United Nations Population Fund (UNFPA)

Strategic Planning and Coordination Division (SPCD)
Office for Results-Based Management (ORM)

Results-Based Management
Orientation Guide

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INTRODUCTION

The Fund has been moving towards Results-Based Management (RBM) since 1997. Policy and programme changes have been, and continue to be introduced to improve the quality, and increase the impact of all UNFPA programmes and operations.

The following excerpt from the RBM policy statement explains UNFPA's approach:[1]

> "Results-based management is fundamental to the Fund's approach and practice in fulfilling its mandate and effectively providing assistance to developing countries. UNFPA will systematically focus on results to ensure that its financial and human resources are strategically deployed to achieve the greatest impact . . . . UNFPA will report on its results in order to inform partners and member states of its development achievements."…
>
> "RBM . . . will contribute to enhancing a culture of accountability, learning and achieving results."

Through presentations, examples and practical exercises, this orientation guide will provide readers with an opportunity to:

- have a common understanding of RBM concepts and principles;
- share a common RBM vocabulary, and;
- be able to begin to apply the RBM approach in their work in order to contribute to achieving UNFPA's organizational results.

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[1] UNFPA/CM/00/108, dated 14 December 2000 - UNFPA Policy on Results-Based Management

SECTION 1: RBM BASICS - EVERYTHING YOU NEED TO KNOW TO GET STARTED

1.1 WHAT IS RESULTS-BASED MANAGEMENT?

Results-Based Management (RBM) is a participatory and team-based approach to management designed to improve programme and management effectiveness, efficiency and accountability, that focuses on achieving defined results.

Many of us are used to a management approach that focuses on inputs and processes. RBM requires a slightly different approach – it asks us to focus on:

- Analyzing the problems to be addressed and determining their causes and effects;

- Identifying measurable or describable changes (results) to be achieved, based on appropriate problem analyses;

- Designing strategies and activities that will lead to these changes (results);

- Balancing expected results with the resources available;

- Monitoring progress regularly and adjusting the activities as needed to ensure that the desired results are achieved;

- Evaluating, documenting and incorporating lessons learned into decision making and into the next planning phase;

- Reporting on the results achieved and their contribution to reaching UNFPA's organizational goals.

Results-based management, therefore, is ***an approach*** that integrates the management of strategies, resources, activities and information about performance, with a view to improving effectiveness, efficiency and accountability, and achieving results. RBM can be applied in planning, monitoring, evaluating and reporting on any type of programme or management initiative.

1.2 WHY IS RESULTS-BASED MANAGEMENT NECESSARY?

Like many other public sector organizations around the world, UNFPA is now in the process of adopting a results-based management approach to all aspects of its work. Governments in Canada, the Netherlands, United Kingdom, and the United States, as well as multilateral agencies, such as UNDP, UNICEF and the World Bank, have recognized the importance of RBM as a way to:

- demonstrate more clearly the results they are achieving, and

- ensure that resources are used in the most effective and efficient ways to achieve these results.

A shift towards results-based programming and management is particularly important for development agencies. They need to improve their performance, management and accountability in order to increase the confidence of donors and other partners, and reverse the past decline in development assistance.

RBM at UNFPA

1. At UNFPA, RBM should be:
- Inclusive of all programme and management efforts
- Based on partnership and teamwork
- Responsive to the needs of the organization, its staff and its partners

2. RBM should also:
- Build and improve on what is in place
- Enhance the capacities of those involved
- Improve communications
- Enhance accountability
- Encourage learning

1.3 WHERE CAN RESULTS-BASED MANAGEMENT BE APPLIED?

The RBM approach can be applied in all UNFPA organizational units and programmes.

All organizational units are expected to define results for their own work, which will also contribute towards achieving the overall results defined for the organization. Organizational units contribute to different aspects using the annual office work plan - also referred to as the office management plan - as a management tool. The most common areas where units will be expected to define and manage for results are:

- Programme management

- Financial resource management

- Information management

- Human resources management

- Organizational management

- Partnerships

Those units involved in the design and management of programmes use the logical framework (logframe) as a results-oriented tool in addition to the office management plan.

1.4   WHAT IS A RESULT?

A result is a describable or measurable change in state that is derived from a cause and effect relationship. This means that a result is a change that can be observed, described and measured in some way, and for which the cause can be identified.

Two important things to remember:

RESULT = CHANGE

CAUSE $\rightarrow$ EFFECT

Results should be defined on the basis of problem analyses. Problem analysis is the cornerstone for good planning and forms the basis for designing interventions that lead to results. Problem analysis establishes cause and effect relations between negative aspects of an existing situation. These cause-effect relations when analyzed are usually presented in a logical and hierarchal manner (i.e. showing effects of the central problem(s) on top and the causes below) commonly known as a problem tree. It is critical that the changes that are to be brought about in the results are clearly linked to the problems that are to be addressed.

Results may:

- appear within a short time or take years to be fully realized;
- be planned or unforeseen;
- be either positive or negative;
- be reflected at the level of individuals, groups, institutions or society.

A statement of results should illustrate the type of change that may be expected to occur because of a specific intervention. It should be: (1) as specific as possible; (2) realistic in relation to the time and resources available; and (3) describable or measurable in some way.

Illustration 1

Levels of Results

Demonstrates that Goals, Purposes and Outputs (as defined in the logical framework matrix) are levels of results.

RBM   **Logical Framework**

RBM		Logical Framework
Result	◄ · · · · · · · · · · · · · · ►	Goal
Result	◄ · · · · · · · · · · · · · · ►	Purpose
Result	◄ · · · · · · · · · · · · · · ►	Output
Activities		Activities
Inputs		Inputs
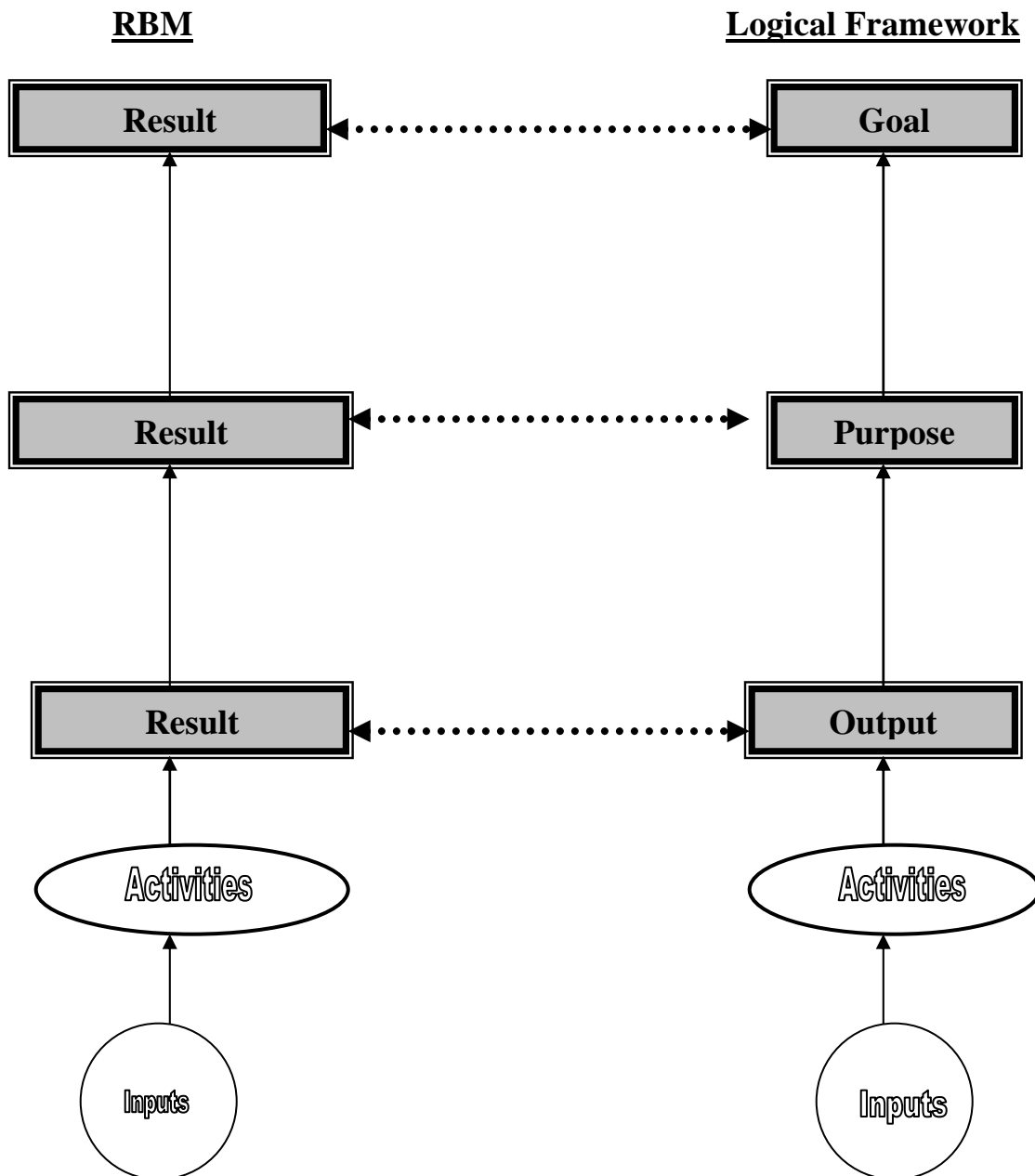
1.5 WHAT IS THE RELATIONSHIP BETWEEN INPUTS, ACTIVITIES AND RESULTS?

