OUTCOME MAPPING:
A METHOD FOR REPORTING ON RESULTS

FACILITATION MANUAL FOR IDRC

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1. INTRODUCTION

WHAT IS OUTCOME MAPPING?

The Evaluation Unit's conceptual and practical work over the past year with donors, Southern research institutions, program staff, and evaluation experts has brought to the fore a fundamental problem with existing approaches to reporting on development impacts. When referring to "impact", development organizations usually mean significant and lasting changes in the well-being of large numbers of intended beneficiaries. These changes are the results for which funders and partners expect accountability. This is problematic because the complexity and fluidity of development processes mean that achieving such impacts requires the involvement of a variety of actors, often over a considerable period of time. When large scale change -- or impact -- is achieved, it is often the product of a confluence of events for which no single agency or group of agencies has control or can realistically claim full credit.

In response to this problem, the Evaluation Unit and several IDRC programs have been working with Dr. Barry Kibel, Pacific Institute for Research and Evaluation, to adapt his Outcome Engineering approach to the development research context. This work has been greatly enhanced by our methodological collaboration with the West African Rural Foundation. The result is a methodology, which we are calling "Outcome Mapping", that characterizes and assesses the contributions development initiatives (e.g. a project, program, or organization) make to the achievement of outcomes. Outcomes are defined as changes in behavior, relationships, activities and/or actions that the initiative was helpful in bringing about. Most activities will address multiple outcomes because they have multiple boundary partners. Boundary partners are those individuals, groups, and organizations with whom the project interacts directly and on whom the project can anticipate some opportunities for influence. By using Outcome Mapping an initiative will not be claiming the achievement of development impacts but rather contributions to the achievement of intermediate outcomes. These outcomes, in turn, enhance the possibility of development impacts but the relationship is not necessarily a linear one of cause and effect.

Outcome Mapping is a methodology that can be broken down into four parts. The first part, "Intentional Planning", helps an initiative plan and reach consensus on the macro level changes it would like to support. The second and third parts, "Performance Monitoring" and "Outcome Monitoring", provide a framework for the on-going monitoring of the initiative's actions in support of the outcomes and the boundary partners' progress towards the achievement of outcomes. The fourth part, "Strategic Evaluation" helps the initiative identify evaluation priorities and set data collection needs. The process for identifying the macro level changes and designing the monitoring framework and evaluation plan is intended to be a participatory and, wherever feasible, can involve the full range of stakeholders.

Outcome Mapping is a methodology that unites process and outcome evaluation. Separating them is misleading because it implies that an organization implements an initiative and then achieves its outcomes. Obtaining results in international development research is not that straightforward. Focusing planning, monitoring, and evaluation around the initiative's boundary partners allows it to measure the results it achieves within its sphere of influence, to obtain useful feedback about its efforts in order to improve its performance, and to take credit for its contributions to the achievement of outcomes. In Outcome Mapping an initiative is assessed against its contributions to a desired outcome, not against the outcome itself.

Rather than "scaling-up" or "rolling-up" evaluation information from a number of disparate activities, Outcome Mapping provides a method for an initiative to set overall intentions and strategies and then monitor the initiative's contributions to the achievement of outcomes and target priority areas for detailed evaluation studies. As a whole, Outcome Mapping provides an initiative with a system to think holistically and strategically about how it intends to achieve its results.

HOW CAN OUTCOME MAPPING BE USED?

Outcome Mapping can be used as a planning, monitoring, or evaluation tool. Outcome Mapping can help an initiative tell its performance story by examining:

- its design (What are our development goals? How can our initiative contribute to positive change? Who are our boundary partners?);
- where it can improve (How well were the activities/strategies planned and implemented? Were all necessary strategies included? What roles are we playing in support of the outcomes? How well are we playing these roles? What are we doing to contribute to the achievement of outcomes? How can we maximize our contributions?);
- the results (Who changed? How did they change?);
- the amount of credit (attribution) it can rightly claim for its contribution to bringing about the changes (What activities/strategies were used? How did the activities and/or results influence individuals, groups, or institutions to change?);
- evaluation priorities (What strategies/relationships/issues need to be studied in depth?); and,
- suitable data collection instruments (How can we best gather this data?).

Outcome Mapping can help an initiative be more strategic about the actors it targets, the changes it expects to see, and the strategies it employs. This intentional action, it is proposed, will make the initiative more effective in terms of the results it achieves.
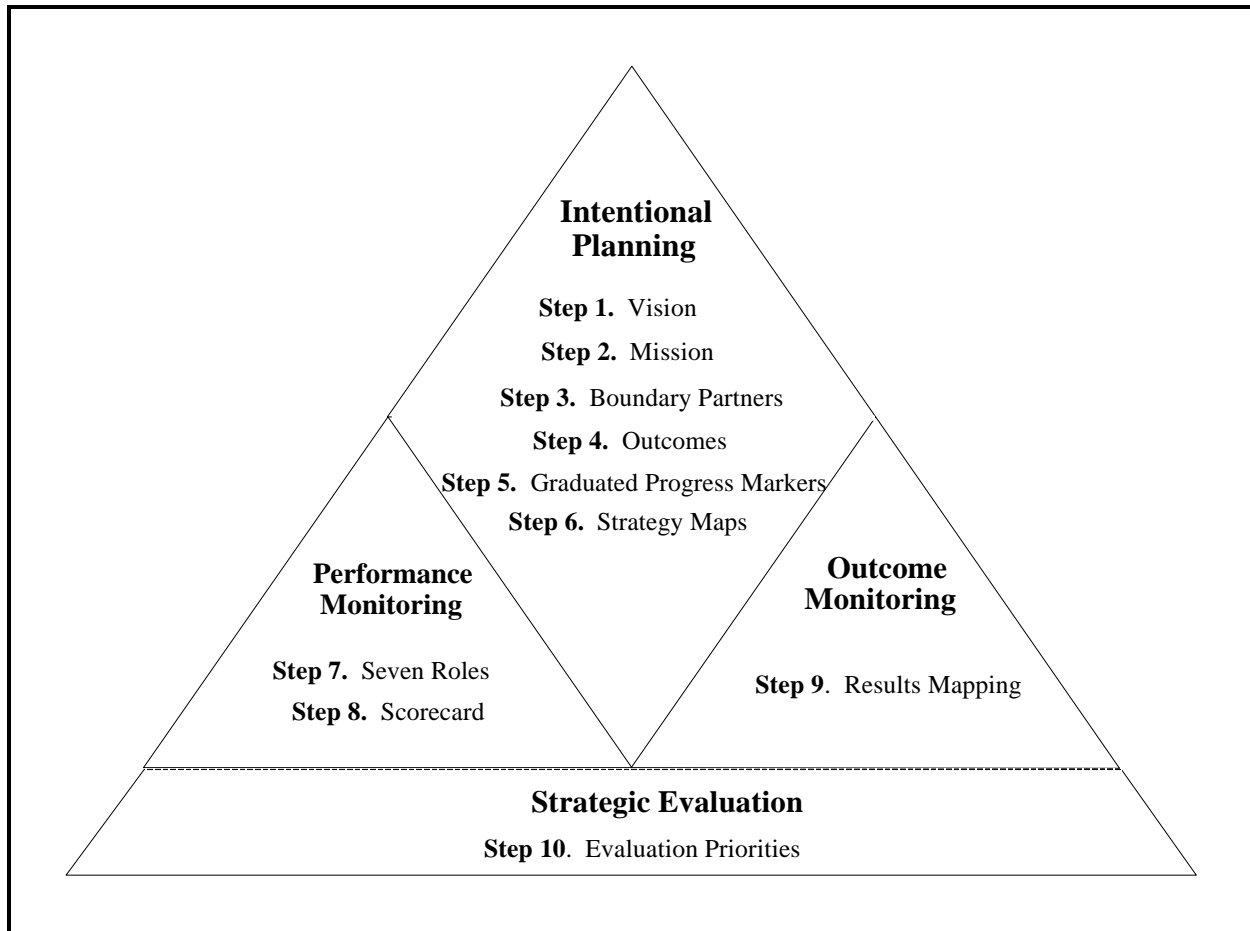
"HOW TO" MAP OUTCOMES

