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Introducing a Framework for Evaluating

Service Delivery in
Sector Evaluations:
Urban Transport,
Water and Sanitation,
and Nutrition



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Introducing a Framework for Evaluating Service Delivery in Sector Evaluations: Urban Transport, Water and Sanitation, and Nutrition

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Abbreviations and Acronyms

IEG	Independent Evaluation Group
IFPRI	International Food Policy Research Institute
OECD	Organisation for Economic Co-operation and Development
PPAR	Project Performance Assessment Review
SEAs	Strategic Engagement Areas
UNDP	United Nations Development Programme
WDR	World Development Report

Acknowledgments

This work is the result of the contributions of the entire team. Sian Williams reviewed studies and textbooks to gain insights into sectors and service delivery. This work helped to develop the definition of service delivery and key features. Aline Dukuze went beyond providing valuable administrative support and assisted with the search process. Judy Hahn Gaubatz reviewed project documents and took the lead in developing and refining the analytical protocol, based on valuable insights and guidance from Robert Yin. Anthony Tyrrell interviewed World Bank Group staff prior to the preparation of the concept note to gather perceptions of service delivery, which informed the scope of the framework. He also shared an early draft of the framework with a group of Bank Group staff. The feedback received during these meetings helped to sharpen the final version.

Valuable feedback was provided by each of the sector evaluation teams of the Independent Evaluation Group (IEG) in refining the analytical protocol and framework. Robert Yin was more than an advisor to this work; he contributed to every facet of the work and ensured methodological rigor. The development of the framework was the collective work of the entire team. Maria MacDicken's design capabilities improved the visual communication of concepts in these figures. While the working paper was predominantly written by Susan Caceres (task team leader), valuable inputs were provided by the entire team. Finally, feedback received from IEG's Strategic Engagement Area champions—Midori Makino and Marie Gaarder—throughout the process helped sharpen the framework, analytical protocol, and working paper.

1. Introduction

IEG’s Strategic Engagement Areas and Purpose of Working Paper

1.1 The Independent Evaluation group (IEG) has organized its evaluation work program (FY17–19) into three Strategic Engagement Areas (SEAs): Sustained Service Delivery for the Poor, Inclusive Growth, and Environmental Sustainability. These SEAs were implemented to generate deeper insights across evaluations for dialoguing with the World Bank Group and influencing its work. These areas cover a large share of the Bank Group’s efforts that are directed toward sustainable development outcomes.

1.2 This paper supports one SEA—Sustained Service Delivery for the Poor. The paper is one of two (the second one addresses behavior change) that will develop frameworks and tools to be employed to supplement IEG evaluations in urban transport, water and sanitation, and nutrition (IEG Work program 2016).¹ The outputs of the two papers are complementary, but they are being prepared in parallel. While it is recognized that aspects of behavior change relate to service delivery, other synergies will be explored after the analytical protocols are applied across the respective sector evaluations.

1.3 This paper serves three purposes. First, it defines service delivery and its key concepts and features as well as provides examples of how the World Bank Group has supported service delivery. The paper does not attempt to describe or track all the initiatives the Bank Group is doing in service delivery. Second, the paper serves a practical purpose within IEG in developing a framework and analytical protocol to evaluate service delivery as part of three ongoing sector evaluations in urban transport, water and sanitation, and nutrition. Finally, the paper discusses how to integrate service delivery when designing and implementing other sector evaluations.

1.4 The primary audience for this paper is staff within IEG. While the content may also be beneficial to evaluators in other agencies and staff within the Bank Group, it is not targeted to address the operational needs of their staffs.

Service Delivery: Definition

1.5 The Bank Group and international development actors are giving growing recognition to a focus on service delivery. Service delivery consists of a series of highly localized actions by agents in public agencies or private enterprises to provide needed goods and services to citizen beneficiaries “in a way that meets their expectations” (Kim 2012). This definition draws on literature from a variety of disciplines (i.e., economics, behavioral economics, social sciences, and engineering) to provide a broader perspective to service delivery, rather than any discipline-centric view.²

1.6 At the same time, not all of what the Bank supports should be considered service delivery. The Bank has expanded the sectors beyond those initially included within *Making Services Work for the Poor* (World Bank 2003a)—health, education, water, sanitation, and electricity access—to include social protection, information, transport, financial services, and credit markets. In this spirit, a service delivery perspective may not be appropriate for

investment climate, macroeconomic development or health financing, as those are not directly targeted at goods or services. Similarly, a service delivery perspective may not be appropriate in evaluating the Bank’s administrative interventions, such as results-based budgeting or public sector management reforms.

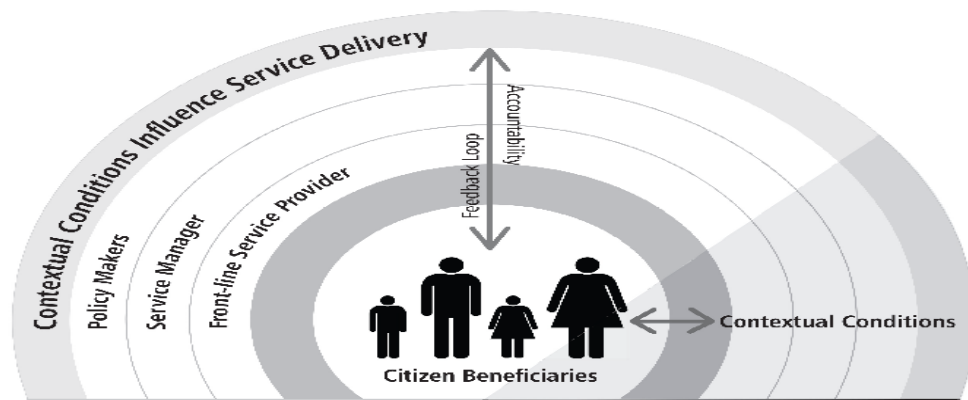
1.7 To understand service delivery more fully, elaboration of the initial definition is needed (see table 1.1). Service delivery has a life-cycle span (i.e., plan, design, operate, maintain, and monitor) to sustain services such as nutrition or transport or goods such as electricity or water to citizen beneficiaries (Kim 2012; Lockwood and Smits 2011). Getting (or delivering) these services or goods requires access by citizen beneficiaries, and the goods or services should meet the expectations of the beneficiaries, which implies taking into account their needs and demands (Kim 2012; Hodge 2007; Fiszbein, Ringold, and Rogers 2011). Accountability between policy makers, service managers, front-line service providers, and citizen beneficiaries is required (Caseley 2006; Fiszbein, Ringold, and Rogers 2011) (see figure 1.1). Multiple arrangements (or models) can provide the goods or services, such as centralized or decentralized government provision or contracting (Lamothe, Lamothe, and Feicok 2008; DCF 2009; Alexander and Hearld 2012); private provision; public-private partnership provision; and citizen-directed provision. All of these arrangements are context sensitive and rooted within human-made systems. (See appendix A for discussion of statements contained in the literature used to develop the definition.)

Table 1.1. Elements of Service Delivery Definition

Element in Definition	Explanation
Delivery involves a series of highly localized actions by agents	Life-cycle span Context-sensitive actions Agents—policy makers, service managers, and front-line providers
Delivery by public agencies or private enterprises	Arrangements or models: Centralized or decentralized government provision Hybrid of centralized and decentralized government provision Central or decentral government contracting Hybrid of centralized and decentralized government contracting Private sector provision public-private partnership provision Citizen-directed provision Other innovative provision
Delivery provides goods or services	Delivery: getting goods and services, which requires access to citizen beneficiaries Goods: includes infrastructure such as electricity, water, roads Services—education, health, nutrition, conditional cash transfer, transportation
Delivery of good or service meet citizen expectation	Implies satisfaction of need or demand and moves beyond achievement of output Requires accountability in delivering the service or good

1.8 Citizen beneficiaries are central for service delivery, as illustrated in figure 1.1. This means citizens' voice and understanding their needs and demands, as well as the delivery experience, are important to create services that are accountable to all citizens, especially the poor. *Making Services Work for the Poor* (World Bank 2003) identified accountability (across and between citizens, government, and providers) as the critical condition for services to benefit the poor. Figure 1.1 builds from the triangle relationship with features stressed in recent service delivery studies expanding the view, but also stressing accountability as the central principle of service delivery.

Figure 1-1.1. Citizen Accountability as a Major Service Delivery Principle



1.9 Service delivery needs responsiveness by service providers, managers, and policy makers to be answerable (i.e., information or decision), to provide enforcement (i.e., service standards), and to make relevant organizational changes (i.e., delivery of services) (Caseley 2006; Asis and Woolcock 2015) to make services “people-centred” (UNDP 2013). The Bank Group is increasingly supporting technological development and innovation, with particular reference to integrated digital solutions to promote and support a more citizen-centric approach. The application of new technologies can, for example, enable wider, more frequent, more tailored, and less expensive information sharing, can support transactional exchange between government and citizens (and businesses), and can (through connected services) encourage and facilitate citizen input and feedback on an ongoing and real time basis. These tools are used to provide feedback about the service (or good) so that learning and adjustments can be made (Asis and Woolcock 2015). While figure 1.1 uses arrows to represent the feedback loop. This process is occurring in real time so solutions can be generated during implementation.