Inputs: The resources - which may be financial, human, technical, material, and time - required to undertake activities. These resources are provided by the stakeholders who may be donors, programme participants, communities, or other groups.

Activities: Actions taken, through which inputs (financial, human, technical, material and time resources) are mobilized to produce specific outputs.

Results: Goals, Purposes and Outputs are different levels of results.

- ➢ **Goal:** Defined as a basic condition of well being for individuals, families and communities. It reflects the long-term results expected from a programme. It is the highest level of result to which UNFPA contributes, together with the efforts of other partners.

- ➢ **Purpose:** A result between output and goal in the hierarchy of aims in the logframe matrix. It reflects the short- to medium-term results, which can reasonably be expected, provided planned outputs are delivered, the assumptions remain valid and the risks have not materialized.

  Purposes refer to the describable or measurable changes that occur in behaviour, attitudes, commitment, or socio-cultural values of groups, as well as legal, institutional and societal practices, as a consequence of achieving the expected outputs. UNFPA, together with several partners, contributes to the attainment of purposes. For example:

  - Increased use of RH services by women and men;

  - More effective utilization of resources;

  - Staff perform their functions more effectively.

- ➢ **Outputs:** are the time-bound and describable or measurable changes that are produced by programme or management activities. The term "deliverables" is also used for outputs. UNFPA is willing to be held accountable for the outputs it produces through all its programme and management activities.

Some Examples of Results Statements

Programme Results

- Improved quality of counseling services available to adolescents and young adults with respect to reproductive health.

Programme Management

- Increased participation of stakeholders in programme monitoring;

- Increased utilization of standardized monitoring and evaluation plans based on logframes.

Financial Resource Management

- Increased use of financial management tools for planning, monitoring and reporting;

- Improved allocation of resources in accordance with results to be achieved.

Information Management

- Increased availability of programme and financial data;

- Enhanced sharing of knowledge and use of information technology in decision-making.

Human Resources Management

- Enhanced staff knowledge of programming areas, RBM and resource mobilization;

- Increased capacity of local staff to use various RBM tools.

Illustration 2

Relationship between Inputs, Activities and Results
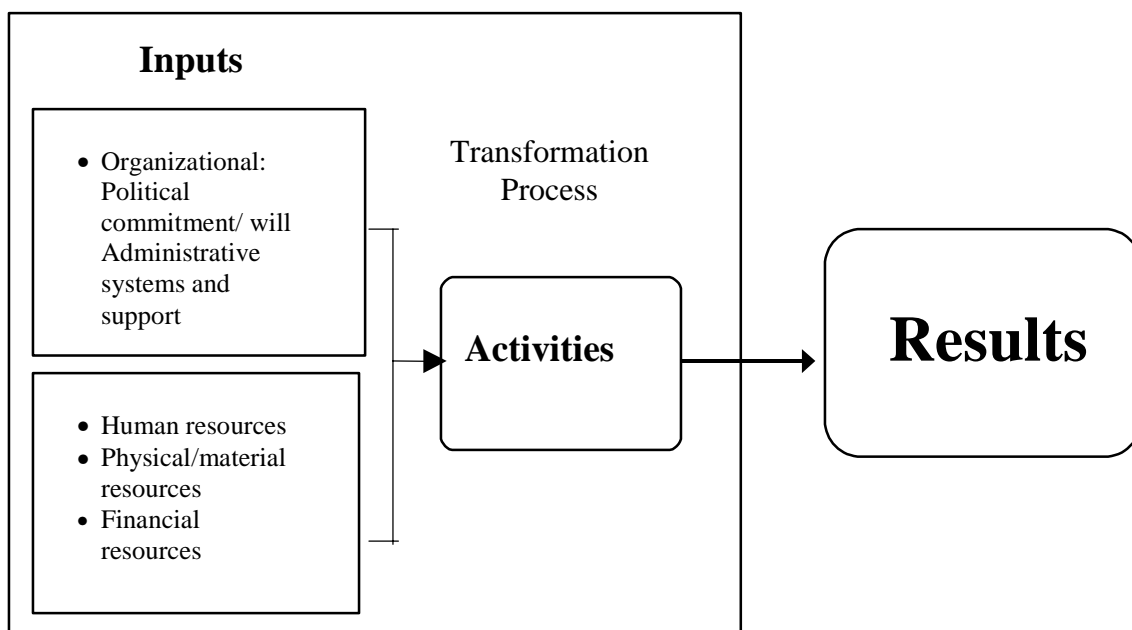
1.6   WHAT IS A RESULTS CHAIN?

The Results Chain shows the logical links between activities and the results that may be expected to occur over a period of time, based on a theory of change that assumptions are valid and risks do not materialize. This cause and effect relationship is a central element of Results-Based Management.

The Results Chain is linked with the hierarchy of problems (i.e., a problem tree) and is developed from there. Illustration 3 demonstrates the cause and effect relationship between activities and results. As can be seen in the illustration, the results chain is similar to the vertical logic of the logical framework matrix.

Illustration 3
The Results Chain
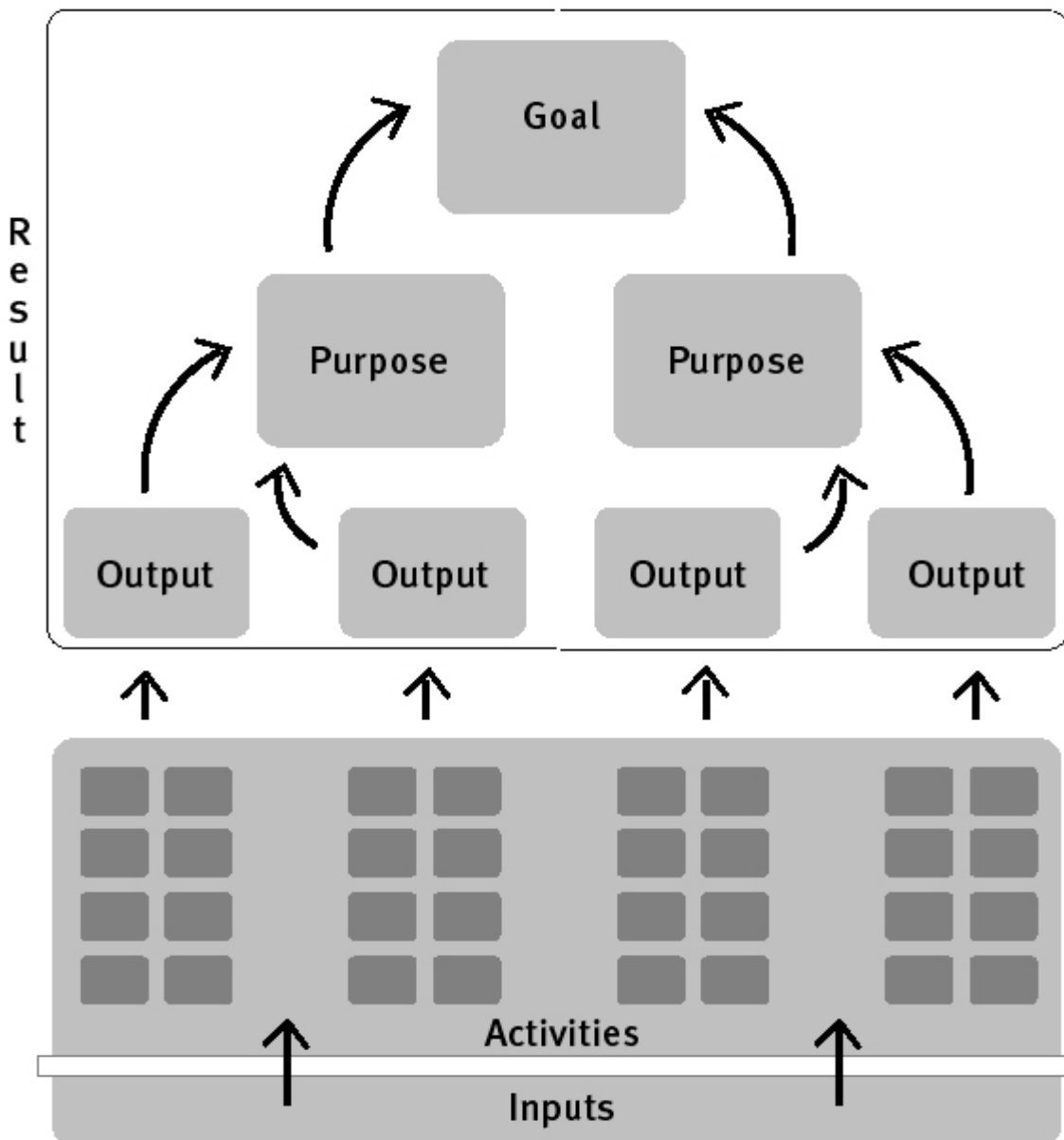
Illustration 4
Reproductive Health (RH) Results Chain*