To use Outcome Mapping, the initiative first needs to hold a facilitated design workshop. The ten steps of Outcome Mapping described in this manual are intended to be used in the workshop so that the initiative can reach consensus about the macro-level changes it would like to support and then develop a monitoring framework and an evaluation plan. Figure 1 depicts the ten steps of Outcome Mapping. The workshop is meant to be participatory so that members of the initiative can articulate their intentions, develop a monitoring scorecard, and set evaluation priorities and data collection needs together. For an example of the outputs of the Outcome Mapping design workshop, see Appendix B.

Either an internal or external facilitator can be used if they are familiar with the methodology. However, there are advantages and disadvantages to each. An outsider can ask the basic questions that will force the group to reflect on, and be very clear about, the purpose of the initiative. Using an external facilitator can also allow the entire group to concentrate on the substance of the meeting. Nonetheless, external facilitators can be costly and, unless they know the substance of the research area, the group may have to provide detailed background information in order for them to be able to facilitate effectively. Having an internal member as facilitator means that he/she will not be able to fully participate in the discussions. A good option is to team an internal team member with an external facilitator. This can be especially useful if the initiative plans to facilitate Outcome Mapping sessions by itself at a later date.

Identifying the outcomes and strategies is designed as a participatory process. Wherever feasible, it can involve the full range of stakeholders, including: members of the research team, IDRC staff, other donors, other key stakeholders, and ultimate beneficiaries. When deciding who should participate in the Outcome Mapping workshop, however, the initiative should consider:
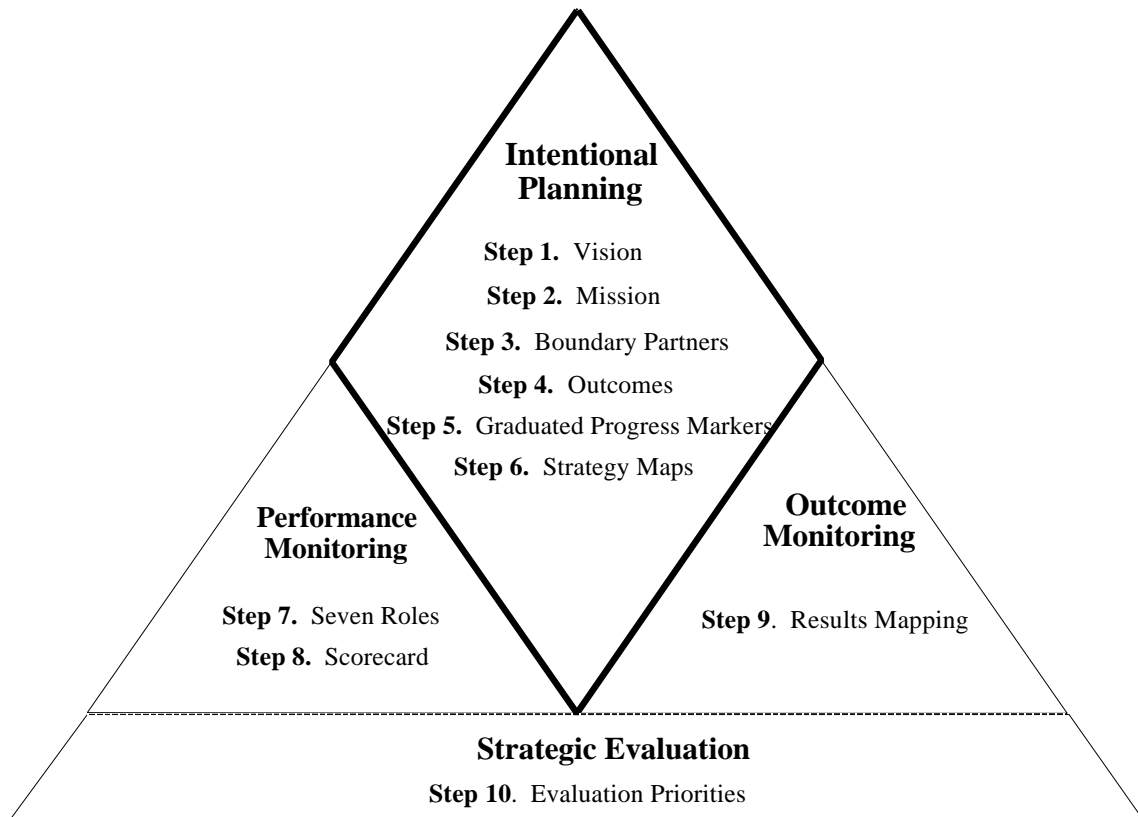
- what can they contribute to the discussion (What is their perspective on, relationship to, or interest in the initiative?);

- can they effectively participate in the discussion (Are there any barriers in terms of language, substantive knowledge of the research area, hierarchy, or politics?); and,

- do the timing and location of the meeting(s) fit their schedule.

FIGURE 1: TEN STEPS OF OUTCOME MAPPING

**Intentional
Planning**

Step 1. Vision

Step 2. Mission

Step 3. Boundary Partners

Step 4. Outcomes

Step 5. Graduated Progress Markers

Step 6. Strategy Maps

**Performance
Monitoring**

Step 7. Seven Roles

Step 8. Scorecard

**Outcome
Monitoring**

Step 9. Results Mapping

Strategic Evaluation

Step 10. Evaluation Priorities

FACILITATION TIP

An LCD projector can be used throughout the ten steps of Outcome Mapping to project the group's thoughts and ideas on to a screen as the facilitator enters them into the computer. This immediate feedback promotes a common language among the participants and allows them to easily review and revise their vision, mission, list of boundary partners, outcomes, strategy maps, and scorecards. It also makes the workshop documentation available immediately to the participants. It is helpful if the information is printed and distributed to the participants at each step so that they can consult it throughout the process. The disadvantage of this facilitation method is that if the group is not used to the technology, participants can be distracted by it. If this is the case, using flip-charts is a better alternative although the facilitator should ensure the each step is displayed around the room so that it can be consulted throughout the process.