1.10 Contextual conditions interact with all of the agents involved in service delivery—beneficiaries, front-line providers, service managers, and policy makers (see figure 1.1). Differences in how systems are organized—whether governance structures are centralized or decentralized—internal conditions such as the availability of resources, intergovernmental transfers, consistent financial policies, and desired cost recovery impact the delivery of goods and services (Camm and Stecher 2010; Wild and Harris 2012; Hecock 2006; Cleary 2007;

World Bank 2003; Smets 2015). Likewise, cultural conditions such as religious, linguistic, gender, and ethnic differences can impede beneficiaries' willingness or capacity to participate in a service or create a barrier between them and the service.

Organization of Working Paper

1.11 The remainder of this paper is organized into five chapters, including the methodology used to develop a theory-based framework; service delivery concepts in the framework as described through examples from literature and project documents; integration of service delivery in sector evaluations; and early testing of the working paper's analytical protocol. Finally, the paper discusses how service delivery can be integrated into IEG's sector evaluations. The paper concludes with next steps for this work and plans within IEG's Strategic Engagement Area of Sustained Service Delivery for the Poor.

2. Methodology to Develop Theory-Based Framework

2.1 Evaluations over the past several decades have increasingly attended to specifying a theory of change about the workings of and outcomes from a course of events such as occurring in an intervention (Chen 1990, 2015; Chen and Rossi 1992; Yin 1992; Funnell and Rogers 2011). The resulting theory of change model (or program logic model) reflects how an evaluation team thinks change will occur (Knowlton and Phillips 2013, 9; Burke, 2014). An alternative term, results chains, appears in IEG and other development evaluations, and is frequently used in place of the term program logic models (Bamberger, Rugh, and Mabry 2012, 620.) A logic model's sequence of inputs-activities-outputs-outcomes-impacts may be considered a hypothesized set of events and can serve both design and analytic functions (Yin 2014, 155–163).

2.2 To develop the theoretical basis for this framework (i.e., results chain), key service delivery concepts and features were identified and derived from: (i) project documents; (ii) literature; (iii) sector-specific concepts; and (iv) interviews with Bank staff across Global Practices and other Vice Presidential Units formally involved in analyzing or conceptualizing service delivery processes.

2.3 **Project documents.** Project documents (i.e., project appraisal documents, project completion results reports, and IEG Project Performance Assessment Reports [PPARs]) from 34 projects across the three sectors were reviewed. The sample of projects was drawn from the sector portfolio identified by each IEG evaluation team³ and reflected a range of subsectors and regions as shown in table 2.2. (See appendix E for list of projects reviewed.) Within each project, components that supported service delivery were reviewed, while those unrelated to service delivery or outside the sector were excluded.

Table 2.2. Projects Reviewed

	Nutrition	Urban Transport	Water and Sanitation
Regions covered	AFR, EAP, LAC, SAR	AFR, EAP, LAC, MNA, SAR	AFR, EAP, ECA, LAC, MNA, SAR
Dates of project period dates covered	FY20–14	FY98–15	FY97–14
Number of projects	12	10	12
Subsectors	n/a	Mass transit (i.e., bus and railway) roads Nonmotorized (i.e., bicycles)	Rural and urban water supply Rural sanitation Sewerage Drainage

Note: AFR = Africa; EAP = East Asia and Pacific; ECA = Europe and Central Asia; LAC = Latin America and the Caribbean; MNA = Middle East and North Africa; SAR = South Asia.

2.4 Review of service delivery literature. Literature was identified through key word searches of electronic databases inside and outside the Bank. The process emphasized selection of empirical research studies rather than purely conceptual or theoretical pieces. Thus, priority studies included Bank Group and non-Bank Group research that evaluated service delivery, particularly those within the three sectors (see appendix B).

2.5 Identification of sector-specific concepts. Textbooks and articles were reviewed (see appendix C) to gain an understanding of subsectors, key issues, and unique aspects within each sector that service delivery had to consider.

2.6 Interviews with Bank staff and Feedback from IEG sector evaluation teams and others. Key staff involved in the World Bank’s Public Services Delivery Global Solutions Group, Global Delivery Initiative as well as those working in Global Practices or evaluating service delivery were interviewed. The initial interviews informed the scope of the framework and provided an understanding of the various views within the Bank Group of service delivery. Follow-up interviews served the purpose of refining the framework and analytical protocol. (Appendix D lists the Bank staff interviewed.) Perceptions were gathered from front-line providers, service managers, and policy makers during an April 2016 IEG field PPAR mission to Senegal.

2.7 The literature and interview data were reviewed to identify key service delivery features or concepts. These concepts were embedded within the phases of a system—planning, designing, operating, maintaining, and monitoring—and put within a results chain. Project data and studies were used to guide the application of how the key feature applied to respective sectors. Existing logic models (Bua, Paina, and Kiracho 2015; Wenene, Steen, and Rutgers 2015; Mehndiratta et al. 2014; World Bank 2012; Smets 2015; Glavey et al. 2015; Caseley 2006; Rafil, Lddi, and Hasan 2012; Hodge 2007; Sridhar 2008; IFPRI 2015; Milat et al. 2012; Horton et al. 2010; Martin 2015)⁴ were drawn on to specify service outputs and outcomes within the framework. Likewise, insights were gleaned from studies related to

measuring service delivery activities (OECD 2012; AusAid 2009; DCF 2009). A single framework was developed to provide common data for cross-sectoral comparisons.

2.8 Then, the concepts in the framework were refined with more specificity for the analytical protocol. The protocol was piloted with project documents several times. (See appendix G for an early version.) After each pilot, revisions were made to the protocol to develop clearer guidance questions or pull out concepts with multiple questions. Feedback was provided by Bank and IEG sector evaluation teams and incorporated into the final version of the analytical protocol (see appendix F).

3. Framework to Evaluate Service Delivery

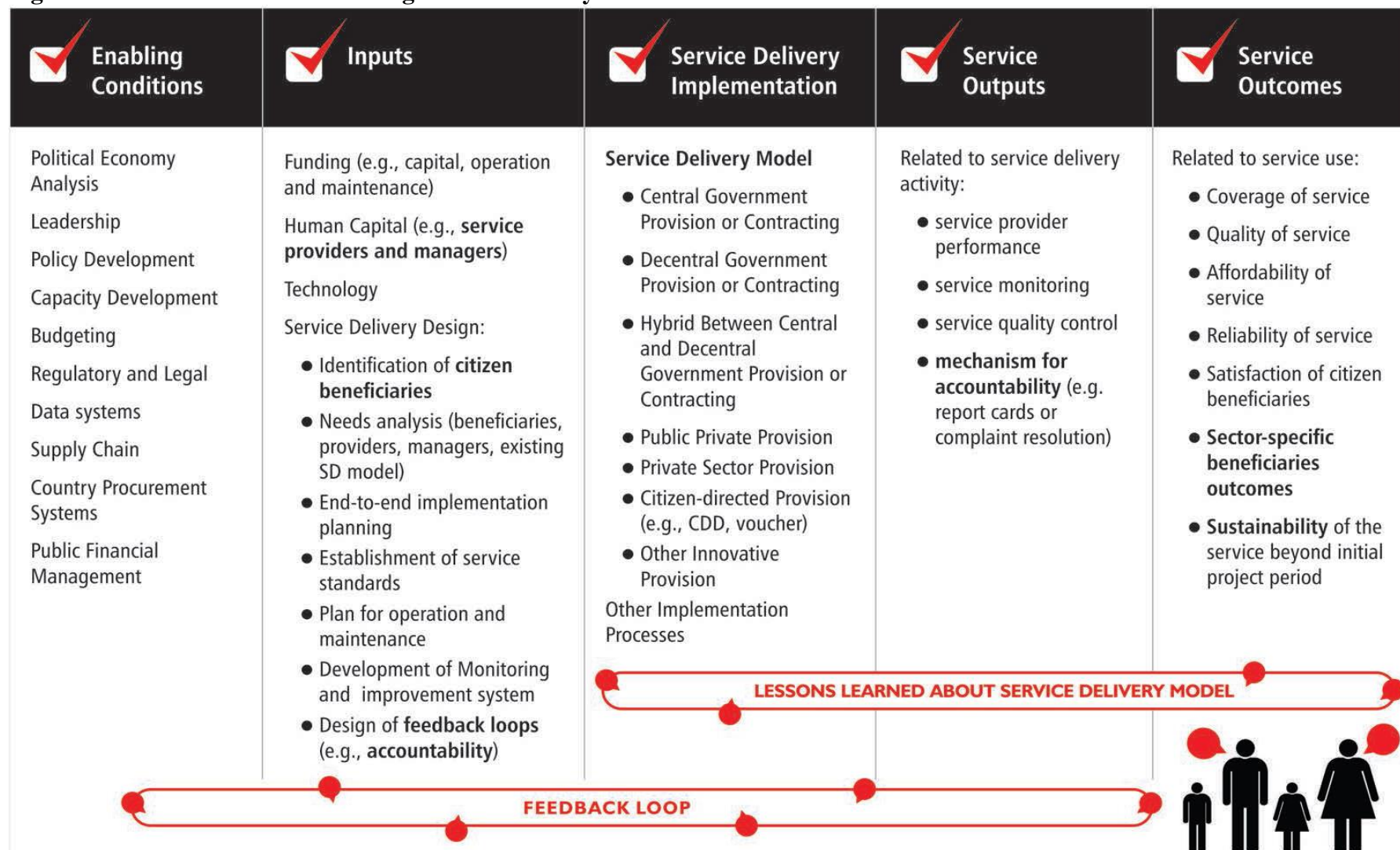
3.1 The framework (see figure 3.1) has two main features. It is about service delivery, but more important, it is a framework for evaluating service delivery rather than just operationalizing it. The dual features will assist and support existing and future IEG sector evaluations to address service delivery issues as part of their assessments of sector evaluations. To minimize disruptions to the flow of the sector evaluations, the service delivery issues are meant to supplement any given sector evaluation and to be embedded within its preexisting framework such as its design matrix. As well, the framework can stand alone, if the sole purpose is evaluating service delivery.