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                        ┌─────────────────────────┐
                        │          Goal           │              Then
                        │  All individuals and couples │ ◄──────────────────┐
                        │  in target areas enjoy good  │                    │
                        │   reproductive health        │                    │
                        └─────────────────────────┘                    │
                        ┌─────────────────────────┐                    │
                        │        Purpose          │      If            │
                        │  Increased use of RH services │ ◄──────────────┐  │
                        │  by all individuals in target │                │  │
                        │        areas            │      Then           │  │
                        └─────────────────────────┘                    │  │
                                                           If           │  │
   ┌───────────────────┐   ┌───────────────────┐         Then         │
   │      Output        │   │     Output         │ ◄──────────────┐     │
   │ Comprehensive RH services │ │ Client-oriented RH services are │    │
   │ available for all individuals │ │      available      │        If  │
   │   in target areas   │   │                    │                     │
   └───────────────────┘   └───────────────────┘                     │
```

Activity	**Activity**	**Activity**	**Activity**
Equipment of health facilities	Training of staff	Establishment of procurement system	Establishment of service norms and procedures

Then

Input	**Input**	**Input**
Funds for equipment of facilities	Technical assistance	Trainers' support

If

* This results chain is meant to be illustrative and shows only part of a bigger picture of interventions and results in the RH area of a programme.

Illustration 5

Financial Management Results Chain *
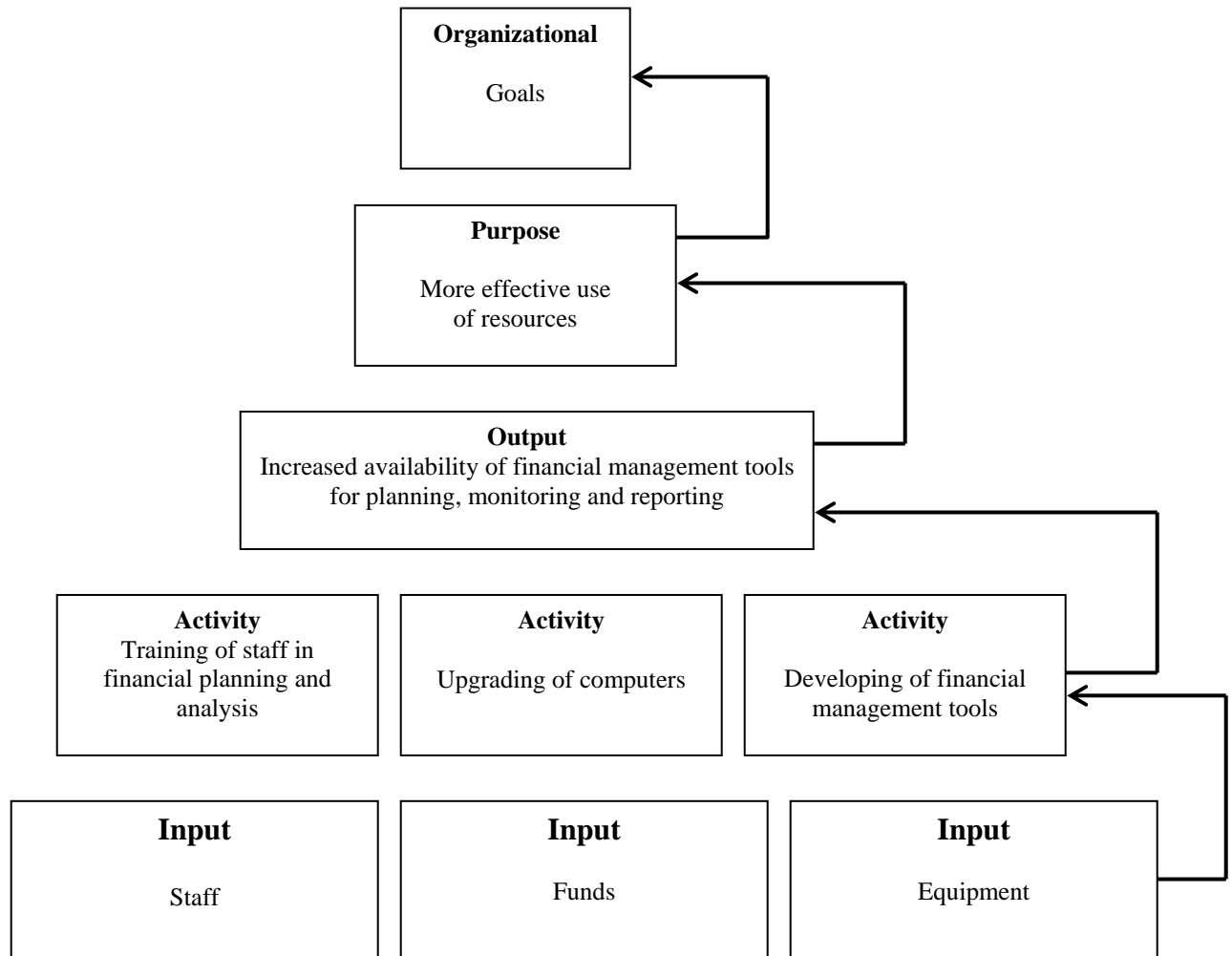
Organizational

Goals

Purpose

More effective use
of resources

Output
Increased availability of financial management tools
for planning, monitoring and reporting

Activity	**Activity**	**Activity**
Training of staff in financial planning and analysis	Upgrading of computers	Developing of financial management tools

Input	**Input**	**Input**
Staff	Funds	Equipment

* This results chain is meant to be illustrative and shows only part of a bigger picture of interventions and results in the area of financial management.

1.7   HOW ARE RESULTS MEASURED?

Indicators, defined at the planning stage, are the means used to describe or measure change and assess progress towards results. Indicators also provide evidence to demonstrate the extent to which results have been achieved by the end of a programme or specific time period. Indicators may be quantitative and/or qualitative. The are referred to as Objectively Verifiable Indicators (OVIs) in the logframe.

> ➢ **Quantitative** indicators are statistical measures:

- • Number of

- • Frequency of

- • Percentage (%) of

- • Amount of

> ➢ **Qualitative** indicators are interpretative judgments:

- • Capacity of

- • Extent of

- • Degree of

- • Level of

Some examples:

Quantitative indicators	Qualitative indicators
Number of government officials who have attended learning programmes addressing gender issues.	Extent to which men respond favourably to women's participation in a community committee.
Number of information materials on gender issues targeted specifically to men.	Level of satisfaction of the beneficiaries with the RH services offered.
Percentage of organizational units that have established results-based workplans.	Degree of staff participation in developing results-based workplans.
Number of jobs filled through competitive recruitment based on competencies.	Level of staff satisfaction with learning opportunities available.

Often, qualitative indicators may be quantified. For example, we may quantify the number of people very satisfied, moderately satisfied or unsatisfied, with the service provided. However, the level of satisfaction remains a qualitative indicator.

Data for indicators must be reliable and consistent over time, sensitive to progress toward results, feasible and affordable to collect and analyze, and useful for decision making. Once the indicators are selected, a baseline must be established. The lack of baseline data for the indicators will make it difficult to demonstrate progress in achieving results

1.8   HOW ARE RESULTS VERIFIED?

Means of Verification (MOV) refers to:

- data sources - the individuals or organizations that will provide the information you need; and

- the data collection methods you will use to gather the necessary information.

Data collection methods include: self-assessment questionnaires, individual and group interviews, surveys, focus groups, before and after pictures (for a construction project), field visits, observation by an outside observer. It is important to ensure that resources and skills are available to use these data collection methods.

1.9   WHO ARE UNFPA'S STAKEHOLDERS?

The concept of stakeholders is important for Results-based Management because it introduces the issues of accountability and shared responsibility. Stakeholder participation constitutes a key element in improving the relevance of objectives, activities and performance measurement strategies. Active participation tends to increase the commitment of interested groups and individuals towards making a programme or process as successful as possible. Stakeholders are all the individuals or groups that have an interest in an activity, programme or institution.

Stakeholders for a country programme are UNFPA's partner organizations, including national governments, NGOs, civil society, donors, as well as target groups and programme beneficiaries. They include the community whose situation the programme seeks to change; project field staff who implement activities; project and programme managers who oversee implementation; donors and other decision-makers who influence decisions/decide the course of action related to the programme; and supporters, critics and other persons who influence the programme environment.

Stakeholders can also be identified for various aspects of organizational and office management. They include UNFPA staff, partners, donors, etc.

For example:

- Staff recruitment: Programme managers and officers have an interest in the development of job descriptions, selection criteria, and selection of candidates.

- Staff training: The Training Branch requires cooperation and participation from other units to ensure that its programmes meet the needs of UNFPA staff.

- Public Information: The Media Services Branch is responsible for disseminating information on UNFPA's programme. It is essential for it to cooperate with those who design and implement the programmes, in order to provide an accurate picture of what is happening in the field.

- Resource development: Donors to UNFPA's programmes have an interest in the organization's effectiveness in achieving results. They also have a role to play in defining expectations and making decisions regarding their contributions.

1.10   WHAT DOES THE TERM "REACH" REFER TO?