2. INTENTIONAL PLANNING

The intentional planning stage defines the development goals of the initiative. The logic of the initiative is articulated by following six steps to outline the vision, mission, boundary partners, outcomes, graduated progress markers, and strategy maps. By working its way through the six steps, the initiative will articulate how it will contribute to change within the complex system in which it operates. The workshop participants are encouraged to be truly visionary when describing the changes the initiative wants to promote in order to motivate staff and remind them of the ultimate purpose of their day-to-day work. Appropriate effort should be devoted to this "visioning" stage because, if properly articulated in the beginning, its elements should remain relevant for the duration of the initiative (3-5 years). This stage can also be used in an ex-post evaluation to confirm the logic of the initiative and redefine its vision and mission in outcome terms.

Intentional Planning

Step 1. Vision

Step 2. Mission

Step 3. Boundary Partners

Step 4. Outcomes

Step 5. Graduated Progress Markers

Step 6. Strategy Maps

Performance Monitoring

Step 7. Seven Roles

Step 8. Scorecard

Outcome Monitoring

Step 9. Results Mapping

Strategic Evaluation

Step 10. Evaluation Priorities

STEP 1: DESCRIBE THE INITIATIVE'S VISION

EXAMPLE OF A VISION STATEMENT

Throughout the region of West Africa, farmers and farm organizations are gaining the information, skills, experiences, and know-how to compete effectively, creatively, and successfully in regional and global markets. With constant attention to sustainable development and fuller utilization of valuable rural resources, competitive agricultural companies are being established and managed by farmers. These enterprises contribute meaningfully to the viability and prosperity of rural households. An increasing portion of the total production system resides within the control of farmers and farmer organizations. These organizations have established diverse and multi-level networks for insuring market stabilization and to maximize exchanges of resources and information for mutual benefit as well as the benefit of others in the region. As a consequence, the image of West African products is associated with high quality and appeal throughout the world.

The vision should be related to the initiative's objectives but should be broader and more long-term. In essence, the vision should reflect the development impacts that the initiative hopes to encourage. The achievement of the vision lies beyond the initiative's sphere of influence, however, the research should feed into and facilitate the process. It is the initiative's contributions in the direction of the vision that will be measured in an evaluation, not whether the vision was achieved. The vision represents the ideal that the initiative wants to support and should be sufficiently broad to remain relevant over time despite changing circumstances.

[Include section on levels of vision] In Outcome Mapping, a Program Initiative (PI) or Secretariat should articulate a vision for each of its programming areas. Programming areas are the issues or themes that the PI or Secretariat has chosen to focus on through its projects. Focusing at the level of the programming area vision will permit the PI or Secretariat to evaluate its performance at the level at which it operates -- the achievement of intermediary outcomes by the actors with whom the it directly interacts. This is an important and distinct element of Outcome Mapping.

• What is the initiative trying to contribute to that is of benefit to developing societies? Why? To what end? For whom?]

FACILITATION TIP

In order to help the group to develop its vision the facilitator follows this process:

1. As a warm-up discussion, the facilitator asks a member of the group to respond to the question, "In just a few sentences, what is this initiative supposed to accomplish?". The facilitator then gets the entire group involved in the discussion by asking, "Is this the way everyone sees the initiative?".

2. The facilitator then has each participant write down the 2-3 characteristics that would describe the near future (3-5 years) if the initiative was wildly successful. Review and discuss the various answers.

3. While the group is on break, the facilitator (alone or with two volunteer participants) can write up a vision statement that uses the participants' language, eliminates duplication, and captures differences.

4. Once the group has convened, revise the vision statement by removing any politically charged, culturally inappropriate, or incorrect statements and replacing any jargon or confusing terms.

   The facilitator slowly reads the draft vision statement, asking team members to note any words or phrases that seem to be (1) culturally insensitive or politically charged, (2) jargon or potentially confusing to others, or (3) unnecessarily long-winded or grammatically incorrect. The facilitator then reads the statement a second time, asking participants to interrupt if a problem word or phrase is read that is *culturally inappropriate or politically charged*. If a hand is raised, the problem area is discussed and an attempt made to remedy it with alternative wording. All team members are encouraged to offer suggestions for the rewording. When the wording is resolved, the facilitator continues reading. This procedure is followed until the entire statement has passed the first test (i.e., no insensitive or politically charged words and phrases remain).

The facilitator reads the statement again, this time asking participants to raise their hand and stop the reading if *jargon or confusing terms* are read. Such words or phrases are underlined or highlighted and the reading continues. When the reading of the statement has been completed, the words or phrases that have been underlined are transferred to the top line of the Purging the Jargon Chart. Note: If there are more than five such word/phrases, the ones that appear to bother the team the most are selected.

example:

Throughout the region of West Africa, <u>rural peasants</u> and farm organizations are gaining the information, skills, experiences, and know-how to compete effectively, <u>innovatively</u>, and successfully in regional and global markets. With constant attention to <u>sustainable development</u> and fuller utilization of valuable rural resources, <u>profitable</u> agricultural companies are being established and managed by farmers that contribute meaningfully to the viability and <u>vitality</u> of rural households. An increasing portion of the total production system resides within the control of farmers and farmer organizations. These organizations have established diverse and multi-level networks for insuring market stabilization and to maximize exchanges of resources and information for mutual benefit as well as the benefit of others in the region and leading to the image of West African products as being of high quality and appeal worldwide.

PURGING THE JARGON CHART

0	rural peasants	innovatively	sustainable development	profitable	vitality
1					
2					
3					
4					

For each word or phrase selected, in turn, the facilitator asks participants to call out other ways of saying the same thing (without reference to the full statement). They are not limited to exact synonyms. These are listed on the chart.

example:

PURGING THE JARGON CHART

0	rural peasants	innovatively	sustainable development	profitable	vitality
1	rural poor	with imagination	attention to environment	money-making	prosperity
2	farmers	taking risks	protection of resources	worth doing	health
3	farm workers	creatively	long-term development	job-generating and income-producing	energy level
4	villagers	in new ways	holistic development	competitive	optimism

The facilitator or a volunteer reads the part of the statement that contains the first word/ phrase that was found lacking, each time substituting one of the alternatives from the chart. When all the options have been read, the facilitator asks the team members to vote by a show of hands for the variation they like best (including the original wording). If there is a clear majority, that option is substituted; if not, the facilitator leads a discussion of the options and then asks for a re-vote--with the highest vote-getter being selected. The process is repeated for the other word/phrase(s) on the chart. The selected words or phrases are then substituted in the vision statement for the original wording.