3.2 The framework, and analytical protocol, have four elements:

- enabling conditions,
- inputs,
- service delivery implementation, and
- service outputs and outcomes.

The subsequent portion of the paper integrates findings from the literature and Bank Group operations to discuss the framework's elements, with particular emphasis on their main components, which are noted in bold text in figure 3.1.

Figure 3-1 Framework for Evaluating Service Delivery



ENABLING CONDITIONS

3.3 Services operate within the broader government context that enables (or constrains) delivery. Many of these external conditions are beyond the control of a particular service activity such as the extent of patronage, corruption, or issues of political economy.

Mcloughlin and Batley (2012) propose viewing service provision as a two-way process “in which services are formed by, and formative of, state-society relations and processes of state building,” and placing service provision in a broad question of control—“that is, how and by whom is control exercised over which services are delivered to whom.”

3.4 For this reason, the framework contains the assessment of enabling conditions such as political economy analysis, leadership, and development of budget, policy, regulatory, legal, capacity, or data systems (see figure 3.1). These are precursor conditions to support the actual service delivery that are outside the immediate point of delivery between the provider and the citizen beneficiary. Within the sample of project reviewed, these aspects are typically supported by the Bank Group as well as capacity development for decentralized levels of government. Political economy factors are determinants of performance, as political and incentive problems are likely to retard improvements in service delivery (Wild et al. 2012). IEG’s work at both micro and macros levels consistently highlights the importance of understanding the political economy with a view to sustainable success.⁵

3.5 The analytical protocol (see appendix F) includes questions to identify the type of upstream support provided (e.g., budget, regulation, capacity, and supply chain production) These questions are designed to detect the specific enabling conditions supported (or not supported) by the Bank Group. They can then be examined in relation to service delivery model implementation, as these conditions affect how services are delivered and often explain differences in service failures (Mcloughlin and Batley 2012).

INPUTS

3.6 The framework (and analytical protocol) emphasizes the preparation of actions specific to the design of service delivery.⁶ Some of the elements (i.e., identification of beneficiaries, needs analysis, and establishment of mechanisms for accountability) are meant to detect whether service delivery is sensitive to the needs and demands of citizen beneficiaries, which is consistent with Bank Group policies. The Bank Group strategy (World Bank 2013b) identifies citizen beneficiaries as key agents in the realization of the twin goals of reducing poverty and boosting shared prosperity. The strategy urges respective Bank Group institutions to engage more effectively with citizen beneficiaries, including the poor, to gain insights into the results valued by ordinary people and to integrate citizen voice in development programs as an accelerator for achieving results. The Bank Group social inclusion strategy (World Bank 2013a) envisages a more deeply integrated form of citizen beneficiary engagement (e.g., in policy formation, service planning and design, and monitoring) as well as an assessment of how well the more immediate arrangements are part of the wider political and economic systems with a view to ensuring sustainability. *Systems of Cities: Harnessing Urbanization for Growth and Poverty Alleviation* (World Bank 2009) urges increased emphasis on demand-side governance, including civil society participation in budgeting and investment planning as well as increasing the voice of citizens.

3.7 Serving poor citizen beneficiaries is a core concern for the Bank Group. However, the poor are not a homogenous group. All of the other demographic attributes (e.g., gender, age, disability, and ethnicity) are also present among the poor. The diversity also requires efforts to understand citizens' demands (Wild et al. 2015) and to gather and respond to beneficiary feedback. Understanding their desires and constraints to ensure accessibility and affordability heightens the likely utilization and derived benefit and sustainability of the service. Simply collecting feedback is not enough. The complete delivery system needs to include active involvement of citizen beneficiaries for application of the feedback received. Recognition of the heterogeneity of citizen beneficiaries, including the extent and severity of their poverty, strongly suggests the need to collect disaggregated data (AusAid 2009), yet IEG evaluations typically find this feature missing within project monitoring data (IEG 2012). For this reason, the protocol examines whether disaggregated data are provided to document the presence or deficiency of these types of data.

3.8 Needs analysis also applies to the needs of front-line service providers and managers as well as the assessment of the existing service delivery model. Was the capacity of front-line providers and managers considered during planning and design of service delivery arrangements? Was there an examination of the existing service delivery model with a view to determine which entity could deliver the service efficiently, including the optimal role for government, and at which level. Yet, the existing modality is what is typically utilized, particularly when the service requires highly specific assets (i.e., associated with services such as electricity or water) that present a barrier to entry (Lamothe, Lamothe, and Feiock 2008). Consistent with the finding from this study, most appraisal documents reviewed did not provide a reason for selecting a specific model and selected the existing one.

3.9 Other elements in the framework examine what has been done to optimize service delivery arrangements—end-to-end implementation planning, establishing service standards, designing both operating and maintaining aspects, and establishing mechanisms for monitoring and accountability.

3.10 Contextual conditions need to be an explicit part of the design in delivery systems. Identifying key contextual conditions that are likely to impinge directly on service delivery (such as inadvertent gender differences between service providers and service beneficiaries) will require explicit attention during planning and design to put in place appropriate service delivery arrangements to meet the multifaceted needs of heterogeneous citizen beneficiaries—including the poor. The analytical protocol includes questions to document the contextual conditions that were explicitly considered.

SERVICE DELIVERY IMPLEMENTATION

3.11 The model of delivering services is a central part of implementation in the Framework. While *Making Services Work for the Poor* (World Bank 2003) advanced the concept of “eight sizes fits all,” this framework builds on that foundation established but contains others found in the literature and supported in Bank Group projects (i.e., central provision or contracting, decentral provision or contracting, hybrid between central and decentral provision or contracting, private-public contract, private sector, citizen-directed

provision such as voucher or community driven development), as well as leaves the possibility of advancing other innovative provisions.

3.12 Any model can deliver water and sanitation services (or urban transport or nutrition), but how effectively or sustainably it does depends largely on contextual and enabling conditions (as well as accountability relationships). For example, political will was lacking to implement the tariff structure and key design elements within the Lebanon Ba'albeck Water and Wastewater Project, thus the water utility was not financially sustainable. On the other hand, the presence of other enabling conditions (such as leadership, behavior change, and evidence) supported the success of the community-led sanitation program where 25 million rural people in Indonesia were provided access to improved sanitation (Glavey et al. 2015). “Every environment has its own distinct social and political characteristics, and solutions have to be either drawn from, or adapted to them” (Brixi, Lust, and Woolcock 2015, vi). For this reason, the protocol examines whether the distinct social and political conditions were understood when designing and implementing the model.

3.13 Cost recovery and subsidies are major concerns in water and transport. As well, in cases where services are provided to small populations or remote from other points of service delivery, an understanding of the additional costs to operate and maintain the service is needed (Kumara 2013). The analytical protocol contains questions related to these aspects.

3.14 Accountability must receive attention during implementation. The Bank Group’s discourse has expanded to take on broad connections among the modality of delivery, the front-line service providers and managers, and the broader governance system, all with a view to ensuring citizen-focused, citizen-informed, sustainable services. Accountability relationships are complex affairs (Caseley 2006) between citizen beneficiaries, front-line providers, service managers, and policy makers (see figure 1.1). The interdependent relationships have been critical to sustained improvements with respect to new connection of services and resolution of complaints (Caseley 2006). Systematic citizen engagement (Wild et al. 2015; Asis and Woolcock 2015; Brinkerhoff and Wetterburg 2013), as opposed to excessive or erratic engagement (Caseley 2006) through feedback loops with all agents, is needed (Wild et al. 2015; Milat, Bauman, and Redman 2015; Pérez-Escamilla et al. 2012).