The term "reach" is used by some institutions to refer to all the people or groups who will benefit from, or be involved - either directly or indirectly - in the project/programme process; in short, all the stakeholders taken together. Reach may also include the geographic scope for a country programme (e.g., national, regional, two provinces, etc.). UNFPA often uses the term "coverage" when identifying the reach of its country programmes or management initiative.

At Headquarters, the reach of a unit's work (e.g. training) may include specific staff groups, branches or divisions.

1.11   WHAT ARE ASSUMPTIONS?

Assumptions refer to the conditions that are necessary to ensure that:

- planned activities will produce the expected results; and

- the logical, cause-effect relationship between different results will occur as expected.

Achieving results depends on whether or not the assumptions you make prove to be true. Incorrect assumptions at any stage of the results chain can become an obstacle to achieving the expected results. Illustration 6 demonstrates how assumptions must be considered at all levels of planning.

Examples of assumptions for the results chain in Illustration 4 include:
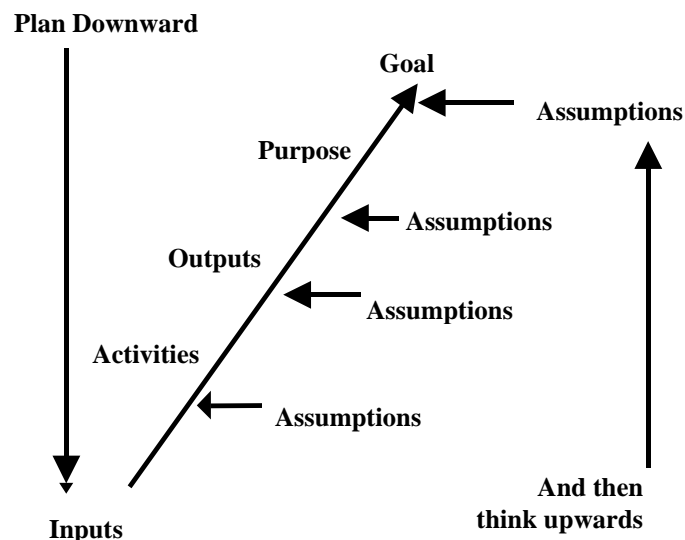
- Availability and commitment of health staff in designated countries; and

- Cultural acceptance of RH issues at national and community levels.

Examples of assumptions for the results chain shown in Illustration 5 include:

- Time and resources available for staff training; and

- Leadership commitment to the implementation of RBM within all divisions.

Illustration 6

How assumptions must be considered at all levels of planning

Plan Downward

Goal

Assumptions

Purpose

Assumptions

Outputs

Assumptions

Activities

Assumptions

Inputs

**And then
think upwards**

1.12   WHAT IS RISK ANALYSIS?

Risks are factors that may adversely affect delivery of inputs, completion of activities, and achievement of results. Risk analysis identifies how likely it is that the conditions necessary to achieve the expected results will not be present. Risk analysis allows you to consider strategies to manage the risks you identify. Some external factors may be beyond your control, but other factors will be manageable with slight adjustments in the project or approach. It is recommended that stakeholders take part in the risk analysis as they offer different perspectives and may have key information about the context.

The risks associated with achieving outputs are generally low because managers can make changes as needed to ensure that results are achieved.

1.13   WHAT IS PERFORMANCE MONITORING AND EVALUATION?

- A continuous process aimed at tracking actual performance against expected results;

- An information management process that helps the organization to learn from its experience, identify strengths and shortcomings and recommend corrective measures; and

- A process that generates information that is necessary for timely decision-making.
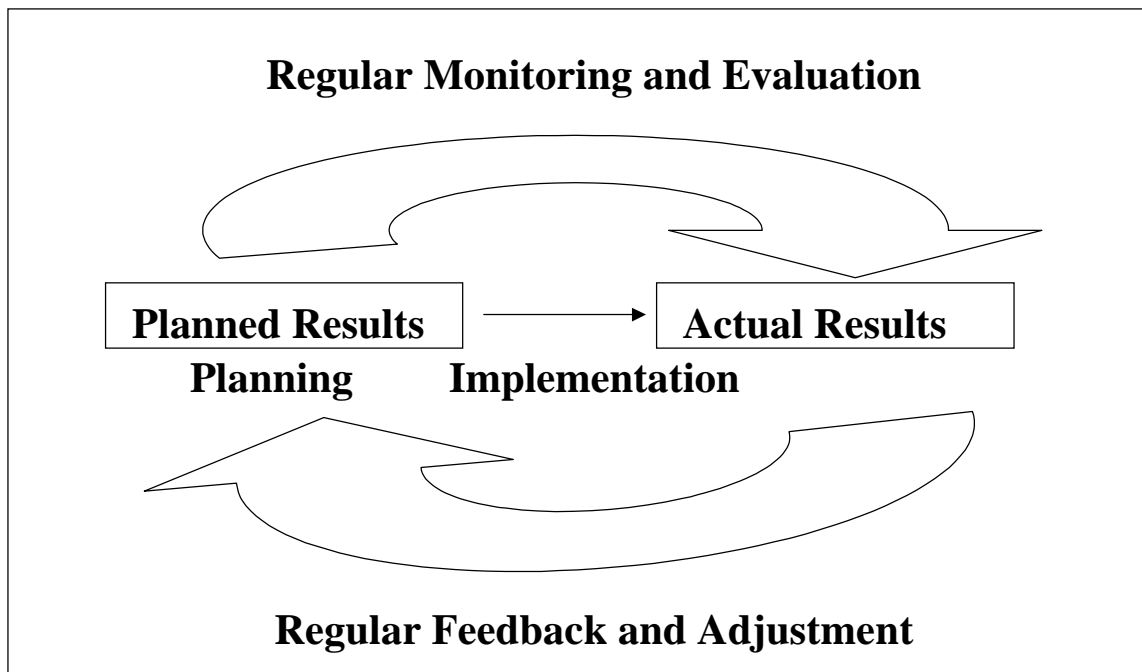
Performance monitoring is a continuous process of assessment based on participation, feedback, data collection, analysis of actual performance (using indicators) and regular reporting. Monitoring provides the information required to assess whether progress is being made towards achieving results. Monitoring provides the opportunity to: (1) review the assumptions made during planning to be sure they still hold true; and (2) to decide whether the original strategies are still appropriate. Ideally, those who are involved in the programme or process or maagement initiative (participants, partners) will also be involved in assessing results and providing suggestions for improvements.

Evaluation is a time-bound exercise that attempts to assess systematically and objectively the relevance, performance and success of ongoing and completed programmes and projects and management initiatives. Evaluation is undertaken selectively to answer specific questions, to guide decision-makers and/or managers, and to provide information on whether underlying theories and assumptions used in development and designs were valid, what worked and what did not work, and why. It emphasizes analyzing factors that affected results (positive or negative), and on identifying lessons that can be learned and applied in the future.

Monitoring and evaluation produce different kinds of performance information, but both are necessary for effective management. The two are closely related; systematically generated monitoring data is essential for successful evaluation. Information generated through monitoring and evaluation is shared organization-wide, feeds into organizational learning, facilitates organizational decision-making processes and promotes a culture of accountability. Illustration 7 demonstrates how planning, monitoring, evaluation and feedback are integral parts of the process of managing for results.

Illustration 7

A Simple RBM Model

Regular Monitoring and Evaluation

| Planned Results | → | Actual Results |

Planning   **Implementation**

Regular Feedback and Adjustment

Paragraphs 1.7 – 1.13 will be elaborated further in Section 3.

SECTION 2:   RBM AT UNFPA - MEASURES TAKEN/PLANNED TO IMPLEMENT RBM

2.1   The Logical Framework (logframe) approach

The Logical Framework (logframe), introduced in 1997, is a results-oriented tool used to design and manage programmes. It analyzes problems, and identifies results at the output, purpose and goal levels. It is used for inter-country and country programme design, monitoring and performance management.

2.2   The Multi-Year Funding Framework (MYFF)

The 2000-2003 MYFF is an organization-wide, results-oriented framework for UNFPA's performance over the next four years. It defines the organizational goals that UNFPA contributes to and some of the outputs that will lead towards these goals; it does not include the purpose level of results. The MYFF is designed to be as simple a tool as possible for planning, monitoring and reporting on organizational-level results.

The MYFF includes two interlinking elements:

- A **results framework**, which identifies the major results that UNFPA aims to achieve, its key programme strategies, and the indicators that will be used to measure progress; and

- An **integrated resources framework** that indicates the level of resources required to achieve the stated results.

The MYFF results framework was developed in extensive consultation with management, staff and partners to identify the major results to be achieved at the output and goal levels by all programmes. The goal refers to those results to which UNFPA contributes together with other partners, while the outputs refer to the results for which UNFPA is willing to be held accountable. The list of selected outputs presented in the MYFF emerged as the most common outputs of UNFPA country programme logframes and convey the major strategic priorities in the Fund's work worldwide. The 2000-2003 MYFF results framework also includes four key strategies –- ways in which resources are deployed to achieve results.

UNFPA will continue to develop and refine the MYFF as a strategic management tool. The Fund carried out a MYFF situation analysis to: (1) ensure that MYFF results, indicators and strategies reflect country situations; (2) that the planning and management of country programmes consider the MYFF results framework; and (3) gather information on other common