5. At the end, read the entire vision statement aloud without interruption. It should evoke a spontaneous expression of approval from the group. Rather than the facilitator reading the vision statement each time, have different participants read it aloud as it is being revised.

STEP 2: IDENTIFY THE INITIATIVE'S MISSION

EXAMPLE OF A MISSION STATEMENT

[The initiative] employs diverse, collaborative, and mutually reinforcing strategies to: strengthen village organizations, non-governmental organizations (NGOs), and enterprises; build, use, and share models to orient future developments; implement schemes for capturing greater shares of value added; strengthen the market position of its partners and expand business and business partnership opportunities; and help establish appropriate financial and institutional mechanisms for supporting new or expanding enterprises and marginalized groups.

The mission statement describes how the initiative intends to operationalize its role in support of the vision. It focuses on the areas in which the initiative will work in order to promote the achievement of the vision but does not list all the activities in which the initiative will engage. Rather, the mission consists of an ideal statement about the initiative's broad contributions. In essence, the mission represents what the initiative wants to grow into in order to support the achievement of the vision.

QUESTIONS

• How can the initiative best contribute to the achievement of the vision? [What does the initiative need to be like in order to support the vision?]

FACILITATION TIP

Details regarding the initiative's mission are sometimes given when the group is describing its vision. If this occurs, the facilitator lists the information about the initiative's contributions under a separate heading called "Mission". Once the vision has been created, the facilitator reviews the elements of the mission with the group and refines it as required. If no elements of the mission are brought out during the discussion of the vision, the facilitator follows a parallel process to Step 1 by having the group imagine the best ways the initiative can contribute to the achievement of the vision.

In order to save time during the design workshop, the facilitator asks participants to answer the questions listed in Steps 1 and 2 by e-mail in order to draft a version of the vision and mission before the workshop. The draft vision and mission statements can then be revised when the entire group has assembled in the workshop.

STEP 3: IDENTIFY THE BOUNDARY PARTNERS

Boundary partners include those individuals, groups, or organizations with whom the initiative interacts directly and on whom the initiative can anticipate some opportunities for influence. These actors are called boundary partners because even though the initiative will work with them to effect change, it does not control them.

Figure 2 represents the generic categories of actors with whom IDRC-supported initiatives interact and want to influence to act in ways consistent with sustainable and equitable development. In other words, these are the actors among whom IDRC tries to encourage outcomes to achieve its mission. Rather than being linear like in a logic model, the activities and relationships are dialogical therefore the arrows go in both directions. There are actions and reactions because in each situation there may be cooperation, resistance, or negotiation, resulting in mutual influence and learning. The initiative may try to influence the applied research community through intermediary institutions or it may work directly with the research community.

Figure 2: IDRC Boundary partners
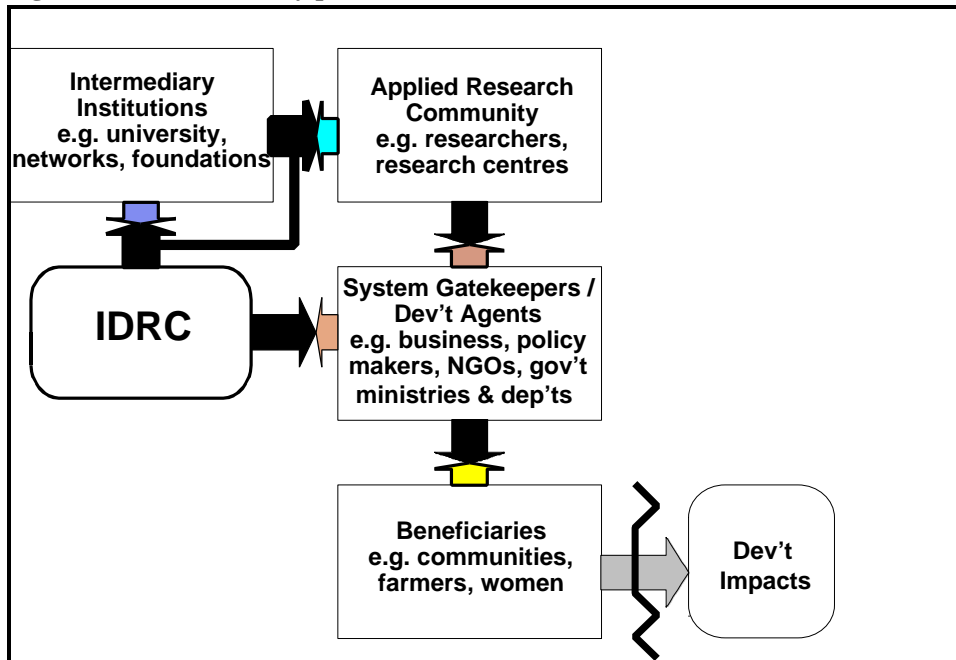
When listing the initiative's boundary partners, the focus should be on the actors it can directly influence. The categories in Figure 1 provide a framework for identifying specific boundary partners for PI or Secretariat. If the initiative cannot directly influence the actor, the group needs to determine who it can influence that will, in turn, influence the original actor. The actor that can be influenced should then be included in the boundary partner list instead. In this way, the initiative keeps its vision broad but maintains the focus on its sphere of influence. For example, a rural development NGO may not be able to directly influence the Minister of Finance but it can influence the farmer organizations which can then lobby the Ministry to effect change. Therefore, the farmer organizations would be included in the NGO's list of boundary partners but the Minister of Finance would not.

QUESTIONS

- What is the initiative's reach? [Who was touched by their interactions with the activities and/or results of the initiative]?

- Among which actors did the initiative want to encourage change so that they could contribute to the mission? [Who are the ultimate beneficiaries? Who did it influence most directly? Who could help or hinder its work?]

FACILITATION TIP

The facilitator should keep a running list of the initiative's boundary partners. This can be represented either using Figure 2 or the chart below. More information will be added to the chart in Step 4.

Boundary Partners	Can the initiative contribute?

STEP 4. FOR EACH BOUNDARY PARTNER, IDENTIFY THE OUTCOME THE INITIATIVE WANTS TO HELP BRING ABOUT

EXAMPLE OF A DESIRED OUTCOME

[The initiative] intends to see *private entrepreneurs* who are benefitting from stable inputs and secure markets, engaging farmers and farming groups as boundary partners, working collaboratively with researchers, exploiting the latest information regarding regional and global market dynamics to create jobs and new local wealth, and investing in new ventures that translate local resources into global economic opportunities.