3.15 Accountability affects how front-line providers and managers behave and how citizens experience quality and efficiency of services and goods (Fiszbein, Ringold, and Rogers 2011) and how the model is implemented. Thus, the protocol contains questions to determine the presence of accountability mechanisms—such as report cards, complaint resolution, or other ways—and at which phase of service delivery and what parties are involved, as well as use of a feedback loop as knowledge and evidence to adapt implementation are required (Kim 2012; Asis and Woolcock 2015). All of the previously noted characteristics can be examined in relation to enabling conditions to provide a better understanding of how the model worked in that particular context.

SERVICE OUTPUTS AND SERVICE OUTCOMES

3.16 The final section of the framework contains service outputs and outcomes. They can be viewed in relation to: (i) the service delivery activity, and (ii) the use of the service (Fiszbein, Ringold, and Rogers 2011).

SERVICE OUTPUTS

3.17 The points of contact between the service provider, manager, and citizen beneficiary may be experienced differently across different sectors, and in particular the three IEG sectors of Urban Transportation, Water and Sanitation, and Nutrition. Consider for example nutrition, where a citizen's interactions with a community nutrition worker (front-line service provider) is individualized and nuanced. On the other hand, contacts with front-line providers in water or transport are more limited. Despite these differences, it is important to understand how citizens experience the delivery of the goods or services. This suggests the need for evaluating process conditions related to delivery (Asis and Woolcock 2015) such as provider performance and the presence of service monitoring or quality control.

3.18 Examples of service monitoring in reviewed projects include, the Colombia Integrated Mass Transit Systems, which finances user surveys to assess whether mass transit users rate the new rapid bus system better than the traditional public transportation system. Lima Urban Transport develops user scorecards to measure public transport performance. The Ghana Small Towns Water Supply and Sanitation Project brings beneficiaries and implementers (from each town) together on a regular basis to evaluate effectiveness and sustainability of activities undertaken as well as to provide feedback for improving processes.

SERVICE OUTCOMES

3.19 Understanding the delivery experience in relation to the quality of the service suggests the need for benchmarks for quality (i.e., efficacy in delivering nutrition, regular and clean water supply, and reliable and safe transport) (Amin, Das, and Goldstein 2008; Kim 2012; Fiszbein, Ringold, and Rogers 2011; Asis and Woolcock 2015; World Bank 2012; Glavey et al. 2015; Milat et al. 2012) Measures of beneficiary satisfaction should be interpreted cautiously, since beneficiaries' expectations may be low (and thus report high level of satisfaction) and beneficiaries may not have the information providers have (Fiszbein, Ringold, and Rogers 2011).

3.20 Likewise, an important aspect of service delivery is a focus on outcomes (World Bank 2003; Brinkerhoff and Wetterburg 2013)—what is achieved from using the goods or services. Simply accessing nutrition services is not enough. The service must be delivered in a way that helps to make pregnant and lactating mothers and children healthier. This requires movement from measurement of outputs to an accountability for outcomes (Amin, Das, and Goldstein 2008). For this reason, the framework and the analytical protocol include general measures related to reliability, utilization, sustainability, and sector-specific beneficiary outcomes. It is understood that not all Bank Group projects collect outcome data for a variety of reasons. Implementation time frame as well as existing monitoring and evaluation capacity may constrain these aspects.

LESSONS LEARNED ABOUT SERVICE DELIVERY MODEL

3.38 Technical or logistical solutions have not been sufficient to address delivery challenges (Kim 2012; Asis and Woolcock 2015). Knowledge and learning are also required. For this reason, the framework connects implementation and service delivery outputs and outcomes through a feedback loop to develop lessons learned about the service delivery model. Asis and Woolcock (2015) suggest the need for “adaptive implementation with a process of developing solutions, allowing teams to adjust their methods in response to the feedback generated in the delivery process.” In other words, understanding whether the model is achieving the expected results and understanding whether the model is meeting citizen’s expectations (both questions that are part of the analytical protocol). The model should be re-examined to know whether the arrangement is “solving concrete problems and developing solutions” (Asis and Woolcock 2015).

3.39 Across the span of three nutrition projects in Senegal, changes in the service delivery model and responsibilities (across level of governments and nongovernmental organizations) occurred initially to be consistent with the government’s decentralization efforts, and from the broader focus of good governance at each level. According to a mission to Senegal, Subsequent changes occurred through a process of learning of lessons in nutrition services because a learning culture was established, and there was accountability for the collection and use of data.

3.40 The complete framework (through the guidance questions in the analytical protocol) will provide deeper findings related to planning and implementation than typically collected within IEG evaluations. The evidence resulting from framework relate to: (i) citizen beneficiaries (i.e., assessment of who is being served and how they are (or not) engaging within the cycle of service delivery); (ii) contextual conditions (e.g., which conditions receive explicit attention during planning); (iii) feedback loops to improve implementation (e.g., whether feedback is collected, how it is used; and whether there are adaptations to service delivery); and (iv) service delivery models and outcomes (to provide a deeper understanding of how the model worked in that particular context to add to our understanding of how to deliver goods and services).

4. Integrating Service Delivery in Sector Evaluations

4.1 The prevailing literature on designing and doing program evaluations suggests that the framework for evaluating service delivery can be helpful at four conceptual stages within an IEG evaluation: (i) in dealing with its evaluation questions; (ii) in (further) defining the criteria for assessing the relevance, effectiveness, and efficiency of the Bank Group’s efforts; (iii) in specifying and collecting the data about the events in a results chain; and (iv) in addressing contextual conditions (Scriven 1967, 1991; Mark, Henry, and Julnes 2000; Rossi, Lipsey, and Freeman 2003; Stufflebeam and Shinkfiled. 2007; Patton 2008; 2015; Stufflebeam and Coryn 2014; Newcomer, Hatry, and Wholey 2015). Each of these activities draws on all aspects of the framework and analytical protocol for evaluating service delivery and correspond with the conceptual stages of evaluation so that this can be embedded within a sector evaluation.

4.2 **Evaluation Questions.** First, all evaluations typically start with a set of evaluation questions. Commonly, these questions deal with how and why interventions took place the way they did and with what results (e.g., Markiewicz and Patrick 2016, 93–119). At a minimum, an initial service delivery question would ask about the extent to which the Bank Group portfolio being evaluated included service delivery projects because many Bank Group interventions may strengthen and build the capacity of institutions rather than support services to citizen beneficiaries.

4.3 In relation to service delivery, the evaluation questions could then seek to define the beneficiaries of the services being provided, with such illustrative sub-questions as (Pawson 2006): Who benefits from the water or bus system? How do they benefit? Why? Who does not benefit and why? Such questions would recognize the criticality for the service delivery projects in identifying and understanding the needs and demands of citizen beneficiaries. Table 4.1 illustrates how service delivery concepts can be included within the evaluation question.

Table 4.1. Reframing Sector Evaluation Questions to Include Service Delivery

Original Evaluation Question	Evaluation Question to Include Service Delivery
To what extent has the World Bank Group supported client countries for provision of affordable water and sanitation services through: reflecting consumer demand and willingness to pay; targeted subsidies?	To what extent has the Bank Group supported client countries for provision of affordable water and sanitation services through: reflecting consumer demand and willingness to pay; targeted subsidies; and the extent of any remaining underserved service users?
To what extent has the Bank Group supported client countries to ensure focus on vulnerable groups including the poor, women, and children, particularly girls?	To what extent has the Bank Group supported client countries to ensure focus on vulnerable groups including the poor, women, and children, particularly girls, including participation by them or their representatives in the design and implementation of water and sanitation services?

4.4 **Criteria for Relevance, Efficiency, and Effectiveness.** The framework and questions in the analytical protocol align with the core evaluation criteria—relevance, effectiveness, and efficiency. Typically, IEG evaluations assess relevance in relation to Bank Group operations and government’s plans, policies, and strategies. One central question to consider is what is the comparative advantage of the Bank Group—in terms of efficiency of delivery; scale and resources, capacities and expertise, presence in the country, taking into account the landscape of institutions supporting the service in the country? Given the centrality of citizen beneficiaries to service delivery, relevance must also validate demand and push a deeper level of analysis to establish if, for example, in designing and introducing a service, citizen beneficiaries (including the poor) have been consulted and their needs analyzed. And, if relevant preferences expressed—based, for example, on identity (e.g., ethnic, gender), or other concerns—are taken into account in service design and implementation. In other words,

the relevance criterion can be adapted by asking: What efforts have been made to tailor, or otherwise fit, service design and roll-out to the expressed need or demand of citizens (including the poor)?⁷ As one example, the design of a new bus system did appropriately seek to locate bus stops in neighborhoods dominated by poorer residents to serve them better. However, the residents were later found not to make good use of the completed bus system because they needed to reach the locations of their daily jobs. In retrospect, the designers had not queried the residents about their transportation patterns, and the bus routes did not end at the needed feeder connections (IEG 2015).

4.5 Having established relevance and built relevant contingencies and preferences into planned design and roll-out, the next step is to establish the optimal role for government (if any) in delivering the service. Whatever the role of government, the guiding principle with reference to the efficiency criterion is, clearly, the identification of the most productive arrangement for delivery. The issue of cost-recovery also needs to be taken into account, as relevant, under the efficiency criterion. Cost-recovery may also have a profound effect on longer-term sustainability.