and priority results, indicators and strategies to refine the MYFF results framework. The data is captured in a results database.

The MYFF is applied at the organizational level while the logframe is used at the country programme level. Both the MYFF and the logframe demonstrate the logical cause-effect relationship between different results.

2.3   Institutionalizing RBM in UNFPA

➤ **Where does RBM belong?**

- Systems design, guidelines and oversight

- Country and Intercountry Programmmes

- Analysis and Learning

- External Reporting

➤ **How should RBM be operationalized?**

- UNFPA policy on RBM

- Integration of RBM into the programming process

- Development of results-oriented performance monitoring and evaluation tools

- Introduction of RBM into the problem analysis, strategic planning and management of inter-country and country programmes and management initiatives

- Strengthening a results-oriented reporting system

- Strengthening feedback and use of lessons learned for decision making

- Establishment of results and managing for results databases

- Results-oriented office management plan as a tool for office management

- Development of a results-oriented competency-based staff performance management system

- Integrated computer-based financial and programme management system

➤ **How do we build RBM capacity?**

- Development of an RBM capacity-building strategy

- Development of a basic RBM orientation guide

- Capacity-building efforts tailored to HQ, CST and CO staff and partners

- Building a learning culture in the Fund

SECTION 3: MANAGING FOR RESULTS - STARTING TO APPLY RBM TO YOUR WORK

3.1 WHAT DO WE NEED TO IMPLEMENT RBM?

For UNFPA, managing for results entails the following:[2]

- Establish clear organizational vision, mission and priorities which are translated into a four-year framework of goals, outputs, indicators, strategies and resources (MYFF);

- Encourage an organizational and management culture that promotes innovation, learning, accountability and transparency;

- Delegate authority and empower managers and, at the same time, hold managers accountable for results;

- Adopt a participatory and team-based approach to programme and organizational management;

- Focus on achieving results through strategic planning, regular monitoring of progress through indicators, evaluation of performance to identify what works and what does not, and report on performance;

- Create supportive mechanisms, policies and procedures, build and improve on what is in place, including the operationalization of the logframe;

- Share information and knowledge, learn lessons and feed these back into improve decision-making and performance;

- Optimize human resources and build capacity among UNFPA staff and national partners to manage for results;

- Make the best use of scarce financial resources in an efficient manner to achieve results;

- Strengthen and diversify partnerships at all levels towards achieving results;

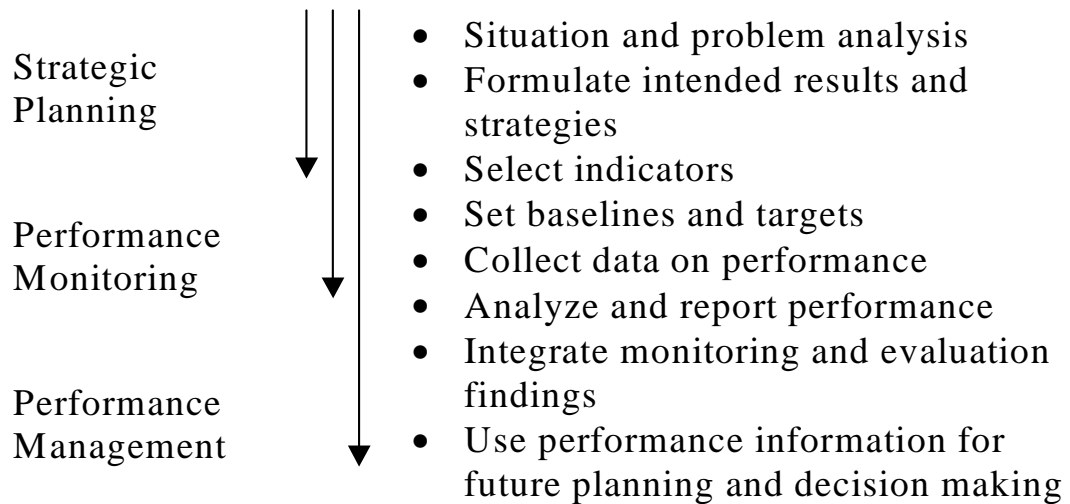- Respond to the realities of country situations and needs, within the organizational mandate.

The RBM approach can be applied to all aspects of planning and management.

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[2] UNFPA/CM/00/108, dated 14 December 2000 - UNFPA Policy on Results-Based Management

Illustration 8

Results-based planning and management

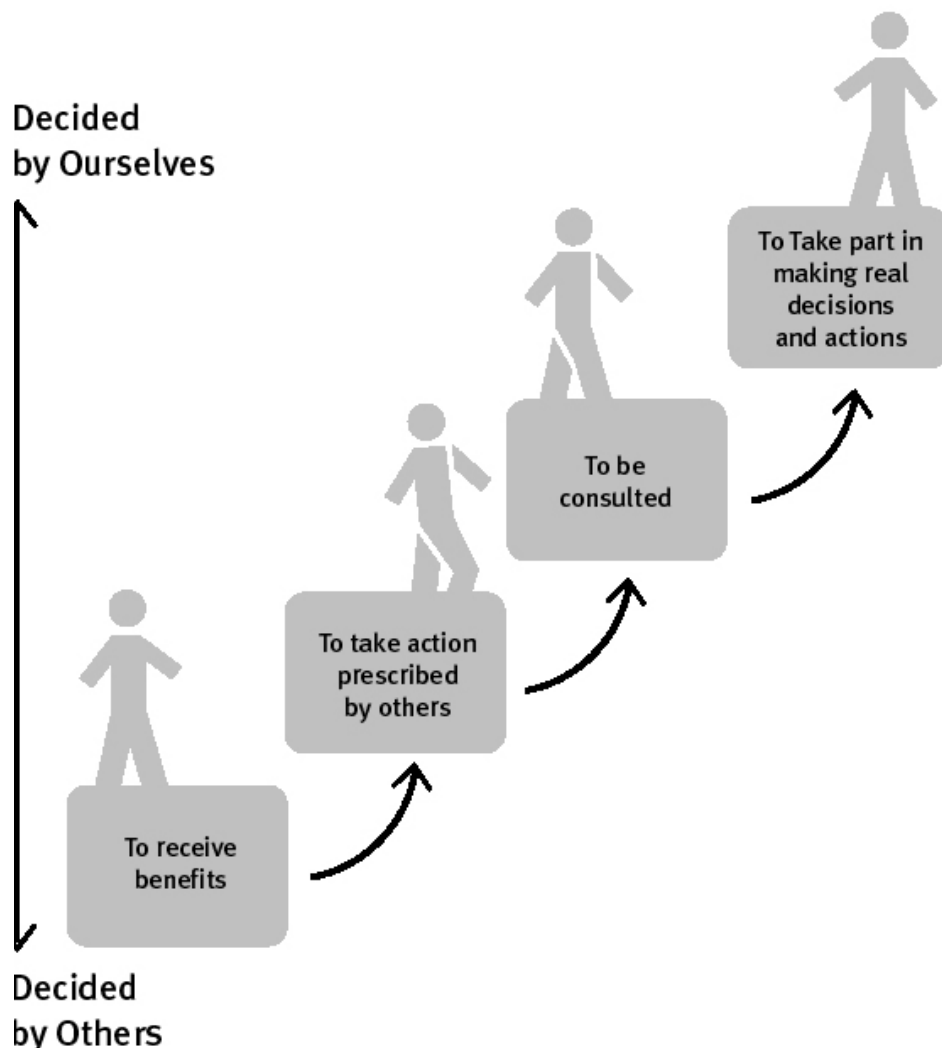|	
Strategic Planning	• Situation and problem analysis • Formulate intended results and strategies • Select indicators
Performance Monitoring	• Set baselines and targets • Collect data on performance • Analyze and report performance
Performance Management	• Integrate monitoring and evaluation findings • Use performance information for future planning and decision making

3.2 HOW CAN RBM BE APPLIED IN STRATEGIC PLANNING?

➢ **Get stakeholders involved**

The planning process begins with analyzing the problem with stakeholders. Stakeholders can provide important information to help in defining realistic results and appropriate strategies. Workshops, consultations and team-based activities can be used to strengthen stakeholders' sense of ownership and commitment toward a programme or process.

Illustration 9 demonstrates different levels of stakeholder participation.

Illustration 9

Levels of Participation

Decided by Ourselves

To Take part in making real decisions and actions

To be consulted

To take action prescribed by others

To receive benefits

Decided by Others

Defining the appropriate level of participation for stakeholders is key in designing appropriate and effective participatory processes.

- The level of least involvement is **to receive benefits** (or decisions). Stakeholders are expected to be passive, their needs may be defined by others, and they have no control over the services provided.

- **To take action prescribed by others,** such as contributing labour or attending a training workshop, implies slightly greater participation but it may not be motivated by one's own decisions.

- **To be consulted** on problems, needs and strategies to be adopted, often means that participants voice their opinions but do not have responsibility or ownership for the outcomes of the consultation. Donor agencies, government or senior management are not necessarily accountable for incorporating the views of the stakeholders into the design of programmes or processes.

- **To be part of decision-making** means that stakeholders are empowered to make appropriate decisions, to organize themselves, identify and implement solutions to their problems and take responsibility for the results.[3]

➢ **Formulate intended results and strategies**

Strategic and logical thinking informed by knowledge of what works and does not work, is crucial in the planning phase. In addition, you must consider what you can realistically accomplish given the resources and the time you have, and which strategies to use. Strategies are defined as ways in which resources are deployed to obtain results. Remember that the cause-effect relationship between results implies that outputs from every programme and organizational unit should contribute towards UNFPA's organizational goals.

➢ **Select indicators to measure performance**

The following criteria are suggested for choosing indicators:

- **Direct:** The indicators should closely track the result they are intended to measure.

- **Objective:** There should be no ambiguity or confusion about what is being measured and what data is being collected.

- **Practical:** Choose indicators that are reasonable with respect to cost, frequency and timeliness of data collection.

- **Adequate:** The number of indicators tracked for a given result should be the minimum necessary to ensure that progress toward the expected result is sufficiently captured.

The data collected to measure results should be: (1) reliable and consistent over time; (2) sensitive to progress toward results; (3) feasible and affordable to collect and analyze; and (4) useful for decision-making.

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[3] Adapted from *Two Halves Make a Whole: Balancing Gender Relations in Development*, Canadian Council for International Cooperation, Ottawa, 1991