Now that the boundary partners have been identified, for each one an outcome statement needs to be developed. Outcomes are the effects of the initiative "being there" and incorporate issues of reach in that they focus on how actors were touched. An outcome describes how the behaviour, relationships, activities, and/or actions of an individual, group, or institution have been changed, affected, or influenced. Outcomes are phrased in a way that emphasises the change. This is done for two reasons: 1) it stresses that information creation is not sufficient for IDRC projects/programs and that benefits have to accrue to boundary partners; and 2) it illustrates that although IDRC can influence the achievement of outcomes, it cannot control them. The initiative contributes to the change but ultimate responsibility rests with the actors themselves.

Outcomes are usually phrased so that they capture how the actor would be behaving if the initiative had achieved its full potential in influencing the actor. The group should think of the changes in actors as occurring on three levels. What changes would they expect to see? What would they like to see? What would they love to see? In this way, the initiative is encouraged to think about how it can intentionally contribute to the most profound transformation possible and the levels will be used to determine progress markers in Step 5. This approach results in the identification of a logical progress of outcomes which the initiative is attempting to influence.

In order to keep the discussion as broad as possible and not constrained by target values, outcomes tend not to be quantified (i.e. percentage increase in boundary partners who have changed) or tied to a specific completion date. Outcomes should not include information about the strategies or activities that the initiative intends to employ but rather should describe the state or qualities of the change in the actor. Outcomes are usually phrased as "The [initiative] intends to see [actor] who [description of changes in the active present tense]."

QUESTIONS

• How have the behaviour, relationships, activities, and/or actions of the stakeholder been changed by their interaction with the activities and/or results of the initiative? [What were the responses you were looking for from [actor to be reached]?

The facilitator can use the following table to list the initiative's outcome for each stakeholder and ensure that the group is only setting outcomes for the actors who can be directly influenced.

Outcomes (How will the actor change?)	Can the initiative contribute?
1. The initiative intends to see *Private entrepreneurs* who are benefitting from stable inputs and secure markets, engaging farmers and farming groups as stakeholders, working collaboratively with researchers, exploiting the latest information regarding regional and global market dynamics to create jobs and new local wealth, and investing in new ventures that translate local resources into global economic opportunities.	Yes
2. The initiative intends to see *Rural people* throughout West Africa who have raised their awareness regarding entrepreneurial possibilities and are acting through this awareness to improve their lives and those of their community.	Yes
3. The initiative intends to see *Rural organizations* who operate skillfully in local, regional, and global markets, employ effective systems of management and governance, have intimate knowledge of rural subsectors, negotiate and collaborate effectively with the private sector and local NGOs, effectively network for trade and information exchanges at regional and international levels, and operate strong and profitable businesses based on high-quality products; and thus promote the social and economic growth of their communities.	Yes

FACILITATION TIPS

At this point, it is useful to review the logic of the vision, mission, boundary partners, and outcomes to make sure that they make sense to the group. In order to do this quickly, the facilitator reads the set of outcomes and asks the group "If all these changes occur, will the initiative have made the contributions to the vision that were intended?" There should be spontaneous agreement among the participants that these would be the initiative's ideal contributions.

Rather than composing each outcome in plenary, the participants can be divided into smaller groups to write the outcome statements and then come together to review and revise them. If there are enough participants, two groups can write an outcome statement and they can then be compared in plenary. A lighthearted way to keep the smaller groups limited to their timeframe is to set an alarm clock to ring after the time they were given to write the outcome has elapsed (e.g. 15 minutes).

To begin setting monitoring and evaluation priorities, the facilitator asks the group whether there are certain actors that are more important than others. More important can either mean that the initiative plans to focus its work on that actor in the near future (e.g. first 18 months of a 36 month initiative) or that changes in the other boundary partners identified are dependent on that actor changing first. If the group can identify priority actors that it would like to focus its monitoring and evaluation activities on, then the progress markers and strategy maps to be developed in Steps 5 and 6 can be limited to them. The group should set a time to meet at a later date (e.g. when planning for the second 18 months of a 36 month initiative) to go through the process for the other boundary partners.

STEP 5: IDENTIFY A LIST OF GRADUATED PROGRESS MARKERS FOR EACH OUTCOME

EXAMPLE SET OF PROGRESS MARKERS

Expect to see:

6.   Contacted IDRC staff to obtain evaluation information
2.   Were familiar with Unit's evaluation approach, publications, or resources
3.   Contacted IDRC staff or Unit for evaluation resource materials
4.   Met with or contacted IDRC staff or Unit to discuss evaluation issues

Like to see:

5.   Participated in capacity building events
6.   Invited IDRC staff or Unit to participate in events focused on evaluation
7.   Participated in discussions or evaluations to increase relevance of evaluation to Southern partners
8.   Developed internal evaluation talent and expertise
9.   Demonstrated ability to design and implement a quality evaluation
10.   Routinely compiled and drew upon evaluation findings to inform and improve their work
11.   Indicated that evaluation feedback improved their work
12.   Jointly published articles or books on evaluation with IDRC

Love to see:

13.   Became regional node for professional development in evaluation
14.   Developed long-term, creative partnership around evaluation with IDRC staff or Unit
15.   Willing and able to provide critical and insightful feedback on donor performance

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Graduated progress markers are identified for each of the outcomes that the initiative is trying to help bring about. They are based on what the group stated it would expect, like, and love to see achieved by the boundary partner in Step 4. They represent the information that the initiative should gather in order to be able to monitor achievements in the direction of the outcome. For a more detailed study of the outcome, the initiative would need to conduct a more in-depth evaluation using other evaluation tools and methods. This will be discussed in Step 10.

The progress markers should progress in their degree of difficulty from what the initiative would expect to see the boundary partner doing if the initiative carried out its basic activities well, to what it would like to see them doing to what it would love to see them doing. For instance, markers that indicate passive learning by the boundary partner are relatively easy to achieve and are listed first under "Expect to see" whereas those that indicate more active learning are listed second under "Like to see" and those that are truly transformative and are more difficult to achieve are listed third under "Love to see". In this way the initiative will know what has been accomplished but will also be reminded of what still needs to be done. The initiative should set the "love to see" progress markers sufficiently high to represent profound change. The initiative will know it is not setting sufficiently challenging progress markers if the "love to see" markers are frequently met by its boundary partners or early in the life of the initiative.

Some progress markers may be attached to a date (i.e. marker expected to be reached by a certain point) but this is not obligatory and should not constrain the initiative's work. Although time-lines are a reality in a development initiative, reaching the "deadline" should not be the focus of the initiative. The purpose of the initiative is to foster change in boundary partners and the purpose of the progress markers is to monitor the achievements in the direction of that outcome.

In order to manage the amount of data that needs to be collected on a monthly basis, the initiative should limit the number of progress markers it sets for each outcome to:

- four "expect to see" markers;
- eight "like to see markers"; and,
- three "love to see" markers.

QUESTIONS

- (For each outcome) How can the initiative know the stakeholder is moving towards the outcome?

- (For each outcome) What was the minimum the initiative expected to see achieved? What would it have liked to have seen achieved? What would it have loved to have seen achieved?