4.6 The effectiveness criterion also can be augmented by a service delivery perspective. Besides covering the conventional effectiveness measures, evaluations can collect better data about the beneficiaries being served (especially their economic profiles) as well as being more sensitive to estimating the beneficiaries that might still be underserved, or assessing service utilization trends.

4.7 **Results Chains.** Although IEG sector evaluations will have developed their own results chain as part of their evaluation framework, it can be enhanced to include service delivery. For example, the results chains, besides needing to cover issues related to service beneficiaries, also may need to clarify the presumed course of events with regard to service providers, covering both the role of the specific service delivery organizations charged with implementing the service being evaluated as well as the front-line service providers participating in the delivery system.

4.8 **Contextual conditions.** In principle, a complete program logic model should not only be directed at endogenous conditions, but also at exogenous conditions, such as contextual conditions. The contextual conditions can be far ranging, including political, economic, institutional, historical, and cultural matters (Bamberger, Rugh, and Mabry 2012, 23, 28–29; Patton 2015, 9). In practice, while most evaluations acknowledge the importance of contextual conditions, the evaluations do not specify them in any great detail. Such a practice occurs mainly because too many contextual conditions appear to be potentially relevant, and no single evaluation will be able to cover all these conditions. Nevertheless, some explicit attention to contextual conditions should be part of an IEG sector evaluation.

4.9 The overabundance of contextual conditions may inhibit their inclusion in evaluations, despite the near-universal recognition that “context matters” (Stufflebeam and Shinkfield 2007, 57–80; Patton 2015, 9). One approach for counteracting the multitude of contextual conditions is to adopt a proximal-distal perspective and try to focus on the most proximal contextual conditions first. For instance, evaluations should cover the gender and other potential socioeconomic differences between service beneficiaries and service

providers. Other proximal conditions could account for cultural or religious beliefs affecting beneficiaries' use or perception of the services being delivered.

Analytic Protocol

4.10 The previously described entry points into the evaluation represents a departure from previous IEG sector evaluations as the three upcoming sector evaluations will embed a service delivery perspective within their work. This will require service delivery issues contained in the analytical protocol to be embedded within the data collection for the country case studies and project portfolios. The data generated will permit addressing the following questions:

- What service delivery features lead to sustainable services? How does this vary across context?
- Has the service delivery being evaluated been targeted to reach specific groups of users? If so, how?
- How was evidence used (i.e., identification of problems and solutions or implementation understanding and refinement) to ensure that the Bank Group's service delivery initiatives focused on outcomes for citizens?
- How does the Bank Group promote and support service delivery initiatives? What are potential points of entry for the Bank Group?

5. Early Test of Analytic Protocol

5.1 The early testing of this working paper's analytical protocol⁸ has revealed data gaps in assessing service delivery. Aspects, such as assessment of the needs and demands of citizen beneficiaries and capacity assessment of front-line providers, are not uniformly covered across the three sectors in project appraisal documents. As well, outputs typically do not extend into the domain of front-line service providers.

5.2 In the Nutrition sector, need assessments were conducted in nearly all reviewed projects (11 out of 12) by way of nutritional screening, growth monitoring, or participatory health needs assessment. While lack of demand from users is explicitly acknowledged as a barrier in half of the projects, the majority of reviewed projects included activities to generate demand, such as information campaigns. However, in the reviewed projects in the Water sector, only two conducted analyses of willingness to pay among target users, while none of the reviewed projects included a needs assessment of particular groups within the population.

5.3 In the Nutrition and Urban Transport sectors, no projects conducted formal capacity assessment of front-line providers. Yet, in the Nutrition sector, all projects included training to service providers in project design (for example, training to community nutrition volunteers). In the Urban Transport sector, one project discussed the capacity weaknesses of the front-line providers (bus drivers) as a barrier to service delivery, but there was no capacity assessment conducted. In the Water sector, as front-line providers and managers were often government entities, capacity assessments were more frequently conducted.

5.4 In the Nutrition sector, most project designs (8 of 12) included “real-time” monitoring and sharing of program results with beneficiaries (regular meetings with community leaders to discuss ongoing results, scorecards). However, only one of these projects also included explicit process of assessing results and using that experience to make adjustments to the interventions (i.e., feedback loop). Similarly, in the Water and Sanitation sector, only one project included an explicit feedback loop. There were none in the Urban Transport sector.

5.5 Within the 34 projects reviewed, most do not report data on improved service quality, affordability of services, increased utilization of services, or increased efficiency. Data on access are provided more often. In the Nutrition sector, most projects (10 out of 12) reported at closing on changes in access or coverage of services. In the Urban Transport and Water and Sanitation sectors, less than half of projects provided these data. There are many explanations why projects do not collect these types of data (i.e., capacity constraints, methodological issues, or implementation time), but insights gained can be useful to promote measurement of improvements in well-being for citizen beneficiaries. - Project completion reports offer minimal analysis of the contextual conditions that impacted—negatively or positively—service delivery outcomes, suggesting that these documents will not provide answers to some of the questions in the protocol. One purpose of this exercise will be to identify gaps within the Bank’s support of service delivery with the intent of informing and enhancing future support in client countries. Overall, the tentative results from the analytic protocol highlight how past practices within the Bank Group may not align with its stated policy aspirations.

6. Conclusion and Next Steps

6.1 The analytical protocol was piloted to explore the potential for data collection from project documents in the upcoming sector evaluations. Further use of the protocol will lead to refinements in the type of data collected and highlight the key areas of analysis. In essence, the framework for evaluating service delivery and the analytical protocol should be viewed as a living enterprises, adapted with each subsequent use by IEG, rather than a one-time-only effort. For example, one planned enhancement is connecting and synergizing the service delivery work with the complementary, but parallel efforts within IEG in relation to a parallel work on evaluating behavior change, as it is recognized that aspects of behavior change relate to service delivery (e.g., citizen beneficiaries and service providers).

The common framework and collection of consistent data across sectoral evaluations will eventually enable IEG to produce a chapeau report that draws on and contrasts findings across the individual sector and service evaluations. The chapeau report will describe the features of service delivery most commonly supported and compare their relative efficacy around reaching the poor, supporting quality services, building sustainability, engaging citizens, and obtaining sector outcomes.

¹ In IEG’s work program (FY17–19), the nutrition evaluation has been replaced with essential health services.

² For instance, in the name of service delivery, economists may be said to focus mainly on incentives, accountability mechanisms, and broader fiscal issues; behavior economics use psychological insights in human behavior understand economic decision-making; social scientists on social systems arrangements; and engineers on physical systems arrangements and procedures.

³ In the case of the nutrition portfolio, this was identified by IEG's evaluation of the Bank's support to early childhood development (IEG 2015).

⁴ These studies evaluated service delivery.

⁵ Sustainable is meant as the maintenance of the perceived benefit of investment projects (including convenience, time savings, livelihoods, or health improvements) following the ending of the active period of implementation (Lockwood and Smits 2011) or the extent to which the policies, institutional and regulatory framework, sector management capacity, and financial arrangements remain in place to ensure that infrastructure is operated and maintained, enabling sustained provision of infrastructure and services over the long term (IEG 2013).

⁶ The framework also includes the typical system inputs such as human resources, financial resources, and technology.

⁷ The need to validate demand at this level is itself underpinned by a principle that the citizen matters, not only from a political perspective in terms of inclusion, voice, and so on, but also from a more functional perspective based on the proposition that demonstrating an understanding of would-be consumers in the design and roll-out of a service, will result in improved outcomes. These assumptions are in line with World Bank Group strategy, the new emphasis on citizen engagement, and the thinking that underpins the science of delivery concept and ongoing activities, such as the Global Delivery Initiative, within the Bank Group.

⁸ The early test of the protocol was based on an earlier version of the protocol (see appendix G).