➢ **Establish baseline information and targets**

Baseline information tells you what the situation is now in a programme or management area, for example:

- how many people need services or training;

- health status in a community or region for a specific target group;

- level of understanding among staff about their responsibilities.

Baseline data provides the initial information to enable you to assess progress in achieving results. Establishing targets for progress adds a further dimension to monitoring. By comparing the situation at the beginning of the programme or process with information collected from the same groups at strategic monitoring points, you can assess your progress, and decide whether any adjustments are needed in programme activities.

➢ **Document your plan**

Results-oriented planning tools, such as the MYFF, logframe, monitoring and evaluation activities plan, office management plan and Individual Performance Plan, explain what is planned for a specified period and how progress will be assessed. They should be used as reference documents to guide implementation of a programme or management initiative, and should be updated if conditions change in any way.

3.3 HOW DOES RBM APPLY TO PERFORMANCE MONITORING AND EVALUATION?

RBM is a system that puts a premium on learning. Within an RBM context, performance monitoring and evaluation are customized to provide the performance information needed by both the programme/unit managers and the stakeholders. Performance monitoring focuses on measuring progress towards the achievement of results, rather than documenting how activities were implemented. Evaluation becomes more participatory and flexible, tailored to the programme needs.

Since the stakeholders are involved in one aspect or another of measuring performance, the information that is generated is more accessible and transparent to the users. RBM requires managers to take a more flexible approach, providing space for stakeholders to take a greater role and more responsibility for performance monitoring and evaluation. Efforts to build and improve the capacity of stakeholders in monitoring and evaluation may be necessary to ensure their effective participation.

Why Monitor and Evaluate Performance?

To provide accurate and up-to-date information on progress:
- To provide regular feedback and early indications of progress, or lack thereof;
- To track actual performance/situation against what was planned/ expected.

For learning and decision-making:
- To detect early signs of potential problems and success areas;
- To take corrective actions;
- To improve the design and performance of ongoing programmes;
- To generate knowledge about what works and what does not work.

To improve accountability:
- To ensure that a programme/process continues to be relevant, and achieving results as intended;
- To make an overall judgment about the effectiveness of interventions.

Key tools for Performance Monitoring

For programmes – The Logical Framework (logframe) provides the basis for monitoring results. With the additional identification of persons/groups responsible for collecting data and the frequency of such data collection for indicators selected, the logframe will guide staff and partners in collecting and analyzing data so that actual results can be compared with planned results. Monitoring should include an analysis of progress towards achieving the programme's outputs ("deliverables") as well as its contribution towards achieving the purposes and goals. Information gathered through monitoring is discussed with stakeholders at various meetings such as the sub-programme, programme and mid-term reviews.

For office management – The results-based Office Management Plan is the key element in planning, managing and monitoring common management areas, including programme, finances, human resources and information systems. Achieving results identified in the office management plans will contribute to the common organizational priorities of a given year.

The office management plan should include:

- a description of planned results;

- the activities that will lead to the expected results;

- the time frame within which results will be achieved;

- the person(s) who will take responsibility for implementing the plan;

- the estimated costs;

- the Divisions/Branches/people who will be included as partners.

For data collection and analysis – A management information system that ensures timely access to up-to-date and accurate data is essential. The Resource Management System (RMS), which is currently being developed, will integrate information on programmes and financial resources, and make this information accessible to all headquarters and country offices. A knowledge sharing database and/or network is also being considered.
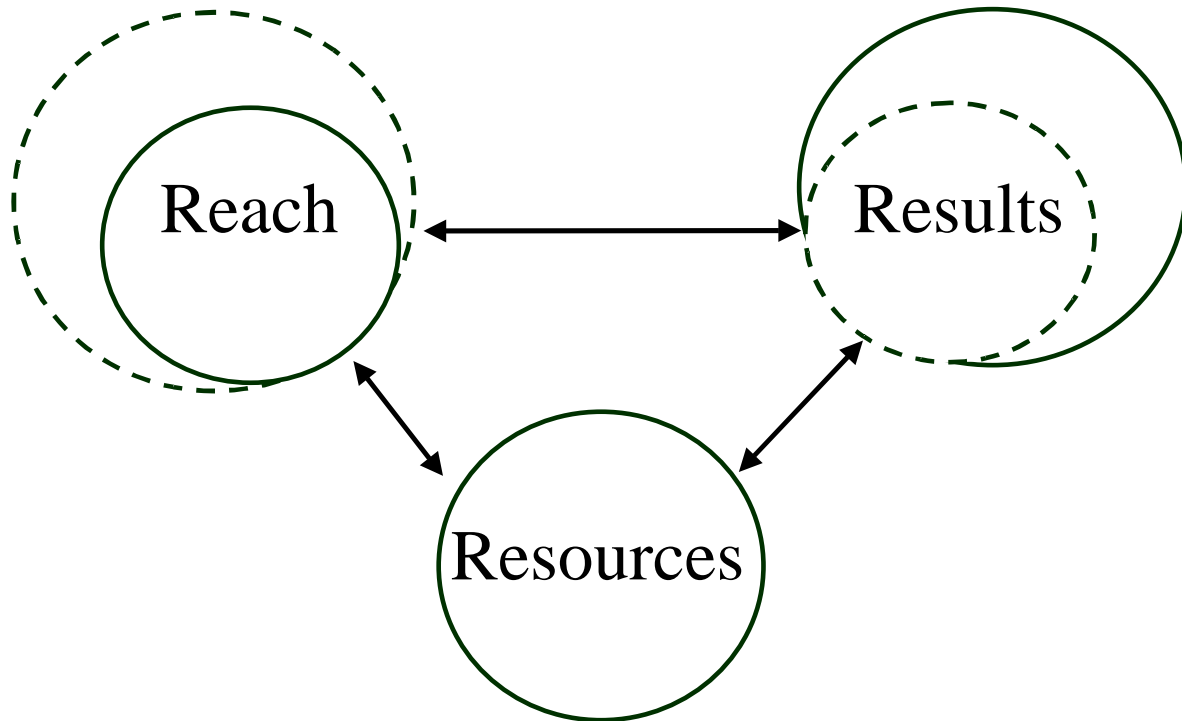
3.4 HOW TO USE PERFORMANCE INFORMATION FOR DECISION MAKING AND REPORTING?

Performance monitoring and evaluation provide the information needed to enhance learning and make a number of important decisions:

- To determine if strategic trade-offs are required – Are adjustments required to:
  - the *Reach* of the programme? Can you still involve the same number and type of stakeholders?
  - the *Resources* available? Are they sufficient and the right type?
  - the *Results* expected? Are they still realistic within the timeframe and the resources available?

- To strengthen the cause-effect links between activities, outputs, purposes and goals. Are the planned strategies still appropriate or should adjustments be made to improve results?

- To strengthen your organization's management capacity by learning from your experience (the iterative approach).

- To report on programme or organizational performance to stakeholders – Ministries and Government Agencies, co-operating groups, founders etc.

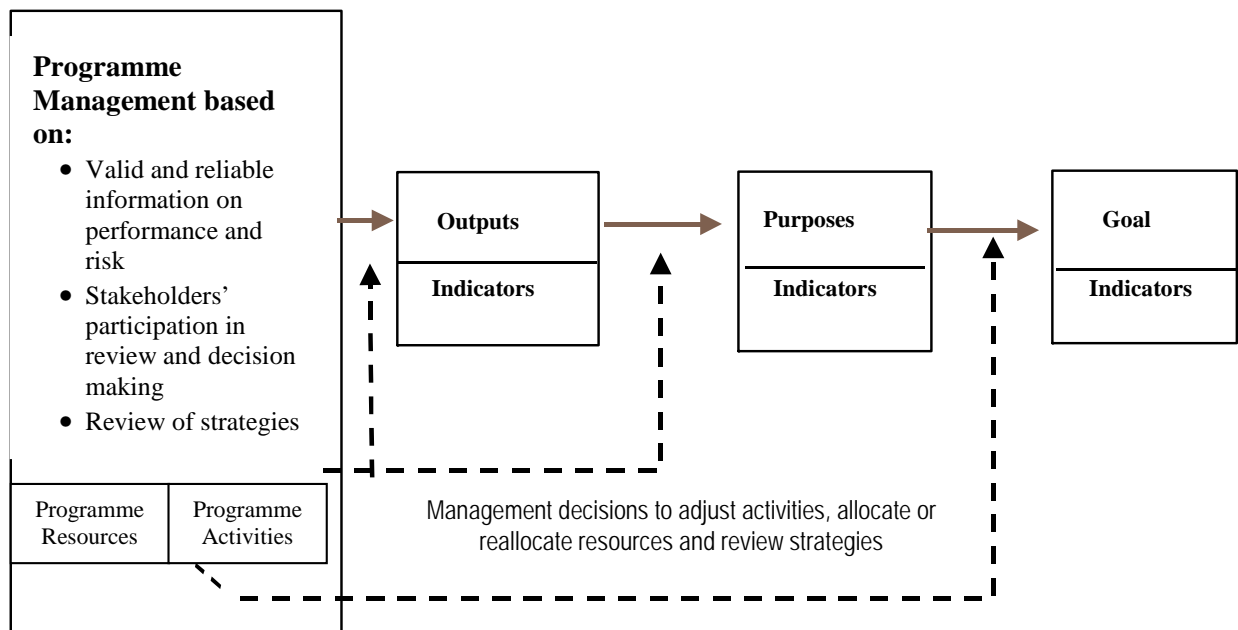The header navigation and footer navigation.

Illustration 10

Use Performance Information To Examine Strategic Trade-Offs and Balance Expected Results, Resources and Reach

Increasing the reach of the programme with the same resources may require reducing/lowering expectations for results.

Illustration 11

Use Performance Information To Strengthen Cause – Effect Links

Programme Management based on:

- Valid and reliable information on performance and risk
- Stakeholders' participation in review and decision making
- Review of strategies

| Programme Resources | Programme Activities |

Outputs

Indicators

Purposes

Indicators

Goal

Indicators

Management decisions to adjust activities, allocate or reallocate resources and review strategies

Continuous performance monitoring enables stakeholders to make decisions about strategies and use of resources at key points in order to achieve results. For example, if monitoring shows that the programme activities are not leading to the expected outputs, then adjustments can be made to the strategies, activities, and/or resources to improve the likelihood of achieving expected results.

➢ **RBM and reporting**

Reporting using the RBM approach involves:

- Defining the results expected for a specific period;

- Identifying the actual results achieved during the period;

- Analyzing and explaining the difference between what was expected and what was actually achieved;

