnership and Collaboration Analysis tool Australian agency Six month and 12 month activity reports 	Not relevant	Australian agencies	When considered appropriate	Six month and Annual Facility Progress Reports

Prospera outcome <i>Assumption</i>	Performance Questions	What: Data to answer the Performance Question [Indicator]/ or Test the Assumption	How: Method to collect data [WHO HOLDS/ OWNS / HAS IP FOR THIS DATA?]	Current State: <i>Baseline</i>	Who? Responsibility to collect data	When? How often? Frequency/ Commencement	Where will it be used? Reporting / Learning / Improvement
Prospera and associated Indonesian government and other institutions maintain an effective working partnership <i>Assumptions:</i> <ul style="list-style-type: none"> That Indonesian institutions continue to trust Prospera and value the type of support that Prospera can provide Politics do not substantially interfere with bureaucratic intent and engagement 	<i>To what extent are the relationships between Prospera Advisory teams / senior managers and the Indonesian government strong and effective?</i>	<ol style="list-style-type: none"> Collaboration assessment against partnership principles #, type and quality of significant collaboration instances realised under Prospera 	<ol style="list-style-type: none"> Partnership and Collaboration Analysis tool Advisor Six month and 12 month activity reports 	Not relevant	Activity managers	When considered appropriate	Six month and Annual Facility Progress Reports



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