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Appendix A. Elements of Service Delivery from Literature to Develop Working Paper’s Definition

Statement from Source	Implication	Source
“Delivery” is an elegant word for getting goods and services to people in a way that meets their expectations.	Expectations implies satisfaction of need or demand—going beyond output and outcome. Getting implies the achievement of coverage, reach, and access.	Kim (2012)
Delivery priorities in development include material infrastructure like roads, power grids and water systems. They also include services like education, health care and social protection. To improve development outcomes, we need to tackle delivery challenges head-on.	Encompasses services (such as human development) or infrastructure (such as electricity, water, and roads).	Kim (2012)
Access is critical to the definition of delivery of a service.	There is no delivery without access; if the service isn’t accessible then it isn’t delivered.	OECD (2008)
The model for service delivery (2004 World Bank Development Report) is entry point to understand whether the poor have access to the quantity and quality of services that helps them live decent lives and participate in economic opportunities.	Access to quality services that improve outcomes (e.g., live decent lives and participate in economic opportunities).	World Bank (2003)
The Service Delivery Approach (SDA) is a conceptual approach taken at sector level emphasizing the entire life cycle of a service.	Life cycle of service in the case of water supply would consist of both engineering or construction elements and software required to provide some level of access to water.	Lockwood and Smits (2011, 19)
A service delivery model describes the service to be provided under the model, as well as the infrastructure and the management model or institutional arrangements for the service provider to operate and maintain the infrastructure in order to provide the service.	For sustainability of the service, consider all aspects to operate and maintain, including the infrastructure.	http://www.waterservicesthatlast.org/resources/concepts_tools/service_delivery_models
Delivery is defined “at the point of contact between provider and client.”	Focuses attention on what actually occurs at the point of contact and the experience of delivery—process, engagement, interaction—and the	Fiszbein, Ringold, and Rogers (2011, 11); World Bank (2015, 33)

Statement from Source	Implication	Source
	benchmarks for quality of service.	
Features of delivery: (1) problem-solving and context-sensitive; (2) complex systems; (3) multi-disciplinary; (4) knowledge is interactive evolving.	Service delivery is embedded in complex, human-made systems where solutions are not solely technical or logistical.	Kim (2012)
Delivery value-chain.	Individual activities in the delivery cycle contribute to the value, but only in relation to other activities in the cycle. They are interdependent: who performs the activity; skill required; where the activity reaches the beneficiary; what supplies are needed; what information is captured and communicated; how activities link to previous and subsequent activities; and how beneficiaries are engaged.	Kim et al. (2010, 184); World Bank (2015, 20)
To deliver value, vertical or stand-alone projects must be integrated and share delivery infrastructure so that personnel and facilities are used wisely and economies of scale reaped.	In resource-poor settings, value is increased through the shared delivery infrastructure, providing coordination and integration at the facility providing the service.	Kim, Farmer, and Porter (2013); Kim et al. (2010, 185)
...[A]lignment of delivery with local context by incorporating knowledge of both barriers to good outcomes.	Importance of local context with delivery.	Kim, Farmer, and Porter (2013)
Effective care delivery helps break the cycle of poverty and disease. We will not end extreme poverty without sustained investments in health-care delivery.	System needs to be focused on equitable outcomes.	Kim, Farmer, and Porter (2013)
Principles of service delivery: (1) citizen outcomes; (2) multi-dimensional; (3) evidence; (4) leadership of change; and (5) adaptive implementation.	Service delivery is focused on outcomes for citizen well-being and reliant on evidence and learning in the process to allow teams to adjust in response to feedback generated in the delivery process. Interaction and engagement with beneficiaries.	Asis and Woolcock (2015); Kim et al. (2010, 184)
Engagement—a reciprocal relationship (not necessarily constant or equal) operating between two actors, whereby demands for improved service delivery performance are articulated through	Active citizen engagement and accountability needs to be part of service delivery.	Caseley (2006, 537)

APPENDIX A

Statement from Source	Implication	Source
formal, accessible, and transparent accountability mechanisms.		
Transparent and accessible citizen-based accountability mechanism have the potential to contribute to organizational change and sustained improvements in service delivery performance in public sector service providers. It was the interdependent accountability dynamic operating between citizens, senior managers, and front-line workers, which was the key to sustained improvements in the provision of complaints and new connections services.	Top-down demands for improved services was not effective in making changes in front-line providers performance, but it took triangulating between citizens, senior managers, and front-line workers through formal accountability mechanisms.	Caseley (2006)
From the perspective of service delivery, governance can be understood as the set of incentives and accountabilities that affect the way provider organizations, their managers, and staffs behave, as well as the quality and efficiency with which they deliver services.	Accountability mechanisms need to be part of service delivery. They affect how front-line providers and managers behave and how citizens experience quality and efficiency of the service.	Fiszbein, Ringold, and Rogers (2011, 3)

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Appendix D. List of Bank Staff Interviewed

Prior to the preparation of the concept note, semistructured interviews were carried out based on three questions: describe how service delivery is understood in your sector and describe efforts to include service delivery perspective in projects, programs, and strategies; describe any interaction you are aware of between your sector and other sectors; and how useful is it to explore the conceptualization of service delivery framework across diverse sectors.

After the initial framework and analytical tool were developed, semi-structured interviews with a subset of those initially met and were carried out on the following questions: What is your reaction to how we propose to evaluate service delivery? Did we miss anything?

1. Adam Wagstaff, Research Manager, DECHD
2. Cem Dener, Lead Governance Specialist, GGOGS (FMIS, Technology)
3. Dominick Revell de Waal, Senior Economist GWASP
4. Hana Brixi, Program Leader, MNA Strategic Co-operation Department
5. Harry Patrinos, Practice Manager Education, GED02 (EAP)
6. Helene Granvoinet, Lead Social Development Specialist, GovGP
7. Kathy Lindert (Global Lead, SPL Delivery Systems)
8. Leslie Elder, Senior Nutrition Specialist, HNP
9. Maria Gonzales de Asis
10. Maria Gonzales de Asis, Lead Operations Officer, GGHVP
11. Michael Woolcock, Lead Social Development Specialist, DECBI
12. Mike Toman, Research Manager DECEE
13. Paul Prettitore, Senior Public Sector Specialist GG017 (MENA)
14. Verena Maria Fritz, Senior Public Sector Specialist GG025 (FCS)
15. Yasuhiko Matsuda, Senior Public Service Specialist, GSPDR

Appendix E. List of Projects Reviewed

NUTRITION

Bangladesh: National Nutrition		P050751
	Area-based Community Nutrition	
	National-level Nutrition	
China: Poor Rural Communities Development		P071094
	Basic Health (CDD)	
Guatemala: Maternal-Infant Health and Nutrition		P077756
	Strengthening Basic package of health services	
	Extending nutrition services to most vulnerable	
	Supervising nutrition activities	
Maldives: Integrated Human Development		P078523
	Enhancing Support for Nutrition promotion	
Honduras: Nutrition and Social Protection		P082242
	Consolidation and Expansion of Nutrition	
Afghanistan: Strengthening Health Activities for Rural Poor		P112466
	Strengthening Basic Package of Health Services	
Laos: Community Nutrition		P114863
	Stimulating Behavior Change and Mobilize Mutual Support to Improve Nutrition	
	Stimulating Demand for Key Maternal and Child health	
Senegal: Nutrition Enhancement		P070541
	Community-based Nutrition and Growth Promotion	
Senegal: Nutrition Enhancement II		P097181
	Community-based Nutrition	
Senegal: Rapid Response Child-focused Social Cash Transfer and Nutrition Security		P115938
	Community-based Nutrition	
	Social Cash transfers	
Mauritania: Health and Nutrition Support		P094278
	Enhance and Expand Community-based Communications for Improved Nutrition	
Ethiopia: Nutrition		P106228
	Supporting Service Delivery	
	Micronutrient Interventions	

URBAN TRANSPORT

Colombia: Integrated Mass Transit Systems	P082466
Bus Rapid Transit Development	
Argentina: Basic Municipal Services	P060484
Municipal Infrastructure	
China: Guangzhou City Center Transport	P003614
Inner Ring Road	
Traffic mgmt and safety	
Public transport	
Road Maintenance	
Chile: Sustainable Transport and Air Quality for Santiago	P073985
Promotion of Bicycle use	
Congo: Emergency Infrastructure Rehabilitation	P074006
Primary and Secondary infrastructure Rehabilitation	
Railways Rehabilitation	
Jordan: Cultural Heritage Tourism and Urban Development	P081823
Historic City Centers and Urban Infrastructure Improvement	
Brazil: Bahia Poor Urban Areas Integrated Development	P081436
Urban Infrastructure Delivery	
Rwanda: Transport Sector Development	P079414
Paved Road Rehabilitation	
Peru: Lima Urban Transport	P035740
Mobility Improvements	
Bangladesh: Dhaka Urban Transport	P009524
Infrastructure Improvements	

WATER AND SANITATION

Lebanon: Ba'albeck Water and Wastewater	P074042
Improving and Increasing Coverage of Water Supply	
Improving and Increasing Coverage of Wastewater collection	
Philippines: Manila Third Sewerage	P079661
Sewage Management	
Septage Management	
Pakistan: Punjab Municipal Services Improvement	P083929
Support for Municipal Administrations	
Hungary: Municipal Wastewater	P008497
Budapest	
Dunaujvaros	
Ghana: Small Towns Water Supply and Sanitation	P084015
Community Subprojects	
St. Lucia: Disaster Management II	P086469
Physical Prevention and Mitigation Works	
Afghanistan: Urban Water Sector	P087860
Kabul Water Supply	
Brazil: Recife Urban Development	P089013
Integrated Urban Territorial Development	
Sudan: Rural Water Supply and Sanitation	P100835
Community water	

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	Community sanitation	
	Bosnia and Herz: Urban Infrastructure and Service Delivery	P083353
	Investments for Improved Efficiency	
	Philippines: Water Districts Development	P004576
	Sewerage, Sanitation and Drainage	
	Ghana: Second Community Water and Sanitation	P050616
	Community subprojects	