- Identifying any changes you plan to make in the next period in order to increase the likelihood that the expected results will be achieved.

Programme managers will refer back to the logframe indicators when monitoring and evaluating performance and preparing reports. Unit managers at headquarters and in the field will refer to their annual results-based office management plan when monitoring performance and preparing reports. Staff members will refer to their results-oriented Individual Performance Plan when preparing their Performance Appraisal Reports.

UNFPA's organizational performance reports will refer back to the MYFF when assessing the outputs achieved and the organization's progress towards its goals.

Internal reporting and feedback strengthens the process of identifying lessons and incorporating them into future planning. External reporting will improve accountability to stakeholders and communications with partners.

GLOSSARY OF RESULTS-BASED MANAGEMENT (RBM) TERMS *

Accountability: Responsibility and answerability for the use of resources, the decisions and/or the results of the discharge of authority and official duties. Accountability is often accompanied by the availability and application of sanctions, including an array of actions that are intended to reward good performance and deter poor performance.

Activities: Actions taken, through which inputs (financial, human, technical, material and time resources) are mobilized to produce specific outputs.

Assumptions: Conditions that are necessary to ensure that: (1) planned activities will produce expected results; and (2) the logical, cause and effect relationship between the different levels of results will occur as expected. Achieving results depends on whether or not the assumptions made prove to be true. Incorrect assumptions at any stage of the results chain can become an obstacle to achieving a specific result.

Baseline data: Data describing the situation prior to interventions under a programme, project or management initiative that serve as the starting point for measuring or demonstrating changes in that situation and the performance of the programme, project or management initiative.

Benchmark: 1) An intermediate target to measure progress in a given period using a certain indicator. 2) A reference point or standard against which to compare performance or achievements.

Data: Specific quantitative and/or qualitative information or facts.

Database: An accumulation of information that has been systematically organized for easy access and analysis. Databases typically are computerized.

Effectiveness: A measure of the extent to which a programme or management initiative achieves its planned results (goals, purposes and outputs).

Efficiency: A measure of how economically or optimally inputs (financial, human, technical and material resources) are used to produce outputs.

Evaluation: A time-bound exercise that attempts to assess systematically and objectively the relevance, performance and success, or the lack thereof, of ongoing and completed programmes, projects and management initiatives. Evaluation is undertaken selectively to answer specific questions, to guide decision-makers and/or managers, and to provide information on whether underlying theories and assumptions used in development and designs were valid, what worked and what did not work, and why.

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* Also refer to The Programme Managers Monitoring and Evaluation Toolkit (Tool Number 1: Glossary of Monitoring and Evaluation Terms, November 2000)

Goal: A basic condition of well being for individuals, families and communities. It reflects the long-term results expected from a programme. It is the highest level of result to which UNFPA contributes, together with the efforts of other partners.

Indicator: A quantitative or qualitative measure of performance that is used to demonstrate change, and which details the extent to which results are being or have been achieved. It is referred to as Objectively Verifiable Indicator (OVI) in the logframe.

Inputs: The resources – which may be financial, human, technical, material, and time - required to undertake activities. These resources are provided by the stakeholders who may be donors, programme participants, communities, or other groups.

Logical Framework (Logframe) Approach: A results-oriented programme planning and management methodology. The approach helps to identify strategic elements (inputs, outputs, purposes, goal) of a programme, their causal relationships, and the external factors that may influence success or failure of the programme. The approach includes the establishment of indicators to be used for monitoring and evaluating achievement of programme results.

Logical Framework (Logframe) Matrix: A schematic presentation of the results of the application of a logical framework approach to programme development.

Means of Verification (MOV): The specific sources from which the status of each of the indicators for the results can be ascertained.

Monitoring: Monitoring is a continuous management function that aims primarily to provide managers and main stakeholders with regular feedback and early indications of progress and lack thereof in the achievement of intended results. Monitoring tracks the actual performance or situation against what was planned or expected according to pre-determined standards. Monitoring generally involves collecting and analysing data on processes and results and recommending corrective measures.

Multi-Year Funding Framework (MYFF): A four-year framework that is composed of two interlinking elements: (1) a results framework that identifies the major results that UNFPA aims to achieve, its key programme strategies, and the indicators that will be used to measure progress; and (2) an integrated resources framework that indicates the level of resources required to achieve the stated results. The first UNFPA MYFF is for the period 2000-2003.

Office Management Plan: A strategic management tool to enable the UNFPA units to (a) plan for results to be achieved in line with the year's organizational priorities, and the roles and functions of the unit; (b) monitor progress towards expected results; and (c) asses the unit's collective performance and the unit's contribution to achieving results at the end of a period.

Outputs: Time-bound and describable or measurable changes that are produced by programme or management activities. The term "deliverables" is also used for outputs. UNFPA is willing to be held accountable for the outputs it produces through all its programme and management activities.

Participatory Approach: A broad term for the involvement of primary and other stakeholders in an undertaking (e.g., programme planning, design, implementation, monitoring and evaluation; and management initiatives).

Performance: The extent to which a plan, programme or project is implemented in an effective, efficient and timely manner to achieve results.

Problem Tree: A graphic presentation of the problem analysis to show the effects of the central problem(s) on top and the causes below, in a logical and hierarchical fashion.

Programme: A time-bound intervention that cuts across sectors, themes or geographic areas, uses a multi-disciplinary approach, involves multiple institutions, and may be supported by several different funding sources.