STEP 6. COMPLETE A STRATEGY MAP FOR EACH OUTCOME

The purpose of the strategy map is to identify the strategies used by the initiative to contribute to the achievement of an outcome. Matrix 1 provides a method for dividing the strategies used by the initiative into six types. Each of the six cells represents a different type of relationship between the initiative and the boundary partner it is attempting to influence. For most outcomes, a mixed set of strategies will be used -- with one or two being dominant and the remainder being supportive.

Plotting the strategies using this 2x3 strategy map will:

6.   clarify the approach (mix of strategies) used by the initiative to tackle the particular outcome;
7.   indicate the relative influence the initiative is likely to have had on the individual, group, or institution being targeted;
8.   suggest the type of evaluation method appropriate to track and assess the performance of the initiative;
9.   help pinpoint strategic gaps in the approach.

The three strategy types in the first row are labeled "I" because they are aimed directly at the individual, group, or institution. The three strategy types on the bottom row are labeled "E" because they are aimed at the environment in which the individual, group, or institution work or live. "E" strategies are trying to indirectly change the actor by altering his/her/its setting.

Both the "I" and "E" strategy types are further divided into three categories: those based on cause-and-effect principles (I-1 and E-1); those relying on persuasion (I-2 and E-2); and, those based on building support networks (I-3 and E-3). Primary control for the consequences only rests with the initiative when I-1 and E-1 strategies are employed. With I-2, I-3, E-2, and E-3 strategies, the initiative tries to facilitate change but the ultimate responsibility rests with the individual, group, or institution. This has important implications for assessing contributions towards the achievement of outcomes.

If the initiative decides to evaluate a particular strategy in depth, it is important to keep in mind that each of the six strategy types implies a different evaluation method. I-1 and E-1 are the most straightforward and quantitative data and linear reasoning can be employed.   An evaluation of I-2 and E-2 strategies will require more qualitative data and can be studied using mapped sentences. The I-3 and E-3 strategies are the most complex and data regarding them can best be captured using story techniques. For each strategy type, an evaluation could also look at the negative consequences or side-effects, the positive opportunities or chances, and the unexpected results of the initiative.

QUESTIONS

How did the initiative contribute to the achievement of the outcome? [What was done that produced an immediate output? [I-1] What was done to build capacity? [I-2] How was sustained support, guidance, or mentoring provided to the actor? By Whom? [I-3] What was done to change the physical or policy environment? [E-1] How have you used the media or publications to promote your work in people's mind? [E-2] What networks/relationships have been established or utilized? [E-3]]

FACILITATION TIPS

Rather than getting the group to identify the entire strategy map, the facilitator can instead query participants only about the dominant strategy employed by the initiative to promote the achievement of each outcome. The disadvantage of limiting the discussion only to the dominant strategy, however, is that the group will not be able to study the full range of their activities in order to identify gaps and be able to better articulate what it is they do.

If the initiative is composed of a number of different partners employing strategies to promote the same outcome, the facilitator can use different colour printing to represent the different partners' strategies on a single map. For example, the coordinating committee's strategies would be listed in red, the research team's strategies would be listed in blue, and the peasant organization's strategies would be listed in green. This is only appropriate, however, if the combined strategies of the various partners represent the initiative that wants to monitor and evaluate its performance.

[22 Creativity Exercises or ORID]

MATRIX 1: STRATEGY MAP

Strategy	Causal	Persuasive	Supportive
Strategies and Activities Aimed at a Specific Individual or Group	**I-1** •Cause a Direct Effect •Produce an Output e.g.: Deliver money, obtain research, prepare a report	**I-2** •Arouse New Thinking/Skills •Always Expert Driven •Single Purpose e.g.: Capacity building activities, skill enhancement, methodological workshops, training	**I-3** •Build a Support Network •Based on a Supporter/Mentor who Guides Change Over Time (Not Only a Single Person) •Involvement is More Frequent and Sustained •Nurturing for Self-Sufficiency •Multi-Purpose (Broader intent) e.g.: IDRC PO who provides regular guidance & input, Expert (HR, fundraising...)
Strategies and Activities Aimed at Individual or Group's Environment	**E-1** •Change Physical or Policy Environment •Incentives, Rules, Guidelines e.g.: Technical transfer, Policy Change, Internet Access, TOR	**E-2** •Disseminate Info./Messages to a Broad Audience •Create a Persuasive Environment •Change/Alter Message System e.g.: Radio, TV, Internet, Publications, Conferences, Findings Workshops	**E-3** •Create a Learning / Action Network •Boundary partners Working Together & Collectively Supporting Each Other on a Regular Basis e.g.: Research Network

3. Performance Monitoring

By monitoring the roles it plays in support of the achievement of outcomes, the initiative can establish a self-assessment framework to reflect on, and enhance, its performance throughout the implementation of the project or program. Designing the monitoring framework involves two steps: identifying which of the seven roles the initiative is playing in order to contribute to the achievement of outcomes by its boundary partners; and, formulating a scorecard to collect performance data. Doing this will provide the initiative with a means to assess how it is growing into its mission and to regularly ask itself "How can we get better at what we are doing to contribute to outcomes?". The information gathered is broad in coverage, rather than deep in detail.

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**Performance
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**Outcome
Monitoring**

Step 7. Seven Roles

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STEP 7: IDENTIFY THE ROLES THAT THE INITIATIVE IS PLAYING IN SUPPORT OF THE OUTCOMES

SEVEN ROLES

Role 1:   Prospecting for New Ideas and Opportunities
Role 2:   Seeking Feedback from Key Informants
Role 3:   Obtaining the Support of Your Next Highest Power
Role 4:   Re-designing Current Products and/or Services
Role 5:   Checking Up on Those Already Served to Add Value
Role 6:   Sharing Your Best Wisdom with the World
Role 7:   Experimenting to Remain Innovative

In Outcome Mapping we have defined seven roles which embrace the work of an initiative. They do not happen in a linear fashion but rather are overlapping and are often fulfilled in the same activity. But each represents an important element for a successful initiative. In order to monitor what the initiative is doing to contribute to the achievement of outcomes, the initiative identifies which of the seven roles described above it is playing. Whereas the progress markers were directly related to the movement of the boundary partners towards the achievement of outcomes, the roles are related to the initiative's actions in support of the outcomes. The roles are not specific to any one outcome but relate to them cumulatively. Some examples of action areas that the initiative would engage in to fulfill each of the roles are described below:

Role 1:   Prospecting for New Ideas and Opportunities [Add Definition of Each]

- Attended professional association meetings and conferences
- Participated in various networks and committees
- Utilized advisory groups and acted on their suggestions
- Read publications outside our area
- Drew on some previous experience in a different context
- Gleaned ideas from ListServe
- Engaged others in the office in problem-solving/brainstorming