Appendix F. Analytical Protocol

<i>Guidance Questions for each item in the Framework (figure 3.1)</i>	<i>Response</i>
I. BASIC PROJECT INFORMATION	
I. A. Country	Country
I. B. Region	AFR, EAP, ECA, LAC, MNA, SAR
I. C. Country Type	FCS- yes/no MIC- yes/no LIC- yes/no
I. D. Project	Project ID
I. E. Project Approval	Approval Year
I. F. Project Closing	Closing Year
I. G. Financing Institution	IBRD, IDA, IFC
I. H. Sector	UT, WSS, Nutrition
I. I. Services Relevant to SD	Bus, Rail, NMT, Road, Water, Sanitation, Nutrition
I. J. Components Unrelated to SD	explain
I. K. SD Screening Question: Project has nothing to do with SD (If yes, skip remaining questions)	yes
II. ENABLING CONDITION	
II. A. Was Political Economy Analysis included? II. A.1. If included, describe findings in relation to service delivery or the model of service delivery? II.A.2. If yes, for which level?	yes/no explain Central, decentral, or both
II.B. Was Leadership Development included? II. B.1. If included, describe how it is related to service delivery or the model of service delivery? II.B.2. If yes, for which level?	yes/no explain Central, decentral, or both
II. C. Was Policy Development included? II.C.1. If yes, describe its relation to service delivery or the model of service delivery? II.C.2. If yes, for which level?	yes/no explain Central, decentral, or both
II. D. Was Capacity Development included? II.D.1. If yes, describe its relation to service delivery or the model of service delivery? II.D.2. If yes, for which level?	yes/no explain Central, decentral, or both
II.E. Was Budgeting included? II.E.1. If yes, describe its relation to service delivery or the model of service delivery? II.E.2. If yes, for which level?	yes/no explain Central, decentral, or both
II.F. Was Regulatory and Legal Development included? II.F.1. If yes, describe its relation to service delivery or the model of service delivery? II.F.2. If yes, for which level?	yes/no explain Central, decentral, or both

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<p>II.G. Was Data systems included? II.G.1. If yes, describe its relation to service delivery or the model of service delivery? II.G.2. If yes, for which level?</p>	<p>yes/no explain Central, decentral, or both</p>
<p>II.H. Was Supply chain (i.e., production of goods and materials to be used in service delivery) included? II.H.1. If yes, describe its relation to service delivery or the model of service delivery? II.H.2. If yes, for which level?</p>	<p>yes/no explain Central, decentral, or both</p>
<p>II.I. Was Public Financial Management included? II.I. 1. If yes, describe its relation to service delivery or the model of service delivery? II.I .2. If yes, for which level?</p>	<p>yes/no explain Central, decentral, or both</p>
<p>II.J. Was country procurement system chain included? II.J.1. If yes, describe its relation to service delivery or the model of service delivery? II.J. 2. If yes, for which level?</p>	<p>yes/no explain Central, decentral, or both</p>
<p>II.K. Was any other enabling condition included? If yes, specify. II.K.1. If yes, describe its relation to service delivery or the model of service delivery? II.K.2. If yes, for which level?</p>	<p>yes/no explain Central, decentral, or both</p>
<p>II.I. Did the PAD describe contextual conditions that impinge directly on service delivery (such as inadvertent gender differences between service providers and service beneficiaries)? II.I.i. If yes, did design, planning, or implementation explicitly take account? II.I.1a. How?</p>	<p>yes/no yes/no If yes, explain</p>
<p>III. SERVICE DELIVERY INPUTS:</p>	
<p>III.A. Did PAD describe Funding for capital, operation, and maintenance?</p>	<p>capital- yes/no operation- yes/no maintenance- yes/no</p>
<p>III.B. Did PAD discuss Service Providers and Managers? How? III.B.1. Was training provided for Service providers and managers III.B.2. If yes, what was focus of training</p>	<p>yes/no explain yes/no explain</p>
<p>III.C Was Technology included?</p>	<p>yes/no</p>
<p>III.D Was design of service delivery supported?</p>	<p>yes/no</p>
<p>III.D.1 Identification of beneficiaries- were citizen beneficiaries specified. III.D.1.a. What was the basis for determining beneficiaries. III.D.1.b. Are beneficiaries discussed by groups? III.D.1.c. Which groups of beneficiaries are described? III.D.1.d. Did the appraisal document describe barriers to the service for beneficiaries? III.D.1.e. Which barriers were reported? III.D.1.f. Did planning take barriers into account? If so, how?</p>	<p>yes/no project beneficiaries, sector beneficiaries, geographic area, unclear how defined, specify other Yes/No (income, gender, minority or marginalized group, age, specify other yes/no Affordability, accessibility, knowledge,</p>

	gender, culture, other yes/no explain
<p>III.D.2. Was there an analysis of needs? III.D.2.a. Was the analysis conducted in relation to service provider or manager needs or capacity? Describe what was identified. III.D.2.b. Was the analysis conducted in relation to citizen beneficiaries needs or expectations? Describe what was identified. III.D.2.c. Was the analysis done for particular groups of beneficiaries? Which ones? III.D.2.d. Was there analysis of the existing SD model and its suitability?</p>	<p>yes/no yes/no explain yes/no explain Yes no- which group (high income quintiles, low income quintile, gender, minority or marginalized group, age, specify other) yes/no</p>
III.D.3. Was there end to end implementation planning?	yes/no
III.D.4. Were service standards established?	yes/no
III.D.5. Was there provision for operation and maintenance?	yes/no
<p>III. D.6. Was a service monitoring and improvement system developed? III.D.6.a. Who monitors services</p>	<p>yes/no central government, decentral government, beneficiary, community, third-party, front -ine provider, manager, other (specify)</p>
IV. SD IMPLEMENTATION	
<p>IV.A. Which model was selected? IV.A.1. Were beneficiaries voice collected in relation to selection of SD model? (skip to selected model)</p>	<p>Central gov provision, central gov with contracting, decentral gov provision, decentral gov contracting, hybrid between central and decentral provision, hybrid between central and decentral finance with contracting, Private sector, PPP, citizen directed, other innovative</p>

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	yes, no, no information provided
IV.B. Central government provision, why was this model selected?	explain or no information provided
IV.C. Central govt finance with contracting, why was this model selected IV.C.1 Contract with whom? IV.C.2 Type of contract? IV.C.3 What are government roles?	explain or no information provided NGO, Community, Private, Other- specify Performance, results, input-based, other Select role(s)- Finance, regulate, monitor, operate, maintain, other
IV.D. Decentralized govt provision, why was this model selected?	explain or no information provided
IV.E. Decentralized govt financing with contracting, why was this model selected? IV.E.1. Contract with whom IV.E.2. Type of contract? IV.E.3. What are government roles?	explain or no information provided NGO, Community, Private, Other- specify Performance, results, input-based, other
IV.F. Hybrid between central and decentral govt finance with contracting, why was this model selected IV.F.1 Contract with whom? IV.F.2 Type of contract? IV.F. 3. What are government roles at each level?	explain or no information provided NGO, Community, Private, Other- specify Performance, results, input-based, other Select role(s) for central- Finance, regulate, monitor, operate, maintain, other Select role(s) for decentral- Finance, regulate, monitor, operate, maintain, other
IV.G. Hybrid between Central and decentral govt provision, why was this model selected? IV. G1. What are government roles at each level?	explain or no information provided Select Central role(s)- Finance, regulate, monitor, operate, maintain, other Select Decentral role(s)- Finance, regulate,

	monitor, operate, maintain, other
IV.H. Private sector provision, why was this model selected? IV.H1. Which type of operating license for the service?	describe or no information provided Type(operating license from government; provisional operating license from government, subject to meeting conditions for full license, without license because absence of government regulatory body; or unlicensed
IV.I. Public-private partnerships, why was this model selected? IV.I.1. What is contract type? IV.I.2. What are roles between private and government for design, build, operate, and maintain (if new)? If existing (operate and maintain) IV.I.3. Are there rules in how the government selects and manages the PPP?	describe franchise, affermage, lease, Performance, results, input-based, other build, design, operate, maintain- specify which for government and private yes/no
IV.J. Citizen-directed provision, why was this model selected? IV.J1. Did citizen design services such as CDD? IV.J.2. Did citizen influence market such as voucher? If yes, explain	describe yes/no yes/no explain
IV. K. Other innovative provision- (specify), why was this model selected?	yes/no If yes, describe model. no information provided or explain
IV. L. Is there cost recovery or subsidy mechanism? If yes, describe	yes, no, describe
IV. M. Is there a feedback loop? IV.M.1. Was feedback used to adapt implementation If yes, explain.	yes/no yes/no If yes, explain
V. SERVICE OUTPUTS	
V. A. Were outputs tracked in relation to service provider performance? If yes, specify	yes/no If yes, specify outputs

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V. B. Is there an accountability mechanism? V.B.1. Which mechanism? V. B.2. Which group is involved? V. B.3. How does this mechanism hold service managers and providers accountable?	yes, no Report cards, complaint, Ombudsman, open data/information other (specify) (policy maker, manager, front-line provider, citizen beneficiary explain
V. C. Was there a mechanism to control service quality?	yes/no
V.D . Are other service outputs tracked?	yes/no If yes, specify
VI. SERVICE OUTCOME	
VI. A. Which service outcomes were tracked?	coverage- yes/no quality Yes/no reliability yes/no affordability Yes/no satisfaction yes/no sustainability yes/no
VI.B. Did the project collect disaggregated data? How are data disaggregated?	yes/no If yes, income, gender, marginalized group, geographical area
Are beneficiary outcomes tracked? Which ones?	yes/no If yes, specify
Are trend data tracked?	yes/no
VII. LESSON LEARNED ABOUT SERVICE DELIVERY MODEL	
VII. A. Is the SD model achieving the expected results?	yes/no explain.
VII. B. Is the SD model meeting citizens' expectations?	yes/no/no information
VII.C. Did enabling conditions or inputs impact implementation of SD model? If yes, how?	yes/no/no information If yes, explain
VII.D. Are lessons evident from SD model as implemented? If yes, summarize.	yes/no. If so, explain
VII.E. Are changes to the SD model being considered?	yes/no/no information. If yes, explain

Note: AFR = Africa; EAP = East Asia and Pacific; ECA = Europe and Central Asia; LAC = Latin America and the Caribbean; MNA = Middle East and North Africa; SAR = South Asia.