Proxy measure or indicator: A variable used to stand in for one that is difficult to measure directly.

Purpose: A result between Output and Goal in the logframe matrix. It reflects the short- to medium-term results that can reasonably be expected, provided planned outputs are delivered, the assumptions remain valid, and the risks have not materialized. It refers to the describable or measurable changes that occur in behaviour, attitudes, commitment, or socio-cultural values of groups, as well as legal, institutional and societal practices, as a consequence of achieving the expected outputs. UNFPA, together with several partners, contributes to the attainment of purposes.

Reach: The coverage (eg. the range or number of individuals, groups, institutions, or geographical areas, etc.) that will be affected by a programme, project or management initiative.

Relevance: The degree to which the outputs, purposes or goals of a unit/programme remain valid and pertinent as originally planned or as subsequently modified owing to changing circumstances within the immediate context and external environment of the unit/programme.

Result: A describable or measurable change in state that is derived from a cause and effect relationship. The terms goals, purposes, and outputs are different levels of results.

Results Chain: The causal sequence for an intervention that begins with inputs/activites, moving through outputs, purposes, and goals, that may be expected to occur over a period of time. It is based on a theory of change, including underling assumptions.

Results-Based Management (RBM): A participatory and team-based approach to management designed to improve programme and management effectiveness, efficiency and accountability, that focuses on achieving defined results.

Risks: Factors that may adversely affect the delivery of inputs, completion of activities, and achievement of results.

Risk Analysis: Method to identify how likely it is that the conditions necessary to achieve the expected results will not be present. Risk analysis enables consideration of strategies to manage identified risks. Some external factors may be beyond the control of programme managers and implementers, but other factors can be addressed with slight adjustments in the programme approach or strategy. It is recommended that stakeholders take part in the risk analysis as they offer different perspectives and may have key information about the programme context.

Stakeholders: People, groups or entities that have a role and interest in an activity, programme or institution. In relation to country programmes they include the community whose situation the programme seeks to change; project field staff who implement activities; project and programme managers who oversee implementation; donors and decision-makers that influence decisions/decide on the course of action related to the programme; and supporters, critics, and other persons who influence the programme environment. In relation to effective organizational management, stakeholders include UNFPA staff, partners, donors, etc.

Strategies: Approaches and ways to deploy resources to achieve results.

Work plans: Annual or multi-year schedule of expected outputs, tasks, timeframes and responsibilities.

UNFPA POLICY STATEMENT ON RESULTS-BASED MANAGEMENT

INTRODUCTION

UNFPA has a clearly defined mandate, reflected in its mission statement and in its definition of priority programme areas based on ICPD and ICPD+5 goals. UNFPA is committed to addressing issues of population and development, reproductive health, gender equality, and women's empowerment that will contribute to the ultimate goal of improving the quality of life and sustainable development, shared by all UN agencies.

UNFPA has always pursued the attainment of results in its assistance to developing countries. The Fund is committed to strengthening both programme and internal management to perform its functions effectively and efficiently to achieve results. In partnership with governments and civil society, UNFPA will further enhance its contribution to ICPD goals by strengthening its field operations and global advocacy, and effectively deploying its resources through a results-oriented approach. This will be an evolving process that will contribute to enhancing a culture of accountability, learning and achieving results.

The UNFPA 2000-2003 Multi-Year Funding Framework (MYFF), approved by the Executive Board, is a coherent strategic framework that builds on clearly defined organizational results, with a set of indicators to track progress towards achieving these results. The implementation of the MYFF presents the opportunity to accelerate the move towards a results-based approach in UNFPA. The MYFF builds on our mandate and establishes UNFPA's commitment to:

- Clearly defining results;
- Managing for results;
- Better reporting of results; and
- Mobilizing required resources

RESULTS-BASED MANAGEMENT AT UNFPA

Results-based management is an approach to improve programme and management effectiveness, efficiency and accountability, and is oriented towards achieving results. UNFPA defines a result as a describable or measurable change in state that is derived from a cause and effect relationship.

Results-based management is fundamental to the Fund's approach and practice in fulfilling its mandate and effectively providing assistance to developing countries. UNFPA will systematically focus on results to ensure that financial and human resources are strategically deployed to achieve the greatest impact. Managers will take the lead in ensuring that RBM will guide all staff, bearing in mind the diversity of situations in which we work and the role played by the Fund's partners in achieving results. UNFPA will report on its results in order to inform partners and member states of its development achievements.

At UNFPA, RBM means:

- Establishing clear organizational vision, mission and priorities, which are translated into a four-year framework of goals, outputs, indicators, strategies and resources (MYFF);

- Encouraging an organizational and management culture that promotes innovation, learning, accountability, and transparency;

- Delegating authority and empowering managers and, at the same time, holding managers accountable for results;

- Adopting a participatory and team-based approach to programme and organizational management;

- Focusing on achieving results, through strategic planning, regular monitoring of progress through indicators, evaluation of performance to assess what works and does not work, and reporting on performance;

- Creating supportive mechanisms, policies and procedures, building and improving on what is in place, including the operationalization of the logframe;

- Sharing information and knowledge, learning lessons, and feeding these back into improving decision-making and performance;

- Optimizing human resources and building capacity among UNFPA staff and national partners to manage for results;

- Making the best use of scarce financial resources in an efficient manner to achieve results;

- Strengthening and diversifying partnerships at all levels towards achieving results;

- Responding to the realities of country situations and needs, within the organizational mandate