Role 2:   Seeking Feedback from Key Informants

- Engaged key informant face-to-face
- Had e-mail and/or phone interaction
- Shared documents
- Encountered and met with key informant at larger meeting/conference
- Got "pulse" from consumers

Role 3:   Obtaining the Support of Your Next Highest Power

- Kept him/her/them informed
- Translated our work to language they can easily grasp
- Maintained an open bridge along which trust can be built
- Learned what their priorities are
- Made it clear we are listening and responsive to their concerns

Role 4:   Re-designing Current Products/Services

- Listened and responded to feedback from consumers
- Got feedback from reviewers
- Brought in experts to help develop and revise materials
- Updated forms and materials to bring them on-line
- Improved distribution technology
- Enlisted new partner as developer/presenter of product or service

Role 5:   Checking Up on those Already Served to Add Value

- Made follow-up contacts with boundary partners
- Responded quickly to contacts initiated by boundary partners
- Encouraged follow-up sessions self-organized by boundary partners
- Obtained e-mail based evaluation feedback
- Conducted survey of boundary partners
- Used an external evaluator

Role 6:   Sharing Your Best Wisdom with the World

- Presented within department
- Presented at conferences
- Contributed to publications, newsletters, papers, and books
- Engaged in Internet exchanges and dissemination (ListServe, website)
- Interacted with press and other media

Role 7:   Experimenting to Remain Innovative

- Experimented with different presentation format
- Brainstormed new ways to interact with a key boundary partner
- Consciously challenged some current tried-and-true practice
- Rethought a key strategy

STEP 8: SCORECARD

In order to monitor its work on a regular basis, the initiative creates a "scorecard" that will capture both quantitative and qualitative data. For each of the seven roles that the initiative plays in support of the outcomes a monitoring scorecard is created. The scorecard includes: the best example of how the initiative fulfilled each role and data on how often three numeric success markers occurred. The numeric success markers are generic and are listed on the example performance monitoring scorecard listed below. The number of success markers has deliberately been limited to three to control the amount of data required thereby enhancing the potential that the data will be collected. If gathered regularly and systematically, this information will enable the initiative to gauge whether it is making optimum contributions to the achievement of outcomes and modify its actions accordingly. The self-assessment system should not be complex but it should capture both quantitative and qualitative performance data. For optimum use as a learning and management tool, the initiative should fill in its scorecards once per month. This permits ongoing monitoring and regular opportunities for improved performance and provides an important set of data about the operations of the initiative. Together with the outcomes monitoring data collected in Step 9, the initiative will have a good picture not only of how well it has done but also how it has contributed to outcomes in its boundary partners. This learning can be very useful to future activities.

Ideally the initiative should be able to make the logical connection between the roles and the boundary partners' achievement of outcomes but the relationship is not necessarily causal (i.e. the strategies employed by the initiative should contribute to the progress of the boundary partner towards the outcome but they may not be direct). The scorecard main purpose is to provide the initiative a way to monitor its actions so that it can think strategically about its contributions.

FACILITATION TIP

At the end of a group activity, it is useful to re-read what the group has created up to that point. For example, to sum up this Step the facilitator asks: "If the initiative was doing really well and had gathered all this information [read the scorecard], would that be illustrative of its work? Is there anything missing?

EXAMPLE PERFORMANCE MONITORING SCORECARD

Role 1. Prospecting for New Ideas and Opportunities

BEST EXAMPLE THIS MONTH:

GRADUATED SUCCESS MARKERS:

___ number of new vehicles used to prospect for new ideas, resources, or opportunities
___ number of unusual but useful insights gained and reported to team members
___ number of new ideas, resources, or opportunities that significantly modified business

Role 2. Seeking Feedback from Key Informants

BEST EXAMPLE THIS MONTH:

GRADUATED SUCCESS MARKERS:

___ number of insights from key informants shared with the team
___ number of key informants who told you something you didn't like hearing
___ number of changes made based on advice of key informants

Role 3. Obtaining Support of Your Next Highest Power

BEST EXAMPLE THIS MONTH:

GRADUATED SUCCESS MARKERS:
___ no. of strategic contacts
___ no. of useful suggestions they made to us
___ no. of hoped-for responses to requests we made

Role 4. Re-designing Current Products/Services

BEST EXAMPLE THIS MONTH:

GRADUATED SUCCESS MARKERS:

___ no. of changes (tweaks) made to existing products, services, or operating environments
___ no. of significant upgrades or enhancements
___ no. of new products or services reflecting an advanced "strategy"

Role 5. Checking Up on those Already Served to Add Value

BEST EXAMPLE THIS MONTH:

GRADUATED SUCCESS MARKERS

___ no. of consumers for whom additional services were provided
___ no. of incidents where consumer feedback was shared and discussed in team
___ no. of consumers who reported significant changes in what they do

Role 6. Sharing Your Best Wisdom with the World

BEST EXAMPLE THIS MONTH:

GRADUATED SUCCESS MARKERS:
___ no. of events/activities where best practices were shared with peers in other organizations
___ no. of times additions/changes made to website
___ no. of times our work is quoted or used in other publications, media, or presentations

Role 7. Experimenting to Remain Innovative

BEST EXAMPLE THIS MONTH:

GRADUATED SUCCESS MARKERS

___ number of possible new areas of business that were discussed by team
___ number of new ventures into an area without previous experience
___ number of experimental areas that proved successful and were repeated or institutionalized

4. OUTCOME MONITORING

Establishing a monitoring framework to track the boundary partners' progress towards the achievement of outcomes will provide the initiative with information to be able to regularly adapt its strategies to encourage greater results. Developing the Results Mapping form involves one step using the Graduated Progress Markers established in Step 5 for each outcome.

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STEP 9: DEVISE A RESULTS MAPPING FORM FOR EACH OUTCOME

A Results Mapping form is established for each outcome that the initiative identified in Step 4. It includes the Graduated Progress Markers set out for each boundary partner in Step 5 and a simple matrix for listing the initiative's interactions with its boundary partner. To act as an optimum learning and management tool, the Results Mapping forms should be filled out regularly (i.e. once a month, along with the Performance Scorecard created in Step 8).

Although there is not a cause-and-effect relationship between the initiative's actions and changes in the boundary partner, by compiling information using the Results Mapping forms the initiative will better understand how its actions influence its boundary partners. With this information, the initiative will be able to improve its own performance and encourage its boundary partners to achieve deeper levels of transformation.

The Results Mapping forms can be used to track the actions of various members of the initiative if multiple people are working with a boundary partner. In this case, each member of the team could keep a list of their particular activities with boundary partners and then the information could be regularly collated (i.e. once a month, along with the Performance Scorecard created in Step 8). A software system that helps multiple people share information electronically could also be used (e.g. Intranet, Synergy).