Appendix G. Early Version of Analytical Protocol

	Country
	Project
	Service Delivery Component
	Project Approval Date
	Project Closing Date
I. SERVICE DEFINITION (SECTOR-WIDE LEVEL)	
A. Sector/ Sub-sector	
Nutrition	(subsector)
UT	(subsector)
WSS	(subsector)
B. Services being delivered	
(List services)	
C. Level of Support	
Direct	
	To beneficiaries (individual users or communities)
	To front-line providers
Indirect	
	To managers
	Of which, non-state managers (NGOs, private sector)
	Of which, state managers (central govt, decentralized govt, semi-autonomous public entity)
D. Service Delivery Arrangement	
Central govt	
	Central govt financing with contracting
	Central govt provision
	Of which, capital/investment costs (infrastructure)
	Of which, operational costs
Local govt	
	Local govt financing with contracting
	Local govt provision
	Of which, capital/investment costs (infrastructure)
	Of which, operational costs
Clients	
	Client power - contracts
	Client power - self monitoring providers
	Client power - community control, vouchers
	Client power - imitate market
F. Service Area	
National	

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Regional
Municipal
Municipal region
Community/ neighborhood
Other
Point of Use
Facility
Of which, networked to other facilities
Via technology or mobile
Local system
Of which, roads
Of which, water supply
Of which, sanitation
Other
D. Service Fee (paid by)
Government
Users
Other
E. Service Fee (financing mechanism)
Cost recovery (full or partial)
Tariffs (e.g., integrated tariff systems, polluter pays)
Subsidy
User fees
Concession
Carbon bonds
Mobility fund
Other
No cost recovery mechanism
Govt funded (inc Bank through project lending)
Donor funded (not inc Bank loan, but other development partners)
K. Service Reaching Poor Users
Intended to reach the poor
How are "poor" defined?
II. PROJECT DESIGN & IMPLEMENTATION
A. Prior analytic work
Assessment of users
User needs (inc lack of knowledge)
User demand/ voice
Assessment of providers/managers
Implementation capacity
Assessment of state
Institutional capacity

Identification of barriers to service delivery (source: PAD section 2, Annex on sector background or social assessment)	
	Heterogeneity of users (current and expected travel patterns, moving from individualized motor transport)
	Accessibility (point of use, all users including disabled)
	Affordability (defining poor, how much to subsidize, comparing alternatives, assess willingness to pay)
	Efficiency
	Gender equality
	Safety
	Environmental implications
	Other
B. Service Delivery Arrangements	
Implementation Model	
Central government	
	PMU
	Mainstreamed into Ministry
Decentralized government	
Frontline professionals	
Private organization	
Community	
Public/private partnerships	
Other	
Characteristics of Access to Service Facilities	
Densely populated group of users	
Walking distance	
Geographic barriers	
Other	
C. Key Design Features (and comments on whether it was implemented as planned)	
User targeting mechanism	
Formal mechanism to identify beneficiaries	
	Of which, mechanism to reach the poor
Activities to generate demand among users	
Support for Quality of services	
Providers' training/certification standards	
User education/training/orientation in using service	
State-of-the-art technology	
Technical standards	
Other	
Innovations in service delivery (e.g., technology)	
Accountability	
<i>State</i>	
Measures to increase accountability of state	
<i>Providers</i>	
Measures to increase accountability of providers to the state	

APPENDIX G

Measures to increase accountability of providers to beneficiaries	
<i>Citizens</i>	
Measures to increase participation	
	Participatory design (tailor services to demand)
	Participatory implementation/ mgmt
	Participatory monitoring/feedback
	Of which, includes incentives for citizens to monitor
Measures to increase voice	
Monitoring and Evaluation	
Source of monitoring	
	Government
	Project implementation unit
	Third party
	Frontline professionals
	Community
	User
	Other
Evaluation mechanism	
	Regular monitoring (e.g., MIS)
	Learning cycle (learning/providing feedback/adjusting delivery model)
	Surveys
	Planned impact evaluation
	Other
Monitoring characteristics	
	Easy to monitor
	Done in real time
	Assessing fidelity
	Includes plan for dissemination/sharing
	Other
III. PROJECT PERFORMANCE/OUTCOMES	
A. Outputs	
	Facilities
	Supplies
	Personnel
	Other
B. Service Delivery Outcomes	
Among the project population	
	Total # direct beneficiaries
	Access/ Coverage
	Quality
	Efficiency
	Affordability
	Other
Outcomes among the poor (if any)	

Contextual factors that impacted service delivery (source: ICR section 2)	
External (beyond providers' control)	
	Political commitment at high level of govt
	Political transitions due to elections/coups
	Adequate budgetary support
	Supportive policy/regulatory environment
	Bureaucratic environment
	Functioning decentralization
	Overall economic growth
	Other
Internal	
	Institutional capacity (govt)
	Institutional capacity (direct service provider)
	Partnerships
	Multisectoral coordination
	Management/supervision arrangements
	Learning cycle
	Other
C. Institutional impact (including accountability)	
Positive impacts	
Negative impacts	
D. Monitoring and evaluation (source: ICR)	
	Design (e.g., choice of indicators)
	Implementation (e.g., quality of data, quality of monitoring arrangements, conducting of evaluations)
	Utilization (e.g use of data, dissemination of results)
E. Sustainability (scale and financial sustainability)	
Pilot activity	
Special project with external support	
	With mostly external support and limited host country support
	With heavy host country support
Routinized government activity	
	Of which, at full scale
	Of which, not at full scale

Appendix H. Glossary of Terms to Assist Users of the Analytical Protocol

Accountability: A reciprocal relationship operating between two actors whereby demand for and supply of services are articulated and satisfied (Caseley 2006, 537; World Bank 2003, 48). Accountability can involve several interdependent pairs of actors, linking users of services, policy makers, and service providers (OECD 2008).

Accountability mechanism: The agreement setting out the terms and expectations (both supply and demand) for service delivery (Caseley 2006). Between service provider and service user, the agreement might take the form of a formal contract, or it might be a less formal compact such as an understanding that the service being delivered is a public good. Between policy maker and service provider, the agreement might take the form of a service level agreement.

Adaptive implementation: A structured approach to learning from experience in implementing service delivery and making adaptations and “mid-course corrections” (Asis and Woolcock 2015).

Beneficiaries: Those persons who benefit from services delivered through improvement to their well being, and those persons who have the right to benefit also but who are excluded by factors such as geographical location, marginalization of population group, disability, gender, or other dimensions affecting their access to services (Asis and Woolcock 2015).

Feedback loop: A structure for obtaining and using data to inform ongoing service delivery on a continuous basis (Asis and Woolcock 2015).

Front-line service provider: The person providing the service at the point of contact with the service user or beneficiary. The provider also describes the public, private, nonprofit, and private-for-profit entities that provide the services.

Service manager: The person or agency with responsibility for managing the delivery of the service. This responsibility may include all aspects such as quality assurance, supply, and accessibility of the service, or may be limited to a specific aspect of the service being delivered.

Service monitoring: A process used to measure both supply- and demand-side results of service delivery performance (Brinkerhoff and Wetterburg. 2013). The process involves policy makers, providers, and beneficiaries.

Service quality: An output of the performance of service delivery that has been measured against standards established for clarifying expectations for the service being delivered (Brinkerhoff and Wetterburg. 2013).

Supply chain: An interlocking system that includes all the organizations and processes involved in each stage of getting services to people. The processes include both the supply processes involved, such as planning, sourcing, making, and supplying; and the demand

processes, such as obtaining feedback for services. Service delivery is one stage in the supply chain (World Bank 2012).

Sustainability: The endurance of the systems and processes involved in service delivery. This includes the systems and processes for managing the resources available now and for generations to come, adapting to emerging needs, ensuring social inclusion, and adopting fiscally responsible policies (World Bank 2015).

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