[include information about the calculations]

EXAMPLE OF A RESULTS MAPPING FORM

> **Outcome Challenge 2.** IDRC staff (e.g., those from Program Initiatives, Secretariats, and special projects) who design, launch, and implement high-quality evaluations, who generate and make effective use of outcome-based performance data in self-assessments and in their work with program participants, who take actions to further increase their understanding of performance assessment and the role it can play in support and promotion of their work, a nd who share their results and learning with others in IDRC

Expect to see:

H M L
1. ○○○ Know what Unit is and does
2. ○○○ Know who and how to make contact within the Unit
3. ○○○ Aware of Unit's evaluation guidelines
4. ○○○ Provided Unit with evaluation reports on a routine basis

Like to see:

H M L
5. ○○○ Contacted Unit for evaluation resource materials and/or advice
6. ○○○ Participated in capacity building events
7. ○○○ Used Unit's guidelines to inform their evaluation approach and design
8. ○○○ Collaborated with Unit on an evaluation design and/or implementation
9. ○○○ Drew in Unit on an important evaluation activity or issue
10. ○○○ Indicated that evaluation feedback improved their work
11. ○○○ Integrated evaluation resources into projects for learning
12. ○○○ Supported their partners' use of evaluation

Love to see:

H M L
13. ○○○ Evaluation has had a transformative effect on approach and content of work
14. ○○○ Made important suggestions and/or contributions to IDRC's evaluation approach
15. ○○○ Mentored other staff and/or partners in evaluation area

Date	Person	Action	Marker Reached	Evidence

5. STRATEGIC EVALUATION

At this stage, Outcome Mapping provides a method for the initiative to identify its evaluation priorities and develop an evaluation plan. The initiative may wish to conduct a detailed evaluation of a strategy, issue, or relationship from the Intentional Planning, Performance Monitoring, or Outcome Monitoring stage. Regardless of the evaluation issue or methodology selected, the initiative needs to carefully devise an evaluation plan so that resources are allocated wisely and the evaluation findings are useful.

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STEP 10: SET EVALUATION PRIORITIES

At IDRC, evaluation is viewed as an integral part of good program management. Corporate and program learning and improvement drives all evaluation activities with collegial participation by stakeholders as a key ingredient. IDRC has chosen to use evaluation first as a corporate learning tool, believing this to be the best way to strengthen its accountability function. The following principles guide evaluation at IDRC:

- **Evaluation is intended to contribute to decision making**. It helps Centre staff and management improve program planning and delivery. To aim evaluations at providing useful findings, projects and programs are assessed strategically, based on the client's purpose and information needs.

- **IDRC needs a critical mass of internal evaluation capacity** in order to be able to devise, participate in, and utilize evaluations effectively. Exclusive reliance on external expertise can limit an organization's ability to learn and apply lessons.

- **Evaluation is a process leading to action.** To be useful, evaluations need to produce relevant, action-oriented findings and this requires sustained involvement and ownership by the client throughout the process.

- **No single, generic evaluation methodology exists.** Each case usually requires a specific set of tools and methods appropriate to the data that is to be gathered and analysed. Credible evaluations interlace quantitative and qualitative data from several sources.

- **Whenever appropriate, evaluations should enlist the participation of stakeholders.** Those affected by the outcome of an evaluation have a right to be involved in the process. Their participation will make the evaluation's purpose and process more transparent, will promote stakeholder contribution to, and acceptance of, the evaluation results, and will increase the likelihood that the evaluation findings will be utilized.

- **Monitoring and evaluation planning add value at the design stage of a project or program.** They can make the project or program more efficient and effective by helping clarify the results to be achieved. Also, knowing what information will be necessary to evaluate the outcomes will allow it to be collected as it becomes available. This will reduce the amount of financial and human resources required and improve the project or program team's ability to report on, and learn from, its experiences.

- **Evaluation should be an asset not only for the donor but also for those being evaluated.** Evaluation can impose a considerable time and resource burden on recipient institutions. IDRC evaluations should also contribute to the information and evaluation needs of the recipient institution.

- **Evaluation is both science and art.** The art of identifying critical issues to be evaluated, organizing them conceptually, and persuading the appropriate people to participate in the collection, interpretation, and utilisation of the evaluation information is as important as the rigorous collection and analysis of data.

- **Evaluations are a means of negotiating different realities.** Evaluations provide a way by which a project or program's stakeholders can reconcile their various perspectives and/or versions of reality.

The guiding principles described above should be considered when conducting any evaluation. The initiative may choose to evaluate a specific strategy, issue, or relationship in depth from either the Intentional Planning, Performance Monitoring, or Outcome Monitoring stage.

Because there are not the time and resources to evaluate everything, evaluation priorities need to be set and an evaluation plan needs to be completed. This can be a difficult task but taking the time to thoroughly think through: 1) who is the primary client; 2) what are their information needs; and, 3) how to secure their support and regular involvement in the evaluation process is crucial to the eventual utility of the findings. Utilization is the ultimate purpose of evaluation therefore this "front-end" work should be given due attention whether the initiative is conducting the evaluation internally or an external evaluator is being hired. The information in the evaluation plan will guide the evaluation design and, if the initiative has decided to use an external evaluator, can be used to set the terms of reference.

The first priority is to identify the primary client for the evaluation. The client can be the initiative that commissioned the evaluation or it can be someone external (e.g. managers, funders, partners). As the primary audience for the evaluation findings, however, their information needs are paramount. The client should be consulted not only about the evaluation questions they would like answered but also how and when they plan to use the findings. Getting the client involved in the evaluation process in the planning phase will focus data collection activities so as to avoid wasting human and financial resources. Keeping the client regularly involved throughout the data collection and analysis phases will test the validity of the findings and increase the likelihood of their utilization.

QUESTIONS

- Who commissioned the evaluation?
- Who is asking for information about the initiative?
- What do they want to use the evaluation findings for?
- Is there any particular time that the evaluation findings would be most useful? (Could the information feed into any decision making process?)

An initiative cannot evaluate everything therefore it needs to make strategic choices about what warrants in-depth study. The usual criteria by which an initiative selects what to evaluate include its:

- learning needs;
- accountability or reporting requirements; and,
- partners' information needs.

The group should also consider whether the evaluation priorities are realistic based on the levels of human and financial resources, the time-frame, and the types of information available.

QUESTIONS

- What areas or issues does the initiative need to know more about in order to improve?
- What do managers/funders want/need to know about the initiative? What do we need to report on?
- How can our evaluation activity help our partners fulfill their learning and accountability requirements?.

FACILITATION TIPS

The facilitator uses the following evaluation plan to capture the necessary information on the group's evaluation priorities so that mechanisms to collect data can be put in place.

Name of Evaluation	Who Will Use Evaluation, How, & When?	Issues to be Studied	Questions to be Answered	Who Will Conduct the Evaluation?	Date	Cost

To test if the initiative is setting appropriate evaluation priorities, the facilitators reads the plan and asks whether the evaluation data the group is proposing to collect and analyse is worth capturing and practically how it will be used by the primary client.